PART 2
PERFORMANCE SECTION

Measuring and Reporting Our Performance

This annual performance report is based on the goals, strategies, and long-range performance targets in our Strategic Plan and the specific objectives in our FY 2004 Annual Performance Plan. The following pages detail our performance on all our FY 2004 objectives. Checked boxes indicate those we fully achieved. Those we did not fully achieve have open boxes with an explanation below. We also included all relevant performance results and trend information. Our budget is linked to the report's performance goals. We received no aid from non-Federal parties in preparing this report.

We continued using four mechanisms to measure actual performance: (1) periodic management reviews, (2) formal audits of operations, (3) expansion and refinement of our performance measurement system, and (4) systematic sampling of measurement system effectiveness. In FY 1999 we deployed our agency-wide Performance Measurement and Reporting System (PMRS). This system allows us to define and consistently measure data critical to the analysis of our performance objectives. Every year we improve and expand the system further so that our strategic performance is measured using more of a balanced scorecard approach for tracking cycle times, quality, productivity, cost, and customer satisfaction for our products and services. This report updates some of our FY 2003 statistics that were corrected as a result of these improvements. These ongoing refinements indicate that this annual report, our annual plans, and our Strategic Plan are living documents and are an integral part of our operations.

In our continuous effort to improve our performance measurement program, we have recently completed a two-year project to upgrade PMRS. We are taking advantage of web infrastructure to collect our performance data from the more than 70 organizational units that send data to PMRS from all over the country. We also are using newer, more robust, enterprise-level databases to store the data and extract reports, instead of the high-maintenance desktop databases previously used for data collection. This upgrade enables us to collect our performance data more consistently and more efficiently and allows us to store much more data for use in analyzing trends.

We have also begun implementation of a program management system (PROMT) to help us control cost and schedule on the Electronic Records Archives (ERA) program. PROMT integrates several commercial off-the-shelf program management tools in a Windows-based web environment to help us schedule and link project activities, assign resources, collect and report costs, calculate earned value, and analyze impacts and risks to the ERA program. PROMT incorporates an EIA-748 compliant tool that meets Office of Management and Budget (OMB) and Government Accountability Office (GAO) requirements for calculating earned value. We plan to expand the use of PROMT throughout NARA to help us improve our capabilities for managing and tracking performance on other projects.

FY 2004 Performance by Strategic Goal

Strategic Goal 1: Records Management

Essential evidence is created, identified, appropriately scheduled, and managed for as long as needed.

Long-Range Performance Targets

1.1. By 2008, 95 percent of agencies view their records management program as a positive tool for asset and risk management.

1.2. By 2008, 95 percent of approved capital asset plans have approved records schedules by the time those systems begin creating records.

1.3. By 2008, 95 percent of customers are satisfied with NARA scheduling and appraisal services.

FY 2004 Resources Available to Meet This Goal: $17,242,000; 140 FTE

1.1 RECORDS MANAGEMENT REDESIGN

FY 2004 Objectives

☑ Deliver the results promised on 95 percent of targeted assistance partnership projects.

☑ Redesign NARA's records management training program and establish a distance-learning component.

☑ Establish certification program for records management professionals.

Results

✓ We delivered the results promised on 100 percent of targeted assistance partnership projects.

"The presentation on flexible scheduling made us realize we have made major accomplishments, and we're energized for the next phase."

✓ We redesigned our records management training program, including a distance-learning component.

"Your help enabled us to file our electronic records under the same scheme as our paper records!"

✓ We created a records management certification program.

✓ We increased the number of partnership projects established with Federal agencies from 348 to 361.

"The class gave me good ideas to incorporate into our records management program."

✓ We trained 2,997 Federal agency staff in records management and electronic records management.

✔ We developed criteria and internal procedures
for conducting records management studies.

Discussion   Targeted assistance projects are established between NARA and Federal
agencies to solve specific records management problems. We established 13 new projects
with Federal agencies this year. Since the program began in 1999, we have established
361 projects, completed 266 projects, and assisted 103 Federal agencies and field offices.
In FY 2004, we established about a quarter of the number of projects we started in FY
2003. With more than 100 projects in progress, and the need to use the records
management expertise of some of our targeted assistance specialists for the development
and implementation of new records management initiatives, we opted to not start as
many projects as in past years. This will continue to fluctuate as requirements demand.

An example of the kind of work addressed in a targeted assistance project is our
partnership with the United States Department of the Interior, Office of the Special
Trustee for American Indians, to assist the office in records management training and
development of records schedules covering the fiduciary trust records of the Bureau of
Indian Affairs (BIA). Against the backdrop of the *Cobell, et al.* v. *Norton, et al.,* Indian trust
litigation pending in the U.S. District Court for the District of Columbia, and according to
court-ordered deadlines, NARA appraised and approved the permanent retention of 202
textual series of records and 34 electronic data files. These records will be retained as
historically valuable records at NARA's Federal Records Center in Lenexa, KS, referred
to as the American Indian Records Repository, thereby ensuring the secure storage of
trust-related records that document the rights of the American Indian and the accounta-
bility of the Government.

We provided records management training to 2,997 Federal agency staff across the
country this year, a 14-percent decrease from last year. The number we train each year
fluctuates, depending on availability of staff to perform training. Ten percent of Federal
agency staff enrolled in NARA records management training took their first NARA
training course.

We created a NARA-wide records management training team, which has redesigned the
content and format of NARA's training program for agency records professionals, using
adult education concepts and proposed alternative delivery approaches in addition to
traditional classroom settings. We delivered two training seminars ("webinars") to
Federal records managers across the country using the Internet for the visual part of the
training and the telephone for the audio part. Feedback from participants was very
positive. An Environmental Protection Agency participant said, "I cannot always get out
to meetings. The feature of not having to leave the office but being able to attend is
great!" The redesigned training program, using webinars and other innovative delivery
methods, will help agency records professionals better support the business needs of the
agencies they serve, highlighting the importance of managing agency records as infor-
mation assets and incorporating the principles of asset and risk management. We also
established a Records Management Training Officer position to bring in the latest in
adult education techniques. NARA's training program will addresses new trends in
records management and the ongoing revolution in information technology so that
agency records professionals can play an important role in process design, IT capital
planning, and information and knowledge management in their agencies.

Performance Data	1999	2000	2001	2002	2003	2004
Performance target for annual percent of targeted assistance partnership projects delivering the results promised	–	–	*75*	*85*	*90*	*95*
Annual percent of targeted assistance partnership projects delivering the results promised	100	100	100	100	100	100
Annual number of targeted assistance partnership projects initiated	33	123	63	77	58	13
Annual number of targeted assistance partnership projects completed	2	37	58	76	67	26
Annual number of successful targeted assistance partnership projects completed	2	37	58	76	67	26
Cumulative number of targeted assistance partnership projects initiated with Federal agencies	33	156	213	290	348	361
Cumulative number of targeted assistance partnership projects completed with Federal agencies	2	39	97	173	240	266
Number of Federal agency staff receiving NARA training in records management and electronic records management	2,997	3,506	2,506	3,746	3,392	2,997
Number of records management training participants who are taking a NARA records management course for the first time	–	–	–	–	–	297

FY 2005 Performance Plan Evaluation   As we continue to make targeted assistance the basis of the way we help Federal agencies with records management, we expect to see significant improvements in the way Federal agencies manage their records. Based on recommendations made by NARA's Inspector General, we have taken steps to tighten the success criteria for these projects and are getting agency feedback in judging success. In 2005 we will develop a measurement methodology for the outcomes of targeted assistance to Federal agencies.

NARA's *Strategic Directions for Federal Records Management* established the strategies we are using to improve records management across the Government and achieve Goal 1. In FY 2003 and FY 2004, we began to implement these strategies through a unified NARA program to support Federal records management. In FY 2005 and beyond, the NARA records management program will make more effective use of our resources through improved and expanded communications with stakeholders, records management guidance and training, and assistance to Federal agencies. We are working to find ways to minimize routine records scheduling activities and to develop planning and evaluation tools and automated tools to support records management. We are exploring ways to provide agencies with modern records center services and to preserve permanent records, focusing on electronic records. We will also use our authority to inspect agency records and records management programs, to conduct studies, and to report to Congress on Federal recordkeeping. A status of the initiatives we are undertaking is

provided in the full report available at
www.archives.gov/about_us/reports/annual_report.html.

With new online training and a professional certification program launched in FY 2005, we expect to see an increase in the number of Federal agency staff taking NARA records management courses, especially staff taking training for the first time. The Certification of Completion of Training in Federal Records Management is on track to go live at the beginning of FY 2005. We plan to use the Office of Personnel Management's (OPM) GoLearn site for hosting our online certification in support of the e-Training e-Government initiative. We expect the first students to complete all five required records management training courses and the certification process in late FY 2005.

1.2 SCHEDULES FOR CAPITAL ASSET PLANS

FY 2004 Objectives	☐	In coordination with OMB, develop a requirement for agencies to report on records management requirements in their FY 2006 capital asset plans.
	☑	Develop transfer guidance for three additional electronic records formats.
Results	✔	We developed language for the FY 2006 Exhibit 300 guidance, which was not incorporated at this time.
	✔	We issued transfer guidance for three electronic records formats—digital photography, geographical information systems, and web content records.
	✔	We piloted a records management application in two NARA units.

Discussion   We continue to support the President's e-Government initiatives through the Electronic Records Management Initiative, which is providing practical recordkeeping guidance and tools to Federal agencies for managing electronic records. NARA is partnering on this initiative with the Department of Defense, the Environmental Protection Agency, and other agencies. This year we added digital photographic records, digital geospatial data records, and web content records to the formats accepted by NARA. This year's work completes the list of formats (six in all) for which NARA is creating specific transfer guidance.

In consultation with OMB, we determined that using the Capital Asset Plan (Exhibit 300) was not a viable mechanism for ensuring that records management requirements are identified and addressed early in the lifecycle of all agency systems. Under the auspices of the Interagency Committee on Government Information (ICGI) and through the Electronic Records Policy Working Group (ERPWG), an interagency group chaired by NARA, we identified other potential avenues for institutionalizing agency incorporation of records management requirements into IT system planning, including incorporating

certain requirements in the Federal Acquisitions Regulations (FAR) and developing electronic records management (ERM) toolkit guidance. In addition, OMB mandated that the Electronic Records Management Initiative establish memoranda of understanding with 26 Federal agencies to ensure that agencies incorporate guidance produced by the initiative into their records management business processes. One of the guidance products, "Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications," recommends that agencies involve their records staff in reviewing CPIC proposals for ERM functionality. While this does not directly affect early records scheduling, it does promote involving records staff early in the records management business process.

FY 2005 Performance Plan Evaluation   The ERM Initiative will continue to promote the transition to Government-wide electronic records management with additional guidance products. We will work with the Department of Defense to extend the DoD 5015.2-STD to include transfer to NARA and interoperability specifications. Future transitional products will be developed under the auspices of ICGI and its ERPWG.

1.3 SCHEDULING AND APPRAISAL SERVICES

FY 2004 Objectives	☐	Process records schedule items within a median time of 220 calendar days or less.
	☑	Develop detailed workflows for scheduling and appraisal, processing of Federal electronic records, transfer of records to Federal records centers, and carrying out disposition of records by Federal records centers.
	☑	Develop concept of operations for automated workflow and collaboration tools to support the redesigned scheduling and appraisal process.
	☑	Survey Federal agencies to determine baseline satisfaction with NARA scheduling and appraisal services.
Results	✔	We processed records schedule items within a median time of 253 calendar days.
	✔	We completed process models for scheduling and appraisal, processing of Federal electronic records, transfer of records to Federal records centers, and carrying out disposition of records.
	✔	We collected and analyzed internal and external stakeholder requirements for automated workflow and collaboration tools to support the redesigned scheduling and appraisal process.

