

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION



Ready  
Access  
to  
Essential Evidence

2006 Performance and Accountability Report



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PART 1

## MANAGEMENT'S DISCUSSION AND ANALYSIS

### A Message from the Archivist of the United States



The National Archives and Records Administration (NARA) is our nation's record keeper. Every day we work to preserve and provide access to the records of our Government, whether those records are the Declaration of Independence, service records of military veterans, or documentation on homeland security issues that will make our country safer.

Throughout the history of our democracy, these records have been first-hand witnesses to the events that have shaped our country. They have documented the rights and entitlements of our citizens, and they have held our Government officials accountable to the people.

NARA's mission is vital to continuity of Government, homeland security, public trust, and national morale.

- We provide legal authority to many of the actions of the President and executive agencies through publication in the *Federal Register*, regardless of weather, terrorist attacks, or other emergency that may close other Federal operations.
- We are leading the Federal Government in developing the new technology that will enable the Government to share electronic information across space and time, reducing the risk that critical intelligence will be lost in obsolete hardware and software.
- We act as First Preservers in times of emergency, assisting Federal, state, and local governments in saving their critical records, especially those that document the rights and entitlements of citizens.
- We serve a broad base of customers through a series of education, outreach, and partnership initiatives, contributing to civic literacy in America.
- We protect the plans, drawings, maps, and photographs of Federal facilities worldwide.
- We preserve and provide access to the military service records of 56 million veterans of our armed forces, ensuring that they and their families receive the benefits they have earned by defending our country.
- We protect and display the founding documents of our country – the Declaration of Independence, the Constitution, and the Bill of Rights – which more than a million people a year come to see because these Charters of Freedom are the heart of the democracy we cherish.

I am pleased to present the National Archives and Records Administration's Performance and Accountability Report for FY 2006, the final year of reporting against

our last ten-year Strategic Plan. Thanks to support from our stakeholders and partners and the efforts of our exceptional staff, we made significant progress on each of the goals of our Strategic Plan and our two material weaknesses. Our Strategic Plan focuses us on five goals – improving records management, meeting electronic records challenges, expanding opportunities for access, meeting storage and preservation needs of growing quantities of records, and strategically managing our resources. Our progress in these areas is detailed throughout this report.

I encourage you to read the report to discover the strides we have made in helping Federal agencies address records management problems, our progress in building an Electronic Records Archives that will serve the entire Federal Government, making it easier for our customers to find and order copies of records, preserving at-risk records for future generations, and much more.

We have also made strides in ensuring that our resources are well managed with the proper oversight. It is my informed judgment that there is reasonable assurance that NARA's management controls are achieving their intended objectives and that the program and financial data contained in this report are valid and reliable. This assessment is based on management control evaluations and other written evaluations conducted in NARA's offices and staff organizations and senior management's knowledge gained from the daily operations of NARA programs and systems. I also have relied upon the advice of NARA's Office of the Inspector General concerning this statement of assurance.

This year, with the help of our staff, colleagues, and stakeholders, we finalized a new Strategic Plan that acknowledges our past achievements, reaffirms the soundness of many of our efforts underway, and points us in some exciting, new directions. While the work ahead is challenging, I am confident that our stakeholders and the public can be proud of their National Archives and Records Administration, which every day is protecting, preserving, and making available the essential documentation of our Government.



Allen Weinstein  
Archivist of the United States

November 15, 2006

## Introduction

This Performance and Accountability Report represents the culmination of the National Archives and Records Administration's (NARA) program and financial management processes, which began with strategic and program planning, continued through the formulation and justification of NARA's budget to the President and Congress and through budget execution, and ended with this report on our program performance and use of the resources entrusted to us. This report was prepared pursuant to the requirements of the Chief Financial Officers Act, as amended by the Reports Consolidation Act of 2000 and mandated by the Accountability of Tax Dollars Act of 2002, and covers activities from October 1, 2005, through September 30, 2006.

## How to Use This Report

This report describes NARA's performance measures, results, and accountability processes for FY 2006. In assessing our progress, we are comparing actual results against targets and goals set in our annual performance plan, which we developed to help us carry out our Strategic Plan. Our complete set of strategic planning and performance reports is available on our web site at <http://www.archives.gov/about/plans-reports/>.

This report has four major parts:

- **Management's Discussion and Analysis**

Look here for our agency-wide performance and use of resources in FY 2006. You also will find information on the strategies we use to achieve our goals and the management challenges and external factors that affected our performance.

- **Performance Section** (*in full report*)

Look here for details on our performance by strategic goal and long-range performance target in FY 2006. This section covers our targets, how and why we met or did not meet them, and explanations of how we assess our performance and ensure its reliability.

- **Financial Section** (*in full report*)

Look here for details on our finances in FY 2006, our consolidated financial statements and notes, required supplementary information, and the reports from our external auditor and our Inspector General. Also included is information on our internal controls and an explanation of what kind of information each of our financial statements conveys.

- **Appendixes** (*in full report*)

Look here for our Inspector General's assessment of our agency's management challenges, our FMFIA report, and an update on prior years' audit recommendations made by Clifton Gunderson, LLP.

## About NARA

The National Archives and Records Administration is our national record keeper. An independent agency created by statute in 1934, NARA safeguards the records of all three branches of the Federal Government. Our job is to ensure ready access to essential evidence, and in doing so we serve a broad spectrum of American society. Genealogists and family historians; veterans and their authorized representatives; academics, scholars, historians, business and occupational researchers; publication and broadcast journalists; Congress, the Courts, the White House, and other public officials; Federal Government agencies and the individuals they serve; state and local government personnel; professional organizations and their members; students and teachers; and the general public – all seek answers from the records we preserve.

### Our Vision

The National Archives is a public trust on which our democracy depends. It enables people to inspect for themselves the record of what Government has done. It enables officials and agencies to review their actions and help citizens hold them accountable. It ensures continuing access to essential evidence that documents

- the rights of American citizens,
- the actions of Federal officials, and
- the national experience.

To be effective, we at NARA must determine what evidence is essential for such documentation, ensure that Government creates such evidence, and make it easy for users to access that evidence regardless of where it is, or where they are, for as long as needed. We also must find technologies, techniques, and partners worldwide that can help improve service and hold down costs, and we must help staff members continuously expand their capability to make the changes necessary to realize the vision.

For two years, Elaine Yee and her elderly father, Wing Bok Yee, a Chinese American immigrant, had been unable to obtain proof of citizenship. Bill Greene, a reference archivist in NARA's Pacific Region in San Francisco, provided an official of the U.S. Citizenship and Immigration Service (USCIS) with immigration case file documents from the early 1900s, which verified that the U.S. Government once recognized the father's citizenship. But two years passed, and Yee's father still had not received proof of his citizenship. Greene then put Yee and her father in touch with the USCIS's ombudsman, who got the case transferred to a district director. Within weeks, Wing Bok Yee's citizenship was confirmed. Elaine Yee recently wrote to NARA: "My dad's case is now resolved...Thank you so much. You have made my dad a very happy man."



*Wing Bok Yee displays his Certificate of Citizenship. (Photo by Elaine Yee.)*

### Our Mission

NARA ensures, for the Citizen and the Public Servant, for the President and the Congress and the Courts, ready access to essential evidence.



## ***Our Strategic Goals***

NARA's strategic goals are set forth in our Strategic Plan, which we revised in 2003, and covers the period through FY 2006. This revision acknowledged recent achievements, especially in e-Government; assessed new conditions facing us; and committed us to measure our value to the taxpayer by setting aggressive outcome-oriented performance targets.

Our five strategic goals are:

- Essential evidence is created, identified, appropriately scheduled, and managed for as long as needed.
- Electronic records are controlled, preserved, and made accessible for as long as needed.
- Essential evidence is easy to access regardless of where it is or where users are for as long as needed.
- All records are preserved in an appropriate environment for use as long as needed.
- NARA strategically manages and aligns staff, technology, and processes to achieve our mission.

## ***Our Organizational Structure***

We carry out our mission through a national network of archives and records services facilities stretching from Washington, DC, to the West Coast, including Presidential libraries documenting administrations back to Herbert Hoover. Additionally, we publish the *Federal Register* and, administer the Information Security Oversight Office (ISOO). We preserve and make available, in response to hundreds of thousands of requests, the records on which the entitlements of citizens, the credibility of Government, and the accuracy of history depend. More and more people are using our services and gaining access to our records through the Internet, whether by requesting copies of records through our Inquire form at *Archives.gov*, commenting on regulations at the Government-wide site *Regulations.gov*, searching online databases of records and information, or engaging in a host of other activities through *Archives.gov*. We continue to encourage this trend, by adding online services and contributing to several of the President's e-Government initiatives, so that citizens everywhere have access to our vast holdings. The organizational chart in figure 1 provides an overview of NARA's structure.

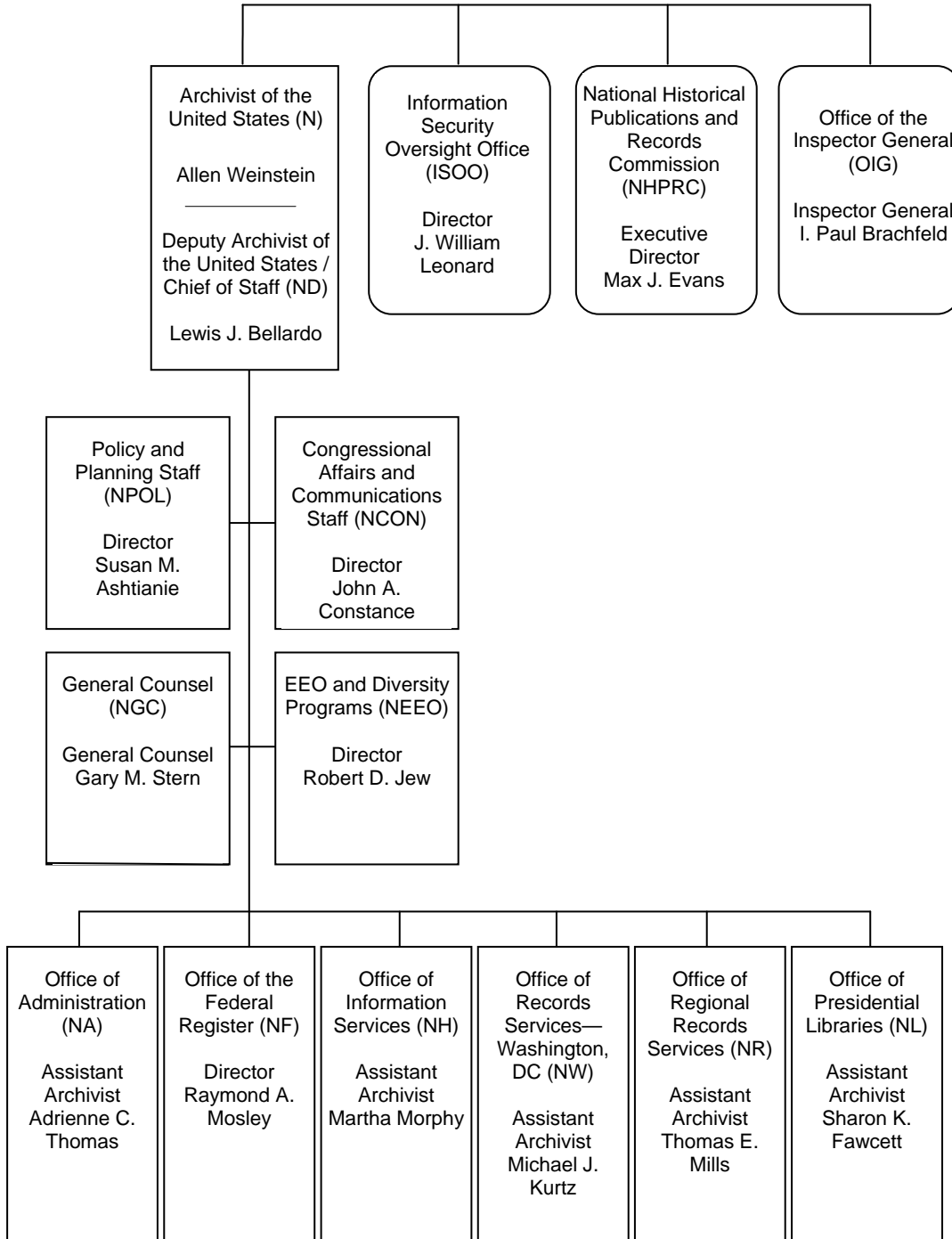



Figure 1. NARA's Organizational Structure

## NARA's Challenges and Management's Actions to Address These Challenges

We at the National Archives and Records Administration (NARA) take our job of serving the public seriously. And never before have we played such an indispensable role in our Government. We are doing this work in the face of multiple challenges that affect the entire Government and our citizens.

