NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

2009

PERFORMANCE BUDGET

CONGRESSIONAL JUSTIFICATION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
2009 PERFORMANCE BUDGET — CONGRESSIONAL JUSTIFICATION

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EXECUTIVE SUMMARY

The National Archives and Records Administration (NARA) serves American democracy by safeguarding and preserving the records of our Government, ensuring that the people can discover, use, and learn from this documentary heritage. Through maintaining and preserving these records, we ensure continuing access to the essential documentation of the rights of American citizens and the actions of their government. We support democracy, promote civic education, and facilitate historical understanding of our national experience.

To carry out our mission, NARA strives to achieve the six broad goals of our Strategic Plan.
- As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.
- We will preserve and process records to ensure access by the public as soon as legally possible.
- We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.
- We will provide prompt, easy, and secure access to our holdings anywhere, anytime.
- We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.
- We will equip NARA to meet the changing needs of our customers.

Following is a high-level summary of our budget request by account:

(Dollars in Thousands)	2007 Enacted	2008 Enacted	2009 Request	Change over 2008
Operating Expenses	$279,338	$315,000	$327,783	$12,783
Electronic Records Archives	45,254	58,028	67,008	8,980
Repairs and Restoration	9,120	28,605	9,211	-19,394
NHPRC Grants [1]	7,425	9,500	0	-9,500
Total NARA Request—Appropriations	**$341,137**	**$411,133**	**$404,002**	**-$7,131**
Less: Redemption of Debt	-10,026	-10,896	-11,842	-946
Total NARA Request—Budget Authority	**$331,111**	**$400,237**	**$392,160**	**-$8,077**

[1] FY 2007 and 2008 Enacted level for NHPRC Grants includes $2,000 thousand that will be realigned and executed in the Operating Expenses account

Significant Program Increases:

Base increases of $6,864,000 to maintain current levels of Operating Expenses:
- Inflationary cost increases (pay raise, facility rates, information technology, and general inflation)......................................$6,864,000

Program increases of $8,045,000 in the Operating Expenses Account:
- Prepare for the George W. Bush Presidential Library..$6,325,000
- Process and Declassify Presidential Records $1,600,000
- Supplement Criminal Investigative Staff $120,000

Program increase of $8,980,000 in the Electronic Records Archives Program for the development of the capability for long-term preservation and public access of electronic records

Base increase of $548,000 to maintain current levels in the Repairs and Restoration Account

Significant Program Decreases:

Decrease of $2,126,000 for unrequested funding in the Operating Expenses Account

Decrease of $19,942,000 in the Repairs and Restoration Account:
- Nixon Library Expansion $7,432,000
- Johnson Library Renovations..$3,760,000
- Kennedy Library Renovations and Expansion $8,000,000
- Roosevelt Library Renovations..$750,000

Decrease of $9,500,000 to the National Historical Publications and Records Commission Grants Program

STRATEGIC OVERVIEW

The citizens of the United States depend on the National Archives and Records Administration (NARA) to protect and preserve records that document the rights of citizens and the work of Government. We hold in trust the records that confer citizenship and benefits, attest to court proceedings, and document service to our nation. From filmmaker to veteran, next-of-kin to patent holder, our customers confidently turn to us knowing the records we maintain are authentic and available. Government agencies also depend on NARA's records management assistance and guidance to help them more effectively carry out their mission.

As the volume of the government's records continues to grow and increase in complexity, NARA will encounter new challenges in achieving our core goals. Changes in information technology expand the types of records we must preserve and make available to the public. As a result, technological obsolescence is one of the great challenges that we face in making original records available. Our most pressing challenges include:

- We must complete the development of the Electronic Records Archives system so that we can preserve at-risk valuable electronic records, including the records of the Bush Presidency, which will come to NARA on January 20, 2009.

- We must meet the challenges of a creating a new Presidential Library. We must prepare for staffing and operating the George W. Bush Library.

- We must address the fixed costs for space and personnel that make up a large portion of NARA's base budget and will continue to do so in the future. Inflationary cost increases in these areas jeopardize NARA's mission unless the base budget covers inflationary increases as well as real increases for additional records storage and support space. NARA will continue to develop strategies to maintain high-quality services while becoming more efficient and cost-effective.

FY 2007 Progress

FY 2007 was the first year that we worked to our new 10-year Strategic Plan, *"Preserving the Past to Protect the Future,"* 2006-2016. NARA has made strong progress in meeting the goals of our new Strategic Plan as detailed below.

Our Nation's Record Keeper. We continued moving forward in implementing *Strategic Directions for Federal Records Management*, our roadmap to redesign Federal records management practices in the age of electronic records. Many of the initiatives of this plan are now standard practice across the Federal Government. In FY 2007 we surveyed Federal agency records management customers, asking them about their satisfaction with NARA records management services. Results indicate that we met our goal of 80 percent satisfaction with NARA's records management services. We also analyzed the results of last year's pilot survey of Federal Chief Information Officers to better understand their use

of records management tools in risk mitigation in preparation for a wider survey in 2008. While CIOs generally had a positive view of the value of records and their usefulness as a tool for risk mitigation, our analysis indicated that NARA and agency records managers still have work to do to make the case for strong records management programs.

We fully deployed the *Toolkit for Managing Electronic Records*, an online resource on NARA's website for Federal agencies to quickly find and share guidance and other information about electronic records management. The information is searchable by topic, occupation, the organization that created the tool, or by words within the descriptive text. This year we added 37 new tools to the Toolkit and held training on the use of the tool. We continue to add content to the tool, making it a valuable one-stop resource.

We conducted a *records management study* to examine headquarters and regional agency records managers' experiences with Records Management Applications (RMA). The study informed NARA staff about the impact of RMA's on Government operations and provided lessons learned to share with Federal agencies. We also assessed how agencies use RMA's to capture and file email records.

We exceeded our goal of increasing by 10 percent the number of first time attendees to *NARA records management training*, with 2,122 first time attendees trained in 2007. Our *records management certification program* has certified 267 new records managers this year, bringing the total of professionally certified records managers to nearly 600 throughout the Federal Government.

Finally, we added *new electronic storage services* in our reimbursable Federal Records Center Program. We now offer Federal agencies the opportunity to store their electronic media in a secure environment, and will soon roll out a service that enables customers to request scanned images of their records via email.

Preserve and Process.   Our new Strategic Plan includes an aggressive new goal to *deal with our backlog of unprocessed records*. Archival processing involves a series of steps that establish physical and intellectual control of records and culminates in describing records in our online catalog, making them easier and faster to locate for research. This backlog has been growing for decades as we receive records from across the government faster than we can process them. We took steps this year to determine the scope of the problem, examine and adjust our work processes, and develop strategies to measure our progress. Future builds of ERA will provide support for process improvement and efficiency in processing records.

Dealing with multiple agency equities in the classified records in NARA's holdings makes our declassification efforts to meet Executive Order 12958, as amended, very complicated. With the help of our stakeholders in all the Executive Branch agencies that create classified records, we have initiated planning for a collaborative *National Declassification Initiative*. The objective of this initiative is to provide an efficient and effective means of handling the referral of classified records among the various equity holders.

One of the most economical ways to preserve records is to ensure that they are housed in space that meets proper storage standards. We completed construction of a *new records center facility in Fort Worth* this year and completed the move of the records from the old facility by the end of the year. We have also begun moving records out of the *Kansas City* records center into the caves in Lenexa, KS.

We are delighted that the *Nixon Library* in Yorba Linda, CA, is now part of the National Archives system of Presidential libraries. Formal acceptance occurred July 2007. We have begun moving artifacts stored in College Park, MD, to Yorba Linda, and have taken over full library and museum operations.

Meeting Electronic Records Challenges. The *Electronic Records Archives* (ERA) is our leading-edge system that will capture electronic records and information, regardless of format, save them permanently, and make them accessible on whatever hardware or software is currently in use. NARA's strong oversight of the contractor's work gave indication earlier this year that there were various problems in the development of the first incremental build of the system. These problems have led to a delay in delivery of this system for use in NARA operations from September 2007 to June 2008. However, NARA and the system contractor are working collaboratively on a comprehensive effort to correct or eliminate the conditions that created the problems including an almost total replacement of the contractor's development team. A separate team is working to develop the additional capabilities needed for ERA to address the special requirements related to the transfer, management, and access to Presidential electronic records. A prototype of these functions was demonstrated in September 2007, and the contractor is on schedule to deliver the required software in FY 2008. We continue to map legacy electronic records systems to ERA in preparation for a transition from outdated tracking and storage systems to ERA. In addition, reviews of legacy data are being conducted to ensure that data are ready for migration to ERA. While the ERA is in development we continue to meet our goals of processing and storing electronic records in a stable environment.

Expanding Opportunities for Access. We continued to add descriptions of our holdings to the *Archival Research Catalog* (ARC), our online catalog of NARA's nationwide holdings. We exceeded our target for having 55 percent of our holdings described in ARC this year. We described 56 percent of our traditional holdings, 57 percent of our artifact holdings, and 99 percent of our electronic holdings.

One indication of the quality and interest in the information we provide is that nearly 35 million visitors accessed our web sites this year. To help us continue to improve our web services, we use information gathered in an *online survey* on our main public web site, *archives.gov*. This survey, which uses the American Customer Satisfaction Index, gives us valuable information from our customers and we used the results to make improvements to our site.

We took some exciting new steps toward making more of our *archival holdings available online*. NARA entered into a *partnership* with Footnote, Inc., to digitize select holdings, beginning with materials currently on microfilm, making them available to the public on the Footnote web site and in NARA research rooms nation-wide. Through this non-exclusive agreement, NARA receives a set of digitized images of these holdings and their metadata, which we will be able to make available to the public in 5 years through the NARA website in addition to our

research rooms. These holdings will be described in our online catalog. We developed and collected public comment on our digitization plan and some guiding principles for our partnerships, and collected public comment on another proposed partnership.

We continued to provide *outstanding customer service* exceeding our FY 2007 targets in nearly every area. Ninety-three percent of the written requests we received from customers were answered within 10 working days, exceeding our goal of 90 percent. Eighty-eight percent of Freedom of Information Act (FOIA) requests for Federal records were completed within 20 working days, exceeding our target of 85 percent.

Civic Literacy. We engaged in a number of activities aimed at *improving the level of civic literacy* throughout the country. We launched a new exhibit "School House to White House: The Education of the Presidents" to engage the public in a more personal understanding of our Presidents in their youth. Our Presidential libraries have developed a number of system-wide and bilateral projects, including forthcoming conferences on the Supreme Court and the Presidency at the Roosevelt Library. Together, the libraries have also launched on the Internet a *Presidential Timeline*, a source of documents, photographs and audio and video clips and education-based activities. In September, C-SPAN began a series of two-hour, live programs from the 12 presidential libraries in sequence from Hoover to Clinton. We continued our successful *American Conversations—*a series of information public conversations between the Archivist and public figures. Past conversations have included Academy Award winning filmmaker, Ken Burns; Senator Hillary Rodham Clinton; Lynne Cheney; and Historian John Hope Franklin, among others.
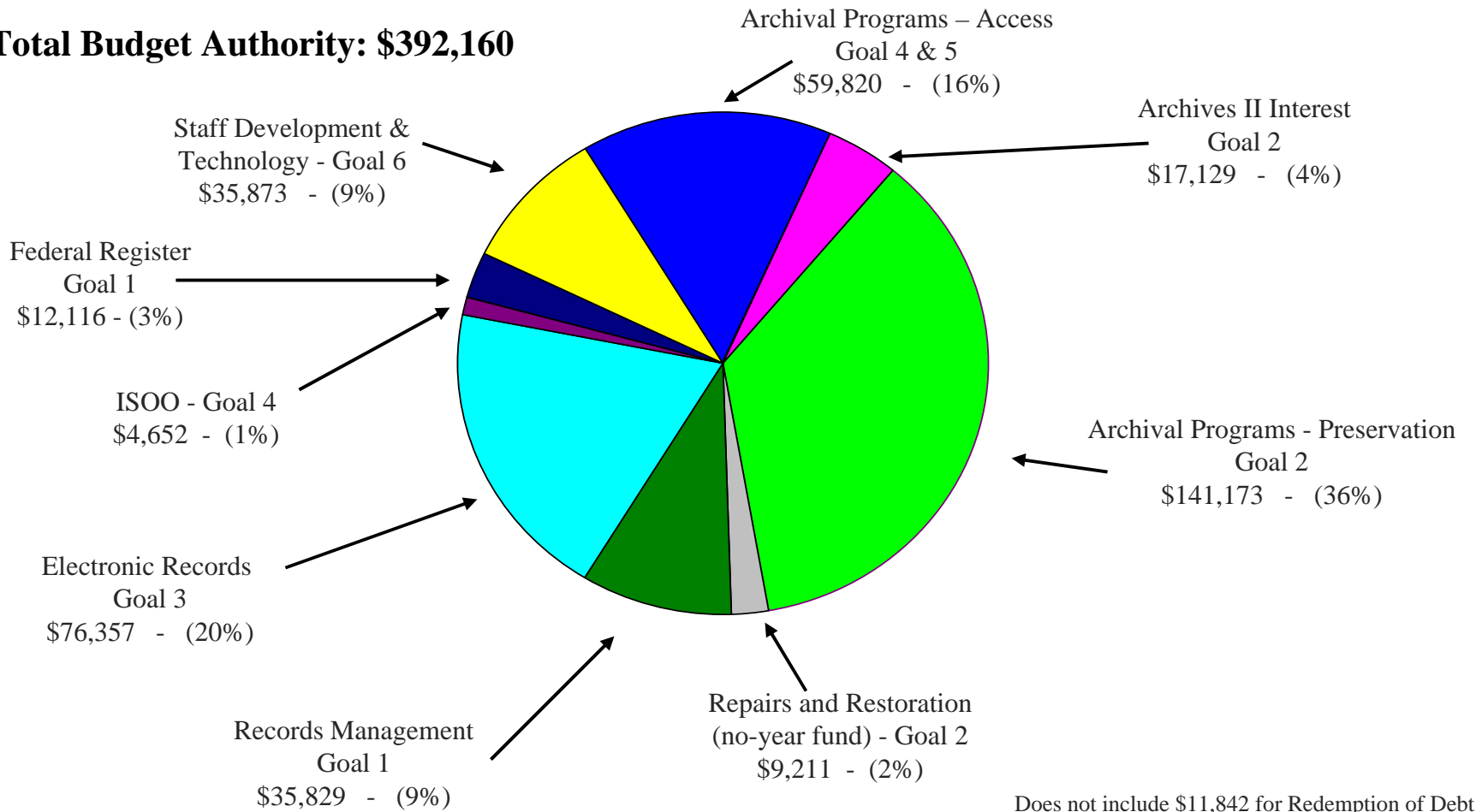
In summary, in all areas we fulfilled the promises we made that were the basis for the funding we received in FY 2007. More information about these and other efforts are available in our 2007 Performance and Accountability Report, published on November 15, 2007, and available on our website at http://www.archives.gov/about/plans-reports/performance-accountability/. With FY 2008 appropriations, we will maintain key programs that support the six goals in our Strategic Plan. We believe this FY 2009 request reflects the critical initiatives and basic needs that should be funded for NARA to fulfill its mission and meet the significant expectations from the public and rest of Government. (Exhibit 300s and this Performance Budget are available online at http://www.archives.gov/about/plans-reports/.) The funds we are requesting, detailed in the following pages, will allow NARA to fulfill legal mandates, Administration directions, safety and security requirements, and customer service expectations.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
FY 2009 Performance Budget Request by Function
(dollars in thousands)

Total Budget Authority: $392,160

Archival Programs – Access
Goal 4 & 5
$59,820 - (16%)

Archives II Interest
Goal 2
$17,129 - (4%)

Staff Development &
Technology - Goal 6
$35,873 - (9%)

Federal Register
Goal 1
$12,116 - (3%)

ISOO - Goal 4
$4,652 - (1%)

Archival Programs - Preservation
Goal 2
$141,173 - (36%)

Electronic Records
Goal 3
$76,357 - (20%)

Records Management
Goal 1
$35,829 - (9%)

Repairs and Restoration
(no-year fund) - Goal 2
$9,211 - (2%)

Does not include $11,842 for Redemption of Debt

JUSTIFICATION OF REQUESTED INCREASES

The Strategic Overview outlined the considerable mission and challenges confronting NARA. Here are the specific budget increases the budget request's for FY 2009 that will allow NARA to:

- Meet on-going operational requirements
- Continue building the Electronic Records Archives
- Prepare for the George W. Bush Presidential Library
- Process and declassify Presidential records
- Supplement criminal investigative staff

BASE INCREASE

For 2009, the Budget requests an increase of $6,864,000 to base programs to meet on-going operational requirements.