✔ We surveyed Federal agencies to determine their satisfaction with NARA scheduling and appraisal services. Survey data is being analyzed.

Discussion   We continue working steadily on processing records schedules. Because this measure is affected by the age and item count of specific records schedules, performance tends to fluctuate and is not necessarily predictive of the effort involved in completing records schedules. To some degree, work on other important records management initiatives getting under way this year, such as the new records management training curriculum and national records management projects, has used resources that would have been used for processing records schedules. This demand on current resources will likely continue until some of these initiatives are self-sustaining.

In FY 2003 we undertook a business process reengineering effort for the records scheduling, appraisal, and accessioning process, and developed a high-level improved, future model of all records lifecycle business processes at NARA. Many of these processes will be built into the Electronic Records Archives being designed in FY 2005. In FY 2004, we completed modeling NARA's current processes for scheduling and appraisal, processing electronic Federal records, transferring records to Federal records centers, and carrying out disposition of records by Federal records centers. In addition, we developed and approved the long-term redesigned processes for these four processes. We also analyzed stakeholder needs for automated workflow and collaboration tools to support the redesigned scheduling and appraisal process. This analysis will inform the prototyping of these tools by the ERA contractors.

We launched a survey of Federal agencies to determine their baseline level of satisfaction with NARA's scheduling and appraisal services. The goal of this survey is to demonstrate improvement in customer satisfaction with NARA's redesigned scheduling and appraisal services over the long term.

Performance Data	1999	2000	2001	2002	2003	2004
Performance target for median time for records schedule items completed (in calendar days)	–	–	*260*	*240*	*225*	*220*
Median time for records schedule items completed (in calendar days)	337	283	237	470	155	253
Average age of schedule items at completion (in calendar days)	502	461	410	532	274	332
Number of schedule items completed	3,262	5,664	4,728	9,374	4,686	3,182
Number of records schedule items completed within 120 calendar days of submission to NARA	469	1,229	659	2,163	1,638	541
Percent of records schedule items completed within 120 calendar days of submission to NARA	14	22	14	21	34	16
Percent of Federal agencies that are satisfied with NARA scheduling and appraisal services	—	—	—	—	—	57

FY 2005 Performance Plan Evaluation   We have set our FY 2005 target for closing out records schedules at a median time of 200 calendar days or less. This target reflects that only gradual change is possible now. However, with the implementation of new processes that we are addressing through the Lifecycle Business Process Reengineering and the deployment of the Electronic Records Archives, major improvements will be possible in the future.

Strategic Goal 2: Electronic Records

Electronic records are controlled, preserved, and made accessible as long as needed.

Long-Range Performance Targets	2.1. By 2008, NARA's Records Center Program accepts and services electronic records.
	2.2. By 2008, 80 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.
	2.3. By 2008, 80 percent 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 of managing archival electronic records through the Electronic Records Archives decreases each year.

FY 2004 Resources Available to Meet This Goal: $52,852,000; 83 FTE

2.1 SERVICING ELECTRONIC RECORDS IN NARA RECORDS CENTERS

FY 2004 Objectives	☑	Establish and test a pilot for remote servicing capability for electronic Official Military Personnel Files for Army.
	☐	Establish pilot programs at selected records centers to store backup and inactive copies of agency electronic media.
Results	✔	We developed and tested an interface between NARA's Case Management Reporting System and the Defense Personnel Reporting and Information System.
	✔	We identified two sites to pilot electronic records media storage in NARA Federal Records Centers.

Discussion   Since 1999, NARA's Records Center Program (RCP) has been fully reimbursable, which allows us to be more flexible in responding to agency records needs and requires us to meet those needs in a cost-effective and efficient way. Our ability to provide our records center customers with responsive services for electronic records is

closely tied to our Electronic Records Archives program. Until ERA is ready and can provide online servicing, we will test the delivery of new offline services for electronic records, and we have developed a five-year action plan to pilot new services.

In FY 2004, we built an interface between NARA's Case Management Reporting System (CMRS) and the Army's Defense Personnel Reporting and Information System (DPRIS), to enable National Personnel Records Center technicians to access electronic Official Military Personnel Files (OMPFs) of the Department of the Army. This capability will ensure that not only are we better able to respond to our customers, but the Army will be able to ensure the survival of its electronic records and will no longer need to output its electronic records to textual or microform media. We are working with the Department of the Army to determine when and how NARA will be able to access the electronic OMPFs.

We also identified two pilot sites to establish a basic capability within NARA's RCP system for receiving and storing physical media for temporary electronic records. An additional pilot site will demonstrate basic scanning and conversion services. The main challenge is to keep pace with the competition by bringing high-quality services to market in a short timeframe.

FY 2005 Performance Plan Evaluation   We will develop a business model for the RCP for electronic records services. The knowledge and experience from our pilots will be used to refine our services and prices for next year.

2.2 ACCESSIONING ELECTRONIC RECORDS

FY 2004 Objectives	☑	Survey Federal agencies to identify electronic systems that generate electronic records, and develop priorities for scheduling these records.
Results	✔	We identified 7,200 electronic systems that generate electronic records that have not yet been scheduled.

Discussion   Through Federal agency surveys, NARA identified electronic systems in Federal agencies that are generating electronic records but have not yet been scheduled. We identified 7,200 systems this year.

To assist us in setting priorities for helping Federal agencies deal with electronic records management, we developed criteria, procedures, and a handbook for identifying the functional areas within the Government that contain the greatest records management resources. The criteria used focus our attention on electronic records that are at greatest risk of not being managed effectively, electronic records that document citizens' rights and Government accountability, and electronic records of archival value. We are using these criteria for efficiently allocating our resources.

We accepted the first electronic records transferred under one of the new transfer formats—100 logical data records in PDF from the U.S. Census Bureau. Our accessioning backlog, which are archival records for which we have taken legal custody from Federal agencies but have not yet begun processing, increased considerably throughout the year from about 100 million logical data records at midyear to more than 500 million logical

data records by year's end. This amount is understated because our upgraded Accession Management Information System has not yet counted everything in our backlog. But looking at just what was transferred to NARA this year, the growth in electronic records in our custody jumped more than 500 percent since last year.

Performance Data	2001	2002	2003	2004
Number of electronic records accessioned in one of the new transfer formats (in logical data records)	–	–	–	100
Size of accessioning backlog (in millions of logical data records)	–	–	–	529
Number of electronic records transferred (in thousands of files)*	2.1	7.8	68.3	432.9

* Numbers for 2001–2004 represent the number of files transferred to NARA. The number of electronic records transferred, in logical data records, which is the preferred unit of measure, was not available until the Accession Management Information System upgrade was completed in 2004. We will continue to show the number of files for several years so that trends can be observed.

FY 2005 Performance Plan Evaluation   We will continue to survey agencies to identify unscheduled electronic systems and, using our resource allocation model, will work with agencies to get those systems under approved records schedules. We do not anticipate that we will be able to address our significantly increasing backlog of archival electronic records in a meaningful way until ERA is available. Until then, we will make workflow improvements and minor enhancements to our system capabilities in an attempt to keep up.

2.3 MANAGING ELECTRONIC RECORDS

FY 2004 Objectives   ☑   Conduct online survey of customer satisfaction with online access to electronic records through Access to Archival Databases system.

☑   Increase archival electronic holdings that are accessible online by 50 percent.

Results   ✔   We evaluated the results of an online survey of customer satisfaction with the Access to Archival Databases system.

"I found my namesake's records! Thank you!"

"Great site! With little difficulty, I found my father's WWII POW records. Thanks!"   ✔   We increased our archival electronic holdings that are accessible online by 51 percent.

Discussion   We conducted an online survey of customer satisfaction with the Access to Archival Databases (AAD) system on *archives.gov,* which we launched last year. The survey used the American Customer Satisfaction Index for customer surveys of Government online services, which helped us compare our results with those of other Government web sites. The results of our most recent survey sample show that while our online visitors give high marks to our content (79, eight points above the index bench-

mark), our navigation could still be improved (64). In addition, we contracted with two independent experts to perform laboratory-based usability testing and provide an assessment of the extent to which AAD met industry standards for a user-friendly web site. All of these sources pointed to the same conclusion—we need to make significant revisions in the AAD user interface. We contracted with a web designer to help us implement many of the recommendations that came out of the reports.

Performance Data	2002	2003	2004
Performance target for percent increase in number of archival electronic holdings accessible online	–	–	*50*
Percent increase in number of archival electronic holdings accessible online	–	–	51
Number of archival electronic holdings accessible online (cumulative logical data records in millions)	0	47	71
Number of archival electronic holdings (cumulative logical data records in millions)	3,713.9	4,742.9	5,629.1
Percent of electronic records available online	0	1	1.4
Number of online visits to AAD (in thousands of visits)	–	489	551

FY 2005 Performance Plan Evaluation   We will continue to survey AAD visitors as we make improvements to our site. We expect to launch the revised AAD user interface in FY 2005.

2.4 PROCESSING ELECTRONIC RECORDS

FY 2004 Objectives   ☐   Process transfers of archival electronic records within a median time of 250 calendar days or less.

Results   ✔   We processed archival electronic records transfers within a median time of 736 calendar days.

          ✔   We installed a major upgrade to our Accession Management Information System.

Discussion   We significantly underestimated the amount of time it takes to process transfers of archival electronic records when setting the target for this new performance metric. This occurred in part because we set our target prior to fully defining the scope of the metric. We expect to see the processing time improve in the near term with the deployment in FY 2004 of an upgraded Accession Management Information System, which supports the overall accessioning process. In addition, we added electronic tape autoloaders and modified software to increase the capacity and speed of initial preservation (i.e., making an exact copy onto archivally acceptable media) of records through our existing Archival Preservation System. We also integrated digital linear tapes into the archival tape copying process by purchasing software that analyzes and certifies new digital linear tapes as free of errors and defects. While we are extending and expanding our existing systems in an attempt to keep up with the growth in the volume of electronic records we are receiving, significant improvements will not be realized until deployment of ERA.

Performance Data	2001	2002	2003	2004
Performance target for median time to make archival electronic accessions available for access (in calendar days)	–	–	–	*250*
Median time (in calendar days) for processing electronic records accessions from the time of transfer to NARA	–	–	450	736
Number of electronic records transferred (in thousands of files)*	2.1	6.8	68.3	432.9
Number of electronic records transferred (in millions of logical data records)*	–	–	–	519
Cost per electronic record transferred	–	–	–	$0.01

* Figures represent the number of files transferred to NARA. The number of electronic records transferred, in logical data records, which is the preferred unit of measure, was not available until the Accession Management Information System upgrade was completed in 2004. We will continue to show the number of files for several years so that trends can be observed.

FY 2005 Performance Plan Evaluation   We will study our existing processing capabilities and capacities, particularly with regard to copying and verifying larger volumes of diversely formatted records. Despite these steps, we expect that our ability to keep up with the volume of archival electronic records transferred to NARA in the near future will be overwhelmed.

2.5 COST OF ELECTRONIC RECORDS PRESERVATION

FY 2004 Objectives   ☑   Award contract for design of the ERA system.

Results   ✔   We awarded contracts for a competitive system analysis and design of the ERA system to two companies.

  ✔   We deployed PROMT, an earned value management system, for ERA performance measurement.

Discussion   Through the Electronic Records Archives (ERA), we are creating a digital National Archives that will make permanently valuable Government records available to anyone, at any time, and in any place, for as long as needed. A major achievement in FY 2004, we awarded design contracts to two companies on August 3, beginning a one-year design competition to determine who will build ERA.

GAO Report, *Records Management: Planning for the Electronic Records Archives Has Improved* (GAO-04-927), September 2004, notes the progress we have made toward addressing pro-gram management recommendations that will ensure that we are effectively managing the ERA program. Some of that progress is shown in the beginning implementation of a program management tool, PROMT, which will enable us to perform program control activities, including earned value management. The EIA-748 compliant tool meets OMB and GAO standards for earned value management. We began procurement for independent verification and validation services to provide independent oversight of ERA development efforts.