- As a Federal agency, NARA must deal with new and evolving concerns about security, continuity of operations, and emergency preparedness. Additionally, continuity of Federal operations depends on the records of government. Protecting, recovering, and making these records available will require new, more flexible solutions.
- The dramatic emergence of an electronic Government has brought to the fore new records management issues that have implications far beyond our Government. Inspired by the challenges of electronic records, NARA is transforming itself from an agency that manages predominantly paper to a leader in electronic records management.
- Deterioration of both the holdings that NARA must keep for posterity and the facilities in which they are housed is a fact of life. We must address with a steady hand the never-ending challenge of maintaining and preserving our holdings—paper, electronic, special media and artifacts—and our infrastructure—both physical facilities and information technology.

Our mission is to ensure that Government officials and the American public have ready access to essential evidence, and this mission puts us at the very heart of intergovernmental electronic communication challenges. After providing the 9/11 Commission with thousands of documents crucial to their work, we now maintain the Commission's web site and are processing all of the Commission's records for use by Government officials and eventually the public.

	<p>Wendy Hollingsworth of the National Personnel Records Center (NPRC) in St. Louis was approached by an Air Force retiree, Stanley Seymour, at a VFW national convention. He told her his medical file had somehow gotten lost, and he needed it now to seek disability benefits for a hearing loss and back and knee injuries incurred in service. He had seen it at his hospital, but officials there said they returned it to NPRC. Hollingsworth, a 34-year NARA employee, suspected it had been mistakenly included among any one of several shipments of other kinds of medical records that the same hospital had sent to the Center. Eventually, she found it. Later, Seymour called to thank her because he was awarded a 40-percent disability compensation from the Department of Veterans Affairs.</p>
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*Wendy Hollingsworth and Air Force veteran Stanley Seymour. (Photo by David Hollingsworth)*

In response to requests for documents related to Supreme Court Justice nominees John Roberts and Samuel Alito, we provided both public and congressional access to tens of thousands of documents from our holdings. By digitizing key documents and making them available online, we ensured the broadest possible access to these materials.

Whether publishing the *Federal Register*, protecting the vital records assets of Federal agencies nationwide, serving America's veterans, meeting the challenges of electronic records, or displaying our nation's Charters of Freedom – the Declaration of Independence, the Constitution, and the Bill of Rights – to inspire the American public, NARA plays a critical role in keeping America safe, secure, and focused on our democratic ideals.

The following are just a few examples of the ways in which the Government and the public are relying on NARA to meet vital needs.

- The *Federal Register* must be published each business day, regardless of weather, terrorist attacks, or other emergencies that may close other Federal operations. Publication, even during emergencies, is critical because many of the actions that Executive departments and the President need to take require the legal authority that comes from publication in the *Federal Register*.
- NARA responds to more than one million requests a year for information from or copies of Official Military Personnel Files (OMPFs). Many of these requests come from veterans, their families, or organizations working on behalf of veterans to verify their military service, apply for benefits, or research medical conditions. A veteran's ability to obtain a job, housing, or medical care often depends on our ability to meet their information needs quickly.
- NARA protects the essential records of hundreds of Federal agencies and courts as well as the records of the Congress, the Supreme Court, and 13 Presidential administrations in 36 facilities nationwide. These records include everything from highly classified National Security Council policy memorandums to congressional committee records to architectural drawings of Federal facilities to satellite photographs of major cities to the tax returns of individual Americans. All of this information and more is saved for as long as needed because it is essential for the effective operations of our government, protecting the rights and entitlements of our citizens, understanding past decisions and informing future policy choices, holding appropriate officials accountable for their actions, and ensuring the safety and security of our country.
- Our greatest challenge is to ensure that valuable electronic records – from electronic OMPFs to geographic information systems to State Department cable files to transportation security databases – are managed and preserved *over time* so that key information is not lost in obsolescent hardware and software and continues to be available to meet the needs of the Government and the public. To meet this challenge, NARA is developing the Electronic Records Archives (ERA), a revolutionary system that will capture electronic information, regardless of its format, save it permanently, and make it accessible on whatever hardware or software is currently in use.

Let us turn to the specific challenges NARA faces:

***Records Management, and specifically Electronic Records Management.*** In this world of exponentially increasing volumes and formats of electronic records, having the ability to find, manage, use, share, and dispose of records – which is the essence of records management – is vital for the efficient and effective functioning of the Federal Government. Records management is an essential component of knowledge management, and yet records and information are rarely managed as agency business assets and records management remains marginalized in many agencies. This undermines the authenticity, reliability, integrity, and usability of Federal records and information essential for Government business, particularly electronic Government and public use.

This Government-wide challenge requires collaborative, creative solutions with benefits that are obvious to Federal agencies. That is why we are undertaking a multi-pronged approach to improving Federal records management through a suite of strategies, policies, standards, and tools that facilitate the effective and efficient management of Federal records. (Our progress in implementing these strategies is described on page 91 in Part II – Performance Section, in the full report.) Ultimately, records management should become so seamlessly integrated into agencies’ business processes that it becomes “second nature”; and the information is easy to find and in a usable form. Getting to this outcome requires that we both transform our own records management program and records management across the Government.

- Strategic Directions for Federal Records Management – a series of coordinated strategies to transform NARA’s approach to Federal records management.
- E-Government Initiatives – these include the ongoing Electronic Records Management E-Government Initiative and initiatives to implement the Interagency Committee on Government Information (ICGI) recommendations for section 207(e) of the E-Government Act of 2002.
- Electronic Records Archives (ERA) – the key tool that will allow NARA and Federal agencies to manage, preserve, and have access to electronic records over space and time.

***Information Technology.*** The pace of technological change and innovation challenges the entire Federal Government. At the same time these changes offer wide-ranging opportunities for improved information management. Information technology – particularly the World Wide Web – has become integral to providing government services and moving the Federal Government’s immense stores of information and services out of the “back office,” onto the Internet, and into the home and business sectors. As a result, customer expectations have mounted for more new and expanded online services. Our Strategic Plan acknowledges that we must be equipped to meet these changing needs and expectations. As NARA moves to fully embrace e-Government and seize new technological opportunities, we must be able to quickly adapt to new technologies and leverage technical expertise to meet expectations for quality service.

We have three immediate areas of focus in meeting this larger challenge:

- **IT security:** This challenge, shared by all Federal agencies, is constantly evolving, particularly as the demand for electronic services increases and more business is transacted over the Internet. We continue to work to strengthen and protect our infrastructure against viruses and unauthorized intrusions.
- **Strengthening our IT infrastructure:** We will continue to make strategic investment decisions to ensure that our IT infrastructure evolves to support the changing IT environment. This environment must support NARA's business and ever-increasing customer needs.
- **ERA deployment:** The design, development, and implementation of a system that will aid in the Federal Government's ability to manage, preserve, and access its electronic records well into the future is a major challenge for NARA. Proper oversight and use of industry and government best practices are key to our ability to deploy a usable ERA in a timely and cost effective manner.

**Records Access.** Central to NARA's mission is our ability to provide the records of the Federal Government to the citizens, to whom the records belong. A major challenge to successfully accomplishing this goal is the sheer volume of unprocessed materials – both classified and unclassified – that awaits our attention. This problem is not unique to NARA, but exists at archival institutions around the world. While archival materials continue to grow, the resources and tools devoted to processing these materials have not kept pace due to competing priorities. We are studying the scope of this situation and looking for ways to streamline and speed our processing methods, while at the same time examining more effective ways to apply the resources needed to meet this challenge.

Declassification review is an integral part of the processing NARA must do for the classified records it holds. Federal agencies have a deadline of December 31, 2009, to review and resolve (by declassifying or exempting) their equities in security-classified documents more than 25 years old that have been referred to them by other agencies. We estimate that there are approximately 80 million pages in NARA's holdings that must be acted on by the agencies before the 2009 deadline. Many of these documents must be reviewed by two or more agencies. Our challenge is to make these documents available to the agencies in a systematic fashion to enable them to accomplish their missions, permanently protect valuable Federal records, and prevent unauthorized releases of still sensitive information. We are re-engineering NARA's internal processes to make them as effective as possible against this looming deadline.

Finally, classified records in our Presidential libraries pose a huge challenge for us because they are

**NARA Holdings Summary**  
 FY 2006

	Artifacts (in items)	Traditional Holdings (in cu. ft.)	Electronic Holdings (in LDR*)
Washington, DC, Area Archives	1,488	2,369,575	10,511,709,254
Regional Archives	20	684,569	0
Records Centers	0	25,138,683	0
Presidential Libraries	542,056	232,835	35,308,040
Affiliated Archives	0	12,425	0
<b>TOTAL</b>	<b>543,564</b>	<b>28,438,087</b>	<b>10,547,017,294</b>

\*LDR=Logical Data Records

often extremely sensitive, filled with multiple equities, and highly sought after by Government officials and the public. The Reagan Library holds the next Presidential collection to which the Executive Order must be applied and has textual classified holdings of approximately eight million pages. This represents more classified pages than all of the previous libraries combined. Previously, we implemented the Remote Archives Capture (RAC) Project, a collaborative program with the CIA and other classifying agencies through which classified Presidential materials at field locations are electronically scanned and sent to Washington for review by equity-holding agencies. So far this project has scanned nearly three million pages from the Truman, Eisenhower, Kennedy, Johnson, Nixon, Ford, and Carter Libraries, but the dramatic increase in volume of classified records from the Reagan administration presents significant challenges to our ability to comply with the Executive Order.

**Facilities.** Our 36 facilities are our first line of defense for records preservation. Providing appropriate physical and environmental storage conditions is the most cost-effective means to ensure records preservation. Yet operating costs – rent, guards, and utilities – have skyrocketed in recent years and show no signs of abatement. We face an ongoing challenge to ensure that all of our facilities meet necessary standards for the storage of Federal, and particularly archival, records. We also must ensure that other entities that store Federal records comply with existing facility standards. Our Strategic Plan includes several strategies for meeting our goal to preserve all records in an appropriate environment for use as long as needed. Our ability to meet our storage and preservation challenges will be a key factor in the future course of our agency.

**Security.** We store more than 28 million cubic feet of Federal records and Presidential materials in our nationwide facilities, and we have the vital responsibility to protect these records, the staff who care for them, and the public who visit our facilities to use them. To do this, we must be able to face multiple types of threats and we must plan for emergencies that could leave our facilities vulnerable or require us to provide shelter for staff and the public.