Inflationary Cost Increases

For FY 2009, the Budget requests $6,864,000 for Congressionally enacted pay raises, rent and contract increases, operation and maintenance of NARA-owned facilities, and license and access fees for technology.

NARA has a unique mission within the Federal Government of identifying, accessioning, protecting, ensuring preservation, and making available for use the important documents created throughout the Government from the President to Congressional committees to arguments before the Supreme Court to satellite imagery of the changing earth. What we do on behalf of the Government and the American citizens requires people and buildings. The vast majority of NARA's operating expenses are for salaries and facility-related costs.

During the past six years, our archival holdings have continued to grow. This has resulted in a growing backlog of records to be processed and preserved. We will continue to undertake efficiency producing measures to ensure that NARA has the most cost-effective operations possible. The resources included in the Budget will also help NARA in meeting the challenges it faces in processing and preserving records.

NARA has also experienced increased facility costs over the last six years because of inflation and the addition of new space including the Nixon Presidential Library, Clinton Presidential Library, the Southeast Regional Archives, space at the Reagan, Ford, and Roosevelt Libraries, and low cost leased underground storage to meet space demands for records storage. NARA is also preparing for the addition of the George W. Bush Presidential Library. The funding provided in the FY 2009 President's Budget will help maintain NARA operated facilities. Also, NARA will continue to investigate and develop the most cost-effective and efficient strategies to store and preserve records.

One example of NARA's cost saving efforts is the energy conservation measures that led to their achievement of a "green" energy usage rating from the Department of Energy. However, the continued growth in record holdings will present increasing challenges to develop strategies to limit costs and increase efficiency.

OPERATING EXPENSES INCREASES

For FY 2009, the Budget requests $8,045,000 and 40 FTE for new expenses and needs involving security, preservation, access, privacy, infrastructure, and support services. Fulfilling this request will enable NARA to:

- *Prepare for the George W. Bush Presidential Library*
- *Process and declassify Presidential records*
- *Supplement criminal investigative staff*

Prepare for the George W. Bush Presidential Library

For FY 2009, the Budget requests $6,325,000 and 24 FTE to staff and operate the Bush Presidential Materials Project.

As authorized by the Presidential Libraries Acts of 1955 and 1986, NARA oversees a system of 12 Presidential Libraries from Presidents Herbert Hoover to William Clinton. Through these Libraries, NARA provides access to the records of Presidential administrations and allows the public to see first-hand the documentary evidence of actions that helped to shape our nation.

NARA provides for the transfer and processing of the official records of each Presidential administration. At the end of the George W. Bush Administration, NARA will work with the White House and Department of Defense to ensure that Presidential records and materials are inventoried and appropriately transported and housed in a temporary facility in Texas. NARA will pay the Department of Defense for air transport of the Presidential materials as well as for military personnel support. NARA must also rent, outfit, and

maintain a facility that will function as the temporary George W. Bush Presidential Materials Project until the donation or perpetual leasing and acceptance by the Government of a permanent George W. Bush Presidential Library.

Staff at the temporary facility will begin work immediately to ensure the preservation of materials, establish initial physical and intellectual control, and to begin the processing of the records under the terms of the Presidential Records Act (PRA) of 1978, and to provide access to those records as required by law. The records and other materials to be transferred to the project site, along with the electronic records created during the Administration, will make this the largest Presidential collection in the system.

Because the PRA mandates the records of the Administration be available under the Freedom of Information Act (FOIA) five years after the President leaves office, early and adequate staffing prepares the Presidential Library to respond to researcher demands. As staff develops the specialized knowledge required for processing the records, NARA will be able to fulfill legal mandates, answer special access requests and meet the public's expectations of access. Adequate staff will ensure that the early days of the Library will be effective and efficient.

In recognizing the challenges of caring for and making available these materials, the Budget is requesting additional archival and archival support staff needed to assume responsibility for managing the Bush materials. The scope of the collection, together with statutory access demands, requires increased resources.

Process and Declassify Presidential Records

For FY 2009, the Budget requests $1,600,000 and 15 FTE for Presidential records processing and declassification.

NARA faces considerable challenges and responsibilities in the processing and declassification review of Presidential records. The Presidential records at the Libraries document the Presidency and are at the highest policy level of government. These records document crucial decisions and policy and are, therefore, highly sought-after by the research public.

One of the biggest challenges that NARA faces is a backlog of Presidential records requests that need to be processed. When the Presidential Records Act (PRA) was enacted in 1978, it was assumed that during the first five years after a President left office, the library staff would complete a significant amount of processing before the records became available to FOIA requests. However, NARA's experience with Reagan, Bush, and Clinton Presidential records has been that during the initial five years, special access requests by the President, the Congress, or the courts have taken most of the archivists' time. Therefore, only a small percentage of Presidential records have been immediately available at the five year-point, and as these records become subject to FOIA, answering these requests requires staff to process records that have not been previously reviewed in accordance with the statutory requirements.

The Reagan and Bush Libraries estimate that the backlogs of requests now average five years for classified records and four years for unclassified records. The Clinton Library, whose records became subject to FOIA on January 20, 2006, received 336 cases totaling more than 9.3 million pages in the first year—the largest number of requested records ever received by a Library. Because of the increased volume of records, particularly the exponential growth of electronic records in each successive Administration, archival staffs at libraries with Presidential records have been unable to meet the demands for access. Coupled with large numbers of special access requests in the early years of each Library, a disappointing number of records as a percentage of the overall holdings of each of these libraries were able to be processed during the five year window. FOIA requests now wait in queues for some time before processing begins.

Therefore, the Budget requests additional archival staff to address the enormous FOIA processing needs for both textual and electronic Presidential records. While the Office of Presidential Libraries is examining ways to make the processing of Presidential records more efficient, without adequate staff and resources devoted to processing Presidential records and declassification, FOIA backlogs will continue to grow, in-demand and complex electronic records will not get needed attention, and Presidential records will not be reviewed for declassification in compliance with the EO 12958, as amended, deadlines.

The Budget's request for $1,600,000 will be used to hire and train 15 additional FTE for Presidential records processing. This funding will enhance NARA's ability to process Presidential records to meet statutory obligations and strategic goals. NARA will be more adequately staffed to meet both FOIA and special access requests. They will dedicate eight positions to decreasing the textual FOIA backlog at the Reagan, Bush, and Clinton Libraries. The remaining seven FTE will be dedicated to processing Presidential electronic records.

Supplement Criminal Investigative Staff

For FY 2009, the Budget requests $120,000 and 1 FTE for Inspector General criminal investigations.

NARA holdings command high value in the open market, and with the Internet, that market has exploded. With electronic trading platforms such as eBay, anyone who pilfers NARA's holdings can instantly become a dealer. NARA has been working to educate and partner with collectors, traders, auctioneers, archivists, and the general public so that they are better able to identify alienated Federal records. Without criminal investigators to capture and act upon information received from the public, we risk losing pieces of our nation's history. NARA's request for $120,000 will be used to hire an additional criminal investigator to help address the Office of the Inspector General's case load and perform proactive investigative work.

ELECTRONIC RECORDS ARCHIVES INCREASE

For FY 2009, the Budget requests an increase of $8,980,000 over the FY 2008 President's Budget request of $58,028,000 for the Electronic Records Archives Program. Fulfilling this request will enable NARA to:

- *Develop capability and capacity for public access to electronic records in ERA.*
- *Develop capability for long-term preservation of electronic records in ERA.*

Building the Electronic Records Archives

For FY 2009, the Budget requests an increase of $8,980,000 for ERA, which includes funding to provide public access and enable long-term preservation and sustained access to electronic records. The increase would bring ERA total funding to $67,008,000. Of the $67,008,000, the Budget requests that $21,213,000 be made available as one-year funding and the remaining $45,795,000 be made available as three-year funding.

As the Federal Government relies increasingly on computers to carry out its programs, NARA faces a growing and ever more complex challenge of preserving and providing access to the electronic records produced in all three Branches.

These records are created in many forms: text documents, emails, web pages digital photographs, video and audio recordings, spreadsheets, charts, drawings, databases, satellite imagery, geographic information systems and more. The records are also often

complex. Emails can have attachments in any form. Web pages and other applications are often interactive. Even text documents sometimes have other documents embedded in them or links to support documents on the Internet.

Preserving electronic records remains an extraordinary challenge because it requires simultaneously guarding against loss of electronic records due to rapid obsolescence of hardware and software, enabling Americans to use the best current technology to find and access the records, and ensuring that the records remain authentic. These three needs are often in conflict with one another.

The Electronic Records Archives is NARA's response to this challenge of preserving authentic electronic records free from specific hardware and software and providing access to authentic records in the future. Authenticity is essential to citizens both to enable them to learn what their government has done and because Federal records often provide key evidence supporting individual rights. Authenticity is also important to the Government itself. A large percent of the requests for electronic records come from Federal agencies.

NARA's Strategic Plan states, "We will address the challenges of electronic records in the Government to ensure success in fulfilling NARA's mission in the digital era." ERA will be incrementally deployed and will embody the key functions of NARA's mission to accept, preserve, and provide access to authentic electronic records.

The FY 2004 appropriation for ERA supported the development of the architecture and overall design for the system. Subsequent appropriations have supported and will support detailed design, development, and operation. The overall effort has been divided into five increments running through 2011. The FY 2005, 2006, and most of the 2007 appropriations supported the detailed design and development of Increment 1 of this system. Increment 1 includes the infrastructure for the system as well as business functions for both the lifecycle management of all federal records and for the actual transfer and initial preservation of electronic records.

Various problems encountered in the development of Increment 1 have led to a delay in delivery of this system for use in NARA operations from September 2007 to June 2008, and an estimated cost overrun of $14.9 million, or 12.6 percent of the Increment 1 funding. NARA and the system contractor are working collaboratively on a comprehensive effort to correct or eliminate the conditions that created the problems. A significant part of the delayed delivery resulted from the joint decision to improve the likelihood that the system will meet requirements by adding three deliveries of parts of the Increment 1 system in pilot mode. These pilots enable NARA to conduct extensive functional and security tests on the system, and enable the contractor to address any problems found, prior to formal delivery for production use. The contractor made deliveries in September and December on schedule. NARA completed evaluation of the first delivery in December with a positive assessment. NARA will complete evaluation of the second pilot in late February. The third pilot is scheduled for delivery in March. At formal delivery in April, NARA will conduct comprehensive functional, operational, and security testing to ensure that problems identified in pilot testing have been fixed and no new problems created. In addition to the collaboration on the schedule, the contractor has agreed to compensate for the overrun on the first Increment by absorbing the costs for research on ways to address some of the more technologically challenging ERA requirements, notably in long-term digital preservation and in searching the very heterogeneous records NARA preserves.

Starting with FY 2007, most funds for system development are devoted to developing the next increment of the system; however, some funds are required for operations and maintenance and some are set aside for planning for the development of the following increment. This is necessary to enable an even development process across the five increments. Approximately $3,000,000 of the $32,861,000 in multi-year funds available in FY 2007 was devoted to planning for Increment 2.

The FY 2008 appropriation enables ERA to develop and deploy Increment 2 of the system. Increment 2 will enable NARA to bring in, preserve, manage, and access both federal and presidential electronic records of the current Administration.

Provided the contractor succeeds in meeting the revised schedule for Increment 1, the delayed delivery of the initial system will not impact NARA's ability to take in, preserve and manage both classified and unclassified electronic records of the Executive Office of the President at the end of the current Administration, as this development is being pursued by a separate team on an independent track. This team demonstrated a prototype system addressing the special requirements related to Presidential electronic records in September, and the contractor remains on schedule for delivery of the additional required functionality in the fourth quarter of FY 2008.

A cost overrun in the initial system will probably entail delaying parts of subsequent developments until later than originally planned. The plan for incremental development can accommodate such adjustment within the overall schedule because the original plan assumed that developmental efforts in Increments 4 and 5 would be at significantly lower levels than previously. The contractor will be able to do more development in those phases by retaining development staff at prior levels.

The FY 2009 request will support development and deployment of Increment 3 of the system. Increment 3 will provide, for the first time, public access to records in the system. It will also enable us to begin to provide digital preservation above and beyond physical survival of the files transferred to NARA. Physical preservation alone does not enable people to access electronic records once their formats become obsolete, as most digital formats do. Advanced digital preservation is also required to ensure that the public can trust the National Archives to deliver authentic electronic records. Prior funding levels were not sufficient either to provide public access or to address format obsolescence.

REPAIRS AND RESTORATION INCREASE

The Repairs and Restoration portion of NARA's budget consists of an initiative to adjust the funding for the base level for repairs and restorations to $9,211,000, an increase of $548,000 over the FY 2008 President's Budget.

Funding in the Repairs and Restoration account is prioritized based on a yearly needs assessment conducted by NARA engineers. NARA owns 16 buildings—the National Archives Building, the National Archives at College Park, 13 Presidential Libraries and Museums (including the new Nixon Presidential Library), and the Southeast Regional Archives outside of Atlanta. The National Archives Building and the Roosevelt Library are on the National Register of Historic Places, and all of the Presidential Libraries are considered by the State Historic Preservation Officers to be eligible. All of these buildings house historically valuable and irreplaceable documents. Millions of visitors go to these facilities to do research, to participate in conferences, and for learning and education opportunities. The Repairs and Restoration account maintains these buildings to meet archival storage requirements and keeps their interiors and exteriors in a proper state of repair.

Starting in FY 1996, Congress provided "no year" funds to a Repairs and Restorations (R&R) account to support necessary repairs to NARA's buildings.