We continued our collaborative research efforts into issues related to the lifecycle management of electronic records that are beyond state-of-the-art information technology or state-of-the-science computer, information, or archival sciences. Research and exploratory development activities are well aligned with the work of the Interagency Working Group on Information Technology's Research and Development program, which is a "high Administration priority" as outlined in a recent memorandum to agencies, and the President's Management Council's vision of Government-wide electronic records management in support of e-Government. We continued to rely to a large extent on established R&D management capabilities in partner agencies.

Overall, the number of logical data records in NARA custody increased by 15 percent over last year, an increase of nearly 900 million logical data records, and a 140-percent increase in three years. It is important to recognize that all our performance today represents is the ability to take custody and copy these electronic records for preservation. The ability to preserve these records in a persistent format over time and to make these records readily accessible to the public is being addressed within the scope of the ERA program.

Performance Data	2001	2002	2003	2004
Performance target of percent of NARA's electronic holdings stabilized in preparation for their transfer to the Electronic Records Archives	*40*	*60*	*65*	*99*
Percent of NARA's electronic holdings are stabilized in preparation for their transfer to the Electronic Records Archives	97	98	97	93
Number of logical data records in NARA's custody (in millions)	2,345	3,714	4,725	5,629
Number of logical data records stabilized (in millions)	2,272	3,642	4,594	5,252
Percent of Presidential logical data records managed and stabilized	99	49	49	62
Number of Presidential logical data records (in millions)	2.2	35.3	35.3	35.3
Number of Presidential logical data records stabilized (in millions)	2.2	17.3	17.3	22.1
Per megabyte cost for stabilizing archival electronic records	—	—	$4.50	$4.77

FY 2005 Performance Plan Evaluation   Our challenge in FY 2005 is to effectively manage the performance of two contractors so that they meet their cost, schedule, and technical objectives. We expect to select one contractor to develop the ERA system by the end of the year.

Strategic Goal 3: Access

Essential evidence is easy to access regardless of where it is or where users are for as long as needed.

Long-Range Performance Targets

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 percent of NARA services are available online.

3.3. By 2008, 80 percent 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 percent of records of a two-term President or 15 percent 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 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.

FY 2004 Resources Available to Meet This Goal: $146,092,000; 2,352 FTE

3.1 CUSTOMER SERVICE

FY 2004 Objectives

Meet or exceed NARA's published standards for access to records and services, as noted below:

☑ 90 percent of written requests are answered within 10 working days;

☐ 85 percent of Freedom of Information Act (FOIA) requests are completed within 20 working days;

☑ 70 percent of requests for military service separation records at the National Personnel Records Center in St. Louis are answered within 10 working days;

☑ 95 percent of items requested in our research rooms are furnished within one hour of request or of scheduled pull time;

☑ 99 percent of customers with appointments have records waiting at the appointed time;

☑ 90 percent of Federal agency records reference requests in Federal records centers are ready when promised to the customer;

☑ 99 percent of records center shipments to Federal agencies are the records they requested;

☑ 75 percent of archival fixed-fee reproduction orders through the Order Fulfillment and Accounting System (OFAS) are completed in 35 working days or less;

☑ 95 percent of education programs, workshops, and training courses meet attendees' expectations.

Results

"Thanks for going the extra mile!"

"I appreciate a "real" person helping from the other end of the world!"
– an Army major in Kuwait

"I'm spreading the word to all my fellow vets out there what an outstanding job you folks are doing!"

"The quality of NARA's recordkeeping and research makes me proud to be an American."

"I am extremely impressed by the customer service provided by NARA staff."

✔ We answered 95 percent of written requests within 10 working days.

✔ We completed 67 percent of all FOIA requests for Federal records within 20 working days.

✔ We answered 75 percent of military service separation records requests within 10 working days.

✔ We furnished 99 percent of requested items within one hour of request or of scheduled pull time.

✔ We furnished records at the appointed time for 99 percent of customers with appointments.

✔ We had ready 96 percent of Federal agency reference requests when promised to the customer.

"I found your expertise to be extremely helpful as Bermuda endeavors to develop Freedom of Information Legislation."

✔ Of the records we shipped to Federal agencies, 99.99 percent were the records agencies requested.

"My search for military records on my great-great-grandfather was a success! Your services are invaluable."

✔ We completed 99.9 percent of our archival fixed-fee reproduction orders through OFAS in 35 days or less.

"I can't say enough about how good this workshop was, and how relevant it was to my job."

✔ Our users rated 99 percent of our public education programs and workshops as meeting their expectations.

Discussion   Once again we met or exceeded nearly all of our customer service targets. Staff and volunteers take these targets very seriously and, as frequently noted by our customers, go above and beyond what is required to meet our customers' expectations. Of particular note this year is that our customers received answers to their requests for military service separation records within 10 days 75 percent of the time, a 100-percent increase over last year. This is a major step toward getting us to our target of 95 percent in FY 2005.

While the timeliness of our responses to Freedom of Information Act (FOIA) requests improved over last year, we are still far short of our target for completing 85 percent of FOIA requests for Federal records within 20 working days. A combination of factors contributes to this. FOIAs for military records take considerably longer than the 20-day standard if the request is for a record that was lost in the 1973 fire at the National Personnel Records Center and the data must be reconstructed from other sources, or if the record has been borrowed by another agency. Also, the length of time to respond to a FOIA can be lengthy if the records must be referred to another agency for declassification review before releasing the information, or if the records requested are particularly voluminous. Overall, the average age of completed FOIAs increased to 45 working days in FY 2004, a 13-percent increase over last year and a steady upward trend since FY 2001, when the average age of a completed FOIA was 9 days. We keep our target for FOIA response to Federal records high because we believe we should aspire to the highest level of customer service whenever possible. And, for the majority of requests, we are able to meet or exceed our target. Fifty-two percent of the more than 5,000 FOIAs we completed were done in 10 days or less, half the time required by law.

We continued to make steady progress in a multiyear project to microfilm the records of the Bureau of Refugees, Freedmen, and Abandoned Lands (Freedmen's Bureau) from the Reconstruction era, which contain a great deal of information about the African American family experience across 15 states and the District of Columbia. The information is difficult to extract, the records are fragile, and have only been available in one NARA location. To date, we have distributed the microfilm of these records to our regional archives and microfilm rental program for 10 states (Florida, Alabama, Arkansas, Georgia, Kentucky, Maryland, Delaware, Louisiana, Mississippi, and Missouri) and the District of Columbia. And, with the help of a small grant from the Peck Stackpoole Foundation and a partnership with Howard University's Computer Science Department,

we have begun a pilot to index and provide online access to Headquarters Marriage Certificate files, some of the most popular files in this series for genealogists.

Performance Data	1999	2000	2001	2002	2003	2004
Performance target for written requests answered within 10 working days	–	*80*	*80*	*85*	*85*	*90*
Percent of written requests answered within 10 working days	89	92	93	93	94	95
Performance target for Freedom of Information Act requests completed within 20 working days	–	*80*	*80*	*85*	*85*	*85*
Percent of Freedom of Information Act requests for Federal records completed within 20 working days	35	27	27	76	61	67
Number of FOIAs processed	6,911	8,751	7,634	8,824	4,830	5,224
Annual cost to process FOIAs (in millions)	–	–	–	$1.54	$1.35	$1.43
Annual per FOIA cost	–	–	–	$175	$265	$272
Performance target for requests for military service separation records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days	–	–	–	–	–	*70*
Percent of requests for military service separation records at NPRC answered within 10 working days	–	–	7	40	37	75
Number of military service separation records (DD-214) requests received (in thousands)	–	–	297	361	390	372
Average price per request for military service separation records	–	–	–	–	$29.70	$29.70
Performance target for requests for all military service records at NPRC answered within 10 working days	–	–	*25*	*30*	*35*	–
Percent of requests for all military service records at NPRC answered within 10 working days	7	3	4	28	28	48
Performance target for items requested in our research rooms furnished within one hour of request or scheduled pull time	–	*95*	*95*	*95*	*95*	*95*
Percent of items requested in our research rooms furnished within one hour of request or scheduled pull time	94	89	93	94	96	99
Number of researchers visiting our research rooms (in thousands)	–	–	–	248.7	204.5	168.8
Number of items furnished in our research rooms (in thousands)	833	918	1,056	613	607	879
Number of items furnished on time in our research rooms (in thousands)	501	818	985	578	584	866
Performance target for customers with appointments for whom records are waiting at the appointed time	–	*99*	*99*	*99*	*99*	*99*
Percent of customers with appointments for whom records are waiting at the appointed time	99.7	99.4	99.7	99.8	99.9	99.3

Performance Data	1999	2000	2001	2002	2003	2004
Performance target for Federal agency reference requests in Federal records centers that are ready when promised to the customer	–	*90*	*90*	*90*	*90*	*90*
Percent of Federal agency reference requests in Federal records centers that are ready when promised to the customer	81	79	93	92	94	96
Performance target for records center shipments to Federal agencies are the records they requested	–	–	*99*	*99*	*99*	*99*
Percent of records center shipments to Federal agencies are the records they requested	—	—	99.99	99.99	99.99	99.99
Performance target for archival fixed-fee reproduction orders through OFAS are completed in 35 working days or less	–	–	–	*50*	*60*	*75*
Percent of archival fixed-fee reproduction orders through OFAS are completed in 35 working days or less	—	—	—	88	99	99.9
Average per order cost to operate fixed-fee ordering	—	—	—	—	$26.34	$29.35
Average order completion time (days)	—	—	—	20	14	9
Performance target for percent of education programs, workshops, and training courses meeting attendees' expectations	–	*90*	*90*	*95*	*95*	*95*
Percent of education programs, workshops, and training courses meeting attendees' expectations	90	95	97	96	95	99
Number of program attendees	6,848	6,971	6,291	8,447	7,601	8,288

FY 2005 Performance Plan Evaluation   For customer service targets that we currently meet, we expect t,o continue that trend and have increased our targets for several. For those that we have not met, we expect to see steady improvements in FY 2005.

3.2 ONLINE SERVICES

FY 2004 Objectives	☑	Ensure 40 percent of NARA services are available online.

Results	✔	We made 40 percent of our services available online.
"Order Online! is a much welcome addition to your website and services!"	✔	We launched Order Online!, a web-based capability that allows Internet users to order copies of military service and family history records.
"I especially appreciate the ability to order Civil War pension records online."	✔	We piloted an online registration management system.

Discussion   The launch of Order Online! this year was a success, and customer feedback on its usability, while informally collected, has been very positive. The web-based application allows Internet users to make and pay for online orders of Federal Military Pension Applications (1775–1916), Census Records (1790–1930), Military Bounty-Land Warrant Application Files (1775–1855), and Land Entry Files. The application has been available to users 98 percent of the time, and more than 23,000 users have accessed the site since its launch. Customers can still order these records with the old paper forms, but feedback indicates that users find the online capability easier.

We piloted an online registration management system that was implemented shortly after the end of the fiscal year. When fully deployed, the system will allow NARA customers to register and pay for records management classes and conferences via the Internet. Currently, the system is used for registering students to NARA's records management classes at the National Archives at College Park and may eventually be used for all public events and workshops. As part of the full implementation, we will use *Pay.gov*, a Government-wide transaction portal sponsored by the Department of the Treasury, to process payment for classes by credit or debit card, verify payment with registration, and send an e-mail with confirmation of registration.