Currently, NARA has a material weakness in collections security. We are responsible for the security of billions of records, and we do not have item-level control over our holdings – nor can we ever expect to. Because these records belong to the American people, however, they cannot simply be locked away in inaccessible vaults. We have three primary challenges in this area:

- We must provide quality services to our customers while instituting reasonable internal controls to prevent theft. We must also maintain documentation to support the recovery of missing holdings and subsequent prosecution of those who would steal records that belong to all Americans. We must provide these services in the face of fewer resources for security.
- We must take every reasonable measure possible to limit access to sensitive records and act quickly to coordinate recovery efforts with appropriate law enforcement as needed.
- We must protect and safeguard our facilities, the staff who work in our facilities, and the people who visit our facilities to mitigate the potential for damage and destruction through both natural and deliberately precipitated acts.

Having an effective security posture requires that we take a big picture, holistic view of all our facilities and holdings. We are making strong gains in the comprehensive plan to address our security weaknesses that we discussed in our Performance and Accountability Report last year.

**Civic Literacy.** Throughout America's history, each generation develops the basic ideas and values of their Government, society, culture, and the way they interpret history. This generational development of civic literacy is an important characteristic of how democracy evolves, shaping our society for the future. NARA plays a unique and important role in this evolution. We safeguard the facts of history. Access to these holdings is the right of all Americans. Yet the volume and value of this information is not always apparent to the public. We see it as an essential mission of this agency to make the public aware of the materials we hold for them and to educate them about how to use these primary sources, a proven tool for advancing civic literacy. Through the power of the Internet, learning experiences through exhibits, programs, and events, as well as an initiative to bring learning materials to the classroom, NARA is working to promote civic literacy. And we are assisted by partners and volunteers who are key to this advocacy.

**Preservation.** As noted earlier, our storage facilities are our first line of defense for preservation of our holdings and are the most cost-effective way to preserve records. However, we face challenges in preservation that storage alone will not solve. Over the last ten years, NARA's electronic holdings have grown 100 times faster than traditional paper records. These records are created in a wide variety of formats—email, databases, audio files, web pages, digital images, satellite imagery—and many more. And they are increasingly complex; for example, e-mails have attachments and web pages are made up of many files and documents embedded in them. Our goal with the Electronic Records Archives is to preserve these records, ensuring their authenticity, and make them available far into the future.

Recent agency-wide assessments of our textual and non-textual holdings indicate a significant backlog of preservation work required to ensure that the records will be available for future generations. At this time, 70 percent of the holdings—more than two million cubic feet of records—need one or more kinds of preservation. The backlog will require many decades to be addressed. We are prioritizing preservation work to address the most urgent needs first and have improved our internal controls so we have better visibility into the problem.

Another preservation challenge we face is that the marketplace is forcing the use of digital technology through the discontinuation of analog materials, supplies, and equipment. More than 16 million items in NARA's holdings are in analog formats, which we reformat periodically to preserve the original records and make copies for access. The transition from analog to digital has already taken place for audio recordings and other tapes using a magnetic signal. Major photographic manufacturers are reducing or eliminating traditional analog product lines for business reasons. Within five years, few, if any, of the photographic and other analog products will be available for reformatting original records. NARA needs to make the transition from analog to digital processes over the next several years. Rather than seeing this as another hurdle, we are viewing this as an opportunity to partner with the private sector in helping us to not only



tackle the reformatting challenge, but to go the next step and make many of these holdings available via the Internet.

*Staff.* The Federal Government is looking to NARA, as the nation's record keeper, to deliver these creative, entrepreneurial solutions. We must respond to this call for leadership if we want to actively deliver value and innovation rather than simply react to the changes taking place around us. To do this, we must ensure that our staff has the skills and competencies needed to provide leadership in records services in the 21st century, and we must ensure that the systems and processes we use to acquire and manage our staff are efficient, streamlined, flexible, and appropriate for today's modern workforce.

Our Strategic Plan commits us to hiring, developing, sustaining, and retaining staff according to the competencies needed to achieve our strategic goals. In addition, the President's Management Agenda and Human Capital Assessment and Accountability Framework instruct agencies to engage in serious consideration of the skills and competencies needed to perform the work of the Government in the 21st century, to align human resources to support mission-critical activities, and to streamline and enhance delivery of essential human resources services by leveraging technology and other process flexibilities.

Our future success as the Government's leader for records services will depend in large part on the staff that we hire today. We must ensure that we have the right people in the right positions at the right time to move the agency forward at this extraordinary time in our history.

Finally, we are committed to working with our Inspector General (IG) to identify and address significant challenges. The Inspector General's Top 10 Management Challenges, which are highlighted in the IG's semiannual reports to Congress and include the audits, investigations, and reviews they have undertaken to identify and address them, are included in the full version of this report at [www.archives.gov/about/plans-reports/performance-accountability/](http://www.archives.gov/about/plans-reports/performance-accountability/).

For more than 20 years, Wesley Shoop has been searching for the remains of his uncle, Machinist Mate William George Jamison, killed in action in the Philippines in 1942. This year, with the help of archivist Barry Zerby of NARA's Modern Military Records Section, Shoop found the captain's log from Jamison's ship. It described how Jamison was hit, how he died, and where he was buried. The diary's discovery has persuaded the Navy to reopen the search for Jamison's remains on the Philippine island of Caballo. "My uncle was killed in action early in the war and has laid by himself on the island," Shoop said. "His family never knew where he was and he was never visited. With a little more effort, we will change that."



*Machinist Mate William George Jamison. (Photo courtesy of Wesley Shoop)*

## Performance Highlights

### *Spotlight on the Electronic Records Archives*

As the nation's record keeper, the National Archives and Records Administration (NARA) safeguards and preserves the records of our Government, ensuring that the people can discover, use, and learn from this documentary heritage. We ensure continuing access to the essential documentation of the rights of American citizens and the actions of their Government.

In the past, NARA primarily dealt with paper records, but over the past 10 years our electronic records holdings have grown 100 times faster than holdings of traditional paper records. In the next three years, an unprecedented volume of historically important



*NARA's current, fully accessioned electronic records are stored on tapes on shelves (above).*

*Below, a grid brick is a disk-based storage and management device made from commercially available components. ERA Research Staff are testing these grid bricks as a component of the ERA Research Prototype Persistent Archives. The VCR-sized grid brick has the capacity to store all of the records stored on the tapes on the shelves above. The grid brick technology won the Internet2 IDEA Award in June 2006.*



electronic records will be ready for transfer to NARA, including an exponential increase in electronic Presidential and Vice Presidential records of the George W. Bush Administration.

Electronic records pose a technological challenge that is historic in scope. NARA must find a way to preserve, find, manage, and use electronic records and make them available far into the future, as this ability is vital for the effective functioning of our democracy and the preservation of our nation's history.

Benefiting from partnerships with world class institutions in both the private and public sectors, NARA has spent a decade conducting research and developing a comprehensive strategy for handling the electronic records of the Federal Government. This investment laid the groundwork for the Electronic Records Archives (ERA)—the backbone of the archives of the future.

ERA is NARA's leading edge project to build a comprehensive and dynamic system that preserves and provides continuing access to authentic electronic records over time, independent of hardware and software. ERA is creating

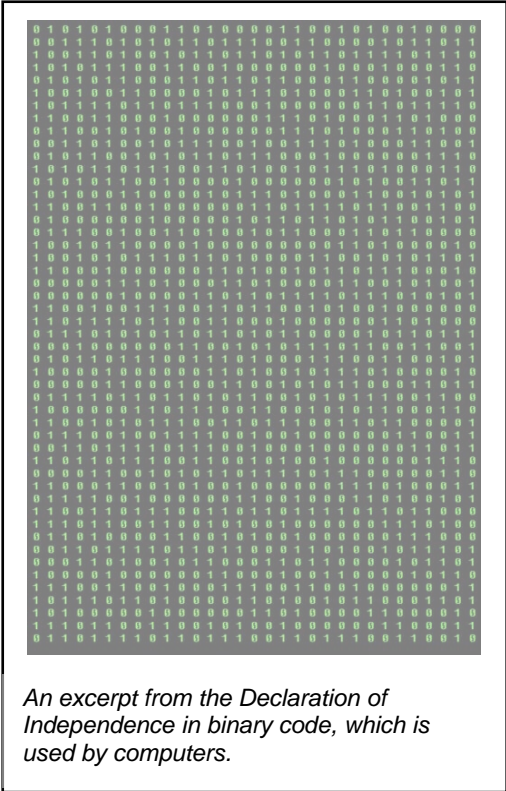
the link that connects the public and Government officials to the nation's vital electronic records, thus ensuring continuing access to this essential information.

NARA has made important progress in the development of ERA in FY 2006. In September 2005, after a year-long design competition, NARA awarded the contract to build ERA to Lockheed Martin, who then began a two-year design phase. The development of the first increment of the ERA system is now well underway, and will be deployed for use by NARA staff and selected Federal agencies in two stages.

Before either of these deployments, Lockheed Martin will deliver to NARA an initial version of the ERA system that will enable NARA to test the hardware and software on which all business processes related to electronic records will run. Early installation and testing of the infrastructure will ensure basic capacity and operability of the system before NARA staff depends on it in their work.

The first operational deployment of ERA will be in September 2007, and will support a number of business processes related to the transfer, ingest, and storage of both electronic and non-electronic records and to the life cycle management of transferred records. In April 2008, the system will be fully functional in regards to these processes.

To prepare for ERA deployment, NARA is currently working with four Federal agencies to test procedures to ensure the smoothest possible transition to ERA. The first four agencies to submit electronic records to NARA through ERA are the National Nuclear Security Agency, the Bureau of Labor Statistics, the U.S. Patent and Trademark Office and the Naval Oceanographic Office. These four agencies were carefully selected based on factors including a demonstrated motivation on the part of the agency to schedule electronic records, a good internal training program, and experience with managing change successfully. The contributions and feedback of these participants will make a significant difference for other agencies as they begin submitting electronic records through ERA in the future.



Other important milestones during FY 2006 included successful preliminary design reviews in November and February and critical design reviews over the summer. The final critical design review of the proposed system was completed in September. During these reviews, NARA staff and stakeholders examined the system design in detail to ensure that it met specific criteria and requirements.

Collaboration with a variety of partners has been key to the advancement of the ERA program since its beginning. In June 2006, NARA and one of our first ERA partners, the San Diego Supercomputer Center (SDSC) signed a landmark Memorandum of Understanding that provides an avenue for preserving valuable digital data collections. This agreement marks the first time NARA has established an affiliated relationship for preserving digital data with an academic institution, and it will enable research and education, support national security and emergency preparedness, and catalyze continuing technology research and innovation.

Just as electronic records have forever changed the way the Government does business, the ERA system will change how NARA cares for Government records and how the public gains access to our holdings. Today we have access to records from decades and centuries ago that tell the stories of our nation and its people. We have these records because actions were taken and decisions made that allowed these pieces of history to be preserved and made available years later. Decades and centuries from now, people will look to ERA and those who created, developed, implemented, and refined it as the fundamental reason the early electronic records of America are safe, authentic, and accessible.

*To find out more . . .*

- About the Electronic Records Archives, visit <http://www.archives.gov/era>.

## Spotlight on Partnerships in Education

### *Redefining Access, Reaching a National Audience*

In FY 2006, the National Archives made progress towards a vision of access that embraces our role in service to the general public. While fulfilling our important function in meeting the needs of government officials, professional researchers and those seeking specific rights under the law, we have also made major advances in addressing the needs of average Americans who look to the National Archives as a resource for education, inspiration, and civic engagement. By partnering with others to increase our public programs and shifting the focus of many of them from local to national, we are bringing our holdings to more people than ever before.



Our efforts began with the 13 museums (12 Presidential libraries across the nation and the National Archives Experience in Washington, DC) that are part of NARA. In FY 2006 these museums hosted more than two million visitors in person and millions more on the worldwide web.