NARA has established a formal business process to identify facility projects and classify them according to their criticality. NARA's Space Management Branch, staffed by five architects and engineers, specializes in building repair and construction. They are supported by contracts with professional architectural and engineering firms to provide support in all building design and construction disciplines.

Under the direction of the Space Management Branch, NARA completes an evaluation (called a Building Condition Report (BCR)) of every NARA-owned building every five years. The BCR is a comprehensive examination of the entire building, with projections on repair and upgrade needs into various categories based on criticality. The inspections are performed in accordance with a NARA developed scope of services which prescribes the specific operational requirements to be met in every building system. The requirements have, as a basis, the storage standards for archival records as well as research, office, and museum operating parameters. Generally, three or four BCRs are programmed every year, ensuring that all of the buildings are inspected every 5 years.

Programming R&R funding is based on the most current BCR for each facility. The BCRs classify needed repairs as Category 1, 2 or 3. Category 1 repairs must be implemented immediately to keep the building functional. Category 2 deficiencies are those identified as repairs that should be completed within a one-to-five-year time period to continue the normal operation of the building. In some cases a Category 2 repair will be programmed to be performed in connection with Category 1 repairs of a similar nature to take advantage of bundling the work into a larger project to minimize overall construction costs. Category 3 deficiencies are those repairs that can be planned to be completed more than five years out and are deferred pending a review in the next BCR. Normally we perform the Category 1 and Category 2 repairs using funding from our base R&R money.

The BCRs provide the information necessary to identify needed repairs before they become emergencies, thus reducing overall repair costs as well as conserving staff resources and better maintaining archival storage environments

Repairs and Restoration Base Increase

For FY 2009, the Budget requests $9,211,000 to fund repairs and restorations to NARA-owned facilities, which is a $548,000 increase over the FY 2008 base.

The FY 2009 base level will cover increases due to inflation and increases in our space inventory.

In calculating the FY 2009 request, we have taken the 2005 Buildings Owners and Managers Association International (BOMA) Experience Exchange Report calculated amount for operations and maintenance of Government space ($1.75 per square foot) and escalated that rate using the appropriate construction costs index of 3 percent for 2005, 2006, and 2007, 4.6 percent for 2008 and 3.8 percent for 2009. The $1.75 per square foot 2004 rate increases to $2.08 per square foot for 2009 after escalation.

The calculation of the area to be maintained is based on increasing the square footage (SF) in our FY 2008 request (4,331,554 SF) to cover 100 percent of the William J. Clinton Presidential Library (an additional 32,000 SF), 100 percent of the Henry Wallace Visitor's Center at the Franklin D. Roosevelt Presidential Library (an additional 50,000 SF) and 100 percent of the Ronald Reagan Presidential Library expansion space (an additional 15,000 SF). The revised total square footage is 4,428,554.

LINKING BUDGET INITIATIVES TO NARA'S PERFORMANCE PLAN

Budget Initiative	Long-Range Performance Target	Outcome	Budget Request	Performance Plan Linkage
Prepare for the George W. Bush Presidential Library	By 2016, 100 percent of NARA's archival holdings are in appropriate space. By 2016, 95 percent of our holdings have been processed to the point where researchers can have efficient access to them.	Archival records are preserved for public use. Records are at a point where a researcher can discover their existence and either have the records promptly or have a prompt explanation of why we must withhold them.	$6,325,000	Pages II-10 to II-12
Process and Declassify Presidential Records	By 2016, 95 percent of our holdings have been processed to the point where researchers can have efficient access to them. By 2016, NARA archival holdings of 25-year-old or older records are declassified, exempted, or referred under the provisions of Executive Order 12958, as amended.	Records are at a point where a researcher can discover their existence and either have the records promptly or have a prompt explanation of why we must withhold them. Records that *can* be declassified *are* declassified.	$1,600,000	Pages II-20 to II-21 and II-23 to II-27
Build the Electronic Records Archives	By 2016, 95 percent of archival electronic holdings have been processed to the point where researchers can have efficient access to them. By 2012, 80 percent of archival electronic records are preserved at the planned level of service. By 2016, the per-megabyte cost of managing electronic records will continue to decreases each year.	Electronic records are at a point where a researcher can discover their existence and either have the records promptly or have a prompt explanation of why we must withhold them. Electronic records of archival value are effectively preserved for future generations. Electronic records of archival value are economically preserved.	$67,008,000	Pages II-40 to II-42

LINKING E-GOV INITIATIVES TO NARA'S PERFORMANCE BUDGET

E-Government Initiative[1]	Benefits	Funding by Account	
Operating Expenses (unless otherwise noted)		*FY 2008*	*FY 2009*
E-Rulemaking	e-Rulemaking allows NARA to participate fully in the Federal Docket Management System, making it easier for the public to review and comment on our regulations. With the addition of the Records Management module in FY 2007, NARA is now able to maintain electronic dockets in a recordkeeping system.	$0	$87,992 service fee
Grants.gov	This initiative benefits NARA and its grant programs by providing a single location to publish grant (funding) opportunities and application packages, and providing a single site for the grants community to apply for grants using common forms, processes and systems. NARA fully migrated to the Grants.gov system in FY 2006. NARA had no legacy grants system to modify, replace, or retire.	$77,250 service fee	$0[2]
Recruitment One-Stop	This initiative benefits NARA by providing an effective mechanism for finding qualified applicants for vacant positions. Through USAJOBS.gov, Recruitment One-Stop provides an online portal through which citizens can easily search for employment opportunities at NARA. NARA posts all of its job announcements through USAJOBS.gov.	$17,502 service fee	$18,202 service fee
Enterprise Human Resources Integration	EHRI will replace the current OPF with an electronic file (eOPF). The eOPF provides the ability to capture and store images from paper records and to provide immediate online access and printed copies in digital form. Through this initiative, NARA will be saving money through re-engineered business processes based around electronic folders vs. paper-based folders. This reduces time agencies spend on copying, faxing, storing, scanning, retrieving, and mailing paper folders.	$45,411 service fee	$47,227 service fee
		$24,452 service fee Revolving Fund	$25,430 service fee Revolving Fund

[1] Associated **Exhibit 300s** are available online at http://www.archives.gov/about/plans-reports/
[2] Currently $0 based upon budget guidance, should Congress fund the NHPRC in FY 2009, the agency would incur a service fee of $74,596

LINKING E-GOV INITIATIVES TO NARA'S PERFORMANCE BUDGET (continued)

E-Government Initiative	Benefits	Funding by Account	
Operating Expenses (unless otherwise noted)		*FY 2008*	*FY 2009*
E-Travel	This initiative provides NARA more efficient and effective travel management services. The benefits include cost savings associated with cross-government purchasing agreements and improved functionality through streamlined travel policies and processes, strict security and privacy controls, and enhanced agency oversight and audit capabilities. NARA employees benefit through more efficient travel planning, authorization, and reimbursement processes. NARA migrated to shared service provider effective 10/1/2005.	$66,463 service fee	$62,216 service fee
Grants Management LoB	This initiative benefits NARA and its grant programs by improving the delivery of services to grant recipients, improving decision-making and decreasing costs associated with building and maintaining Grants Management IT systems. NARA has no system to modify, replace, or retire; NARA currently implementing its E-Government milestones with Grants Management LoB consortia.	$28,460 agency contribution	$28,460 agency contribution
Geospatial LoB	The Geospatial LoB will result in a more coordinated approach to producing, maintaining, and using geospatial data, and will ensure sustainable participation from Federal partners to establish a collaborative model for geospatial-related activities and investments. NARA collaboration will further the preservation of permanently valuable geospatial records in the National Archives of the United States.	$15,450 agency contribution	$15,450 agency contribution
IAE – Loans and Grants	The FPDS eliminates the necessity of manually tracking all of our awards to create SBA reports and provides data to the general public. Financial and CCR work together to facilitate vendor approval. The EPL allows us to verify if a vendor has been disbarred. Our use of these and other component IAE systems afford us the opportunity to use the most efficient, competitive and transparent process possible in contracting for goods and services to ensure we make the best business decisions.	$12,963 agency contributions	$12,963 agency contributions

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS

CROSSWALK FROM 2007 AVAILABILITY TO 2009 BUDGET REQUEST
(dollars in thousands)

	2007 Enacted Level		2008 Enacted Level		2009 Request		Refer to Page
	FTE	Amount	FTE	Amount	FTE	Amount	
OPERATING EXPENSES – DIRECT	**1,460**	**$282,525**	**1,403**	**$281,784**	**1,448**	**$315,000**	
Adjustments to Direct Base Level:							I-8
Annualization of 2006 Pay Raise	-	326	-	-	-	-	
Annualization of 2007 Pay Raise	-	777	-	952	-	-	
Annualization of 2008 Pay Raise	-	-	-	2,966	-	1,236	
Annualization of 2009 Pay Raise	-	-	-	-	-	2,950	
Two More Compensable Workdays in 2008	-	-	-	1,030	-	-	
One Less Compensable Workday in 2009	-	-	-	-	-	-520	
Voluntary Early Retirement Program (VSIP/VERA)	-19	-1,802	-	-	-	-	
Hiring Freeze Implementation (Cost Avoidance)	-53	-3,774	-	-	-	-	
Normalization of Operations (post hiring freeze)	-	-	17	1,790	-	-	
Reappropriation of FY 2005 unobligated balances	-	-310	-	-	-	-	
Reappropriation of FY 2006 unobligated balances	-	445	-	-445	-	-	
Inflationary Rate Changes (non-pay)	-	30	-	676	-	930	
Facility / Utility Rate Changes	-	2,908	-	3,609	-	761	
Facility Savings from Change in Operating Hours	-	-538	-	538	-	-	
Rent Rate Changes (GSA Facilities)	-	13	-	958	-	-	
Information Technology Changes	-	1,952	-	1,526	-	1,507	
Appropriate Storage Space for newly Accessioned Records	-	1,474	-	4,600	-	-	
Adjustment for One-Time Unrequested Funding	-	-	10	2,126	-	-2,126	
Total Adjustments to the Base	**-72**	**$1,501**	**27**	**$20,326**	**0**	**$4,738**	
Revised Operating Expenses – Direct – Base Level	**1,388**	**$284,026**	**1,430**	**$302,110**	**1,448**	**$319,738**	

CROSSWALK FROM 2007 AVAILABILITY TO 2009 BUDGET REQUEST (continued)
(dollars in thousands)

	2007 Enacted Level		2008 Enacted Level		2009 Request		Refer to
	FTE	Amount	FTE	Amount	FTE	Amount	Page
OPERATING EXPENSES–DIRECT – INCREASES							I-9
Our Nation's Record Keeper							
Prepare for a new George W. Bush Presidential Library	5	202	5	5,633	24	6,325	
Criminal Investigative Staff Supplement	-	-	-	-	1	120	
Preserve and Process							
Richard Nixon Presidential Library Initial Funding	-	-1,980	-	-	-	-	
Richard Nixon Presidential Library Operations Funding	10	2,639	11	2,925	-	-	
Extend Physical Access Controls Throughout NARA	-	-3,353	-	-	-	-	
Relocate Southwest and Central Plains Regional Archives	-	-	-	4,000	-	-	
Expand capacity to Process Presidential Records	-	-	-	-	15	1,600	
Electronic Records							
Independent Oversight of the Electronic Records Archives Program	-	-	2	332	-	-	
Access							
Public Interest Declassification Board	-	250	-	-	-	-	
Total Program Increases	**15**	**-$2,242**	**18**	**$12,890**	**40**	**$8,045**	
GRAND TOTAL – Operating Expenses – Direct	**1,403**	**$281,784**	**1,448**	**$315,000**	**1,488**	**$327,783**	

CROSSWALK FROM 2007 AVAILABILITY TO 2009 BUDGET REQUEST (continued)
(dollars in thousands)

	2007 Enacted Level		2008 Enacted Level		2009 Request		Refer to Page
	FTE	Amount	FTE	Amount	FTE	Amount	
ELECTRONIC RECORDS ARCHIVES	**34**	**$37,535**	**44**	**$45,254**	**49**	**$58,028**	I-11
Meet Electronic Records Challenges							
Annualization of 2007 Pay Raise	-	40	-	-	-	-	
Naval Oceanographic Office	-	-1,980	-	-	-	-	
System Acquisition	10	9,659	-	-	-	-	
ERA to Develop / Deploy National Security System	-	-	5	12,774	-	-	
Develop Long-Term Preservation and Capacity for Public Access	-	-	-	-	-	8,980	
Total Electronic Records Archives Increases	**10**	**$7,719**	**5**	**$12,774**	**0**	**$8,980**	
GRAND TOTAL – Electronic Records Archives	**44**	**$45,254**	**49**	**$58,028**	**49**	**$67,008**	

CROSSWALK FROM 2007 AVAILABILITY TO 2009 BUDGET REQUEST (continued)

(dollars in thousands)

	2007 Enacted Level		2008 Enacted Level		2009 Request		Refer to Page
	FTE	Amount	FTE	Amount	FTE	Amount	
REPAIRS AND RESTORATION		**$9,585**		**$9,120**		**$28,605**	I-14
Meet Storage and Preservation Needs							
Buildings Square Footage and Rate Increase*	-	-	-	2,543	-	548	
Johnson Library Plaza Repairs	-	-990	-	3,760	-	-3,760	
Alaska Regional Archives—Construction	-	-1,485	-	-	-	-	
Nixon Library—Expansion of Archival Storage Space	-	-	-	7,432	-	-7,432	
Roosevelt Library—Design and Renovations	-	-	-	750	-	-750	
Kennedy Library—Design and Renovations	-	-990	-	-	-	-	
Kennedy Library—Land Acquisition	-	-	-	8,000	-	-8,000	
Flood Damage to National Archives Building	-	3,000	-	-3,000	-	-	
Total Repairs and Restoration Increases	**0**	**$3,000**	**0**	**$22,485**	**0**	**$548**	
Total Repairs and Restoration Decreases	**0**	**-$3,465**	**0**	**-$3,000**	**0**	**-$19,942**	
GRAND TOTAL – Repairs and Restoration	**0**	**$9,120**	**0**	**$28,605**	**0**	**$9,211**	

* This rate is based on the 2005 Buildings Owners and Managers Association International's ("BOMA*") BOMA Experience Exchange Report* , and adjusted based on the Construction Cost Index (CCI).

CROSSWALK FROM 2007 AVAILABILITY TO 2009 BUDGET REQUEST (continued)
(dollars in thousands)

	2007 Enacted Level		2008 Enacted Level		2009 Request		Refer to Page
	FTE	Amount	FTE	Amount	FTE	Amount	
NHPRC Grants:	**0**	**$5,425**	**0**	**$7,425**	**0**	**$9,500**	
Transfer to Direct, Operating Expenses	-	2,000	-	-	-	-	
NHPRC National Direct-Grants Program	-	-	-	2,075	-	-	
Decrease NHPRC Direct – Grants Program	-	-	-	-	-	-9,500	
GRAND TOTAL – NHPRC Grants	**0**	**$7,425**	**0**	**$9,500**	**0**	**$0**	

SUMMARY OF TOTAL BUDGET AUTHORITY

	2007 Enacted Level		2008 Enacted Level		2009 Request		Refer to Page
	FTE	Amount	FTE	Amount	FTE	Amount	
Operating Expenses – Direct	1,403	$281,784	1,448	$315,000	1,488	$327,783	III-1
Electronic Records Archives	44	45,254	49	58,028	49	67,008	III-19
Repairs and Restoration	0	9,120	0	28,605	0	9,211	III-25
NHPRC Grants	0	7,425	0	9,500	0	0	III-28
Advances and Reimbursements	24	1,503	29	2,317	29	2,438	III-31
Revolving Fund	1,164	0	1,200	0	1,200	0	III-36
Trust Fund	123	0	129	0	129	0	III-45
TOTAL APPROPRIATIONS	**2,758**	**$345,086**	**2,855**	**$413,450**	**2,895**	**$406,440**	
Less Redemption of Debt		-$10,026		-$10,896		-$11,842	
GRAND TOTAL – BUDGET AUTHORITY	**2,758**	**$335,060**	**2,855**	**$402,554**	**2,895**	**$394,598**	

NOTE: Archives II principal for redemption of debt is excluded from Budget Authority amounts in accordance with OMB guidelines.