Performance Data	2000	2001	2002	2003	2004
Online visits to NARA's web site (in thousands)	10,096	16,106	19,538	30,943	30,428
Cost to provide NARA services online per visit	—	—	—	$0.16	$0.13
Performance target for percent of NARA services available online	*—*	*—*	*20*	*30*	*40*
Percent of NARA services available online	—	24	25	30	40
Number of NARA services online	—	29	30	36	48

FY 2005 Performance Plan Evaluation   We are working on online services to be deployed in FY 2005, which will enable us to meet our target of 50 percent of our online services online. Our plans to implement online ordering and payment of merchandise, such as printed publications, mementos, and other specialty products from catalogs and marketing publications sold by NARA, are on hold while we review the results of a business process reengineering study to analyze alternatives, establish requirements, and develop a concept of operations for merchandising. This capability will require an enhancement to Order Online!

3.3 ONLINE CATALOG

FY 2004 Objectives

☑ Describe 30 percent of NARA traditional holdings in the Archival Research Catalog.

☑ Describe 30 percent of NARA artifact holdings in the Archival Research Catalog.

☑ Describe 5 percent of NARA electronic holdings in the Archival Research Catalog.

Results

"ARC is a great resource – keep up the good work!"

"I am interested in our Indian heritage and have found that ARC is a helpful tool."

✔ We described 33 percent of NARA traditional holdings in the Archival Research Catalog (ARC).

✔ We described 40 percent of NARA artifact holdings in the ARC.

✔ We described 10 percent of NARA electronic holdings in ARC.

Discussion   While we planned to only roll out ARC to 50 percent of our units this year, we were actually able to implement it at 97 percent of our units nationwide. Rollout includes technical implementation of the data entry system and training staff to enter new descriptions of our holdings into ARC. We will complete the rollout to one last region in FY 2005. Description work has significantly increased this year, with more than 200,000 artifacts, 500 million logical data records, and nearly 1 million cubic feet of traditional holdings described and searchable at the series or collection level in ARC via the Internet.

Performance Data	2000	2001	2002	2003	2004
Percent of nationwide archival holdings described in an online catalog	13.9	13.2	–	–	–
Cubic feet of archival holdings (in thousands)	2,768	2,915	–	–	–
Cubic feet of archival holdings described in an online catalog	386	386	–	–	–
Performance target for traditional holdings in an online catalog	–	–	*20*	*25*	*30*
Percent of traditional holdings in an online catalog	–	–	19	20	33
Number of traditional holdings described in an online catalog (thousands of cubic feet)	–	–	550	602	1,033
Number of traditional holdings in NARA (thousands of cubic feet)	–	–	2,890	3,025	3,157
Performance target for artifact holdings in an online catalog	–	–	*20*	*25*	*30*
Percent of artifact holdings in an online catalog	–	–	19	17	40
Number of artifact holdings described in an online catalog (thousands of items)	–	–	90	90	215
Number of artifact holdings in NARA (thousands of items)	–	–	470	528	540
Performance target for electronic holdings in an online catalog	–	–	*0*	*0*	*5*
Percent of electronic holdings in an online catalog	–	–	0.02	0.02	10
Number of electronic holdings described in an online catalog (millions of logical data records)	–	–	1	1	536
Number of electronic holdings in NARA (millions of logical data records)	–	–	3,714	4,743	5,629
Number of ARC users (in thousands of user hits*)	–	–	713	1,884	–
Number of ARC users (in thousands of visits*)	–	–	–	–	158

* Online visits: One person using our web site is counted as one "visit." It is a count of the number of visitors to our web site, and is similar to counting the number of people who walk through our front door. In contrast, it does not count "hits," which refers to the number of files used to show the user a web page. A visit in which a user accessed a web page comprising 35 files would count as one visit and 35 hits. Counting visits is a more accurate way of showing how much use our web site is getting than counting hits.

FY 2005 Performance Plan Evaluation We anticipate meeting our targets set for 2005. However, much of the description work occurring now is for larger series and collections that represent considerably more holdings and get more of our holdings into ARC quickly. As we move forward to other smaller records series or collections, representing smaller numbers of holdings, but more description work, our performance may diminish simply because the methodology for measuring our performance does not recognize the size of a series or collection. We must use this methodology, however, because until archival holdings are processed, we do not know how many series are contained in the materials.

3.4 GOVERNMENT-WIDE DECLASSIFICATION

FY 2004 Objectives	☑	Determine the universe of records subject to the automatic declassification provision of E.O. 12958, as amended, by the required reporting through the declassification plans of Executive branch agencies.
	☑	Implement solutions to impediments to meeting the December 31, 2006, deadline for automatic declassification.
	☑	Develop guidance about how to collect data on the number of classification decisions made in automated systems, including e-mail, and distribute to Executive branch agencies.
Results	✔	98 percent of the agency declassification plans we requested were submitted to ISOO.
	✔	We are circulating for review by agencies a draft referral standard to assist agencies in meeting the automatic declassification deadline.
	✔	We issued guidance to agencies on collecting metric data on classification decisions made in automated systems.

Discussion We tasked 75 agencies with developing declassification plans for how they planned to meet the requirements of Executive Order 12958, as amended. Of those tasked, 30 agencies did not need to develop plans because they had no records subject to automatic declassification. Of the remaining agencies, 27 submitted plans that were found acceptable and 13 submitted plans that needed additional work to be acceptable. Five agencies did not provide a plan. We are working with those agencies that did not

submit acceptable plans. As one solution to meeting the December 31, 2006, deadline for automatic declassification, ISOO is working on standardizing the referral process to records that need to be addressed by agencies with joint equities. We have encouraged the development of a framework for a Government-wide declassification training program and information sharing of declassification guidance through the External Referral Working Group (ERWG), an interagency working group within which the declassification community is well represented.

Performance Data	1999	2000	2001	2002	2003	2004*
Number of pages declassified Government-wide (in millions of pages)	126.8	75.0	100.1	44.4	43.1	TBD
Per page cost of Government-wide declassification	$1.84	$3.08	$2.32	$2.55	$1.25	TBD
Total cost of declassification Government-wide (in millions of dollars)	$233.1	$230.9	$231.9	$112.96	$53.8	TBD

* FY 2004 data will be collected from Federal agencies and reported to Congress in June 2005.

FY 2005 Performance Plan Evaluation   Meeting the targets set forth in E.O. 12958, as amended, will be very challenging. Security concerns related to the war on terrorism may divert resources away from declassification efforts Government-wide or lead to the withholding of additional records. Agencies' cooperation is essential in identifying the records subject to automatic declassification, impediments to meeting the new deadline, and solutions to these impediments.

3.5 NARA DECLASSIFICATION

FY 2004 Objectives	☑ Conduct a survey of those record groups that are not being reviewed by the originating agency to determine which agencies have equities in the records and make appropriate referrals to those agencies.
	☑ Scan 300,000 pages of Presidential archival materials eligible for declassification review as part of the Remote Archives Capture project.
Results	✔ We surveyed 7,360 cubic feet of records that are not being reviewed by the originating agency to determine which agencies have equities in the records and make appropriate referrals to those agencies.
	✔ We released 993,567 pages of declassified Federal records and 93,588 pages of declassified Presidential records.
	✔ We scanned 500,343 pages of Presidential materials eligible for declassification review as part of the Remote Archives Capture project.

Discussion   We created a referral center to streamline the process of agency review of referred materials in accessioned records. Agencies have been asked to determine if their equity in documents is releasable or exempt. We expect this center to eventually provide a one-stop, systematic way for agencies to examine and clear their referred materials. Responding to the needs of our customers, NARA staff increased efforts to process for release those records series known to be in high demand by researchers that have undergone declassification review by other agencies. We completed a survey of those record groups that not being reviewed by the originating agencies to identify the equities of other agencies that may still have concerns about information in the records. These agencies are those that receive, but do not generate, many classified records. We now must work with ISOO to encourage agencies to take responsibility for reviewing their records or negotiate an agreement with another agency to do the review on their behalf.

For classified materials in the Presidential library system for which we have no delegated declassification authority, we established a partnership with the Central Intelligence Agency (CIA) to prepare and scan classified materials for distribution to agencies with equities in the documents. CIA is funding all of the technological development, hardware, and software for the project.

Performance Data	1999	2000	2001	2002	2003	2004
Backlog of Federal records requiring declassification at start of year (in thousands)	20,000	52,864	25,029	20,980	18,980	25,581
Performance target for annual percentage of Federal records NARA reviewed that are more than 25 years old for which NARA has declassification authority	–	*50*	*50*	*85*	*90*	–
Annual percentage of Federal records NARA reviewed that are more than 25 years old for which NARA has declassification authority	52	15	9	12	7	2
Backlog of Presidential materials requiring declassification at start of year (in thousands)	1,500	1,978	1,562	1,240	960	806
Performance target for annual percentage of Presidential records NARA reviewed that are more than 25 years old for which NARA has declassification authority	–	*25*	*25*	*85*	*90*	–
Annual percentage of Presidential records NARA reviewed that are more than 25 years old for which NARA has declassification authority	48	21	21	23	16	17
Annual number of Federal pages reviewed (in thousands)	11,031	8,052	2,129	2,490	1,257	547
Annual number of Federal pages declassified (in thousands)	8,467	3,697	807	402	340	116
Annual number of Federal pages released (in thousands)	17,026	7,678	1,788	2,184	1,092	994
Annual number of Presidential pages reviewed (in thousands)	713	416	322	280	154	138
Annual number of Presidential pages declassified (in thousands)	305	291	219	119	71	94

Performance target for annual number of Presidential pages scanned (in thousands)	*--*	*--*	*300*	*300*	*600*	*300*
Annual number of Presidential pages scanned (in thousands)	351	160	322	332	470	500
Annual number of Presidential pages released (in thousands)	291	285	207	182	71	94
Cost per page declassified (Federal and Presidential)	--	--	--	--	--	$23.44

FY 2005 Performance Plan Evaluation Meeting the targets of Executive Order 12958, as amended, will be a significant challenge.

3.6 PRESIDENTIAL RECORDS

FY 2004 Objectives ☐ Process an additional 2 percent of Clinton Presidential and Vice Presidential records for opening on January 20, 2006.

Results ✔ We processed an additional 1 percent of Clinton Presidential and Vice Presidential records for opening on January 20, 2006.

Discussion Progress continued to be slow in processing additional records this year. We focused on preparing to move the records to their permanent location at the William J. Clinton Library and Museum. This included adding more than 4,000 containers to the location register and verifying box descriptions and locations of every archival container in Clinton's holdings. We also reboxed approximately 6,000 containers to accommodate the compact shelving of the permanent facility and assigned locations in the new facility to its archival containers. These steps were all essential to ensure sufficient intellectual control over the move. These preparations contributed to finishing the move of records to the new facility ahead of schedule and will help ensure that staff are able to respond to FOIA requests when the records become subject to FOIA on January 20, 2006.

Performance Data	**2001**	**2002**	**2003**	**2004**
Performance target for cumulative percent of Clinton Presidential and Vice Presidential traditional records processed for opening January 20, 2006	*1*	*3*	*3*	*5*
Cumulative percent of Clinton Presidential and Vice Presidential traditional records processed for opening January 20, 2006	1	1	1	2
Cumulative cubic feet of Clinton Presidential and Vice Presidential traditional records	28,925	28,925	37,686	39,049
Cumulative cubic feet of Clinton Presidential and Vice Presidential traditional records processed for opening	291	291	291	752
Performance target for cumulative percent of Clinton Presidential and Vice Presidential electronic records processed for opening January 20, 2006	*0*	*0*	*0*	*0*
Performance target for cumulative percent of Clinton Presidential and Vice Presidential artifacts processed for opening January 20, 2006	*0*	*0*	*0*	*0*

FY 2005 Performance Plan Evaluation   We anticipate that staff will be able to devote more resources to archival processing in FY 2005 after the opening and dedication of the library.

3.7 NHPRC GRANTS

FY 2004 Objectives	☑ 86 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.

Results

"For any community, the process of looking at records and thinking about how to keep them changes the way people look at their lives and what is important to record for the future."

✔ Of the NHPRC-assisted projects completed, 88 percent produced the results promised in their grant applications.