In April, in partnership with the Foundation for the National Archives,

NARA opened the ReSource Room of the Learning Center at the National Archives Building. This space was designed to accomplish two main objectives – to provide educators and parents with methods and materials for using primary sources as teaching tools; and, to provide members of the general public with engaging activities that introduce them to the holdings of the National Archives and encourage further research. The ReSource Room is a materials headquarters where visitors can make copies of facsimiles and exercises, learn more about what the National Archives has to offer, and exchange ideas with others. The second phase of the Learning Center is scheduled to open in the spring of 2007. It will be a Learning Lab geared to middle school students featuring an immersive environment that is linked to pre-visit and post-visit in-class activities related to the U.S. Constitution.

New exhibits, created out of public-private partnerships, like the Air Force One Pavilion at the Reagan Library and the “Eyewitness: American Originals” exhibit in Washington, DC, not only attracted huge crowds to our facilities but also built new awareness through extensive media coverage. Success in these endeavors led us to a new partnership this year with the National Park Service aimed at creating our first permanent exhibit outside of the NARA museums, at the Federal Hall Memorial in New York City.

In addition to these opportunities for informal learning, we continued our outreach to the formal educational community. We helped to develop a cadre of teachers trained to make effective use of primary sources in the classroom. In FY 2006, our much acclaimed “Primarily Teaching” program was expanded from its single venue in Washington, DC, to reach audiences at the Eisenhower Presidential Library and the regional archives in Laguna Niguel. NARA facilities across the country played important roles in facilitating programs and many sites took a more active role in National History Day. Over the course of FY 2006, the Presidential library system prepared its first system-wide teaching tool on the web, the “Presidential Timeline.” Using a single web interface, the Timeline provides guided educational activities that incorporated digitized copies of materials from all the Libraries.

NARA has also used videoconferencing technology to reach more educators and students. In FY 2006, education specialists in Washington, DC, conducted dozens of workshops for hundreds of participants on topics ranging from “Teaching with Documents,” to “The Constitution,” to “Researching the Cold War Using NARA’s Online Resources.”

Finally, NARA made extensive use of its presence in 20 states to fulfill the educational needs of lifelong learners through programs, symposia, and public events rooted in the holdings of the agency. The Archivist of the United States’ new “American Conversation” series brought some of the most thoughtful people about American civic life to our McGowan Theater stage in Washington. Guests included John Hope Franklin, Ken Burns, Lynne Cheney, and Cokie Roberts, among others. The Kennedy Library hosted a symposium on “Vietnam and the Presidency” that for the first time brought together scholars and participants across multiple administrations. The Ford Library organized a program in DC that provided both a thoughtful review of the challenges of Ford’s presidency and a moving tribute to the former president. In every regional archives as well, workshops and public programs made the National Archives truly accessible, not just to those who know what we hold, but also to the myriads for whom we hold the promise of discovery.

By providing opportunities for learning for people of all ages, NARA gives the public the chance to see for themselves the wealth of information available in our holdings. To shape and influence the future, our citizens must understand the past, and we are committed to providing the tools and access to records to foster this understanding.



*In June, NARA’s Northeast Region (New York) hosted a student workshop that turned second graders into genealogy sleuths. Here, two students search NARA records for information about their teacher’s father, who entered the United States through Seattle, served in the Army during World War II, and became a real estate developer in New York. (Photo by Jennifer Elliot.)*

To find out more . . .

- *The Digital Classroom*, the National Archives gateway for resources about primary sources as well as activities and training for educators and students, can be accessed at [www.archives.gov/education/](http://www.archives.gov/education/).
- Explore *Our Documents*, 100 milestone documents of American history, at [www.ourdocuments.gov/](http://www.ourdocuments.gov/).
- For links to education-related pages hosted by the Presidential libraries, visit [www.archives.gov/education/presidential-libraries.html](http://www.archives.gov/education/presidential-libraries.html).
- For links to education resources available in the regional archives, go to [www.archives.gov/education/regional-resources.html](http://www.archives.gov/education/regional-resources.html).
- For information on the Truman Library's White House Decision Center, go to [www.trumanlibrary.org/whdc/](http://www.trumanlibrary.org/whdc/).
- For information on the National History Day event in Philadelphia coordinated by the Mid Atlantic Region, go to [www.archives.gov/midatlantic/education/nhd](http://www.archives.gov/midatlantic/education/nhd).

## Spotlight on First Preservers

When Hurricanes Katrina and Rita struck the states of Louisiana, Texas, and Mississippi in 2005, millions of people lost loved ones, homes, jobs, and possessions. The daunting task of rebuilding their lives was made even more difficult by the fact that many individuals lost their identities as well. Vital records such as birth certificates, property deeds, and personal papers, as well as records that document rights and entitlements such as Social Security and veteran's benefits were all in the paths of the hurricanes.

These kinds of records are crucial to the recovery and rebuilding process for individuals, families, communities, and institutions. Not only had so many people lost their way of life, they could not even prove their own identity.

Also at risk were records that document routine operation of the Federal Government—the actions of regional offices of departments and agencies and Federal Courts in those areas. NARA, working with state and local archives, stepped in to help assess, recover, and preserve vital records. These are some of NARA's accomplishments:

At the Federal Register, editors stopped the presses to publish an important Treasury Department rule authorizing checks for hurricane victims without requiring identification. This action was important because the rule would not go into effect until it was published in the *Federal Register*.



Outside the Orleans Parish Coroner's Office, Hilary Kaplan (left), a NARA conservator, watches as John Smith (right) of NARA's Southwest Region (Fort Worth) adjusts his personal protective gear. The two are preparing to enter and examine areas that were affected by mold. (Photo by Kathy Ludwig)

NARA staff members worked with Federal agencies and our partners in state and local government to begin to identify and recover records.

NARA conservators held training sessions and workshops for Federal and state officials and others dealing with damaged or contaminated documents.

At FEMA's request, NARA conservators assisted in rescuing the records from the offices of officials in Orleans Parish, LA, where flood waters had risen up to seven feet. NARA supervised the transfer of these very wet records to freezer trucks, which were then taken to a facility in New York State. Once they were dry, the records were evaluated and returned to Orleans Parish. Some recovery of information on water-damaged computer hard drives was also possible.

The National Personnel Records Center in St. Louis expedited hurricane-related requests from



veterans and retired civil servants who needed documents from their personnel files so they could re-establish their identities to qualify for government benefits.

A special section on NARA's web site, *Archives.gov*, listed agency contacts and provided links to information on records recovery and preservation for federal agencies and courts, state and local governments, cultural institutions, and the general public.

NARA worked closely with the appropriate Federal authorities to secure representation on teams that evaluate damaged buildings to determine the nature of records damage and the type of assistance needed.

Emergency grants of up to \$25,000 from the National Historical Publications and Records Commission (NHPRC) were authorized for the state archives in Texas, Louisiana, and Mississippi for disaster assessment and response activities.

In today's world, planning for a disaster you hope will never occur is not something that can be put off until tomorrow. Disaster preparedness is now a vital part of any business, and NARA has prepared to do its part as the steward of records that document our rights and entitlements and define us as individuals and as a nation.

*To find out more . . .*

- To read the Archivist's comments on Disaster Preparedness and Recovery, visit <http://www.archives.gov/about/speeches/2006/08-05a-06.html>.
- To read about NARA's role as First Preserver after Hurricane Katrina, visit <http://www.archives.gov/publications/prologue/2006/spring/first-preserver.html>.

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**Using the National Archives and Records Administration**  
**FY 2006**

	Researchers Microfilm	Researchers Other Records	Written Requests	Public Program Attendees	Museum Visitors
<b>Washington, DC, Area</b>	<b>14,312</b>	<b>45,631</b>	<b>35,372</b>	<b>1,834</b>	<b>1,003,730</b>
<b>Office of Regional Records Services</b>					
Northeast Region (Boston)	9,131	1,006	2,840	1,109	—
Northeast Region (Pittsfield)	2,530	—	864	356	—
Northeast Region (New York)	7,656	2,420	5,897	821	—
Mid Atlantic Region (Philadelphia)	6,608	475	1,263	638	—
Southeast Region (Atlanta)	5,177	821	2,295	346	—
Great Lakes Region (Chicago)	2,443	542	3,721	377	—
Great Lakes Region (Dayton)	—	—	—	229	—
Central Plains Region (Kansas City)	2,075	635	3,176	148	—
Southwest Region (Fort Worth)	3,649	906	2,833	1,579	—
Rocky Mountain Region (Denver)	2,843	665	369	353	—
Pacific Region (Laguna Niguel)	3,411	701	1,995	466	—
Pacific Region (San Bruno)	2,941	1,692	2,711	532	—
Pacific Region (Anchorage)	1,410	529	395	16	—
Pacific Alaska Region (Seattle)	3,302	1,020	1,638	732	—
National Personnel Records Center	5	109	1,110,627	—	—
<b>Regional Records Services Total</b>	<b>53,181</b>	<b>11,521</b>	<b>1,140,624</b>	<b>7,702</b>	<b>—</b>
<b>Presidential Libraries</b>					
Hoover	—	495	1,241	26,660	50,077
Roosevelt	—	1,389	2,548	10,306	108,589
Truman	—	1,013	2,601	17,446	135,316
Eisenhower	—	1,343	3,325	9,796	69,248
Kennedy	—	1,227	2,052	25,654	191,986
Johnson	—	1,361	2,635	16,951	210,473
Nixon	—	—	1,833	100	—
Ford	—	1,270	2,388	8,775	58,784
Carter	—	571	853	8,954	62,223
Reagan	—	562	675	20,515	440,301
Bush	—	361	1,156	33,020	140,674
Clinton	—	228	2,946	23,866	302,151
<b>Presidential Libraries Total</b>	<b>—</b>	<b>9,820</b>	<b>24,253</b>	<b>202,043</b>	<b>1,769,822</b>
<i>Archives.gov</i>	—	—	—	—	—
<b>TOTAL</b>	<b>67,493</b>	<b>66,972</b>	<b>1,200,249</b>	<b>388,304</b>	<b>2,773,552</b>

**Personnel on Board\***

All funds as of September 30, 2006	Washington, DC, Area			Field Locations			Nationwide Total		
	Full – Time Perm	Other	Total	Full – Time Perm	Other	Total	Full – Time Perm	Other	Total
Records Services	843	124	967	0	0	0	843	124	967
Regional Records Services	76	7	83	1,008	301	1,309	1,084	308	1,392
Presidential Libraries	130	5	135	284	80	364	414	85	499
Information Security Oversight Office	26	0	26	0	0	0	26	0	26
Federal Register	74	1	75	0	0	0	74	1	75
National Historical Publications and Records Commission	13	0	13	0	0	0	13	0	13
Electronic Records Archives	35	7	42	0	0	0	35	7	42
<b>Total</b>	<b>1,197</b>	<b>144</b>	<b>1,341</b>	<b>1,292</b>	<b>381</b>	<b>1,673</b>	<b>2,489</b>	<b>525</b>	<b>3,014</b>

\* Admin Staff distributed across Program Offices

## **Performance Overview**

We break down our strategic goals into long-range performance targets and set annual targets in our Annual Performance Plan each year. The following chart provides a synopsis of our FY 2006 performance. Details of some of this year's major accomplishments under each strategic goal follow the chart.