PERFORMANCE COSTS - FISCAL YEAR 2007

(dollars in thousands)

ACTIVITIES	Operating Expenses		Electronic Records Archives		R & R	NHPRC	Advances & Reimbursements		Trust Fund		Revolving Fund		Total	
	$	FTE	$	FTE	$	$	$	FTE	$	FTE	$	FTE	$	FTE
Goal 1: As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.														
Records Services	$22,153	157	-	-	-	-	-	-	-	-	$141,329	1,164	$163,482	1,321
Archives Related Services	$8,294	60	-	-	-	-	-	-	-	-	-	-	$8,294	60
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 1	**$30,447**	**217**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$141,329**	**1,164**	**$171,776**	**1,381**
ensure access by the public as soon as legally possible.														
Records Services	$97,847	540	-	-	$8,408	-	-	-	-	-	-	-	$106,255	540
Archives Related Services	132	-	-	-	-	-	-	-	-	-	-	-	$132	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	$18,945	-	-	-	-	-	-	-	-	-	-	-	$18,945	0
Total Goal 2	**$116,924**	**540**	**$0**	**0**	**$8,408**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$125,332**	**540**
Goal 3: We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.														
Records Services	$8,593	55	-	-	-	-			-	-			$8,593	55
Archives Related Services	-	-	-	-	-	-			-	-	-		$0	0
Electronic Records Archives	-	-	$48,912	39	-	-	-	-	-	-	-	-	$48,912	39
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 3	**$8,593**	**55**	**$48,912**	**39**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$57,505**	**94**
Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime.														
Records Services	$46,143	250			-	-	$1,503	31	$200	1	-	-	$47,846	282
Archives Related Services	387	-	-	-	-	-	-	-	-	-	-	-	$387	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 4	**$46,530**	**250**	**$0**	**0**	**$0**	**$0**	**$1,503**	**31**	**$200**	**1**	**$0**	**0**	**$48,233**	**282**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS

PERFORMANCE COSTS - FISCAL YEAR 2007
(dollars in thousands)

ACTIVITIES	Operating Expenses		Electronic Records Archives		R & R	NHPRC	Advances & Reimbursements		Trust Fund		Revolving Fund		Total	
	$	FTE	$	FTE	$	$	$	FTE	$	FTE	$	FTE	$	FTE
Goal 5: We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.														
Records Services	$35,983	163	-	-	-	-	-	-	$16,641	121	-	-	$52,624	284
Archives Related Services	$1,799	10	-	-	-	$5,706	-	-	-	-	-	-	$7,505	10
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 5	**$37,782**	**173**	**$0**	**0**	**$0**	**$5,706**	**$0**	**0**	**$16,641**	**121**	**$0**	**0**	**$60,129**	**294**
Goal 6: We will equip NARA to meet the changing needs of our customers.														
Records Services	$29,666	168	-	-	-	-	-	-	-	-	-	-	$29,666	168
Archives Related Services	$1,437	-	-	-	-	-	-	-	-	-	-	-	$1,437	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 6	**$31,103**	**168**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$31,103**	**168**
Summary of Goals 1 through 6														
Records Services	$240,385	1,333	$0	0	$8,408	$0	$1,503	31	$16,841	122	$141,329	1,164	$408,466	2,650
Archives Related Services	$12,049	70	$0	0	$0	$5,706	$0	0	$0	0	$0	0	$17,755	70
Electronic Records Archives	$0	0	$48,912	39	$0	$0	$0	0	$0	0	$0	0	$48,912	39
Archives II Facility	$18,945	0	$0	0	$0	$0	$0	0	$0	0	$0	0	$18,945	0
GRAND TOTAL	**$271,379**	**1,403**	**$48,912**	**39**	**$8,408**	**$5,706**	**$1,503**	**31**	**$16,841**	**122**	**$141,329**	**1,164**	**$494,078**	**2,759**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS

PERFORMANCE COSTS - FISCAL YEAR 2008
(dollars in thousands)

ACTIVITIES	Operating Expenses		Electronic Records Archives		R & R	NHPRC	Advances & Reimbursements		Trust Fund		Revolving Fund		Total	
	$	FTE	$	FTE	$	$	$	FTE	$	FTE	$	FTE	$	FTE
Goal 1: As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.														
Records Services	$29,304	190	-	-	-	-	-	-	-	-	$147,000	1,200	$176,304	1,390
Archives Related Services	$10,054	61	-	-	-	-	-	-	-	-	-	-	$10,054	61
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 1	**$39,358**	**251**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$147,000**	**1,200**	**$186,358**	**1,451**
Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.														
Records Services	$138,292	661	-	-	$28,605	-	-	-	-	-	-	-	$166,897	661
Archives Related Services	135	-	-	-	-	-	-	-	-	-	-	-	$135	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	$18,075	-	-	-	-	-	-	-	-	-	-	-	$18,075	0
Total Goal 2	**$156,502**	**661**	**$0**	**0**	**$28,605**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$185,107**	**661**
Goal 3: We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.														
Records Services	$9,417	55	-	-	-	-			-	-	-	-	$9,417	55
Archives Related Services	-	-	-	-	-	-			-	-	-	-	$0	0
Electronic Records Archives	-	-	$58,028	49	-	-	-	-	-	-	-	-	$58,028	49
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 3	**$9,417**	**55**	**$58,028**	**49**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$67,445**	**104**
Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime.														
Records Services	$51,246	246	-	-	-	-	$2,317	29	$200	1	-	-	$53,763	276
Archives Related Services	397	-	-	-	-	-	-	-	-	-	-	-	$397	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 4	**$51,643**	**246**	**$0**	**0**	**$0**	**$0**	**$2,317**	**29**	**$200**	**1**	**$0**	**0**	**$54,160**	**276**

PERFORMANCE COSTS - FISCAL YEAR 2008

(dollars in thousands)

ACTIVITIES	Operating Expenses		Electronic Records Archives		R & R	NHPRC	Advances & Reimbursements		Trust Fund		Revolving Fund		Total	
	$	FTE	$	FTE	$	$	$	FTE	$	FTE	$	FTE	$	FTE
Goal 5: We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.														
Records Services	$13,398	67	-	-	-	-	-	-	$18,152	128	-	-	$31,550	195
Archives Related Services	$1,836	10	-	-	-	$7,500	-	-	-	-	-	-	$9,336	10
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 5	**$15,234**	**77**	**$0**	**0**	**$0**	**$7,500**	**$0**	**0**	**$18,152**	**128**	**$0**	**0**	**$40,886**	**205**
Goal 6: We will equip NARA to meet the changing needs of our customers.														
Records Services	$32,370	158	-	-	-	-	-	-	-	-	-	-	$32,370	158
Archives Related Services	$1,580	-	-	-	-	-	-	-	-	-	-	-	$1,580	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 6	**$33,950**	**158**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$33,950**	**158**
Summary of Goals 1 through 6														
Records Services	$274,027	1,377	$0	0	$28,605	$0	$2,317	29	$18,352	129	$147,000	1,200	$470,301	2,735
Archives Related Services	$14,002	71	$0	0	$0	$7,500	$0	0	$0	0	$0	0	$21,502	71
Electronic Records Archives	$0	0	$58,028	49	$0	$0	$0	0	$0	0	$0	0	$58,028	49
Archives II Facility	$18,075	0	$0	0	$0	$0	$0	0	$0	0	$0	0	$18,075	0
GRAND TOTAL	**$306,104**	**1,448**	**$58,028**	**49**	**$28,605**	**$7,500**	**$2,317**	**29**	**$18,352**	**129**	**$147,000**	**1,200**	**$567,906**	**2,855**

PERFORMANCE COSTS - FISCAL YEAR 2009

(dollars in thousands)

ACTIVITIES	Operating Expenses		Electronic Records Archives		R & R	NHPRC	Advances & Reimbursements		Trust Fund		Revolving Fund		Total	
	$	FTE	$	FTE	$	$	$	FTE	$	FTE	$	FTE	$	FTE
Goal 1: As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.														
Records Services	$37,360	215	-	-	-	-	-	-	-	-	$153,000	1,200	$190,360	1,415
Archives Related Services	$10,585	61	-	-	-	-	-	-	-	-	-	-	$10,585	61
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 1	**$47,945**	**276**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$153,000**	**1,200**	**$200,945**	**1,476**
Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.														
Records Services	$141,034	676	-	-	$9,211	-	-	-	-	-	-	-	$150,245	676
Archives Related Services	139	-	-	-	-	-	-	-	-	-	-	-	$139	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	$17,129	-	-	-	-	-	-	-	-	-	-	-	$17,129	0
Total Goal 2	**$158,302**	**676**	**$0**	**0**	**$9,211**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$167,513**	**676**
Goal 3: We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.														
Records Services	$9,349	55	-	-	-	-			-	-	-	-	$9,349	55
Archives Related Services	-	-	-	-	-	-			-	-	-	-	$0	0
Electronic Records Archives	-	-	$67,008	49	-	-	-	-	-	-	-	-	$67,008	49
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 3	**$9,349**	**55**	**$67,008**	**49**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$76,357**	**104**
Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime.														
Records Services	$49,712	252	-	-	-	-	$2,438	29	$200	1	-	-	$52,350	282
Archives Related Services	407	-	-	-	-	-	-	-	-	-	-	-	$407	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 4	**$50,119**	**252**	**$0**	**0**	**$0**	**$0**	**$2,438**	**29**	**$200**	**1**	**$0**	**0**	**$52,757**	**282**

PERFORMANCE COSTS - FISCAL YEAR 2009

(dollars in thousands)

ACTIVITIES	Operating Expenses		Electronic Records Archives		R & R	NHPRC	Advances & Reimbursements		Trust Fund		Revolving Fund		Total	
	$	FTE	$	FTE	$	$	$	FTE	$	FTE	$	FTE	$	FTE
Goal 5: We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.														
Records Services	$13,556	67	-	-	-	-	-	-	$18,211	128	-	-	$31,767	195
Archives Related Services	$797	4	-	-	-	$0	-	-	-	-	-	-	$797	4
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 5	**$14,353**	**71**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$18,211**	**128**	**$0**	**0**	**$32,564**	**199**
Goal 6: We will equip NARA to meet the changing needs of our customers.														
Records Services	$34,200	158	-	-	-	-	-	-	-	-	-	-	$34,200	158
Archives Related Services	$1,673	-	-	-	-	-	-	-	-	-	-	-	$1,673	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 6	**$35,873**	**158**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$35,873**	**158**
Summary of Goals 1 through 6														
Records Services	$285,211	1,423	$0	0	$9,211	$0	$2,438	29	$18,411	129	$153,000	1,200	$468,271	2,781
Archives Related Services	$13,601	65	$0	0	$0	$0	$0	0	$0	0	$0	0	$13,601	65
Electronic Records Archives	$0	0	$67,008	49	$0	$0	$0	0	$0	0	$0	0	$67,008	49
Archives II Facility	$17,129	0	$0	0	$0	$0	$0	0	$0	0	$0	0	$17,129	0
GRAND TOTAL	**$315,941**	**1,488**	**$67,008**	**49**	**$9,211**	**$0**	**$2,438**	**29**	**$18,411**	**129**	**$153,000**	**1,200**	**$566,009**	**2,895**

FISCAL YEAR 2009

ANNUAL PERFORMANCE PLAN

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Submitted to Congress
February 4, 2008

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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PREFACE

The National Archives and Records Administration is a public trust on which our democracy depends. We enable people to inspect for themselves the record of what Government has done. We enable officials and agencies to review their actions and help citizens hold them accountable. We ensure continuing access to the records that document the rights of American citizens, the actions of Federal officials, and the national experience.

To ensure that we preserve the past to protect the future, the National Archives and Records Administration (NARA) appraises, accessions, arranges, describes, preserves, and makes available to the public the historically valuable records of the three branches of Government. We establish policies and procedures for managing U.S. Government records. We assist and train Federal agencies in documenting their activities, administering records management programs, scheduling records, and retiring non-current records to regional records services facilities for cost-effective storage. We manage a nationwide system of Presidential libraries, records centers, and regional archives. We administer the Information Security Oversight Office, which oversees the Government's security classification program. We publish the *Federal Register, Statutes at Large,* Government regulations, and Presidential and other public documents.

We serve a broad spectrum of American society. Genealogists and family historians; veterans and their authorized representatives; academics, scholars, historians, and business and occupational researchers; publication and broadcast journalists; the Congress, the Courts, the White House, and other public officials; Federal Government agencies and the individuals they serve; state and local government personnel; professional organizations and their members; supporters' groups, foundations, and donors of historical materials; students and teachers; and the general public all seek answers from the records we preserve.

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

Our Mission:

NARA SERVES AMERICAN DEMOCRACY BY SAFEGUARDING AND PRESERVING THE RECORDS OF OUR GOVERNMENT, ENSURING THAT THE PEOPLE CAN DISCOVER, USE, AND LEARN FROM THIS DOCUMENTARY HERITAGE. WE ENSURE CONTINUING ACCESS TO THE ESSENTIAL DOCUMENTATION OF THE RIGHTS OF AMERICAN CITIZENS AND THE ACTIONS OF THEIR GOVERNMENT. WE SUPPORT DEMOCRACY, PROMOTE CIVIC EDUCATION, AND FACILITATE HISTORICAL UNDERSTANDING OF OUR NATIONAL EXPERIENCE.

Our Strategic Goals:

- *One:* As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records

- *Two:* We will preserve and process records to ensure access by the public as soon as legally possible

- *Three:* We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era

- *Four:* We will provide prompt, easy, and secure access to our holdings anywhere, anytime

- *Five:* We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs

- *Six* We will equip NARA to meet the changing needs of our customers

These goals and the strategies to achieve them are detailed in *Preserving the Past to Protect the Future: The Strategic Plan of the National Archives and Records Administration, 2006-2016*, issued in September 2006. This annual performance plan is based on the goals, strategies, and long-range performance targets in our Strategic Plan, and builds on expected performance in FY 2008. It details the actions and outcomes that must occur in FY 2009 for us to move forward on meeting the goals and targets in our Strategic Plan. In addition to listing performance goals and measures for evaluating our performance, the plan describes the processes, skills, and technologies, and the human, capital, and informational resources needed to meet the year's performance goals. We received no aid from non-Federal parties in preparing this plan.