✔ We successfully placed all of our grant announcements on the *Grants.gov* web site.

Discussion   We continued meeting our target for successful completion of our grant projects. This year we completed 96 projects, 12 of which were deemed unsuccessful. About two-thirds of the completed projects were publications efforts, and one-third was records projects. From the work accomplished this year, more than 1,800 cubic feet of records were preserved and made accessible, and 13 documentary editions were published. The average size of grants completed this year was $68,209. We also worked with *Grants.gov*, one of the 25 Presidential e-Government initiatives, to make our grants announcements and forms available to the public via *Grants.gov.*

For a more complete list of NHPRC-funded grants products, visit *www.archives.gov/grants/funded_endorsed_projects/funded_endorsed_projects.html.*

Performance Data	**1999**	**2000**	**2001**	**2002**	**2003**	**2004**
Performance target for percent of NHPRC grant-funded projects produced results promised in grant applications	—	*82*	*84*	*84*	*85*	*86*
Percent of NHPRC grant-funded projects that produced results promised in grant applications	100	94	91	79	86	88
Number of NHPRC-assisted projects completed	89	67	115	104	72	96
Number of NHPRC-assisted projects that produced the results promised	89	63	105	82	62	84
Number of traditional records preserved and made accessible through our grants projects (in cubic feet)	—	—	—	—	—	1,803
Number of documentary editions published through our grants project (in volumes)	—	—	—	—	—	13
Percent of NARA's grants announced on *Grants.gov*	—	—	--	—	—	100

FY 2005 Performance Plan Evaluation   We anticipate meeting our target for FY 2005. However, it is important to note that the Commission and its staff are committed to projects that will stretch the archival, documentary editing, and electronic records communities, encouraging them to take risks. While this will produce much more useful products, it increases the possibility of projects being rated unsuccessful in meeting their criteria.

Strategic Goal 4: Space and Preservation

All records are preserved in an appropriate environment for use as long as needed.

Long-Range Performance Targets	4.1. By 2009, 100 percent of NARA's archival holdings are in appropriate space.
	4.2. By 2009, 100 percent of NARA records centers comply with the October 2009 regulatory storage standards.
	4.3. By 2007, 50 percent of NARA's at-risk archival holdings are appropriately treated or housed so as to retard further deterioration.

FY 2004 Resources Available to Meet This Goal: $63,360,000; 150 FTE

4.1 ARCHIVAL HOLDINGS IN APPROPRIATE SPACE

FY 2004 Objectives	☑ Complete 90 percent of the renovation of the National Archives Building.
	☑ Complete renovation and expansion of the Reagan Library.
	☑ Complete renovation and addition to the Ford Museum.
	☑ Complete move of Clinton Presidential Materials Project to new library facility.
	☑ Complete 75 percent of the construction of the Southeast Regional Archives.
	☑ Acquire land for Pacific Alaska Regional Archives.
	☑ Review conclusions from the cost-benefit study for the storage and preservation of military personnel records and develop a course of action.
Results	✔ We completed 95 percent of the renovation activities of the National Archives Building.
	✔ We opened the new William G. McGowan Theater in the National Archives Building.
	✔ We completed construction of a 23,400-square-foot addition to the Reagan Library for new

               temporary exhibits and a multipurpose learning center and renovated 3,600 square feet of support space.

✓   We added 8,800 square feet and renovated 15,000 square feet of space in the Ford Museum, the first major alteration since its opening in 1982.

✓   We completed 75 percent of the construction of the Southeast Regional Archives building in East Point, GA.

✓   We completed a study of digitization and facility storage options for long-term preservation of military service records, which indicated that the best choice was to move to a new facility.

Discussion   Another important milestone was met this year in our final steps to complete the renovation of the National Archives Building—we opened the William G. McGowan Theater to the public. The 290-seat theater features the latest technology and equipment in a design that echoes the 1930s architecture of the National Archives Building and was funded entirely by a private gift. The McGowan Theater is expected to be one of the nation's leading centers for documentary film as well as a prominent forum for the discussion and exploration of great issues of American history, democracy, and government. In addition, our new research facilities opened this year, consolidating into one convenient location preeminent genealogy resources in the Washington area.

The 23,400-square-foot Ronald Reagan Library addition was completed this year to include new exhibit space and a multipurpose learning center. The space opened with a Lewis and Clark exhibition, marking the 200th anniversary of their expedition, and later was used by record numbers of visitors after the death of President Reagan.

We moved all the Clinton Presidential and Vice Presidential materials from temporary storage to the new Clinton Library in Little Rock, AR. Preparations are under way for the opening of the William J. Clinton Presidential Library and Museum, scheduled for dedication on November 18, 2004.

During the year, we relocated 100,000 cubic feet of low-use regional archival records to the new archival bay in Lee's Summit, MO, that meets our archival storage standard (NARA 1571). These records were previously stored in regional space that did not meet archival environmental or facility standards. With the relocation of these records, NARA's regional archives system went from having none of its holdings under our archival storage standard to over 15 percent. In FY 2005, NARA will begin moving into the new Southeast Regional Archives in Atlanta, which will place another 100,000 cubic feet of regional archival records under appropriate space and environmental standards, or about one-third of all regional holdings.

After an extensive analysis of the costs of digitizing military personnel records versus continued storage of paper records at the National Personnel Records Center, we chose the least costly option—to continue to rely on paper records—to meet long-term preser-

vation and access needs. An important aspect of that decision will be the safe storage of these records in a custom-built leased facility within 50 miles of the current site. Our next steps will be to develop facility requirements and make plans for the records, staff, and equipment moves.

Performance Data	2003	2004
Percent of archival traditional holdings in appropriate space	—	52
Cubic feet of archival traditional holdings (in thousands)	3,025	3,100
Percent of artifact holdings in appropriate space	—	42
Number of artifact holdings (in thousands)	3,024	540
Percent of logical data record holdings in appropriate space	—	100
Number of logical data record holdings (in millions)	4,743	5,629
Cost of archival storage space per cubic feet of traditional holdings stored	—	$6.16

FY 2005 Performance Plan Evaluation We expect to continue to stay within budget and schedule targets for our facility projects.

4.2 NARA RECORDS CENTER HOLDINGS IN APPROPRIATE SPACE

FY 2004 Objectives   ☑ Based on FY 2003 assessment of Federal records centers, develop repair or relocation plans for bringing NARA records centers into compliance with 2009 regulatory storage standards.

☑ Complete shelving and move into new records center facility in Dayton.

☑ Expand records center facility at Lenexa and move records into facility.

☑ Complete a Solicitation for Offer and Lease Agreement for a facility in Southern California to replace the Laguna Niguel records center.

☑ Complete construction of a new records center facility in Atlanta to replace the East Point records center and the Palmetto and Birmingham annexes.

☑ Close Bluegrass Annex in Philadelphia.

Results   ✔ We developed a facility repair plan to bring NARA records centers into compliance with regulatory storage standards by the 2009 deadline.

✔ We accepted five bays at the new Dayton records center building, completed shelving, and moved records into the bays.

✓   We took occupancy of the last of four bays at Lenexa, and have an option for four more.

✓   We completed a lease agreement for a facility in Southern California to replace the Laguna Niguel records center.

✓   We took occupancy of a new 350,000-square-foot Southeast Regional Records Center, which will eventually accommodate 1.75 million cubic feet of records.

Discussion   The primary thrust over the next several years must be to upgrade our records center facilities to meet 2009 regulatory storage standards or relocate to new facilities that are built to meet those standards. These standards are in place to ensure that Federal records are protected whether they are stored by NARA, another Federal agency, or the private sector. We began planning for the 2009 deadline by surveying our regional facilities about the scope of necessary improvements and developing timelines and milestones for upgrading specific facilities. These plans include the facility assessments that will be conducted to certify that space meets required storage standards.

Performance Data	2000	2001	2002	2003	2004
Percent of NARA records center buildings certified as complying with the October 2009 regulatory storage standards	–	–	–	–	0
Volume of records center holdings (cubic feet in millions)	21.7	22.6	23.1	23.2	24.1
Average storage price per cubic foot for records center holdings	$1.96	$1.96	$2.00	$2.10	$2.16

FY 2005 Performance Plan Evaluation   We expect to continue to stay within budget and schedule targets for our facility projects. We will begin certification of NARA records center buildings as we bring them up to compliance with October 2009 regulatory storage standards.

4.3 PRESERVATION OF AT-RISK HOLDINGS

FY 2004 Objectives   ☑   Appropriately treat or house 40 percent of NARA's at-risk archival holdings so as to retard further deterioration.

☑   Complete risk assessment of Official Military Personnel Files (OMPFs).

Results   ✓   We treated or housed 41 percent of NARA's at-risk archival holdings so as to retard further deterioration.

✓   We completed a risk assessment of the OMPF collection at the National Personnel Records Center.

Discussion   We assess our holdings regularly to identify those records that have a high risk for deterioration, and then we preserve those records by providing storage that retards deterioration or by treating, duplicating, or reformatting records to preserve them for as long as they are needed. We continued our positive trend of the past several years by meeting our target this year of treating or housing 40 percent of NARA's at-risk archival holdings.

We noted earlier (section 4.1) that we conducted a study this year to consider various options to housing and storing the OMPFs. In anticipation of moving the collection to a new facility, we also completed a risk assessment of the physical condition of the OMPFs. We learned that 85 percent of the OMPFs contain paper-based formats that are unstable, meaning they deteriorate quickly, and more than 30 other types of media or information formats were discovered during the survey, including metal dog tags, hair samples, blood strips, rifle targets, and plastic ID cards. Eighty percent of the files have some type of damage, such as tears, embrittlement, burns, mold, and folding. As a result, reformatting these records to ensure their long-term preservation will be a massive challenge, and getting them relocated into a properly controlled environment is an essential, cost-effective first step.

Performance Data	1999	2000	2001	2002	2003	2004
Performance target for percent of cumulative backlog ever treated	–	–	*30*	*32*	*36*	*40*
Percent of cumulative backlog ever treated	3	25	28	32	35	41
Start-of-year backlog volume of at-risk archival holdings (thousands of cubic feet)	161	156	197	174	188	180
Volume of at-risk archival holdings that received conservation treatment this year (thousands of cubic feet)	5	35	26	11	17	18
Cumulative volume of at-risk archival holdings in cold storage (thousands of cubic feet)	–	–	63	67	74	80
Percent of start-of-year remaining backlog treated this year	3	22	16	7	9	10

FY 2005 Performance Plan Evaluation   With the recent accessioning of OMPFs into NARA's archival holdings, these records will now be counted in the backlog of at-risk holdings waiting for treatment. The first accession of OMPFs contains more than 19,000 cubic feet of highly at-risk records and will make it difficult to reach our target of 43 percent.

Strategic Goal 5: Infrastructure

NARA strategically manages and aligns staff, technology, and processes to achieve our mission.

Long-Range Performance Targets	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 percent of the validated legal documents submitted electronically for publication in the *Federal Register*.
	5.4. By 2008, all public network applications are available 99.9 percent of the time.

FY 2004 Resources Available to Meet This Goal: $33,182,000; 130 FTE

5.1 RECRUITMENT AND DEVELOPMENT

FY 2004 Objectives	☐	Redesign NARA's existing recruiting strategies and procedures.
	☑	Develop a leadership competency model.
	☑	Implement a management trainee program in at least one program office.
	☐	Maintain 95 percent of staff development plans linked to strategic outcomes.
	☐	Maintain 95 percent of employee performance plans linked to strategic outcomes.
Results	✔	We developed a project plan for redesigning NARA's existing recruiting strategies and procedures.
	✔	We developed a leadership competency model and guide.
	✔	We implemented a management trainee program in four of NARA's records centers.

✔ We linked 91 percent of employee performance plans to strategic outcomes.

✔ We linked 53 percent of staff development plans to strategic outcomes.