### **Snapshot of 2006 Performance**

<b>Strategic Goal 1: Essential Evidence Is Created, Identified, Appropriately Scheduled, and Managed for as Long as Needed.</b>						
1.1: By 2008, 95% of agencies view their records management program as a positive tool for asset and risk management.						
1.2: By 2008, 95% of approved capital asset plans have approved records schedules by the time those systems begin creating records.						
1.3: By 2008, 95% of customers are satisfied with NARA scheduling and appraisal services.						
<b>Performance Indicator</b>	<b>2002 Actual</b>	<b>2003 Actual</b>	<b>2004 Actual</b>	<b>2005 Actual</b>	<b>2006 Target</b>	<b>2006 Actual</b>
Annual percent of targeted assistance partnership agreements delivering the results promised.	100	100	100	100	99	100
Median time for records schedule items completed (in calendar days).	470	155	253	372	180	334
Percent of Federal agencies satisfied with NARA scheduling and appraisal services.	—	—	—	57	63	78
<b>Strategic Goal 2: Electronic Records Are Controlled, Preserved, and Made Accessible for as Long as Needed.</b>						
2.1: By 2008, NARA's Records Center Program accepts and services electronic records.						
2.2: By 2008, 80% of scheduled archival electronic records are accessioned by NARA at the scheduled time.						
2.3: By 2008, 80% of archival electronic records are managed at the appropriate level of service.						
2.4: By 2008, the median time from the transfer of archival electronic records to NARA until they are available for access is 35 days or less.						
2.5: By 2008, the per megabyte cost for managing archival electronic records through the Electronic Records Archives decreases each year.						
<b>Performance Indicator</b>	<b>2002 Actual</b>	<b>2003 Actual</b>	<b>2004 Actual</b>	<b>2005 Actual</b>	<b>2006 Target</b>	<b>2006 Actual</b>
Percent increase in number of archival electronic holdings accessible online.	—	—	51	20	20	13
Median time from the transfer of archival electronic records to NARA until they are available for access (in calendar days).	—	450	736	413	250	259
Percent of NARA's electronic holdings stabilized in preparation for their transfer to the Electronic Records Archives.	98	97	93	99.7	80	96
<b>Strategic Goal 3: Essential Evidence Is Easy to Access Regardless of Where It Is or Where Users Are for as Long as Needed.</b>						
3.1: By 2007, access to records and services and customer satisfaction levels meet or exceed NARA's published standards.						
3.2: By 2007, 70% of NARA services are available online.						
3.3: By 2008, 80% of NARA archival holdings are described in an online catalog.						
3.4: By 2007, Government-wide holdings of 25-year-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts.						
3.5: By 2007, NARA archival holdings of 25-year-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended.						
3.6: By 2007, 10% of records of a two-term President or 15% of records for a one-term President are open and available for research at the end of the five-year post-Presidential period specified in the Presidential Records Act.						
3.7: By 2007, 90% of all National Historical Publications and Records Commission-assisted projects produce results promised in approved grant applications.						

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<b>Performance Indicator</b>	<b>2002 Actual</b>	<b>2003 Actual</b>	<b>2004 Actual</b>	<b>2005 Actual</b>	<b>2006 Target</b>	<b>2006 Actual</b>
Percent of written requests answered within 10 working days.	93	94	95	96	95	97
Percent of Freedom of Information Act requests for Federal records completed within 20 working days.	76	61	65	80	90	87
Percent of requests for military service separation records at the National Personnel Records Center in St. Louis answered within 10 working days.	40	37	75	88	95	91
Percent of items requested in our research rooms furnished within one hour of request or scheduled pull time.	94	96	98	98	95	96
Percent of customers with appointments for whom records are waiting at the appointed time.	99.8	99.9	99.3	99.4	99	99.75
Percent of Federal agency reference requests in Federal records centers that are ready when promised to the customer.	92	94	96	97	95	99.75
Percent of records center shipments to Federal agencies that are the records they requested.	99.99	99.99	99.99	99.99	99	97.61
Percent of archival fixed-fee reproduction orders that are completed in 35 working days or less.	88	99	99.9	97.2	85	96.8
Percent of education programs, workshops, and training courses meeting attendees' expectations.	96	95	99	99	95	99
Percent of NARA services available online.	25	30	40	50	60	52
Percent of traditional holdings in an online catalog.	19	20	33	42	50	51
Percent of artifact holdings in an online catalog.	19	17	40	43	50	57
Percent of electronic holdings in an online catalog.	0.02	0.02	10	31	20	43
Annual number of Presidential pages scanned (in thousands).	332	470	500	563	500	506
Cumulative percent of Clinton Presidential and Vice Presidential traditional holdings processed for opening January 20, 2006.	1	1	2	3	4	3
Percent of NHPRC grant-funded projects that produced results promised in grant applications.	79	86	88	85	88	88
Percent backlog of Official Military Personnel Folders ever treated	—	—	—	—	30	41
<b>Strategic Goal 4: All Records Are Preserved in an Appropriate Environment for Use as Long as Needed</b>						
4.1: By 2009, 100% of NARA's archival holdings are in appropriate space. 4.2: By 2009, 100% of NARA records centers comply with the October 2009 regulatory storage standards. 4.3: By 2007, 50% of NARA's at-risk archival holdings are appropriately treated or housed so as to retard further deterioration.						
<b>Performance Indicator</b>	<b>2002 Actual</b>	<b>2003 Actual</b>	<b>2004 Actual</b>	<b>2005 Actual</b>	<b>2006 Target</b>	<b>2006 Actual</b>
Cost of archival storage space per cubic feet of traditional holdings stored.	—	—	\$6.11	\$6.48	—	\$6.42
Percent of cumulative backlog of NARA's at-risk archival holdings ever treated.	32	35	41	47	33	40
<b>Strategic Goal 5: NARA Strategically Manages and Aligns Staff, Technology, and Processes to Achieve Our Mission.</b>						
5.1: By 2008, the average time a leadership position remains unfilled is 30 days or less. 5.2: By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force. 5.3: By 2007, NARA accepts 100% of the validated legal documents submitted electronically for publication in the <i>Federal Register</i> . 5.4: By 2008, all public network applications are available 99.9% of the time.						

Performance Indicator	2002 Actual	2003 Actual	2004 Actual	2005 Actual	2006 Target	2006 Actual
Average time to fill leadership positions (days).	—	—	—	—	70	43
Percent of staff having performance plans linked to strategic outcomes.	80	93	91	92	95	93
Percent of staff having staff development plans linked to strategic outcomes.	1	91	52	78	95	76
Percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.	78	89	92	95	96	88
Percent of all <i>Federal Register</i> documents managed electronically using eDocs (at year end).	—	—	—	—	75	75
Percent of public network applications availability.	—	—	98.7	98.9	98	98.9

*Goal 1: Improving Records Management*

Providing records management training to Federal employees is essential to NARA’s mission. In FY 2006 we exceeded our goal for training first time attendees in records management classes with 1,484 first time participants. In addition, this year we certified 320 records managers through our certification program, now it its second year. This program identifies the core competencies necessary for Federal records managers and tracks participants’ progress in completing the necessary training.

Wayne Derrickson, 84, fought in Europe in World War II and returned to Indiana knowing he had been awarded the Silver Star but 60 years later had never received it. So his daughter, Janene Dubach, wrote the National Personnel Records Center (NPRC) for help. A 1973 fire destroyed Derrickson’s file, but NPRC was able to certify the award, the nation’s third highest honor for valor, with other documents. The medal arrived in mid-December, so his wife wrapped it up for Christmas morning, and he opened it as he spoke with Janene by phone. “There was silence on the phone,” Dubach recalls, “I was crying, because I heard the shock and excitement in his voice.” NARA gets her thanks: “Thank you so much . . . This was a dream of mine and my daddy’s and you made it happen.”



*Wayne Derrickson opens his Silver Star on Christmas morning. (Photo by David Beckett.)*

We measured the success of our records management leadership through a survey targeting Chief Information Officers at Federal agencies. We asked them how they view the role of their agency records management programs in managing the assets and risks in their agencies. Eighty-one percent of the respondents told us that records management was a positive tool for risk and asset management in their agencies.

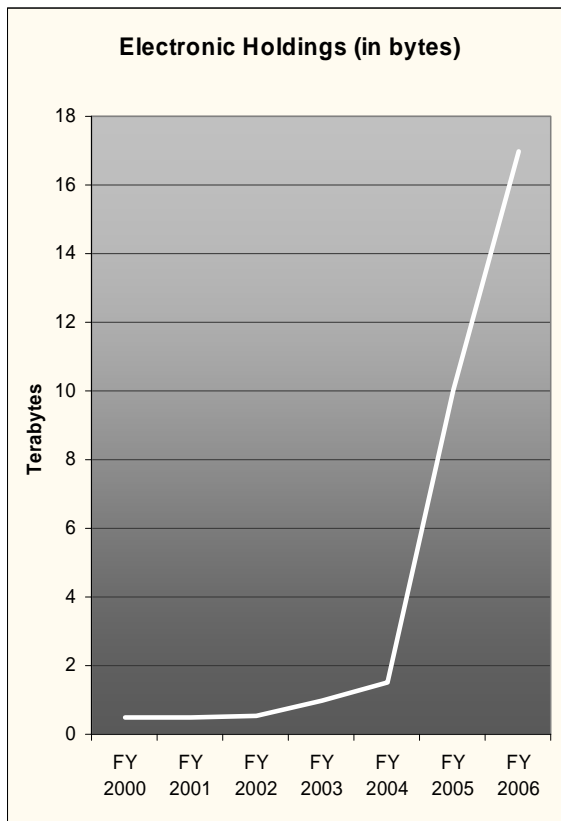
We conducted our second Records Scheduling and Appraisal Services Customer Satisfaction Survey. The survey is a tool to gauge satisfaction in the areas of scheduling and appraisal. The actions we have taken since the first survey in 2003 have led to a 20 percent improvement in overall satisfaction.

We continued to work closely with Federal Agencies and private industry to develop software standards for records management applications. We produced requirements for software that align with OMB's Federal Enterprise Architecture and support NARA's Electronic Records Management Initiative for government software development practices.

We issued NARA Guidance for Implementing Section 207(e) of the E-Government Act of 2002. This bulletin provides an approach to improve the management of electronic records, including web records, as directed by Section 207(e) of the E-Government Act of 2002 [44 U.S.C. 3601]. All electronic records created and received by agencies are subject to the same existing statutory and regulatory records management requirements as records in other formats and on other media.

We also issued several significant guidance products for agencies this year. These included the Records Management Profile of the Federal Enterprise Architecture, the remaining enterprise-wide ERM guidance products for implementing ERM, and the *Toolkit for Managing Electronic Records*. The *Toolkit* is an online resource for Federal agencies to quickly and economically find tools and information on electronic records management topics. The collection is searchable by topic, by occupation, by the organization that created the tool, and within the descriptive text.

We continued to offer *targeted assistance* to Federal agencies nationwide with urgent records management problems. Through targeted assistance partnerships, our records management experts spent time on-site at the offices of other Federal agencies to train



personnel, help plan records inventories, assist in scheduling records for disposal or transfer to NARA, and aid in writing records management plans. Since 1999, we have initiated 379 targeted assistance projects with more than 100 Federal agencies and field offices, and have completed 285 projects.

*Goal 2: Meeting Electronic Records Challenges*

The *Electronic Records Archives (ERA)* is our program to create tools that will capture electronic records and information, regardless of format, save them permanently, and make them accessible on whatever hardware or software is currently in use. This year we completed application-related software specifications for ERA's Ingestion, Dissemination, Preservation, and Records Management functions. We

also designed business processes and business objects that contributed to the completion of the Critical Design Review (CDR) for the first increment of ERA. The CDR process verifies that the design under review satisfies cost, schedule, and performance requirements.

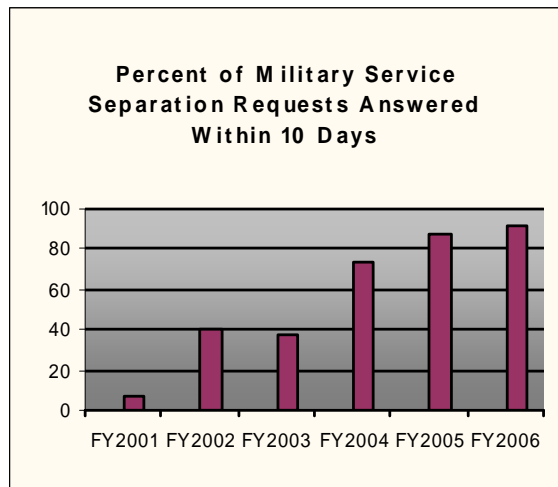
More than 86 million logical data records are now accessible online through our *Access to Archival Databases (AAD)*, one of the early prototypes of a portion of the ERA system.