Following is a summary of the resources, by budget authority, we are requesting to meet our FY 2009 objectives. Our budget is linked to the performance goals in this plan.

Operating Expenses	**$315,941**
Electronic Records Archives	**$67,008**
Repairs/Restorations	**$9,211**
Grants	**$ 0**
Total Budget Authority	**$392,160**
Redemption of Debt	**$11,842**
Total Appropriation	**$404,002**
Total FTE	**2,895**

This is a high-level summary of our resource requirements. The numbers are linked to strategic goals in the pages that follow.

We continue 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 integrate 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.

We continually work to improve our performance measurement program. Our most recent upgrade of PMRS takes 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.

Our program management system (PROMT) controls costs and schedules on a variety of programs including 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 OMB and GAO requirements for calculating earned value. We also implemented new project management guidance throughout the agency to standardize the use of these and other project management tools and processes.

We must succeed in reaching our goals because the National Archives and Records Administration is not an ordinary Federal agency. Our mission is to ensure that Government officials and the American public have continuing access to essential documentation, and this mission puts us at the very heart of homeland security, continuity of government, public trust, and the national morale. Whether publishing the emergency *Federal Register*, protecting the critical records assets of Federal agencies nationwide, serving American's veterans, solving the challenge of saving electronic information independent of time, place, or the format in which the records were created, or displaying our nation's Charters of Freedom—the Declaration of Independence, the Constitution, and the Bill of Rights—to inspire the American public, NARA plays a critical role in keeping America safe, secure, and focused on our democratic ideals. This performance plan is our FY 2009 road map for meeting the great expectations of our nation.

STRATEGIC GOAL 1   AS THE NATION'S RECORD KEEPER, WE WILL ENSURE THE CONTINUITY AND EFFECTIVE OPERATIONS OF FEDERAL PROGRAMS BY EXPANDING OUR LEADERSHIP AND SERVICES IN MANAGING THE GOVERNMENT'S RECORDS

Long Range Performance Targets

1.1 By 2012, 85 percent of senior Federal agency managers view their records management program as a positive tool for risk mitigation.

1.2 By 2012, 90 percent of customers are highly satisfied with NARA records management services.

1.3 By 2012, the Federal Records Center Program annually retains 98 percent of its customers.

1.4 Within 30 days of the end of an administration, 100 percent of Presidential and Vice Presidential materials have been moved to NARA locations or NARA-approved facilities.

1.5 By 2009, 100 percent of our Continuity of Operations Plans (COOP) meet the requirements for viability.

1.6 By 2009, NARA has established partnerships with FEMA to support 100 percent of its regions in the national response to emergencies.

FY 2008 Resources Available to Meet This Goal: $39,358,000; 1,451 FTE
FY 2009 Resources Requested to Meet This Goal: $47,945,000; 1,476 FTE

FY 2009 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
1.1 By 2012, 85 percent of senior Federal agency managers view their records management program as a positive tool for risk mitigation.	✓							
1.2 By 2012, 90 percent of customers are highly satisfied with NARA records management services.	✓							
1.3 By 2012, the Federal Records Center Program annually retains 98 percent of its customers.					✓			
1.4 Within 30 days of the end of an administration, 100 percent of Presidential and Vice Presidential materials have been moved to NARA locations or NARA-approved facilities.	✓							
1.5 By 2009, 100 percent of our Continuity of Operations Plans (COOP) meet the requirements for viability.	✓							
1.6 By 2009, NARA has established partnerships with FEMA to support 100 percent of its regions in the national response to emergencies.	✓							

Long Range Performance Target 1.1   By 2012, 85 percent of senior agency managers view their records management program as a positive tool for risk mitigation.

FY 08 Estimated Performance

- Survey senior Federal agency managers to assess their views about their records management programs as positive tools for risk mitigation.

- Conduct two records management studies.

FY 09 Projected Performance

- Analyze survey results to assess the views of senior Federal agency managers about their records management programs as positive tools for risk mitigation.

- Establish baseline for CFO and selected agencies' critical functions covered by records schedules.

- Conduct one records management study.

Outcome   NARA will leverage its leadership position and expertise to ensure that Federal agencies have effective records management planning that supports the needs of the agency, government, and citizens. Records management is the best tool for ensuring that the essential records required for the day-to-day operation of Government business are available and recoverable in the event of an emergency. Records management should be integrated into Federal business processes so that records are routinely identified, retained, and maintained and available for normal operational needs and in emergency situations. Expanding the integration and effectiveness of records management planning and programs will produce cost savings and greater Government-wide efficiency. Our nation's history is deeply rooted in the business of government. For citizens to understand their role in the process of government, records of archival value must be preserved. Identifying these records and developing strategies to ensure their availability to the American people is a vital records management function.

Significance   The Federal Government must protect records from the time of their creation so that they are available to operational staff at critical times, and are later preserved and made available to the public. Preserving our nation's records ensures that they are protected for the future, and available to document the rights of our citizens and the historic experience of our nation.

Means and Strategies   NARA's *Strategic Directions for Federal Records Management* is our plan for creating relationships with agencies that advance records management as a part of the Government's mission. We are demonstrating that effective records management adds value to agency business processes, and our guidance, training, and assistance to agencies focuses on using records management as an important tool for supporting agency business processes. In FY 2006 we conducted a pilot survey of Federal agency senior managers, specifically Chief Information Officers, eliciting information regarding how they view the role of their agency records management program. In FY 2007 we analyzed the results of the pilot. Based on that analysis we will revise the survey in FY 2008, and expand it to include Chief Financial Officers and General Counsels. This survey will give us feedback from a more diverse audience. In FY 2009 we will analyze the survey results and identify ways to raise the profile of records management within agencies and to promote the benefit of integrating it into business processes as a risk mitigation tool.

NARA conducts records management studies that focus on cross-Government issues to identify and analyze best practices; these form the basis of Government-wide recommendations and guidance. Studies usually involve multiple agencies within a related line of business or function. In exceptional cases, there might be one agency whose records management practices could be replicated elsewhere for Government-wide benefit. We completed a management study in 2007 of records management applications in selected headquarters and field offices. In consultation with the Federal Records Council, we are using the results of that study as a starting point in FY 2008 to look at email practices in selected headquarters and field offices. In FY 2008 we are also doing a study of one agency's use of flexible records scheduling, one of the strategies developed under NARA's Strategic Directions initiative. Further studies are planned in FY 2009.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target for percent of senior Federal agency managers their records management programs as a positive tool for asset and risk management.	—	—	—	—	*Establish baseline*	—
Percent of senior Federal agency managers who view their records management programs as a positive tool for risk mitigation.	—	—	81*	—		—
Performance target for CFO critical functions covered by records schedules.	—	—	—	—	—	*Establish baseline*
Percent of CFO critical functions covered by records schedules.	—	—	—	—	—	

*FY 2006 survey studied Chief Information Officer responses. FY 2008 survey will focus on other senior Federal agency managers.

Milestones

FY 2004
- Criteria and internal procedures for records management studies developed.
- Language for the FY 2006 Exhibit 300 guidance developed but not incorporated by OMB at this time.

FY 2005
- Records management study of a Headquarters Office of the U.S. Air Force completed.

FY 2006
- Survey of Federal agencies (CIOs) to assess their view of their records management programs completed.
- Two records management studies of Federal agencies completed.

FY 2007
- Survey results analyzed to expand to senior Federal agency managers to assess their views of their records management programs as positive tools for risk mitigation.
- One records management study of Federal agencies completed.

FY 2008 Estimated
- Senior Federal agency managers surveyed to assess their views of their records management programs as positive tools for risk mitigation.
- Two records management studies of Federal agencies completed.

FY 2009 Projected
- Survey results analyzed and additional advocacy and training strategies discussed.
- Baseline for CFO and selected agencies' critical functions covered by records schedules established.
- One records management study conducted.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions   Risk Mitigation: 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.

Long Range Performance Target 1.2   By 2012, 90 percent of customers are highly satisfied with NARA records management services.

FY 08 Estimated Performance
- Increase by 10 percent the number of records management training participants who are taking a NARA records management course for the first time.

- Assess effectiveness of flexible schedules for agencies and NARA.

FY 09 Projected Performance
- 85 percent of Federal agency customers are highly satisfied with NARA records management services.

- Increase by 10 percent the number of records management training participants who are taking a NARA records management course for the first time.

Outcome   NARA will improve Government-wide records management by providing services that meet the needs of records managers and operational staff across the Government. A significant indicator of NARA's success is the satisfaction of its customers, Federal managers, and employees throughout the Government. NARA will meet customer needs through providing prompt and responsive service, effective and educational training, and by facilitating the ongoing review of Federal records management practices.

NARA will improve and increase the guidance that it provides to Federal agencies to support meeting their records management responsibilities and challenges. NARA will also increase the Government's records management capability through studying records management challenges particular to Government and through training and certifying new records managers in every Federal agency.

Significance   NARA's ability to provide agency records managers with the guidance, tools, and assistance they need to meet their agencies' business needs is critical to ensuring effective operations of Federal programs. The managers and operational staff that generate the records vital to Government operations and our nation's history must have the training and tools necessary to fulfill their obligation to the public.

Means and Strategies   NARA's success in providing agencies with the records management tools they need is the basis for evaluating its service to the Federal Government. Records managers are the most important audience for NARA's records management services, and they are best able to judge our success. In FY 2006 we surveyed Federal records managers about their satisfaction with NARA's scheduling and appraisal services. In FY 2007, we expanded the survey to gauge customer satisfaction with NARA records management services, including scheduling and appraisal services, electronic records guidance, and records management training services. We will survey our customers again in FY 2009.

NARA is using the results of the surveys to identify ways to improve our services to agency records management programs and government-wide records management. As outlined in our Strategic Plan, we

will expand the demand for records management in the Federal Government by advocating for it at senior levels. By providing guidance, training, and assistance throughout the Government, we will support agencies' business needs and embed records management in the agencies' business processes and systems.

The NARA National Records Management Training Program continues to provide a curriculum designed to enhance and improve the knowledge and skills of Federal records managers. In FY 2007 NARA conducted the first evaluation of its records management certificate program. We used this information to improve the certification testing. In FY 2008 we are updating the training materials to reflect regulatory and procedural changes and to improve the instructional design. In FY 2009 we will continue to improve the existing curriculum and explore ways to expand our reach through webinars and other distance learning techniques.

A critical tactic for improving customer satisfaction is the redesign of the processes by which Federal records overall are identified, appraised, scheduled, and tracked while in agency custody. Part of the strategy for carrying out this plan is to build the Electronic Records Archives, an application that will support the scheduling and accessioning of Federal records. This tool will make it easier for agencies to inventory their records and for NARA to review and approve records schedules and ensure that essential evidence is not lost.

Electronic records management is a critical component of e-Government. As the managing partner for the Administration's e-Government Records Management initiative, NARA collaborates with its partners to produce practical recordkeeping guidance and solutions for managing electronic records. In FY 2007, working with the Federal Records Council NARA continued to promote the transition to Government-wide electronic records management with additional guidance products. NARA also joined with the EPA, the Department of Treasury, and the Department of Interior in pilot projects to assist them in implementing the Records Management Profile, a strategy for integrating records management into agency business processes. In FY 2008, NARA will continue to develop electronic records management guidance and will assess DoD 5015.2—STD, version 3, for endorsement Government wide. Some of the FY 2008 work packages will carry over into FY 2009 and include support for PDF/A international standards and evaluation of NARA effectiveness in promulgating ERM Guidance.

NARA created an online toolkit for agencies, which includes references to ERM system requirements, checklists, citations to applicable standards, best practices, guidance, a revised general records schedule, flexible and front-end scheduling, promotion of new transfer formats, and targeted ERM assistance to Federal agencies. We launched the "proof-of-concept" of this web portal in FY 2006 and the full version in FY 2007. We continue to update the toolkit as new tools are identified and evaluated. The toolkit is available at *www.toolkit.archives.gov.*

NARA continues to work closely with individual agencies to address electronic records issues. In FY 2006 NARA initiated an ongoing major effort to partner with agencies to schedule records in core function electronic systems. In FY 2007 this effort resulted in approved schedules for more than 1,000 systems. Working with Federal agencies to schedule core electronic systems continues as a major priority in FY 2008 and FY 2009. These projects help ensure that new IT systems include appropriate electronic records management requirements, and that the electronic records can be appropriately managed throughout the entire life cycle of the records. NARA also sponsored briefings in 2006 and 2007 for all Federal CIOs and Records Officers on the E-Government Act of 2002 and its requirements for Federal agencies on improving the management of electronic records.

The Records Management Services (RMS) project is designed to make functional requirements for

software service components that support management functions and activities available to government, industry, and academia. In 2007 we registered the RMS specifications and other materials in the CORE.gov repository for wider distribution within the Federal Government. We continue to work with the Object Management Group's Government Domain Task Force on RMS specifications.

Key external factors Records management professionals must be self-motivated to attend training and complete NARA's certification program.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target for percent increase in the number of Federal agency customers that are satisfied with NARA records management services.	—	—	*10*	*10*	—	*10*
Percent of Federal agency customers that are satisfied with NARA records management services.*	—	57	78	80	—	
Performance target for percent increase in the number of records management training participants who are taking a NARA records management course for the first time.	*10*	*10*	*10*	*10*	*10*	*10*
Percent of records management training participants taking a NARA records management course for the first time.	11	32	35	42		
Number of Federal agency staff receiving NARA training in records management and electronic records management.	4,166	3,366	4,234	5,047		
Number of records management training participants who are taking a NARA records management course for the first time.	442	1,069	1,484	2,122		
Number of records management training participants that NARA certified this year.	—	45	275	267		
Median time for records schedule items completed (in calendar days).	253	372	334	284		
Average age of schedule items completed (in calendar days).	332	339	374	452		
Number of schedule items completed.	3,182	4,248	3,884	2,992		
Number of open schedules in the backlog.	315	379	363	402		

Milestones
FY 2004
- NARA's records management training program redesigned and distance-learning component established.
- Certification program for records management professionals established.
- Concept of operations for automated workflow and collaboration tools to support the redesigned scheduling and appraisal process developed.
- Federal agencies survey to determine baseline satisfaction with NARA scheduling and appraisal services.
- Records management application in two NARA units completed.
- Transfer guidance for three more electronic records formats issued (digital photography, geographical information systems, web pages).

FY 2005
- Automated workflow and collaboration tools to support the redesigned scheduling and appraisal process prototyped.
- Needs assessment of government and IT industry for the development of select records management service components for the Federal Enterprise Architecture conducted.
- Records Management Service Components (RMSC) Requirements Development Project Final Report published (*http://www.archives.gov/era/pdf/rmsc0305.pdf*).
- Cooperative records project for at least one FEA Business Reference Model Sub-function

participated in.

FY 2006
- Guidance to agencies on recordkeeping policies and procedures for Federal Government information on the Internet and other electronic records issued.
- Request for Information (RFI) for industry to respond to requirements for development of one or more RMSC developed.
- RMSC program management plan based on analysis of industry response to RFI updated.
- Flexible schedule pilots with 2 more Federal agencies completed and results analyzed.
- Cooperative records projects for an additional FEA BRM sub-function participated in.
- Toolkit for Managing Electronic Records "proof-of-concept" web portal launched and agency comments solicited.