Discussion   Several new tactics were undertaken this year that will help us prepare our workforce for the challenges ahead. We hired a human capital planning specialist to help us undertake a comprehensive redesign of our existing recruiting strategies and procedures. We engaged all parts of the agency in identifying specific recruitment needs, and we benchmarked top-performing Federal agency recruitment programs as models. We developed a Leadership Competency Model, which identifies the skills, knowledge, and personal characteristics and behavior that NARA leaders need now and in the future. We also developed a Leadership Competency Guide that will assist NARA management in developing high-performing staff for key leadership positions. These tools will be incorporated into one of NARA's largest offices in FY 2005.

We completed a successful first year of a new management trainee program to develop the next generation of records center managers throughout NARA's Records Center Program. The program addresses the critical issues of retention of high-performing employees, succession planning as managers leave, and the lack of formal management development in the records centers. The three-year program for selected interns provides them with training, increasingly complex work assignments in a variety of records center positions, a rotation through other NARA operations, and assignment to special projects. Throughout this program, other NARA professionals closely mentor interns. We rolled out the program to four centers in FY 2004 and will expand to four more in FY 2005.

In 2003, for the first time, nearly all our staff had performance plans (93 percent) and staff development plans (91 percent) linked to NARA's Strategic Plan. While we are annually updating performance plans and linking work to the Strategic Plan, in FY 2004, we had difficulty maintaining the behavior of updating staff development plans on a regular basis. Our performance this year reflects the fact that annual updates of these development plans are not yet a firmly entrenched behavior throughout much of NARA. Still, the process has provided creative opportunities for employee development that did not exist before. While many employees simply enhanced their current assignments through a variety of job-shadowing, cross-training, and classroom training, several employees identified new career opportunities at NARA. Feedback has been positive from employees and supervisors alike.

Performance Data	2001	2002	2003	2004
Average time (in calendar days) to fill a leadership position	–	–	–	90
Performance target for percent of staff having performance plans that link to strategic outcomes	*50*	*95*	*95*	*95*
Percent of staff having performance plans that link to strategic outcomes	48	80	93	91
Number of NARA staff having performance plans that link to strategic outcomes	1,434	2,473	2,843	2,781

Performance target for percent of permanent staff having staff development plans that link to strategic outcomes	–	*50*	*95*	*95*
Percent of permanent staff having staff development plans that link to strategic outcomes	–	1	91	53
Number of NARA staff having staff development plans that link to strategic outcomes	–	7	2,400	1,400
Number of NARA permanent staff	2,683	2,708	2,647	2,663

FY 2005 Performance Plan Evaluation   We are confident that we will meet our FY 2005 targets and expect to begin to see progress toward our long-range target of filling leadership positions in an average of 30 days.

5.2 EQUAL EMPLOYMENT OPPORTUNITY

FY 2004 Objectives   ☐   Ensure the percentages of NARA employees in underrepresented groups match 70 percent of their respective availability levels in the Civilian Labor Force.

     ☑   Increase the percentage of underrepresented groups in pools of applicants from which to select candidates for positions in grades 13 and above over the percentage in FY 2003.

Results   ✔   We employed people in underrepresented groups that our percentages matched at least 70 percent of the national averages in five out of six underrepresented groups.

     ✔   We slightly increased the percentage of under-represented groups in pools of applicants from which to select candidates for positions in grades 13 and above over the percentage in FY 2004.

Discussion   NARA is committed to achieving a workforce that reflects the rich diversity of our nation, and we are pleased that we have met or exceeded our representation goals for women, blacks, Asian Americans/Pacific Islanders, American Indians/Alaskan natives, and persons with targeted disabilities. However, as we steadily increase our targets for reflecting the availability of underrepresented groups in the Civilian Labor Force, it is increasingly difficult to reach these levels for certain groups.

There is still work to be done, especially with respect to increasing the representation of Latino-Hispanics in NARA's workforce—an area where NARA continues to fall short. One of the biggest challenges for NARA in the area of Latino-Hispanic recruitment is the extremely small number of Latino-Hispanic archivists available in the United States. Indeed, only 3.5 percent of the 36,000 archivists in the United States are Latino-Hispanic. In addition, the educational "pipeline" for Hispanic archivists is exceedingly small. Of the 128,036 undergraduate degrees in social science and history conferred in 2001 (the latest year for which statistics were available), only 9,000 (7 percent) went to Latino-

Hispanics. Likewise, of the 18,518 master's degrees in library science, social science and history conferred in 2001, only 721 (4 percent) went to Latino-Hispanics.

In response to this challenge and in the context of a larger effort to redesign NARA's existing recruitment strategies, NARA is working to identify targeted sources of highly qualified Latino-Hispanic applicants for NARA positions, to establish ongoing channels of communication with those sources, and to pursue outreach opportunities where possible. Potential sources include colleges and universities with high concentrations of Latino-Hispanic students enrolled in history, archives, and other NARA-related programs and disciplines; Latino-Hispanic representatives of professional history, archival, or other relevant organizations or associations; and Latino-Hispanic executive groups such as the National Association for Hispanic Federal Executives. In addition, NARA is actively exploring partnerships with organizations that can help inform the Latino-Hispanic community about the mission, work, and career benefits of the National Archives, thereby expanding the pipeline of Latino-Hispanics interested in Federal careers in history and archives. Two organizations that NARA has specifically targeted for this purpose are the Hispanic Association of Colleges and Universities and the Hispanic College Fund. Finally, NARA is looking to increase the use of its student employment programs as a mechanism for attracting Hispanic students to temporary positions within NARA. These student programs are an excellent way to introduce students to the work of NARA and to encourage students to pursue future careers in history and archives.

Performance Data	1999	2000	2001	2002	2003	2004
Percent of employees who have received diversity training	6	19	27	58	82	68
Performance target for percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups	–	*49*	*64*	*75*	*94*	*98*
Percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups	48	63	74	85	97	98
Number of applicants for positions at grades GS-13 and above	–	–	–	1,779	1,177	1,270
Number of applicant pools for positions in grades GS-13 and above	21	24	53	101	85	99
Number of pools for positions in grades GS-13 and above that had self-identified applicants in protected classes	10	15	39	86	83	97
Percent of Civilian Labor Force rate used to determine if underrepresented groups met employment target	–	–	50	60	*65*	*70*
Underrepresented groups of employees meeting target (checkmark indicates target met or exceeded)						
—Women	✓	✓	✓	✓	✓	✓
—Black	✓	✓	✓	✓	✓	✓
—Latino-Hispanic						
—Asian American/Pacific Islander	✓	✓	✓	✓	✓	✓
—American Indian/Alaskan Native	✓	✓		✓	✓	✓
—Targeted disability	✓	✓	✓	✓	✓	✓

FY 2005 Performance Plan Evaluation Further examination of our processes for announc-ing vacancies and hiring will help us determine where we are falling short in meeting our targets for certain underrepresented groups.

5.3 *FEDERAL REGISTER* PRODUCTION

FY 2004 Objectives ☐ Deploy eDOCS into *Federal Register* production and enhance the system to promote business efficiencies.

☑ Accept validated legal documents submitted electronically for publication in the *Federal Register* from three agencies.

Results ✔ We successfully launched eDOCS and began using it in a production environment.

"We have found eDOCS to be very beneficial for timely submission, and consistently on target with our deadlines."

✔ We accepted and processed electronically validated legal documents from three agencies.

Discussion On October 1, 2003, we brought a beta version of the Electronic Editing and Publishing System (eDOCS) online into our *Federal Register* publication production opera-tions and received the first valid legal document for publication in the *Federal Register* from the Federal Energy Regulatory Commission (FERC). Not only did we receive that document into eDOCS via e-mail, but we processed the document entirely in electronic form using eDOCS editing tools, tracked the progress of the document through the production cycle, and published the document in the October 6, 2003, issue of the *Federal Register*. Since then, more than 3,000 additional documents from FERC, the Federal Depository Insurance Corporation, and the National Marine Fisheries Service have been managed via eDOCS. Despite being in beta production, and the fact that we continue to operate our legacy processes in parallel with eDOCS during this period of transition, eDOCS handled 9 percent of our total workload this year.

Performance Data	**2000**	**2001**	**2002**	**2003**	**2004**
Percent of documents *Federal Register* manages electronically using eDOCS	–	–	–	–	9
Number of documents NARA manages electronically using eDOCS	–	–	–	–	3,032
Number of documents published in the *Federal Register*	31,925	32,036	33,055	32,066	32,412
Percent of documents submitted for publication electronically	–	–	–	–	9
Number of documents submitted for publication electronically	–	–	–	–	3,032
Number of public inspection documents available to the public electronically	–	–	–	–	3,032
Number of rulemakings open for comment successfully retrieved at *regulations.gov* (in thousands)	–	–	–	371	240
Number of official *Federal Register* documents retrieved online (in millions)	155	163	150	160	208

FY 2005 Performance Plan Evaluation   We plan to use eDOCS with three more agencies in FY 2005. We must redesign the eDOCS module that will provide for our legally required public inspection of documents, and we need to develop a test system to use for ongoing configuration management. This was identified as necessary during Certification and Accreditation testing. Also, we plan to develop a comprehensive Continuity of Operations Plan for *Federal Register* publication.

5.4 INFORMATION TECHNOLOGY

FY 2004 Objectives	☑	Public network applications are available 96.5 percent of the time.
	☑	Pilot an enterprise repository for NARA's Enterprise Architecture and associated IT documentation.
	☑	Implement improved agency-wide disaster recovery processes and mechanisms.
Results	✔	Our public network applications were available 98 percent of the time.
	✔	We piloted NARA's Enterprise Information Technology Repository with selected users and developed the detailed architecture design specification for the system.
	✔	We addressed improvements to both agency-level and individual application disaster recovery processes.

Discussion   Last year we demonstrated a prototype of NARA's Enterprise Information Technology Repository (NEITR), and this year we began the pilot phase with the development of the System Design Specifications to include updates to the System Requirements Specification. NEITR is a system that will provide a single, centralized, authoritative source of all information assets associated with NARA's IT systems. The NEITR repository (or container) will structure and hold all authoritative IT program information and publish that information on NARA's internal web site for staff use.

We are addressing agency-level disaster recovery planning as well as processes for individual application recovery. We are updating our internal NARA processes to include contingency planning requirements, part of the Certification and Accreditation (C&A) process we started last year. The first round of contingency plan testing was completed for most plans this year, and we will repeat those tests annually. We have prioritized systems in order of importance to NARA's mission and business needs and identified those systems for which NARA will need an off-site recovery capability.

Performance Data	1999	2000	2001	2002	2003	2004
Percent of public network availability	100.0	99.8	99.9	99.9	99.9	100
Performance target for percent availability of public applications	–	–	–	–	–	*96.5*
Percent of public network applications availability	–	–	–	–	–	98.7
Number of total hours that any public network application was unavailable	–	–	–	–	–	1,047
Number of network users for public applications (in millions)	–	–	–	–	–	4.4
Cost per network user for public applications	–	–	–	–	–	$0.29

FY 2005 Performance Plan Evaluation   We will implement NEITR. We will continue contingency plan testing as planned. We plan to establish a "hot-site" or off-site recovery capability in FY 2005.

FY 2004 Program Evaluations

Strategic Goal 1: Records Management

Government Accountability Office Engagement 310722, *Funding of the 25 OMB-sponsored E-Government Initiatives,* September 21, 2004.

> The Government Accountability Office is reviewing the monetary contributions of Federal agencies to each of the e-Government initiatives.

Government Accountability Office Engagement 310709, *E-Government Act of 2002*, May 2004.

> GAO is reviewing the implementation status of selected provisions of the E-Government Act of 2002. For NARA, this means Section 207 relating to accessibility, usability, and preservation of Government information. NARA has responded to questions, but no report has yet been issued.