*Goal 3: Expanding Opportunities for Access*

We completed a major milestone in our effort to add descriptions of our holdings to the Archival Research Catalog (ARC), our online catalog of our nationwide holdings. At the end of the year, more than 1.6 million descriptions of our holdings were in ARC, exceeding our target of 50 percent. We have also described more than 300,000 artifacts and 4.5 billion electronic records.

To continue our improvement of customer service at the National Personnel Records Center in St. Louis, the Case Management and Reporting System (CMRS), now fully deployed, makes a web portal available for the electronic submission of requests from veterans and Federal agencies. We continued to improve our response time in answering requests for military separation records and now answer more than 91 percent of the requests within 10 working days.

We continued to expand our electronic services through our Enhancing NARA's Online Services program, in which we looked for opportunities to make more of our services available electronically for both Federal agencies and the public. We currently make more than 50 percent of our services available to the public online. One indication of the quality and interest in the information we provide is that in FY 2006 nearly 33 million visitors accessed our web sites, a 50 percent increase over last year. To help us continue to improve our web services, we have used information gathered in an online survey on our main public web site, *Archives.gov*. This survey, which uses the American Customer Satisfaction Index, gives us valuable information from our customers and we use the survey results to make improvements our site.



We continued to provide outstanding customer service exceeding our targets in nearly every area. More than 97 percent of the written requests we received from customers were answered within 10 working days, exceeding our goal of 95 percent. Ninety-eight percent of the items our customers requested in our research rooms were furnished within one hour of request or the scheduled pull time. Fully 98 percent of our customers

also rated our educational programs, workshops, and training programs as meeting or exceeding their expectations.

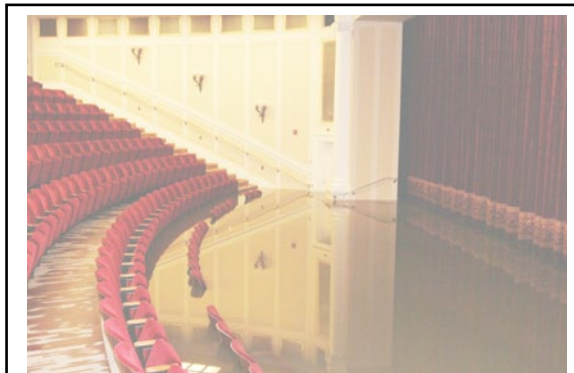
*Goal 4: Meeting Storage and Preservation Needs of Growing Quantities of Records.*

We worked closely with the Richard Nixon Library and Birthplace Foundation and made significant strides in establishing the Richard Nixon Presidential Library and Museum as part of the NARA-operated Presidential Library System. As a result of 2005 legislation supporting the creation of a Federally-operated Nixon Library, the Nixon Foundation has undertaken a project to remodel space within the existing library in Yorba Linda, California, to house Nixon Vice Presidential and Presidential artifacts. Additional space is also being remodeled to provide for a NARA-operated research room, processing rooms, and administrative offices. Concurrently, NARA is nearing completion of the design for an approximately 15,000 square foot addition to the library to house the bulk of the Nixon Presidential Materials currently stored in College Park, Maryland.

The initial phase of the Foundation-sponsored remodeling project was substantially completed in August. At that time, under an interim occupancy agreement, NARA transferred the first holdings in its custody to the Nixon Library facility. These materials included Nixon Vice Presidential and other pre-Presidential artifacts and papers. The move of Nixon Presidential head of state and domestic gifts is expected to begin in November 2006 and continue through the spring of 2007. The second phase of the remodeling project will be completed in November 2006. Following the execution of a joint use agreement, the Archivist will then formally accept the Nixon Library on behalf of the United States for operation by NARA.

Final renovations of the National Archives Building were completed this year, upgrading the building to modern standards and bringing it into compliance with the Americans with Disabilities Act (ADA). The renovation included replacements of mechanical equipment, electronic distribution equipment, new emergency exits, fire alarm and security systems, and upgrades to the public spaces and office areas. It also included the preservation and re-encasement of the Charters of Freedom (the Declaration of Independence, the Bill of Rights, and the Constitution) in a new exhibit in the renovated Rotunda that enables all people to view the Charters with ease and without assistance. To date, more than 2.5 million visitors have viewed the reopened Rotunda and its precious contents.

Water damage had a significant impact on operations in June and July of this year. Flooding and electrical outages in Washington, DC, in June forced the closure of the National Archives Building for nearly four weeks. Fortunately, no records were damaged from water or mildew. Additionally, the Washington



*In June, flooding at the National Archives Building in Washington, DC, submerged the stage and the first two rows of seats. (Photo by Jeffrey Reed)*



National Records Center in Suitland, MD, had an 8-inch water main burst in the stacks, affecting 18,000 Federal Records Center boxes. Employees worked quickly to save these records, placing them into freezer trucks so they could be freeze-dried at our records recovery contractor's facility.

We opened new records storage facilities in Atlanta, GA, and Riverside, CA, and moved records from several substandard facilities. These storage facilities are compliant with our storage standards and will cost-effectively increase the life of all the records they store.

We also extended the life of the most fragile, at-risk records in our possession. We treated, rehoused, or copied more than 39 percent (29,000 cubic feet) of these records, which were in danger of being lost forever. A separate category of records, U.S. Official Military Personnel Folders (OMPF), are also at risk. In a 2003 assessment of OMPF's in St. Louis, we learned that 85 percent of the OMPF's were on a type of paper that deteriorates very quickly. This year we treated an additional 41 percent (7,100 cubic feet) of the most fragile of these files, a collection of military service records which dates back to 1885 and contains service records prior to World War II.

*Goal 5: Strategically Managing our Resources*

We continued to strengthen our information technology (IT) security through several tactics. We provided annual computer security training to our staff and held annual training to users of classified systems. In addition, we completed initial certification and accreditation activities for each classified system. In FY 2006 we upgraded the physical security of NARA's computer servers at our National Archives at College Park building and tightened security procedures across the country.

Jonathan Hirabayashi was flipping through a book about World War II last year when one photograph jumped out at him. Taken by the noted photographer Dorothea Lange, it showed Japanese Americans lined up at a California relocation camp in June 1942, waiting for a meal. Hirabayashi experienced a "flood of emotion" when he recognized the woman in the white coat—his mother. For a copy of the photograph, he contacted Holly Reed of NARA's Still Pictures Branch, who located it. "The wan and forlorn look of my mother in the photograph seems disjointed and out of character for the mother and Grandmother we knew," Hirabayashi wrote later, "So, the photo becomes a lesson for me and my children about overcoming adversity. The photograph is a wonderful link from the past to the present and to the future."



*Johnathan Hirabayashi's mother, in the white coat, is among Japanese Americans lined up for a meal at a California relocation camp in 1942. (Photo by Dorothea Lange, 210-G-3C-632)*

**National Archives and Records Administration**  
**Performance and Accountability Report, FY 2006**

We continued deployment of the Electronic Editing and Publishing System (eDOCS) into our daily *Federal Register* publication production operations in FY 2006. This year we received more than 31,000 documents and, by late in the year, had achieved our goal of managing 75 percent of them electronically via eDOCS. More than 157 million *Federal Register* documents were retrieved online by our customers. We are proud of these efforts that make the workings of government more readily accessible to citizens.

*Linking Our Budget to Our Objectives*

Our long-term objectives are tied directly to our budget. The chart below illustrates, by strategic goal and long-term objective, the resources allocated to each of these goals. (The resources obligated to each of these goals are shown in figure 3 on p. 34.) The chart also links the major budget functions to each of our long-term objectives.

<b>NARA Goals &amp; Long – Term Objectives</b> (\$ and FTE allocated to each Goal)	Records Services	Archives – Related Services	Electronic Records Archives	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
<b>Goal 1: \$17,365,000 and 144 FTE</b>							
1.1. By 2008, 95% of agencies view their records management program as a positive tool for asset and risk management.	✓						
1.2. By 2008, 95% of approved capital asset plans have approved records schedules by the time those systems begin creating records.	✓						
1.3. By 2008, 95% of customers are satisfied with NARA scheduling and appraisal services.	✓						
<b>Goal 2: \$54,542,000 and 102 FTE</b>							
2.1. By 2008, NARA’s Records Center Program accepts and services electronic records.			✓	✓			
2.2. By 2008, 80% of scheduled archival electronic records are accessioned by NARA at the scheduled time.	✓		✓				
2.3. By 2008, 80% of archival electronic records are managed at the appropriate level of service.	✓		✓				
2.4. By 2008, the median time from the transfer or archival electronic records to NARA until they are available for access is 35 days or less.	✓		✓				
2.5. By 2008, the per megabyte cost of managing archival electronic records through the Electronic Records Archives decreases each year.			✓				
<b>Goal 3: \$152,639,000 and 2,280 FTE</b>							
3.1. By 2007, access to records and services and customer satisfaction levels meet or exceed NARA’s published standards.	✓	✓		✓	✓		
3.2. By 2007, 70% of NARA services are available online.	✓			✓			
3.3. By 2008, 80% of NARA archival holdings are described in an online catalog.	✓						
3.4. By 2007, Government-wide holdings of 25-year-old or older records are declassified, properly exempted, appropriately referred, or appropriately delayed under	✓						

**National Archives and Records Administration**  
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NARA Goals & Long – Term Objectives (\$ and FTE allocated to each Goal)	Records Services	Archives – Related Services	Electronic Records Archives	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
the provisions of Executive Order 12958, as amended, through a series of ISCO-led interagency efforts.							
3.5. By 2007, NARA archival holdings of 25-year-old or older records are declassified, properly exempted, appropriately referred, or appropriately delayed under the provisions of Executive Order 12958, as amended.	✓						
3.6. By 2007, 10% of records of a two-term President or 15% of records for a one-term President are open and available for research at the end of the 5-year post-Presidential period specified in the Presidential Records Act.	✓						
3.7. By 2007, 90% of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.		✓				✓	
<b>Goal 4: \$67,798,000 and 185 FTE</b>							
4.1. By 2009, 100% of NARA’s archival holdings are in appropriate space.	✓						✓
4.2. By 2009, 100% of NARA records centers comply with the October 2009 regulatory storage standards.				✓			
4.3. By 2007, 50% of NARA’s at-risk archival holdings are appropriately treated or housed so as to retard further deterioration.	✓						
<b>Goal 5: \$36,895,000 and 129 FTE</b>							
5.1. By 2008, the average time a leadership position remains unfilled is 30 days or less.	✓	✓		✓			
5.2. By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.	✓	✓		✓			
5.3. By 2007, NARA will accept 100% of the validated legal documents submitted electronically for publication in the <i>Federal Register</i> .		✓					
5.4. By 2008, all public network applications are available 99.9% of the time.	✓	✓		✓			

## Financial Highlights

FY 2006 was the third year that NARA prepared consolidated financial statements for submission to OMB and Congress in accordance with the Chief Financial Officers (CFO) Act. The financial statements presented in this report have been prepared from NARA's accounting records in accordance with the generally accepted accounting standards prescribed for Federal entities by the Federal Accounting Standards Advisory Board (FASAB) and presentation standards prescribed by OMB Circular A-136, *Financial Reporting Requirements*.

### Sources of Funds

NARA is funded through appropriated budget authority which includes annual, multi-year and no-year appropriations which are available for use within certain specified statutory limits. Other financing sources include the National Archives Trust Fund, Gift Fund, and Revolving Fund revenues.