FY 2007
- First official version of the Toolkit for Managing Electronic Records portal launched.
- Records Management Services registered into *Core.gov.*

FY 2008 Estimated
- Effectiveness of flexible schedules for agencies and NARA assessed.

FY 2009 Projected
- Customer Satisfaction Survey issued.
- Records management guidance on topics such as electronic records management, media neutral schedules, and flexible scheduling issued or revised.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist. The Federal Enterprise Architecture Program Management Office Business Reference Model, version 2.0.

Definitions   Records Management Services (RMS): a piece of software providing services that support the creation, management, transfer, and destruction of electronic records within a computing environment. Cooperative records project: a project that results in a model schedule, a standardized process, or other common product that standardizes records management for a specific FEA Business Reference Model sub-function across multiple agencies performing that sub-function. For example, agencies engaged in providing investigative services would be considered as one cooperative records project. Proof of concept: demonstration of new technology to show that an idea works.

Long Range Performance Target 1.3   By 2012, the Federal Records Center Program annually retains 98 percent of its customers.

FY 08 Estimated Performance
- Increase the number of cubic feet stored by the Federal Records Center Program (FRCP) by 1 percent.

- Make ready 96 percent of Federal agency reference requests within the promised time.

- Answer 75 percent of written requests to the National Personnel Records Center within 10 working days.

- Achieve initial operating capability of the Archives and Records Center Information System (ARCIS) at three records centers.

FY 09 Projected Performance
- Increase the number of cubic feet stored by the FRCP by 1 percent.

- Make ready 97 percent of Federal agency reference requests within the promised time.

- Answer 80 percent of written requests to the National Personnel Records Center within 10 working days.

- Implement Increment 1 for ARCIS.

- Establish baseline customer satisfaction with Federal Records Center Program services.

Outcome   The outcome of our actions is that we provide superb service to Federal agencies. As a result, Federal agencies can economically and effectively create and manage paper and electronic records necessary to meet business needs, and records of archival value are preserved.

Significance   The NARA Federal Records Center Program plays a vital role in the lifecycle of Federal records. The program helps agencies manage the transfer, storage, and servicing of their non-current records and works closely with NARA's records management program to ensure that agencies' vital records are efficiently and appropriately managed for as long as needed. As more and more Federal records are created and managed in electronic formats, NARA needs to respond by providing economical and effective electronic records services at our records centers.

Means and Strategies   Since FY 2000, NARA's Federal Records Center Program (FRCP) has been fully reimbursable, allowing us to be more flexible in responding to agency records needs and requiring us to meet those needs in a cost-effective and efficient way.   Our ability to satisfy and retain our customers is dependent on our ability to meet their needs and to anticipate the kinds of services that will be most useful to them. Over the last several years, we have piloted and tested a variety of electronic records services. Until NARA's Electronic Records Archives (ERA) program is ready and can provide complete online servicing, we will continue to test the delivery of new offline services for electronic records, including digitizing records into electronic formats, storage of agencies' electronic records media, and remote servicing of electronic records such as electronic Official Military Personnel Files (OMPF). As experience is gained through pilot services, the FRCP will expand those services to more complex or advanced electronic records-related activities, such as data migration and vital records services.

The FRCP needs to replace legacy systems for inventory and space management with modern systems that provide enhanced functionality at a reasonable cost. All of the current FRCP applications are mainframe-based and written in COBOL and have been operational for 15-25 years. Most importantly, these systems no longer support the new FRCP reimbursable financial environment. An Archives and Records Center Information System (ARCIS) will provide robust inventory and space management for more than 24 million cubic feet of records; web-based, real-time support for all business transactions such as the recall of records by Federal agencies; a management information system to measure all facets of FRCP performance; and easy to use data sharing capabilities with the FRCP customers. NARA's FRCP and ERA, when available, will work in harmony to deliver a complementary suite of services to agencies for their temporary long-term electronic records. ARCIS will provide the asset management and billing functionality for those services.

Key external factors   The Federal Records Center Program operates in a competitive business environment, which allows Federal agencies to choose their records center services provider. Testing and enhancing remote servicing capability for electronic OMPFs is contingent on agreements with military service departments for NARA to access their systems.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target for percent of customers retained by Federal Records Centers annually.	—	—	—	*98*	*98*	*98*
Percent of customers retained by FRC's annually.	—	—	—	100		
Number of customers (agreements) served annually.	—	—	—	142		
Number of new customers (agreements) per year.	—	—	—	3		
Percent of revenue coming from new services.	—	—	—	0.2		
Percent of pre-archival records stored by the RCP.	—	11	12	13		
Performance target for percent increase in cubic feet of holdings stored by Federal Records Center Program.	—	—	—	—	*1*	*1*
Percent increase in cubic feet of holdings stored by Federal Records Center Program.	—	—	2	1.7		
Performance target for percent increase in customer satisfaction with Federal Records Center Program services.	—	—	—	—	—	*Establish baseline*
Percent increase in customer satisfaction with Federal Records Center Program services.	—	—	—	—	—	
Performance target for percent of Federal agency reference requests ready within the promised time.	*90*	*95*	*95*	*95*	*96*	*97*
Percent of Federal agency reference requests ready within the promised time.	96	97	98	97		
Performance target for customers with appointments for whom records are waiting at the appointed time.	*99*	*99*	*99*	*99*	*99*	*99*
Percent of customers with appointments for whom records are waiting at the appointed time.	99.3	99.4	99.8	99.9		
Performance target for percent of written requests to the National Personnel Records Center answered within 10 working days.	—	—	—	*75*	*80*	*80*
Percent of written requests to the NPRC answered within 10 working days.	56	59	67	65		
Number of written requests to the NPRC answered within 10 working days (in thousands).	564	606	739	740		
Number of written requests for civilian records to the NPRC answered within 10 working days (in thousands).	167	162	179	174		
Number of written requests for military records to the NPRC answered within 10 working days (in thousands).	397	444	559	566		
Number of written requests to the NPRC answered (in thousands).	1,005	1,031	1,108	1,136		
Performance target for requests for military service separation records at the NPRC answered within 10 working days.	*70*	*95*	*95*	*95*	—	—
Percent of requests for military service separation records at the NPRC answered within 10 working days.	75	88	91	90		
Number of military service separation records (DD-214) requests answered (in thousands).	372	352	442	475		
Percent of requests for all military service records at the NPRC in St. Louis answered within 10 working days.	48	52	61	59		

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Average price per request for military service separation records.	$29.70	$29.70	$29.70	$29.70		

Milestones

FY 2004
- Case Management and Reporting System functionality fully implemented at NPRC.
- Pilot for remote servicing capability for electronic OMPFs for Army established and tested.

FY 2005
- Records Center Program business model for electronic records developed.
- Pilot study for converting agency records into digital formats on electronic record media completed.
- Concept of operations and functional requirements for an Archives and Records Center Information System (ARCIS) developed.
- Physical requirements to store electronic media studied.

FY 2006
- Remote servicing capability for electronic OMPFs offered to 4 military service departments.
- Pilot program to store backup and inactive copies of agency electronic media in selected record center locations completed.
- Indexing and delivery of scanned records services through a pilot digital conversion program assessed.
- Electronic records storage environment at Washington National Records Center constructed and operational.

FY 2007
- Results of a production scan pilot implemented.
- Contract for ARCIS awarded.
- E-media storage services rolled out in three records centers.

FY 2008 Estimated
- Initial operating capability of ARCIS achieved.

FY 2009 Projected
- Increment 1 for ARCIS implemented.
- Baseline customer satisfaction with Federal Records Center Program services established.

Data source Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions 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.

Long Range Performance Target 1.4   Within 30 days of the end of an administration, 100 percent of Presidential and Vice Presidential materials have been moved to NARA facilities or NARA-approved locations.

FY 08 Estimated Performance
- Hire additional staff for George W. Bush Presidential Library.

- Procure leased space for temporary storage of George W. Bush Administration records.

- Gather inventories or other information about Presidential and Vice Presidential traditional and electronic records and artifacts to aid in preparation for their relocation from Washington, DC, to the project site or ingestion into NARA's electronic records system.

FY 2009 Projected Performance

- Occupy temporary facility for George W. Bush Administration records.

- Hire remaining complement of staff for George W. Bush Presidential Library.

- Transfer 100 percent of George W. Bush Administration Presidential and Vice Presidential records and artifacts to NARA.

Outcome   Immediately upon the end of a Presidential Administration, NARA takes custody of Presidential records, both textual and electronic, and the Presidential artifacts for transportation to and storage at a new Presidential Library. The records of an outgoing administration are secured, inventoried, and accessible to appropriate special access requesters under the terms of the Presidential Record Act (PRA), including the outgoing and incoming Presidents, Congress, and the Courts.

Significance   The Presidential Libraries Acts of 1955 and 1986 authorize NARA to oversee a system of Presidential Libraries. Through these Libraries, NARA provides access to the evidence of history, giving visitors to our research rooms, museums, and public programs firsthand knowledge of the President, the Presidency, and American history. We provide for the transfer and processing of the official records for each Presidential administration. Inventories of Presidential and Vice Presidential records enable the transfer of the records from the White House to NARA, establish basic intellectual control, and facilitate access to the records in the immediate post-Presidential period. In addition, because the PRA mandates that the records of the Administration be available to Freedom of Information Act (FOIA) requests five years after the President leaves office, sound intellectual control prepares the Presidential Library to respond to research demands.

Means and Strategies   NARA works closely with each incumbent Administration to ensure that Presidential records are ready for transfer to NARA as soon as an Administration ends. We assist the outgoing Administration in planning and preparing the records for transfer. We work with Administration staff on records issues and transfer strategies. And finally, at exactly 12:01 p.m. on January 20, 2009, we will take legal custody of the records, transferring them to their temporary destination where they are inventoried and managed until they can be moved into their final destination at a new Presidential Library.

We know that the current Administration will transfer to NARA more textual and exponentially more electronic Presidential and Vice Presidential records than any previous Administration. To ensure the preservation of these records for historical, informational, administrative, and evidentiary purposes and to prepare for the transfer of Presidential and Vice Presidential records to our custody, we will work with White House and Vice Presidential staffs to account for Presidential records, in all formats, held in Presidential, First Lady, and Vice Presidential staff offices and other file locations. We will continue our established working relationships with and providing support to the White House Offices managing records and artifacts, including the White House Office of Records Management (WHORM), the White House Office Gift Unit, the White House Communications Agency, the Office of the Vice President, and the National Security Council Access and Records Management Staff. With the approval of Presidential and Vice Presidential representatives, we will prepare inventories, define requirements, and facilitate preparation of other inventories by White House staff, and gather inventories prepared throughout the Administration by White House staff. We also will provide archival guidance and advice to the Presidential and Vice Presidential staffs on the recordkeeping and disposition requirements of the PRA.

We will survey, analyze, and prioritize electronic records systems that will need to be online immediately, and we will be taking in and plan for their migration over time.

Early staffing is key to our success because of the advanced training the staff need to perform this work. Staff must be trained to accomplish the exacting reviews required under the PRA and FOIA to ensure that the Presidential records are available in accordance with the Act. Staff must become familiar with the Administration's holdings, including the artifacts. In FY 2007, we hired five staff and began training. In FY 2008, we will add five more staff, including several senior-level archivists, to assist in the transfer and provide for the continued management of these Presidential and Vice Presidential records. In FY 2009 we will hire the remaining staff, including the Library Director, forming an experienced archival team to provide for access and management of these new Presidential records.

Key external factors Our success depends on successful planning with the outgoing and incoming White House staffs.

<u>**Verification and Validation**</u>

Milestones

FY 2005	• William J. Clinton Library and Museum dedicated November 18, 2004.
FY 2006	• Processed Clinton Presidential and Vice Presidential records opened on January 20, 2006.
FY 2007	• 5 staff (4 archivists and 1 registrar) hired for George W. Bush Presidential Library.
FY 2008 Estimated	• 5 staff (deputy director, supervisory archivist, 2 archivists, and administrative officer) hired. • Leased space for temporary storage of George W. Bush Administration records procured. • Inventories or other information about Presidential and Vice Presidential traditional and electronic records and artifacts gathered to aid in preparation for their relocation from Washington, DC, to the project site or ingestion into NARA's electronic records system.
FY 2009 Projected	• Temporary facility for George W. Bush Administration records occupied. • 100 percent of George W. Bush Administration Presidential and Vice Presidential records and artifacts to NARA transferred. • 23 staff and 1 Director hired for George W. Bush library.

Data source Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions <u>Inventory:</u> a listing of the volume, scope, and complexity of an organization's records.

Long Range Performance Target 1.5   By 2009, 100 percent of our Continuity of Operations Plans (COOP) meet the requirements for viability.

FY 08 Estimated Performance

- Achieve 100 percent viability on developed NARA Continuity of Operations Plans.

- Develop COOP templates for NARA facilities.

- Establish NARA Headquarters and *Federal Register* regional COOP sites.

- Upgrade physical access control system at College Park and St. Louis.

- Manage 85 percent of the documents submitted for publication in the Federal Register using eDOCS.

- Issue Federal Information Processing Standard (FIPS) 201-1 Federal Identity Credentials to occupants of the National Archives Building.

FY 09 Projected Performance

- 100 percent of our Continuity of Operations Plans (COOP) meet the requirements for viability.

- Manage 100 percent of the documents submitted for publication in the *Federal Register* using eDOCS.

- Complete re-badging of College Park and St. Louis NARA employees to meet new standards.

Outcome   Our staff know what to do in the event of a disaster because they have a plan and have successfully rehearsed their roles in it. As a result, essential functions can be performed in case of an emergency or disruption of normal operations. Also, the functionality and integrity of the *Federal Register* system for Executive Branch rulemaking is maintained.

Significance   Continuity of Operations Plans (COOP) are required to ensure that agencies and facilities can perform essential functions under a broad range of circumstances. The requirements for viability of these plans are spelled out in Federal Preparedness Circular 65 and include ongoing exercises of the plans and frequent assessments.   NARA's foremost essential function is to maintain the operations and integrity of the Federal Register system for Executive Branch rulemaking and for issuing Presidential orders and proclamations. The daily *Federal Register* is the vehicle through which Executive Branch actions are officially announced to the public and established as valid legal actions. We must be able to prepare and distribute the *Federal Register* or the Presidentially authorized alternate publication, the *Emergency Federal Register*, under all emergency circumstances.

Means and Strategies   It is not only prudent, but required, for NARA to develop COOP plans for all agency locations nationwide and perform annual assessment of these plans to test their viability. We must map functions to specific organizations to determine responsibility, establish what records are necessary to perform essential functions, and identify the most appropriate methods for preserving and accessing these records during and after an emergency. We must also meet specific personnel identity assurance and validation goals that are required of all agencies. This will enable us to attain identity assurance interoperability with other Federal agencies and physical and logical access to secure our facilities, personnel, and collections. In FY 2009, we will issue FIPS-compliant Federal identity credentials to personnel at College Park and St. Louis. We will begin development of COOP templates for other NARA facilities and test the viability of our Headquarters COOP. In FY 2008, we will establish an alternate COOP site for NARA Headquarters and Federal Register operations outside the Washington, DC, metropolitan area and test the viability of newly developed COOPs for other NARA facilities.