Government Accountability Office Engagement 310703, *Progress of the Quicksilver E-Government Initiatives*, May 2004.

> GAO is reviewing progress on the 25 Presidential e-Government initiatives. NARA is the managing partner for the Electronic Records Management E-Government Initiative. GAO delivered testimony to Congress on March 24. No recommendations were made to NARA.

Strategic Goal 2: Electronic Records

Government Accountability Office, GAO-04-927, *Records Management, Planning for the Electronic Records Archives Has Improved,* September 23, 2004.

> The Government Accountability Office (GAO) made one recommendation, which will be addressed in FY 2005.

Strategic Goal 3: Access

Office of Inspector General, OIG Report 04-11, *Audit of NARA's Interagency Agreements*, March 26, 2004.

> The Inspector General reviewed NARA's interagency agreements and made two recommendations to the Office of Administrative Services. Both recommendations were completed in FY 2004, and this audit is closed.

Information Security Oversight Office, *Compliance Inspection Report*, May 13, 2004.

> The office conducted a compliance inspection of the Ronald Reagan Presidential Library and Museum, Simi Valley, CA. Five recommendations were made, of which two are closed and three are scheduled for completion in FY 2005.

Office of Inspector General, OIG Report 04-13, *Assessment of NARA's Efforts to Comply with New Facility Standards,* May 14, 2004.

> The Inspector General conducted an assessment of NARA's efforts to comply with new facility standards for records center facilities and made six recommendations. All six recommendations are scheduled for completion by January 31, 2005.

Government Accountability Office Engagement 130249, *Social Security Numbers in Public Records*, April 2004.

> GAO is reviewing precautions agencies take to protect social security numbers in public records. No report has yet been issued.

Strategic Goal 4: Space and Preservation

Office of Administrative Services, *Physical Security and Life Safety Review*, December 29, 2003.

> The office conducted a review of the Northeast Regional records center facility in Waltham, MA, which serves the Boston area. Four recommendations were made, of which three are closed and one is scheduled for completion in FY 2005.

Office of Administrative Services, *Physical Security and Life Safety Review*, December 29, 2003.

> The office conducted a review of the National Personnel Records Center for Military Personnel Records, in St. Louis, MO. Seven recommendations were made, of which three are closed and four are scheduled for completion in FY 2005.

Office of Administrative Services, *Physical Security and Life Safety Review*, December 29, 2003.

> The office conducted a review of the National Personnel Records Center for Civilian Personnel Records, in St. Louis, MO. Three recommendations were made, of which two are closed and one is scheduled for completion in FY 2005.

Office of Administrative Services, *Physical Security and Life Safety Review*, August 20, 2004.

> The office conducted a review of the Great Lakes Regional Archives and Records Center in Chicago. Three recommendations were made and remain open.

Office of Administrative Services, *Physical Security and Life Safety Review,* September 7, 2004.

> The office conducted a review of the Great Lakes Records Center in Dayton. Eleven recommendations were made and remain open.

Office of Administrative Services, *Physical Security and Life Safety Review*, September 28, 2004.

> The office conducted a review of the Pacific-Alaska Regional Archives and Records Center in Seattle. Two recommendations were made and remain open.

Office of Administrative Services, *Physical Security and Life Safety Review*, September 28, 2004.

> The office conducted a review of the Pacific-Alaska Regional Archives and Records Center in Anchorage. One recommendation was made and remains open.

Strategic Goal 5: Infrastructure

Office of Inspector General, OIG Report 04-16, *Evaluation of NARA's Computer Security Incident Response Capability*, June 22, 2004.

> The Inspector General conducted an evaluation of NARA's computer security incident response capability and made six recommendations. Five recommendations were completed in FY 2004, and one recommendation is scheduled for completion in FY 2005.

Office of Inspector General, OIG Report 04-14, *Follow Up of OIG Report #00-02, Review of NARA's Process for Investing in IT Projects*, June 23, 2004.

> The Inspector General reviewed NARA's process for investing in IT projects and made two recommendations. Both recommendations are scheduled for completion by December 31, 2004.

Office of Inspector General, OIG Report 04-10, *Assessment of the Controls and Security of NARA Classified Systems*, March 31, 2004.

> The Inspector General conducted an assessment of the controls and security of NARA's classified systems and made four recommendations. Three recommendations were completed in FY 2004, and one recommendation is scheduled for completion by December 31, 2004.

Office of Administrative Services, *Information Security Review*, June 24, 2004.

> The office conducted a review of the Gerald R. Ford Library in Ann Arbor, MI. Two recommendations were issued. One is closed, and one is scheduled for completion in FY 2005.

Office of Administrative Services, *Information Security Review*, June 24, 2004.

> The office conducted a review of the Gerald R. Ford Museum in Grand Rapids, MI. No recommendations were issued for this report.

Office of Administrative Services, *Information Security Review*, June 24, 2004.

> The office conducted a review of the Franklin D. Roosevelt Library and Museum in Hyde Park, NY. One recommendation was issued, and it is scheduled for completion in FY 2005.

Office of Administrative Services, Information Security Review, August 19, 2004.

> The office conducted a review of the Federal Register. Fifteen recommendations were made. The plan to incorporate these recommendations is scheduled for first quarter FY 2005.

Policy and Communications Staff, *NARA Implementation of the Federal Activities Inventory Reform (FAIR) Act,* June 30, 2004.

> In compliance with the FAIR Act, NARA compiled information about the activities performed by each office, and submitted it to OMB in the OMB-specified format. The inventory was posted to NARA's public web site in September 2004.

Multi-Goal Evaluations

Office of Inspector General, OIG Audit Memorandum 04-12, *Evaluation of NARA's FY 2003 Management Control Program,* March 2, 2004.

> The Inspector General reviewed NARA's FY 2003 Management Control Program. Observations were noted, but no recommendations were made.

Office of Administrative Services, *Program Review*, June 24, 2004.

> The office conducted a program review at the Gerald R. Ford Library in Ann Arbor, MI. Two recommendations were issued, and both are scheduled for completion in FY 2005.

Office of Administrative Services, *Program Review*, June 24, 2004.

> The office conducted a program review at the Gerald R. Ford Museum in Grand Rapids, MI. No recommendations were issued for this report.

Office of Administrative Services, *Program Review*, June 24, 2004.

> The office conducted a program review at the Franklin D. Roosevelt Library and Museum in Hyde Park, NY. One recommendation was issued, and it is scheduled for completion in FY 2005.

For more information about these reports, contact the Policy and Communications Staff on 301-837-1850 or by e-mail at *vision@nara.gov.*

Status of NARA Records Management Initiatives

On July 31, 2003, we issued NARA's *Strategic Directions for Federal Records Management.* In that document we said that our goals were, in partnership with our stakeholders, to ensure that

- Federal agencies can economically and effectively create and manage records necessary to meet business needs,

- Records are kept long enough to protect rights and assure accountability, and

- Records of archival value are preserved and made available for future generations.

We made significant progress in FY 2004 in carrying out the specific strategies that will help us achieve these goals. The following table provides descriptive information about those strategies and how they are benefiting Federal agencies.

Specific Strategy	Brief description	Benefits to agencies
Appraisal	We documented the strategic framework, objectives, and guidelines used to determine archival value. The policy provides general appraisal guidelines as well as guidelines for specific categories of records including personal data records, observational data from the physical sciences, and environmental health and safety records.	- Policy issued (NARA Directive 1441) October 2003. - The policy provides agencies with insight into NARA's guidelines and objectives for determining the archival value of records. - We gathered work process data from agencies that develop and maintain research and development (R&D) records to assist us in developing appraisal guidelines for R&D records.
Custody	NARA's policy addresses the authority and responsibility of the Archivist for physical and legal custody of permanent Federal records.	- Policy issued (NARA Directive 1501) February 2003. - We entered into an MOU with the Government Printing Office (GPO), naming them an affiliated archives for the records in GPO Access, the online GPO file of Federal Government electronic publications. - We established an affiliated relationship with the Department of Interior (DOI) to protect DOI Indian Trust records at a state-of-the-art records storage facility operated by NARA in Lenexa, KS. We also will assist DOI in establishing a records management training program for students of Haskell Indian Nations University. - We continue to strengthen our relationship with our current (pre-custody policy) affiliated archives by providing advice and guidance on issues involving records management, records storage, security, preservation, description, and public programs.
Mandatory Destruction	Current statutes require agencies to contact NARA and obtain Archivist's approval in order to extend retention periods beyond the destruction date specified in the schedule. NARA has proposed changes to its legislation that will make this process easier for agencies.	This legislation was included with the NARA Efficiency Act, which was signed into law on October 30, 2004. This legislation allows us to issue regulations relating to situations where records need to be retained longer than retention timeframes identified in NARA-approved schedules.

Specific Strategy	Brief description	Benefits to agencies
Advocacy	We are actively promoting Federal records management through high-level meetings, forums, participation in working groups and more.	▪ We developed a model agency Senior Records Manager position description as an agency best practice in the Federal Government. ▪ We developed a recommended practices document on internal agency review of proposed retention schedules. This practice encourages agencies to assure that program, legal, and information technology officials at the agency concur with proposed retentions for temporary Federal records. ▪ We conducted meetings with the most senior officials at agencies to encourage records management awareness not only in the records management offices but as an integral part of an agencies mission, programs, and operations.
Training and Certification	We are developing a core nationwide training program in Federal records management. Students participating in the training will have the option to obtain a certificate of completion in Federal records management training. Students electing to receive certification will be required to pass specific tests administered through our training program to ensure proficiency in specific records management related topics.	▪ We developed a new training program that incorporates the policies, best practices, and concepts developed throughout the Records Management Initiatives (RMI). ▪ We established an interagency agreement with OPM to design and develop a training architecture and create training modules, all course materials, and certification test items. ▪ We developed a Training Officer position to lead training initiatives and ensure an integrated program throughout all NARA offices both locally and in the regions. ▪ We conducted numerous forums throughout the country covering topics related to electronic records, records management, and risk. ▪ We are using tools such as WebEx to broaden the scope of our training program. WebEx allows us to conduct seminars via the Internet. Agencies are able to view and "virtually" participate in the seminar. Agencies can access the audio portion of the seminar via a toll-free teleconference number.
Records Center Program and Electronic Records Services	The Electronic Records Services Team is developing records center services for agency electronic records.	▪ Records center customers have validated proposed electronic records related services. ▪ We documented requirements and criteria for electronic records media storage, and we established pilots for demonstrating the basic capability within NARA's Records Center Program system to receive and store physical media for temporary e-records.
Flexible Scheduling	This proposed practice allows agencies to schedule temporary records at any level of aggregation that meets their business needs. Flexible scheduling presents the concepts of "big buckets" and retention bands.	▪ We are conducting Big Bucket functional schedule pilots internally and with GAO, PTO, NOAA, and NASA. ▪ Pilot agencies said these schedules are easier to implement, and the simplified schedule facilitates agencies positioning themselves in preparation for RMA implementation.