NARA's FY 2006 budget authority from appropriation was \$338.1 million. We carried over \$23.3 million in multi-year and no-year funds, and \$.3 million from FY 2005 was made available for obligation in FY 2006. FY 2006 rescissions totaled \$3.4 million. Total appropriated budget authority for FY 2006 was \$358.3 million (see Figure 2).

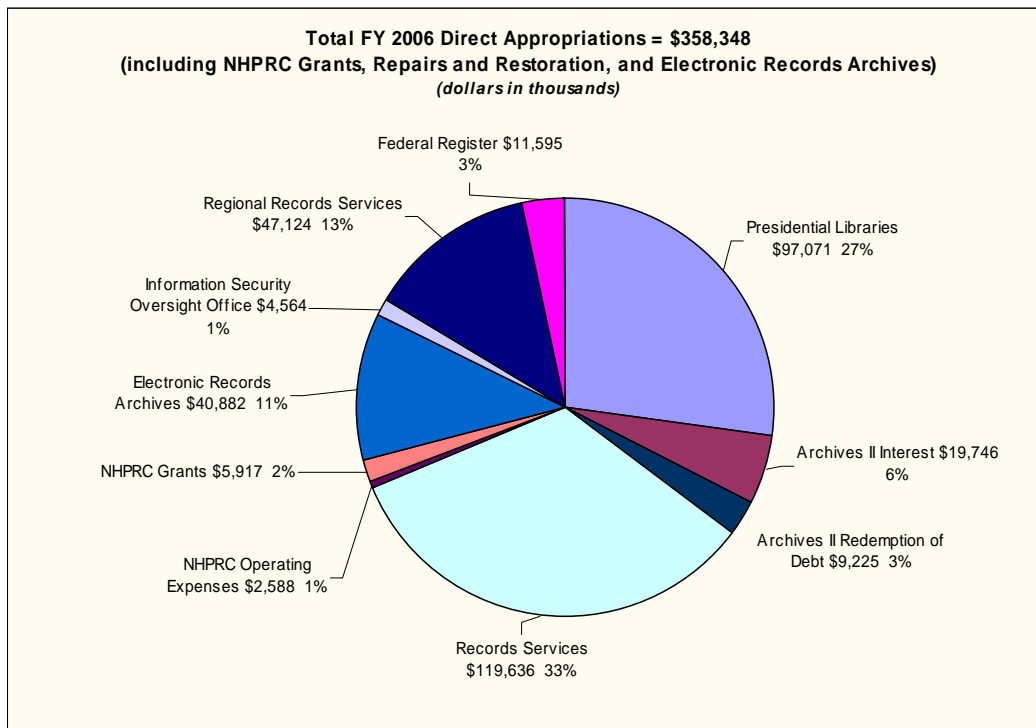


Figure 2. Appropriated Budget Authority, FY 2006.

The major operating appropriation funds basic operations comprising records services, archives-related services, and the National Archives at College Park. Records services provides for selecting, preserving, describing, and making available to the general public, scholars, and Federal agencies the permanently valuable historical records of the Federal Government and the historical materials and Presidential records in Presidential Libraries; for preparing related publications and exhibit programs; and for conducting the appraisal of all Federal records. Archives-related services provides for the publications of the *Federal Register*, the *Code of Federal Regulations*, the *U.S. Statutes at Large*, and Presidential documents, and for a program to improve the quality of regulations and the public's access to them. The \$302 million cost of construction of the National Archives at College Park, which serves as a major archival facility as well as the center for NARA's administrative offices, was financed by Federally-guaranteed debt issued in 1989. Annually, the Archivist seeks appropriations for the payment of interest and redemption of that debt.

In addition to the general operating expenses appropriation, NARA receives others that are more specific. The Electronic Records Archives appropriation funds NARA's effort to ensure the preservation of and access to Government electronic records. The repairs and restoration appropriation funds the repair, alteration, and improvement of archives facilities to provide adequate storage for holdings. The National Historical Publications and Records Commission grants program provides for grants to state, local, and private institutions to preserve and publish records that document American history. Figure 2 demonstrates the allotment of total available appropriated funds.

The National Archives Trust Fund and Presidential Library Trust Funds' budget authority includes revenues generated from the sale of publications, museum shop sales, paper reproductions, audio visual reproductions, library admissions, educational conferences, and interest income. Expenditures are made for the cost of museum shop inventory, personnel, operational and financial systems, equipment, and reproduction supplies. The National Archives Trust Fund and Presidential Library Trust Funds earned revenue of \$16.9 million in FY 2006.

The Gift Fund's budget authority includes donations and interest earned on those gifts and endowments. It was established to administer incoming gifts and bequests for the benefit of, or in connection with, the archival and records activities of the National Archives and Records Administration. Expenditures are made for various programs, including historical research, conferences, archival and cultural events, and publications. In FY 2006, the gift fund received donations of \$0.4 million.

The Revolving Fund's budget authority includes temporary Federal agency records stored in NARA service facilities. It provides storage, transfer, reference, re-file, and disposal services, for a standard fee. The Revolving Fund earned revenue of \$136 million, after intra-entity eliminations, in FY 2006.

### ***Uses of Funds by Function***

NARA incurred new general fund obligations of \$334.8 million in FY 2006. Of this, \$3.6 million is for reimbursable work. The chart on the next page represents obligations by strategic goals.

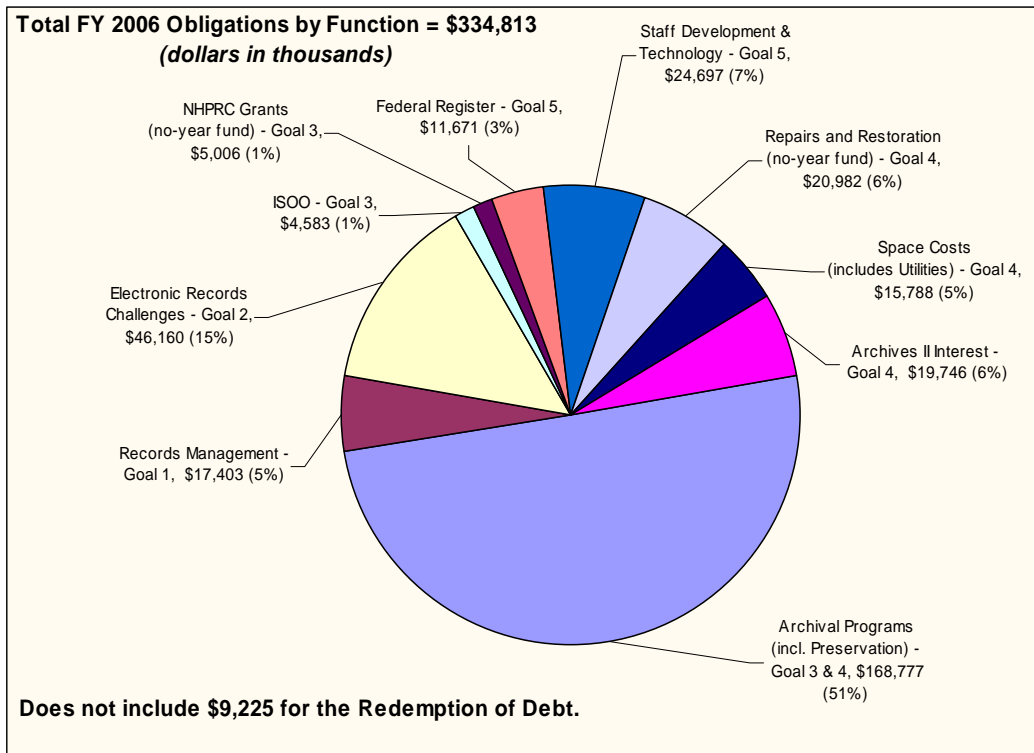


Figure 3. Obligations by Function, FY 2006.

### **Audit Results**

NARA received an unqualified opinion on its FY 2006 financial statements and a qualified opinion on its FY 2005 financial statements. The FY 2005 opinion was qualified for the effects of such adjustments, if any, as might have been necessary had CG been able to perform adequate audit procedures on obligations and outlays related to investments. The auditors identified one material weakness in internal control and two reportable conditions. The auditors disclosed no instances of noncompliance with certain provisions of laws and regulations.

### **Financial Statement Highlights**

NARA's financial statements summarize the financial activity and financial position of the agency. The financial statements, footnotes, supplementary information, and supplementary stewardship information appear in Part III - Financial Section, in the full report. An analysis of the principal statements follows.

### **Analysis of the Balance Sheet**

#### *Assets*

NARA's assets were \$558.2 million as of September 30, 2006, an increase of \$40 million from the end of FY 2005. The assets reported in NARA's balance sheet are summarized in the accompanying table.

<b>Asset Summary (in millions)</b>	<b>FY 2006</b>	<b>FY 2005</b>
Fund balance with Treasury and cash	\$174.7	\$167.3
General property, plant, and equipment, net	339.8	311.8
Investments	28.5	26.7
Accounts receivable, net	13.1	10.0
Inventory	1.1	1.1
Other	1.0	1.0
<b>Total assets</b>	<b>\$558.2</b>	<b>\$517.9</b>

The fund balance with Treasury and cash represents approximately 31.3 percent of total assets. An increase of \$7.4 million from FY 2005 balance was funded by higher appropriation levels for ERA, as well as increased volume of business and resultant collections of fees for services. Property, plant, and equipment constitute 60.9 percent of total assets, with the National Archives Facility at College Park representing the greater part of the balance.

*Liabilities*

NARA's liabilities were \$298.8 million as of September 30, 2006, an increase of \$6.1 million from the end of FY 2005. Most of the increase in liabilities is due to higher levels of expenditures on services contracts (e.g., ERA) with longer invoicing lead times resulting in higher accruals, as well as significant increases in utility costs in the 4<sup>th</sup> quarter of 2006. Net increase in liabilities is offset by a reduction in debt by the amount of its annual debt repayment during the year. The liabilities reported in NARA's balance sheet are summarized in the accompanying table.

<b>Liabilities Summary (in millions)</b>	<b>FY 2006</b>	<b>FY 2005</b>
Debt held by the public	\$226.9	\$236.3
Accounts payable	35.6	23.4
Other	36.3	33.0
<b>Total liabilities</b>	<b>\$298.8</b>	<b>\$292.7</b>

Debt held by the public accounts for approximately 76 percent of total liabilities and represents certificates of participation issued to the public through a trustee to cover the construction costs of the National Archives at College Park. Liabilities totaling \$246.5 million, or 82.5 percent of total liabilities, were unfunded, i.e., budgetary resources were not yet available. For most unfunded liabilities, budgetary resources will be made available in the years balances are due, in accordance with OMB funding guidelines. The major elements of unfunded liabilities are \$226.9 million for debt held by the public, \$10.6 million for workers' compensation, and \$9 million for unfunded annual leave.

*Net Position*

The difference between total assets and total liabilities, net position, was \$259.4 million as of September 30, 2006. The increase of \$34.2 million from FY 2005 year-end balance is due mainly to capitalizing, as work-in-progress, of FY2006 expenditures for software development activity on the ERA project. The net position reported in NARA's balance sheet is summarized in the accompanying table.

<b>Net Position Summary (in millions)</b>	<b>FY 2006</b>	<b>FY 2005</b>
Unexpended appropriations	\$108.9	\$ 117.6
Cumulative results of operations	150.5	107.6
<b>Total net position</b>	<b>\$259.4</b>	<b>\$ 225.2</b>

Unexpended appropriations is the amount of authority granted by Congress that has not been expended. Cumulative results of operations represents net results of operations since NARA's inception, reflecting results of revolving fund operations and funding of capital needs of the agency

*Analysis of the Statement of Net Cost*

The statement of net cost presents the net cost of NARA's six major programs. NARA's net cost of operations for the year ended September 30, 2006, was \$314.9 million. The decrease of \$30.5 million in the net cost of operation is due largely to the increased development costs in the Electronic Records Archives program (ERA), which are moved from operating expenses to capitalized work- in-progress account, offset by increases in cost of utilities and security services, and payroll cost of living increases on the operating expenses program line. Net costs by program are shown in the accompanying table.