We will establish the ability to ensure that we can publish the daily *Federal Register* every business day of the year regardless of external threats or natural disasters. This will enable us to switch over to that site without interruption. Specifically, during a COOP event, we must be able to receive electronic and hardcopy submissions of Federal agency *Federal Register* documents. We must be able to edit, index,

save versions, and "okay for print" final versions of these submissions. Staff must be able to make these final versions available for public inspection online and in a public inspection area at the COOP site. Finally, the Federal Register staff must be able to transmit the final versions of the documents to GPO for printing and online dissemination of the daily *Federal Register*.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target for percent of developed NARA Continuity of Operations Plans that achieve viability.	—	—	—	*100*	*100*	*100*
Percent of NARA Continuity of Operations Plans that achieve viability.	—	0	0	0		
Number approved continuity of operations plans.	0	3	3	3		
Performance target for percent of documents Federal Register manages electronically using eDOCS.	—	*50*	*75*	*75*	*85*	*100*
Percent of documents Federal Register manages electronically using eDOCS.	9	22	75	81		
Number of documents managed electronically using eDOCS.	3,032	7,066	18,316	24,849		
Number of digitally-signed, legal documents submitted using eDOCS.	—	—	—	5,672		

Milestones

FY 2004
- eDOCS deployed into Federal Register production.
- Validated legal documents submitted electronically for publication in the *Federal Register* from 3 agencies accepted.

FY 2005
- COOP for NARA Headquarters functions fully operational and tested.
- Validated legal documents submitted electronically for publication in the *Federal Register* from 15 agencies accepted.

FY 2006
- Validated legal documents submitted electronically for publication in the *Federal Register* from all agencies accepted.

FY 2007
- Emergency Planning Coordinators trained and facility renovation contract signed.
- Plan for issuance of Federal Information Processing Standard (FIPS) 201-1 Federal Identity Credentials issued to occupants of the National Archives Building developed.

FY 2008 Estimated
- COOP templates for NARA facilities developed.
- NARA Headquarters and *Federal Register* regional COOP sites established.
- Physical access control system at the National Archives at College Park upgraded.
- Federal Information Processing Standard (FIPS) 201-1 Federal Identity Credentials issued to occupants of the National

FY 2009 Projected
- Employee re-badging at College Park and St. Louis completed.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions   COOP viability: NARA Headquarters and Federal Register must perform essential functions with and without warning regardless of emergency circumstances within 12 hours of activation of COOP for up to 30 days to include reconstitution of normal operations. Viability also includes regular testing, training, exercising of NARA personnel, equipment, systems, processes, and procedures used to support NARA during a COOP event.

Long Range Performance Target 1.6   By 2009, NARA has established a supportive partnership in the national response to emergencies in 100 percent of FEMA regions.

FY 08 Estimated Performance   • Establish a supportive partnership in the national response to emergencies in 80 percent of FEMA regions.

FY 09 Projected Performance   • Establish a supportive partnership in the national response to emergencies in 100 percent of FEMA regions.

Outcome   Federal agency records are preserved in the event of a disaster, and disaster-response agencies at all levels of government will consider records preservation in both their planning and in their response to emergencies.

Significance   The preservation of our own records is covered in target 1.5 above. But we have a larger role to play in national emergencies. Our primary role is to promote the preservation of other Federal records, with a secondary function of providing technical assistance in the area of records preservation to state, local, and tribal governments to whatever extent we can. These public records fall into two categories: government records that define and protect citizen rights and the government's obligation to its citizens; and historical records.

Means and Strategies   To have any role, however, we need to have previously established a relationship with the national response coordinator, the Federal Emergency Management Agency (FEMA). As a direct result of NARA's recent leadership in this area, through collaboration with the Department of Homeland Security's Office of Infrastructure Protection, "electronic and non-electronic records and documents" are now defined as national assets to be protected.   We have partnered with the Department of Interior and now have a recognized role and responsibilities in the National Response Framework, Emergency Support Function (ESF) #11. We are also working with FEMA's Continuity of Operations Division, National Continuity Programs Directorate and the Council of State Archivists (CoSA) to develop vital records training for government officials throughout the country.

Through NARA's encouragement and leadership, all 50 states are including preparedness plans for protecting records in their State disaster plans. We will continue our work with state, local, and tribal governments before and during emergencies, by providing advice and counsel in how to react to emergency situations that threaten records. To that end, our web site is an important tool in conveying information.

Key external factors   Our success depends on the willingness of the emergency management community to see records as a vital asset that has priority within any response to a disaster and inclusion of "records" in the final National Response Framework (NRF) and its supporting documents.

Verification and Validation

Performance Data	**FY 2004**	**FY 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**
Performance target for percent of FEMA regions in which we have established a supportive partnership	—	—	—	*50*	*80*	*100*

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
in the national response to emergencies.						
Percent of FEMA regions in which we have established a supportive partnership in the national response to emergencies.	—	—	—	60		

Milestones

FY 2006
- FEMA mission assignment for recovery of records from Orleans Parish (LA) following Hurricane Katrina completed.
- Vital records model for NARA records management training program developed and tested.

FY 2007
- Report to the White House and the Congress on status of disaster preparedness for vital and historical records in each state completed in partnership with CoSA.
- NARA disaster preparedness and recovery training program revised and piloted.
- Supportive partnerships developed in 60 percent of the FEMA regions.

FY 2008 Estimated
- Partnership with FEMA to offer "vital records" content for FEMA COOP training in each of the regions developed.
- Partnership with FEM and CoSA to develop "vital records" training for state and local government jurisdictions established.

FY 2009 Projected
- "Vital records" training piloted and delivered by FEMA and CoSA to state and local government jurisdictions.
- Regional Intergovernmental COOP Working Group(s) participated in by each NARA region.
- NARA's "Vital Records" and "Emergency Planning and Response" courses offered in each NARA region.

Data source Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

STRATEGIC GOAL 2   WE WILL PRESERVE AND PROCESS RECORDS TO ENSURE ACCESS BY THE PUBLIC AS SOON AS LEGALLY POSSIBLE

Long Range Performance Targets

2.1. By 2016, 85 percent of scheduled transfers of archival records are received at the scheduled time.

2.2. By 2016, 95 percent of archival holdings have been processed to the point where researchers can have efficient access to them.

2.3. By 2012, 75 percent of agency declassification reviews receive high scores as assessed by ISOO.

2.4. By 2016, NARA archival holdings of 25-year-old or older records are declassified, exempted, or referred under the provisions of Executive Order 12958, as amended.

2.5. By 2016, 100 percent of archival holdings are stored in appropriate space.

2.6 By 2009, 100 percent of NARA records center holdings are stored in appropriate space.

2.7 By 2016, less than 50 percent of archival holdings require preservation action.

FY 2008 Resources Available to Meet This Goal: $185,107,000; 660 FTE
FY 2009 Resources Requested to Meet This Goal: $167,513,000; 675 FTE

FY 2009 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
2.1 By 2016, 85 percent of scheduled transfers of archival records are received at the scheduled time.	✓		✓					
2.2 By 2016, 95 percent of archival holdings have been processed to the point where researchers can have efficient access to them.	✓		✓					
2.3 By 2012, 75 percent of agency declassification reviews receive high scores as assessed by ISOO.	✓							
2.4. By 2016, NARA archival holdings of 25-year-old or older records are declassified, exempted, or referred under the provisions of Executive Order 12958, as amended.	✓							
2.5 By 2016, 100 percent of archival holdings are stored in appropriate space.	✓							✓
2.6 By 2009, 100 percent of NARA records center holdings are stored in					✓			

FY 2009 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
appropriate space.								
2.7 By 2016, less than 50 percent of archival holdings require preservation action.	✔							

Long Range Performance Target 2.1   By 2016, 85 percent of scheduled transfers of archival records are received at the scheduled time.

FY 08 Estimated Performance

- 10 percent of archival electronic records transfers arrive at NARA on time.

- Establish a baseline for archival records transfers arriving at NARA on time.

- Identify and schedule 10 percent more Federal agency electronic records than were scheduled in FY 2007.

FY 09 Projected Performance

- 20 percent of archival records transfers arrive at NARA on time.

- Identify and schedule 10 percent more Federal agency electronic records than were scheduled in FY 2008.

Outcome   Records of archival value are preserved for future generations.

Significance   Technology and the movement of the computing environment to Federal workers' desktops have led to a decentralized records management environment. While this enables workers to create and manage their own records (such as e-mail), it has also resulted in a proliferation of both electronic records formats and locations where records are created and stored. In this new environment, traditional paper-based records management control techniques and procedures are often no longer appropriate, resulting in a Federal records management approach that is not well integrated into agency business process, systems development, information technology infrastructure, and knowledge management. This undermines the authenticity, reliability, integrity, and usability of Federal records and information essential for Government business, particularly electronic Government, and public use. We must guarantee the continuing accessibility of the records of all three branches of our Government regardless of the media on which they were created.

Means and Strategies   The Electronic Records Archives (ERA) will provide a vehicle for implementing the records management improvements that result from the NARA's Records Lifecycle Business Process Reengineering, the E-Records Management (ERM) e-Government Initiative, and NARA's Records Management Initiatives. We will improve the development and implementation of records disposition schedules by automating and improving the quality of interactions between NARA and other agencies and the workflow within NARA. We will reduce cycle time for NARA's review and approval of records disposition authorities requested by other agencies and increase the number of acceptable formats for transfer of electronic records to NARA.

Starting in FY 2008, NARA will establish, in the ERA system, the basic IT infrastructure needed to implement NARA's reengineered business processes for Government-wide lifecycle management of records and to manage electronic transfers and storage of electronic records in their original formats. ERA will also provide the management and technology controls to enable long-term preservation and sustained access to electronic records.

To assist us in setting priorities for helping Federal agencies deal with records management, 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. These areas will be our highest priorities for allocating NARA records management resources. The criteria used focuses our attention on records that are at greatest risk of not being managed effectively, records that document citizens' rights and Government accountability, and records of archival value. Through Federal agency surveys, NARA is identifying electronic systems in Federal agencies that are generating electronic records, and we are working to get more of those systems' records scheduled. Throughout FY 2008 and FY 2009 we will continue collecting information from Federal agencies to identify unscheduled electronic records and learn more about the electronic records challenges Federal agencies face. In addition, by pre-accessioning electronic records into NARA, we will have more accurate descriptions, earlier transfers, and better preservation, while avoiding the loss of records that may occur with lengthy agency retention.

Key external factors   Federal agencies must schedule their records.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target for percent scheduled transfers of archival records transferred to NARA at the scheduled time.	—	—	—	—	—	*20*
Percent of archival records transferred to NARA at the scheduled time.	—	—	—	—		
Performance target for percent of archival electronic records transfers arriving at NARA on time.	—	—	—	*5*	*10*	*—*
Percent of archival electronic records transfers arriving at NARA on time.	—	—	16	5		
Backlog of overdue transfers of electronic records.	—	—	94	797		
Size of accessioning backlog (in millions of logical data records).	529	368	383	928		
Number of electronic records transferred (in millions of logical data records).	534	85	348	622		
Performance target for percent increase in number of Federal agency electronic records series scheduled than prior year.	—	—	—	*10*	*10*	*10*
Percent increase in number of Federal agency electronic records series scheduled than prior year.	—	—	10	33		
Number of Federal agency electronic records series scheduled.	—	—	1,001	1,332		

Milestones
FY 2004
- Transfer guidance for three more electronic records formats issued (digital photography, geographical information systems, and web pages).
- Select Federal agencies surveyed to identify electronic systems that generate electronic records, and priorities for scheduling these records developed.

FY 2005
- Federal agency program-related systems (245) that generate electronic records identified

and scheduled.
- Web snapshots of Federal Government web sites at end of last Presidential term collected.
- Alternative approaches to putting legacy records control schedules into an ERA repository analyzed.
- Pre-accessioning of electronic records discussed with six agencies.

FY 2006
- Two more transfers of electronic records pre-accessioned.

FY 2007
- Pilot repository with legacy records control schedules populated to facilitate migration of the schedules into ERA.
- Two standard templates for records transferred to NARA outlined.

FY 2008 Estimated
- Baseline of scheduled archival records received at the scheduled time measured.

Data source   The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions   Accessioned: Legal custody of archival materials is transferred to NARA.

Long Range Performance Target 2.2   By 2016, 95 percent of archival holdings have been processed to the point where researchers can have efficient access to them.

FY 08 Estimated Performance
- Increase by 10 points the percent of archival holdings that have been processed to the point where researchers can have efficient access to them.

- Study processing efficiencies in Presidential Libraries and regional archives and develop capability to measure.

FY 09 Projected Performance
- Increase by 10 points the percent of archival holdings that have been processed to the point where researchers can have efficient access to them.

Outcome   More of NARA's holdings are available to the public.

Significance   We must guarantee the continuing accessibility of the records of all three branches of Government. If we cannot do this, citizens, businesses, and the Government will lose the essential documentation necessary to prove their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially. Moreover, as the business of government shifts more and more to electronic government and reliance on information technology, activities such as collecting taxes, providing veteran's benefits, and protecting our environment will suffer in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records (see target 3.1).

Means and Strategies   *Archival processing* involves all the steps needed to open a record to the public. It includes establishing basic intellectual control, flagging records that have privacy or national security classifications, providing enhanced descriptions of the records content as well as the context in which the records were created, and performing initial preservation so that the records may be served to the public. New technology has created increased opportunities for easier and faster access to our holdings. However, the same technology has led to more records being created. The result is that new records have been

accessioned (transferred to the legal custody of the National Archives) faster than they could be processed. This has created a backlog of holdings that has been growing for decades. To reduce this backlog and increase public access to holdings, we re-engineered our processing system to increase efficiency. We also reassigned staff to processing.

Key external factors   Progress in processing Presidential records may be hindered by an unusually large number of special access requests or Presidential Records Act (PRA)/FOIA requests.

Verification and Validation

Performance Data	**FY 2004**	**FY 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**
Performance target for percentage point increase in the number of archival holdings that have been processed to the point where researchers can have efficient access to them.	—	—	—	*Establish baseline*	*10*	*10*
Percent of archival holdings that have been processed to the point where researchers can have efficient access to them.	—	—	—	21*		

*Data reported in 2007 reflects only Washington, DC, area work.

Milestones
FY 2006
- Clinton Presidential and Vice Presidential records opened on January 20, 2006.
- Workload analysis study for textual records completed.

FY 2007
- New business processes for processing archival holdings established for Washington area Federal records established.
- Baseline of unprocessed backlog of archival holdings established and capability to measure it accurately created.

FY 2008 Estimated
- Processing efficiencies in Presidential Libraries and regional archives studied.

FY 2009 Projected
- Additional staff in Presidential Libraries dedicated to processing hired.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Long Range Performance Target 2.3   By 2012, 90 percent of agency declassification reviews receive high scores as assessed by ISOO.

FY 08 Estimated Performance
- Develop a program for enhancing ISOO's assessment of declassification review programs in Federal agencies with substantial declassification programs.

- Test the scoring tool on the declassification reviews of all agencies with substantial declassification programs.