Specific Strategy	Brief description	Benefits to agencies
General Records Schedules	Fifteen strategies were developed to improve and expand General Records Schedules (GRS). These included developing new GRSs, improving the descriptions, and making the current documents more user-friendly.	▪ We developed two new General Records Schedules (Alternative Dispute Resolution and Reasonable Accommodation Requests) to assist agencies in scheduling records. We are in the process of finalizing a GRS for Temporary Boards, Commissions, and Committees and vetting a GRS for CIO offices.
Guidance and Regulations	We issued an advanced notice of proposed rulemaking (ANPRM) to solicit agency and public input on our proposed regulation redesign.	▪ We restructured our framework based on input from the public. We are developing an implementation plan to reorganize our current regulations into the new framework and add and modify regulations as appropriate.
Inspections and Studies (Monitoring)	We plan to conduct inspections when an agency, or a series of agencies in a specific line of business, refuse to address high-level records management risks or specific problems identified through NARA's risk-based resource allocation model or other means such as Government reports or the media. We will undertake records management studies when we believe an agency or a series of agencies in a specific line of business are utilizing records management practices that could benefit the rest of a specific line of business or the Federal Government as a whole.	▪ We documented our high-level goals and completed identifying internal NARA criteria for determining when to undertake an inspection. We developed and documented procedures for conducting inspections. We will implement these procedures in FY 2005. ▪ We developed internal NARA criteria for determining when to undertake a study.
Pre-Accessioning Study	We developed a proposal to explore the practicality and costs/benefits of accepting physical custody of permanent electronic records prior to their legal transfer and conducting some level of processing on them (pre-accessioning).	▪ We conducted a successful pilot with GPO in transferring some of their electronic records. We will pursue this practice on a case-by-case basis. ▪ We issued NARA Bulletin 2004-02 on July 12, 2004, which describes the process and the criteria for determining when pre-accessioning is appropriate.
Resource Allocation (Focusing Resources)	We want to target our resources on agencies or parts of agencies that have the greatest quantity and concentration of records that a) document the core functions of government, b) ensure government accountability, the protection of rights, and the national experience, and c) are perceived to be "at risk."	▪ We developed a set of criteria, procedures, and a handbook for identifying the functional areas within the Government that contain the greatest records management challenges. ▪ We analyzed various business lines and sub-functions across the Federal Government to prioritize and allocate FY 2005 resources.
Targeted Assistance	We formed partnerships with agencies to solve specific records management problems.	▪ We provided free assistance to agencies to identify and correct existing problems in their records management programs. Most of the targeted assistance we provide in FY 2005 will be directed to high-risk agencies or business lines identified through our resource allocation project.
Reporting	We will report to Congress and OMB regarding problems and recommended practices discovered as part of targeted assistance projects and inspections and studies that we carry out.	▪ The NARA Annual Performance Reports for 2002 and 2003 reported to Congress on agency records management progress. ▪ We developed criteria for establishing reports for future submission to OMB and Congress. The reports will serve to document problems and highlight agency successes and progress in their records management programs.

Federal Records Management Evaluations

Under 44 U.S.C. 2904(c)(8), the Archivist of the United States is required to report to Congress and OMB annually on the results of records management activities. NARA fulfills this requirement through the Performance and Accountability Report. Through this report, we highlight the progress of individual agencies in managing and preserving the documentation necessary to protect the legal and financial rights of the Government and citizens.

In FY 2005, we will begin to use our Resource Allocation methodology and the OMB Business Reference Model (BRM) to target our assistance to Federal agencies and to develop reports on records management activities. As a first step we have identified business processes, sub-functions, and agency activities, based on the OMB BRM, that are the most significant to protect legal rights, document government accountability, and preserve records that document the national experience. We will target our records management assistance to Federal agencies based on this work. In our FY 2005 report we will detail our activities and results.

For FY 2004, we are reporting on three of the Federal programs that have shown significant progress in establishing or expanding control over their management of business information in a way that has produced tangible results for the Government and citizens. NARA partnered with the agencies in these activities, often through targeted assistance.

NOAA / National Marine Fisheries

The three-year-old program has been able to make records management an integrated component in their agency program through one-on-one training with new employees, classroom training and briefings, and by making records management a component of performance evaluation criteria. The small staff (3.5 FTE) work with 22 liaisons in 9 regional and 13 field offices in the Alaska Region. They have raisexd the awareness of records management throughout their region, created and operate an efficient and complete paper file center, and are designing and implementing an electronic records management document scanning, indexing, search, and retrieval system.

Treasury / Office of Foreign Assets Control

OFAC administers and enforces government economic sanctions and embargo programs against targeted foreign governments and groups that pose treats to the national security, foreign policy, or economy of the United States. It has completely turned around a non-existent records management program to one that is a model for the Department and the Government in less than three years. The program deserves recognition for overall program accomplishment, including a mandatory training program, completion of an approved comprehensive records schedule, and the outstanding commitment of senior management to make records management a priority.

U.S. Army

Since 1998, the Army Records Management Division (ARMD) has aggressively pursued its goal to simplify records management for army personnel wherever they may be, from the soldier in the field to the records management liaison. The result is the Army Records

Information Management System (ARIMS), a comprehensive program of policy, proce-
dures, and tools to support records management. ARIMS is a restructured recordkeeping
program that places more focus on long-term records and allows local units more direct
control over short-term records. In addition, ARMD is part of the Army regulation proc-
ess, so that records management requirements are established with the development of
each regulation. In effect, this results in records management requirements that have
already been vetted with program stakeholders.

Performance Assessment Rating Tool (PART) Summary

Records Services Program

As part of the FY 2005 budget, OMB evaluated NARA's records services program using the Program Assessment Rating Tool (PART). PART was established to provide a process for rating the performance of programs across the Federal Government. The chart below summarizes OMB's findings, NARA's responses, and the current status of our progress in implementing the recommendations, as well as FY 2004 results for PART measures.

OMB Recommendation	NARA's Response to OMB's Finding	Status of Progress
1. Develop targets for newly created unit-cost measures.	NARA developed a standard methodology for collecting unit cost measures in FY 2004. Data will be collected for the first time for many new cost measures in FY 2004 and FY 2005. Targets will be set where appropriate after measurement methodologies are established and tested.	NARA included 13 new cost metrics in the FY 2004 perfor-mance plan and developed a methodology for collecting the data for the first time in FY 2004. These data are reported in the Performance section of this report. We will monitor trends and determine where targets are appropriate.
2. Produce audited financial statements.	Funding is included in the FY 2005 budget request to produce NARA's audited financial statements and NARA's Performance and Accounta-bility Report for the first time in FY 2004. To meet the timeline for producing a first report, staff had to be added in FY 2004.	Completed for the first time with the submission of this report to OMB and Congress.

Selected PART Measures	Year	Target	Actual
Annual cost of archival storage space per cubic feet of traditional holdings	2004	No annual target	$6.16
By 2005, 95 percent of requests for military service separation records are answered within 10 working days	2004	70	75
By 2009, 100 percent of NARA's archival holdings are in appropriate space	2004	No annual target	52% traditional holdings, 100% electronic holdings, 42% artifact holdings
By 2009, 100 percent of NARA records centers comply with the October 2009 regulatory storage standards	2004	No annual target	Data will be available in FY 2005

Definitions

The following provides definitions for many of the terms and concepts used in this performance report.

Goal 1	Records Management
Targeted assistance partnership	Established with an underlying written agreement between NARA and a Federal agency to identify and agree upon a specific project or projects to solve the agency's records management problems. The agreement must take the form of a project plan, memorandum of understanding (MOU), or similar written documentation that performs the same function as a project plan. The agreement has mutually agreed upon criteria for successful completion of the targeted assistance project or projects. An agreement can include several projects, each with its own success criteria.
Asset and risk management	Determining the value of information as a business asset in terms of its primary and secondary uses in the business process; identifying potential risks to the availability and usefulness of the information; estimating the likelihood of such risks occurring; evaluating the consequences if the risk occurs; and managing the information based on that analysis.
Records management service components (RMSC)	An application or system software that incorporates interfaces for interacting with other programs and that is made available to all Federal agencies for use in their enterprise architecture. The RMSC would provide the ability to embed records management functionality in the IT structure of the enterprise.
Records schedule	A document, having legally binding authority when approved by NARA, that provides mandatory instructions (i.e., disposition authority) for what to do with records no longer needed for current business.
Schedule item	Records subject to a specific disposition authority that appear on a records schedule.

Goal 2	Electronic Records
Accession	Archival materials whose legal custody is transferred to NARA.
File units	Data files of electronic records, most often in the form of a database.
Logical data record	A set of data processed as a unit by a computer system or application independently of its physical environment. Examples: a word processing document; a spreadsheet; an e-mail message; each row in each table of a relational database or each row in an independent logical file database.
Preserved	Electronic file preservation requires that (1) the physical file containing one or more logical data records has been identified and its location, format, and internal structure(s) specified; (2) logical data records within the file are physically readable and retrievable; (3) the media, the physical files written on them, and the logical data records they contain are managed to ensure continuing accessibility; and (4) an audit trail is maintained to document record integrity.

Online visits	One instance in which a person uses our web site is counted as one "visit." It is a count of the number of times our web site is accessed and is similar to counting the number of people who walk through our front door. In contrast, it does not count "hits," which refer to the number of files used to show the user a web page. A session in which a user accessed a web page comprising 35 files would count as one visit and 35 hits. Counting visits is a more accurate way of showing how much use our web site is getting than counting hits.
Megabyte	A measure of computer data storage capacity. A megabyte is 2 to the 20th power, or approximately a million bytes.
Gigabyte	A measure of computer data storage capacity. A gigabyte is 2 to the 30th power, or approximately a billion bytes (that is, thousand megabytes).
Terabyte	A measure of computer data storage capacity. A terabyte is 2 to the 40th power, or approximately a trillion bytes (that is, a thousand gigabytes).

Goal 3	Access
NAIL	NARA Archival Information Locator, prototype for ARC.
ARC	Archival Research Catalog, NARA-wide online catalog.
User Hits	User hits are the number of files used to show the user a web page. This is not the preferred method for measuring web usage. Counting online visits is more accurate and will be available for ARC in 2004.
Traditional holdings	Traditional holdings are books, papers, maps, photographs, motion pictures, sound and video recordings, and other documentary material that is not stored on electronic media.
Artifact holdings	Three-dimensional objects made, modified, or used by humans.
Electronic holdings	Electronic holdings are records on electronic storage media.
Inventory	An inventory is a listing of the volume, scope, and complexity of an organization's records.
Written requests	Requests for services that arrive in the form of letters, faxes, e-mail messages, and telephone calls that have been transcribed. Excludes Freedom of Information Act requests, personnel information requests at the National Personnel Records Center, Federal agency requests for information, fulfillment of requests for copies of records, requests for museum shop products, subpoenas, and special access requests.
Federal agency reference request	A request by a Federal agency to a records center requesting the retrieval of agency records. Excludes personnel information requests at the National Personnel Records Center.
Classified document review	A review by ISOO of an Executive branch agency to identify inconsistencies in the application of classification and marking requirements of Executive Order 12958. The results of the review along with any appropriate recommendations for improvement are reported to the agency senior official for the program or the agency head.

Program review | An evaluation of selected aspects of an executive branch agency's security classification program to determine whether an agency has met the requirements of Executive Order 12958. The review may include security education and training, self-inspections, declassification, safeguarding, and classification activity. The results of a review, along with any appropriate recommendations for improvement are reported to the agency senior official or agency head.

Equity-holding agency | An equity-holding agency is a Federal agency that may have classified information in a document, whether or not it created the document. Without declassification guidelines, only the equity-holding agency can declassify information in the document.

Goal 4 — Space and Preservation

Appropriate space | Appropriate space is storage area that meets physical and environmental standards for the type of materials stored there.

At-risk | Records that have a media base near or at the point of deterioration to such an extent that the image or information in the physical media of the record is being or soon will be lost or records that are stored on media accessible only through obsolete technology.

Goal 5 — Infrastructure

Staff development plan | An individualized plan to enhance employees' knowledge, skills, and abilities and to improve performance in their current jobs or of duties outside their current jobs in response to organizational needs and human resource plans.

Applicant | An applicant is anyone who has applied for a specific position.

Underrepresented groups | Underrepresented groups are groups of people tracked by the U.S. Equal Employment Opportunity Commission: Minority groups (Black, Latino-Hispanic, Asian/Pacific Islander, and American Indian/Alaskan Native); Women; People with Disabilities.

NARANET | NARANET is a collection of local area networks installed in 34 NARA facilities that are connected to a wide area network at Archives II, using frame relay telecommunications, and then to the Internet. NARANET includes personal computers with a standardized suite of software. NARANET was designed to be modular and scalable using standard hardware and software components.