<b>Net Cost of Operations (in millions)</b>	<b>FY 2006</b>	<b>FY 2005</b>
Records and archives-related services	\$284.0	\$279.7
Trust and Gift Funds	(2.8)	(.2)
Electronic Records Archives	6.4	35.7
National Historical Publications and Records Commission grants	7.0	7.3
Archives facilities and Presidential libraries repairs and restoration	12.5	11.1
Records center storage and services	7.8	11.8
<b>Net cost of operations</b>	<b>\$314.9</b>	<b>\$345.4</b>

*Analysis of the Statement of Changes in Net Position*

The statement of changes in net position reports the change in net position during the reporting period. Net position is affected by changes in its two components – Cumulative Results of Operations and Unexpended Appropriations. The increase in net position of \$34.2 million from FY 2006 to FY 2005 is comprised of the increase in cumulative results of operations of \$42.9 million and a decrease in unexpended appropriations of \$8.7 million. The overall increase is indicative of the higher expenditures for capital needs of the organization, such as ERA development activity described above.



### ***Analysis of the Statement of Budgetary Resources***

The statement of budgetary resources presents the sources of budgetary resources and their status at the end of the period, as well as demonstrates the relationship of obligations to outlays. For FY 2006, NARA had budgetary resources available of \$583.8 million, an increase of 2.7 percent over \$568.7 million in FY 2005. The majority of the increase resulted from new budget authority.

### ***Analysis of the Statement of Financing***

The statement of financing is designed to reconcile obligation-based (budgetary accounting) information in the statement of budgetary resources and accrual-based (financial accounting) information in the statement of net cost by reporting the differences and explaining them. This reconciliation ensures that the proprietary and budgetary accounts in the financial management system are in balance. The statement of financing takes budgetary obligations of \$519 million and reconciles to the net cost of operations of \$314.9 million by deducting non-budgetary resources, costs not requiring resources, and financing sources to be provided in the future.

### ***Debt Management***

The Bureau of Public Debt (BPD) and the General Services Administration (GSA) assist NARA with the management of employee debts. NARA contracts with GSA for payroll services. Under this cross-servicing agreement, GSA tracks employee debts and pursues delinquent debts from NARA employees through salary offset and administrative wage garnishment. NARA has a cross-servicing agreement with BPD for accounting services. In compliance with the Debt Collection Improvement Act of 1996, BPD actively pursues delinquent non-Federal claims and, upon request by NARA, transmits delinquent claims to the U.S. Department of the Treasury Financial Management Service (FMS) for collection cross-servicing.

### ***Erroneous Payments Management***

NARA does not have any high risk programs, as defined by OMB and the Improper Payments Information Act, or programs and activities that meet the \$10 million and 2.5-percent threshold established by the Office of Management and Budget as a definition of significant erroneous payments

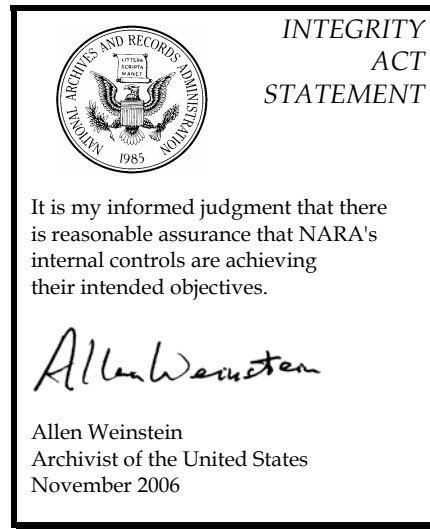
## Systems, Controls, and Legal Compliance

This section provides information about NARA's compliance with the

- Federal Manager's Financial Integrity Act
- Federal Information Security Management Act
- Federal Financial Management Improvement Act
- Prompt Payment Act
- Inspector General Act

### ***Federal Managers' Financial Integrity Act***

The Federal Managers' Financial Integrity Act mandates that agencies establish controls that reasonably ensure that (i) obligations and costs comply with applicable law; (ii) assets are safeguarded against waste, loss, unauthorized use, or misappropriation; and (iii) revenues and expenditures are properly recorded and accounted for. This act encompasses operational, program, and administrative areas, as well as accounting and financial management. It requires the Archivist to provide an assurance statement to the President on the adequacy of internal controls and conformance of financial systems with Government-wide standards.



### ***Internal Controls Program***

NARA's internal controls worked to ensure the attainment of our mission and FY 2006 goals, maintain efficient operations, and reduce fraud and the misuse of taxpayer-provided resources. NARA managers submitted an annual assurance statement, along with a management control plan, to the Archivist of the United States at the end of the fiscal year. These statements were based on various sources and included

- Management knowledge gained from daily operation of programs
- Management reviews
- Program evaluations
- Audits of financial statements
- Reviews of financial systems
- Annual performance plans and periodic performance reporting to the Archivist
- Senior Staff reviews and briefings

- Internal oversight groups for agency programs
- Monthly reporting in NARA's Performance Measurement Reporting System and monthly Strategic Schedule reporting
- Reports and other information provided by the congressional committees of jurisdiction

In addition, audits and reviews performed by the Office of Inspector General (OIG) and the Government Accountability Office reviewed the agency's internal controls and led to improvements in them. Annually, the OIG reviews the state of NARA's internal controls. The Archivist's assurance letter reports on the results of this assessment.

### ***FY 2006 Internal Controls***

NARA evaluated its internal control systems for the fiscal year ending September 30, 2006. This evaluation provided reasonable assurance that the agency's internal controls achieved their intended objectives. Pursuant to Section 2 of the Integrity Act, we identified a material weakness in our collections security program in FY 2001. In FY 2005, we identified a weakness in our preservation program. We have made progress in our actions to remedy the collections security weakness, but still have substantive work to do before we can remove it as a material weakness. Significant work was completed in FY 2006 to improve internal controls for our preservation program. We are downgrading it from a material weakness to a reportable condition and will continue close monitoring of the program through our agency's risk review board. We have also declared a new reportable condition related to Information Technology (IT) documentation and will use the agency's risk review board to monitor improvements to internal controls.

### ***Federal Information Security Management Act***

The Federal Information Security Management Act (FISMA) requires Federal agencies to conduct an annual self-assessment review of their information technology security program, to develop and implement remediation efforts for identified security weaknesses and vulnerabilities, and to report to OMB on the agency's compliance.

Following established FISMA requirements, our review indicated no new significant deficiencies in NARA's FY 2006 FISMA, submitted October 2, 2006, to OMB.

### ***Federal Financial Management Improvement Act***

As an Accountability for Tax Dollars Act (ATDA) agency, NARA is not subject to the requirements of FFMIA, per OMB bulletin #06-03, *Audit Requirements for Federal Financial Statements*.

### ***Prompt Payment Act***

As our financial service provider, the Bureau of the Public Debt processes payments for NARA in accordance with the Prompt Payment Act and submits quarterly prompt pay statistics on our behalf.

***Inspector General Act***

In FY 2006 NARA satisfied 56 percent of audit recommendations opened prior to the start of the Fiscal Year, and 39 percent of audit recommendations opened during the Fiscal year. This shows our commitment to resolving and implementing open audit recommendations presented in OIG reports. Section 5(b) of the Inspector General Act requires agencies to report on final actions taken on OIG audit recommendations. This information is included in the Archivist's transmittal of the OIG semi-annual report to Congress.

## Facilities

**National Archives Building**  
700 Pennsylvania Avenue, NW  
Washington, DC 20408  
202-357-5400

**National Archives at  
College Park**  
8601 Adelphi Road  
College Park, MD 20740  
301-837-2000

**Washington National  
Records Center**  
4205 Suitland Road  
Suitland, MD 20746  
301-778-1600

**NARA-Northeast Region**  
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NARA-Northeast Region  
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**NARA-Central Plains Region**  
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NARA-Central Plains Region  
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NARA-Pacific Region  
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650-238-3500

**NARA-Pacific Alaska Region**  
Steven Edwards,  
*Regional Administrator*

NARA-Pacific Alaska Region  
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**National Archives and Records Administration**  
Performance and Accountability Report, FY 2006

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NARA-Pacific Alaska Region  
(Anchorage)  
654 West Third Avenue  
Anchorage, AK 99501  
907-261-7800

**NARA-National Personnel  
Records Center**  
Ronald Hindman, *Director*

NARA-National Personnel  
Records Center  
(Civilian Personnel Records)  
111 Winnebago Street  
St. Louis, MO 63132  
314-801-9250

NARA-National Personnel  
Records Center  
(Military Personnel Records)  
9700 Page Avenue  
St. Louis, MO 63132  
314-801-0800

**Herbert Hoover Library**  
Timothy G. Walch, *Director*  
210 Parkside Drive  
P.O. Box 488  
West Branch, IA 52358  
319-643-5301

**Franklin D. Roosevelt Library**  
Cynthia Koch, *Director*  
4079 Albany Post Road  
Hyde Park, NY 12538  
845-486-7770

**Harry S. Truman Library**  
Michael Devine, *Director*  
500 West U.S. Highway 24  
Independence, MO 64050  
816-268-8200

**Dwight D. Eisenhower Library**  
Daniel D. Holt, *Director*  
200 Southeast Fourth Street  
Abilene, KS 67410  
785-263-6700

**John Fitzgerald Kennedy  
Library**  
Thomas Putnam,  
*Acting Director*  
Columbia Point  
Boston, MA 02125  
617-514-1600

**Lyndon Baines Johnson  
Library**  
Betty Sue Flowers, *Director*  
2313 Red River Street  
Austin, TX 78705  
512-721-0200

**Nixon Presidential  
Materials Staff**  
John Powers, *Acting Director*  
National Archives at College  
Park  
8601 Adelphi Road  
College Park, MD 20740  
301-837-3290

**Gerald R. Ford Library and  
Museum**  
Elaine K. Didier, *Director*

Gerald R. Ford Library  
1000 Beal Avenue  
Ann Arbor, MI 48109  
734-205-0555

Gerald R. Ford Museum  
303 Pearl Street, NW  
Grand Rapids, MI 49504  
616-254-0400

**Jimmy Carter Library**  
Jay E. Hakes, *Director*  
441 Freedom Parkway  
Atlanta, GA 30307  
404-865-7100

**Ronald Reagan Library**  
Duke Blackwood, *Director*  
40 Presidential Drive  
Simi Valley, CA 93065  
805-577-4000

**George Bush Library**  
Warren Finch, *Director*  
1000 George Bush Drive West  
P.O. Box 10410  
College Station, TX 77845  
979-691-4000

**William J. Clinton Library**  
David E. Alsobrook, *Director*  
1200 President Clinton Avenue  
Little Rock, AR 72201  
501-374-4242

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This report is available on our web site at –

*[www.archives.gov/about/plans-reports/performance-accountability/](http://www.archives.gov/about/plans-reports/performance-accountability/)*

Links are provided to both the full report (Management’s Discussion and Analysis [MD&A], Performance and Financial sections, and Appendixes) as well as the summary report (MD&A). Also located on that page are links to our Strategic Plan, annual performance plans, and past performance reports.

Copies of this report also may be obtained by electronic request via the form at –

*[www.archives.gov/contact/inquire-form.html](http://www.archives.gov/contact/inquire-form.html)*

or by writing to National Archives and Records Administration, Policy and Planning Staff, 8601 Adelphi Road, Room 4100, College Park, MD 20740-6001. Please specify whether you are interested in the summary report or the full report. Also, we welcome your comments on how we can improve this report for FY 2007. Please e-mail any comments to [Vision@nara.gov](mailto:Vision@nara.gov).

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