FY 09 Projected Performance
- Assess the declassification reviews of all agencies with substantial declassification review programs.

- Increase the percentage of agency declassification reviews receiving high scores as assessed by ISOO.

- Develop recommendations for declassification programs to

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improve their scores.

Outcome   Records are properly exempted, referred, or declassified under E.O. 12958, as amended.

Significance   The Information Security Oversight Office (ISOO), which is administered by NARA, oversees the Government-wide security classification program and reports annually to the President on its status. ISOO collects data about agencies' programs and conducts on-site reviews to assess those programs. An important component of the security classification program is declassification, in particular the automatic declassification program.

Means and Strategies   On March 25, 2003, the President issued Executive Order 13292 further amending Executive Order 12958, as amended. Among the many changes was the extension of the automatic declassification deadline from April 17, 2003, to December 31, 2006, for most classified records; to December 31, 2009, for records with classified equities belonging to more than one agency; to December 31, 2011, for most classified records consisting of special media; and to December 31, 2016, for records consisting of special media and containing classified information belonging to more than one agency. Additionally, it established an ongoing annual requirement for each of these areas beyond December 31, 2006. While the Executive branch for the most part fulfilled its initial obligations to satisfy the 2006 deadline, the current referral process to address multiple classified equities in inefficient, highly redundant, and prone to error. Through collaborative working groups, policy revisions, and increased oversight, ISOO will streamline the referral process, reduce redundancies in declassification reviews, promote accurate and consistent declassification decisions, improve equity recognition across the declassification community, develop centralized priorities and management controls around the priorities, and make the declassification process more transparent to the public.

Key external factors   Agencies' cooperation is essential to identifying the records subject to automatic declassification, impediments to meeting the ongoing deadlines, and solutions to these impediments.

Verification and Validation

Performance Data	**FY 2004**	**FY 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**
Performance target for percent increase in number of agency declassification reviews that receive high scores as assessed by ISOO.	—	—		—	—	*Establish baseline*
Number of agency declassification reviews that receive high scores as assessed by ISOO.	—	—	—	—	—	
Number of agency declassification reviews assessed by ISOO.	—	—	—	—	—	
Number of pages declassified government-wide (in millions of pages)	24.6	25.5	34.8	TBD		
Per page cost of Government-wide declassification	$1.96	$2.24	$1.26	TBD		
Total cost of declassification Government-wide (in millions of dollars)	$48.3	$57.0	$44.0	TBD		

*Data is collected from Federal agencies on an annual basis and is reported to the President after the close of Federal annual reporting.

Milestones
FY 2004
- Universe of records subject to section 3.3 of the Order identified through agencies' declassification plans.
- Impediments and solutions to meeting the December 31, 2006 deadline identified.
- Guidance about how to collect data on the number of classification decisions made in automated systems, including e-mail, developed and distributed to Executive branch agencies.

- 75 agencies tasked to develop a declassification plan. Of these, 28 agencies did not need plans because they had no records subject to automatic declassification. Of remaining 46 agencies required to develop plans, 30 plans were acceptable and 16 needed additional work to be acceptable.

FY 2005
- Cost-effectiveness study and plan for automating the data for SF 311, including a requirement for electronic reporting, developed.

FY 2006
- Agencies Executive branch-wide responsibilities under Section 3.3 of Executive Order 12958 fulfilled and well-positioned to meet initial December 31, 2006, deadline.

FY 2007
- December 31, 2006, deadline achieved Executive branch wide.
- Scoring method to evaluate agency declassification programs developed.
- Referral standard streamlined and revised.
- Baseline scores of agency declassification reviews assessed by ISOO established.
- 12 Executive branch declassification reviews conducted.
- Strategy for dealing with classified special media established.

FY 2008 Estimated
- Program for enhancing ISOO's assessment of declassification review programs in agencies with substantial declassification programs developed.
- Scoring tool on the declassification reviews of all agencies with substantial declassification review programs tested.

FY 2009 Projected
- Declassification reviews of all agencies with substantial declassification review programs assessed.
- Recommendations for declassification programs to improve their scores developed.

Data source   Quarterly performance reports to the Archivist. Information Security Oversight Office, 2006 Report to the President (*http://www.archives.gov/isoo/reports/2006-annual-report.pdf*).

Definitions   Declassification program review: an evaluation of the declassification 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 the appropriateness of agency declassification actions, the quality of agency actions to identify classified equities of other agencies, and the appropriateness of agency action to exempt records from automatic declassification based upon application of declassification guidance approved by the Interagency Security Classification Appeals Panel or the application of file series exemptions approved by the President. The results of a review, along with any appropriate recommendations for improvement, are reported to the agency's senior agency official designated under section 5.4(d) of EO 12958, as amended, or the agency head.

Long Range Performance Target 2.4   By 2016, NARA archival holdings of 25-years-old or older records are declassified, exempted, or referred under the provisions of Executive Order 12958, as amended.

FY 08 Estimated Performance
- Complete quality assurance process for 7,500 cubic feet of records and make available for the Interagency Referral Center.

- Implement the National Declassification Initiative to collaboratively work with agencies on resolving their equities in NARA's Federal record classified holdings.

- Index 3.75 million pages of Federal records in the Interagency Referral Center.

- Scan 500,000 pages of Presidential records eligible for

	declassification review as part of the Remote Archives Capture Project.

FY 09 Projected Performance

- Complete quality assurance process for 7,500 cubic feet of records and make available for the Interagency Referral Center.

- Index 3.75 million pages of Federal records in the Interagency Referral Center.

- Release 2 million pages of Federal records to the open stacks.

- Scan 500,000 pages of Presidential records eligible for declassification review as part of the Remote Archives Capture project.

Outcome   More archival records are declassified and made available for public use.

Significance   Executive Order 12958, which was amended in FY 2003, requires the declassification of material 25 years old unless specifically exempt. The Government protects millions of classified documents at great expense, including more than 390 million pages in our Washington, DC, area facilities and 38 million pages in Presidential Libraries. The majority of these documents, more than 25 years old, no longer require classified protection and can and should be accessible to citizens.

Means and Strategies   NARA staff continue to focus on the review of eligible records series that are not already being reviewed by the originating agencies. These agencies are ones that receive but do not generate much classified information. We must review these records to identify the equities of other agencies that may still have concerns about information in the records. To handle the reviews required by Executive Order 12958, as amended, and the extra work required by the Kyl and Lott Amendments, we hired experienced contract personnel to survey, review, and prepare records for release.

We use the Archives Declassification Review and Redaction System (ADRRES) to track our performance with Federal records against the requirement to have all records over 25 years old appropriately declassified, exempted or referred under the provisions of Executive Order 12958 as amended. The Presidential Libraries use the Remote Archives Capture Project to measure their goals for declassification and referral of twenty-five year old Presidential Library equity. We will also use ADRRES and the Unclassified Redaction and Tracking System (URTS) to make electronic records such as the 9/11 Commission records and State Department cables available to agency personnel for their review.

Under Executive Order 12958 as amended, agencies have a deadline of December 31, 2009, to review and resolve their equities in security classified documents over 25 years old that have been referred to them by other agencies. We estimate that there are approximately 3 million documents in accessioned federal records that must be acted on by the agencies prior to the 2009 deadline. Many of these documents must be reviewed by two or more agencies. NARA will index these documents in the ADRRES database and will make these documents available to the agencies in a systematic fashion to enable them to accomplish their missions, protect permanently valuable federal records, and prevent unauthorized releases of still sensitive information. The Presidential Libraries have scanned 3.6 million of their 25 year old Presidential classified material that must be acted upon prior to the 2009 deadline as part of the Remote Archives Capture (RAC) project and will process agency declassification decisions upon receipt, reviewing and placing opened documents back in the opened Presidential files.

In cooperation with other agencies, NARA has established an interagency referral center and a National Declassification Initiative to provide a systematic approach to the referral process for Federal records. By handling referrals in this manner, NARA retains physical and intellectual control of the records. It gives access to agency reviewers, while allowing NARA to prioritize the order in which referrals are processed so as to deal with records of high research interest in a timely manner. It establishes a standard method for recording agency decisions, ensuring that when NARA staff process the records for release or exemption, the agency determination will be clearly understood and NARA will avoid inadvertent releases of still sensitive information.

To ensure that records released to the public have been properly declassified, NARA has established an Interagency Quality Assurance Team as a component of the National Declassification Initiative. This team, consisting of representatives from the major classifying agencies, survey records prior to the records being processed for the interagency referral center to determine whether the initial review was adequate. The team will pass records to the IRC if satisfied with the quality, schedule records for resampling, or send the records to a remediation team if there are too many problems.

It is clear from the results of the quality assurance program that agencies need to improve the quality of initial reviews. NARA will be working with the agencies to develop standard equity recognition training and a certification program for declassification reviewers. NARA will also develop, in cooperation with the agencies a web site for sharing agency declassification guidance.

For classified materials in the Presidential Library system for which we have no delegated declassification authority, we have established a partnership with the Central Intelligence Agency (CIA) called the Remote Archives Capture project (RAC) The RAC project prepares and optically scans all classified twenty-five year old documents that cannot be systematically reviewed held by the Presidential Libraries. The purpose of this program is to put all classified Presidential materials on discs, which can then be transferred back to Washington, D.C. Once in Washington, the discs are made available to the primary classifying agency for review and declassification of their equities. The equity declassification review is transmitted to a CIA center, which then returns to the Library a disc of declassification decisions.

Meeting the requirements of Executive Order 12958, as amended, will be a significant challenge at the Reagan Library, where we will need to refer approximately 8 million pages of textual classified Presidential records prior to 2014. This represents more classified pages than all of the previous Presidential Libraries combined. In addition to scanning the Presidential records of the Reagan administration, the RAC project will need to scan approximately 500,000 pages of classified Vice Presidential records at the George H.W. Bush Library.

Key external factors Security concerns related to the war on terrorism may slow declassification efforts or lead to the withholding of additional records.

The quality of initial agency reviews is severely impacting the processing of records for the interagency referral center. To date 25 percent of the volume of records surveyed requires remedial action. For approximately 15 percent of the volume of records the initial review was so poor it is apparent that remedial action is needed without sending the records through the quality assurance process. To meet the EO deadlines we would need to triple the throughput of the quality assurance and remediation processes, which would require a greater commitment of personnel by the agencies.

The Kyl and Lott Amendments require the re-review, page-by-page, of all declassified Federal records except those determined to be highly unlikely to contain Restricted Data and Formerly Restricted Data. We continue to devote resources to assist the Department of Energy (DOE) in surveying and auditing records to ensure that no Restricted Data and Formerly Restricted Data are inadvertently released. Our work in this increased in FY 2003 as the U.S. Air Force began a project similar to DOE's that will result in another layer of review before the records can be made available.

Special declassification projects are also affected by the amount of declassification that can be accomplished. Instead of examining entire records series for declassification, many of our declassification staff are required to examine individual withdrawn classified documents to determine their relevance and coordinate their declassification with the appropriate agencies.

The CIA must continue to provide technical support to enable the review of scanned Presidential documents by other agencies. Agencies must conduct reviews of their equities in the scanned Presidential documents before the Presidential libraries can process the records for release.

New employees hired for the declassification program cannot start work with classified records for many months until their security clearances are approved. The clearance process is now taking over a year and sometimes more than two years.

Verification and Validation

Performance Data	**FY 2004**	**FY 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**
Performance target for annual number of pages indexed through the Interagency Referral Center (in millions)	—	—	—	*3.75*	*3.75*	*3.75*
Annual number of pages indexed through the Interagency Referral Center (in millions)	—	—	—	3.99		
Backlog of pages of Federal records eligible for declassification review at start of year (in thousands of pages).	25.9	25.0	25.5	23.7		
Annual percentage of Federal records NARA reviewed that are more than 25 years old for which NARA has declassification authority.	2	2	2	5		
Backlog of pages of Presidential materials at start of year (in thousands of pages).	806	668	218	218		
Annual percentage of Presidential records NARA reviewed that are more than 25 years old for which NARA has declassification authority.	17	67	100	100		
Annual number of Federal pages reviewed (in thousands).	547	605	602	1,168		
Annual number of Federal pages declassified (in thousands).	116	35	89	374		
Performance target for number of Federal pages released to the open stacks (in thousands)	—	—	—	—	—	*2,000*
Annual number of Federal pages released (in thousands).	994	527	562	1,138		
Annual number of Presidential pages reviewed (in thousands	138	449	228	227		
Annual number of Presidential pages declassified (in thousands).	94	94	89	194		
Annual number of Presidential pages released (in thousands).	94	78	89	194		
Performance target for annual number of Presidential pages scanned (in thousands).	*300*	*300*	*500*	*500*	*500*	*500*

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Annual number of Presidential pages scanned (in thousands).	500	563	506	512		
Cost per page declassified (Federal and Presidential).	$24.29	$27.60	$25.28	TBD		

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Milestones

FY 2004
- Survey of those record groups that are not being reviewed by the originating agency conducted to determine which agencies have equities in the records and appropriate referrals to those agencies made.

FY 2005
- 50 percent of the FY 2004 baseline of NARA archival holdings of classified records 25-years-old or older are declassified, properly exempted, appropriately referred, or appropriately delayed.

FY 2007
- National Declassification Initiative implemented and 2,000 cubic feet of classified holdings processed.

FY 2008 Estimated
- Quality assurance process for 7,500 cubic feet of records completed and made available for the Interagency Referral Center.
- The National Declassification Initiative implemented.

FY 2009 Projected
- Quality assurance process for 7,500 cubic feet of records completed and made available for the Interagency Referral Center.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions   Equity-holding agency: the 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.

Long Range Performance Target 2.5   By 2016, 100 percent of NARA's archival holdings are stored in appropriate space.

FY 08 Estimated Performance
- Move a portion of Nixon artifact holdings from College Park to Nixon Library.

- Implement National Archives Building flood prevention measures.

- Install fire protection sprinklers in the Eisenhower Museum.

- Finalize plan for upgrades to the Regional Archives in Chicago, Seattle and San Bruno.

- Award construction contract for mechanical improvements at the Carter Library.

- Purchase land and award construction contract for Kennedy Library site work.

- Award construction contract for Nixon Library expansion.

- Support GSA in procurement activities for new National

Personnel Records Center.

FY 09 Projected Performance
- Complete design for Roosevelt Library renovation.

- Award construction contract for first phase of Roosevelt Library renovation.

- Complete site work contract for Kennedy Library expansion.

- Award design contract for Eisenhower Center renovations.

- Award design contract for Johnson Library renovations.

- Complete site flood prevention measures at the National Archives Building.

- Break ground on new National Personnel Records Center facility.

Outcome Archival records are preserved for public use.

Significance Providing appropriate physical and environmental storage conditions are the most cost-effective means to ensure records preservation. We greatly increase the chances of records being available for use by Federal officials and the public for as long as needed.

Means and Strategies NARA has an inventory of 16 NARA-owned buildings—the National Archives Building, the National Archives at College Park, 13 Presidential Libraries and Museums (including the new Nixon Presidential Library), and the new Southeast Regional Archives outside of Atlanta. The National Archives Building and the Roosevelt Library are on the National Register of Historic Places, and all of the Presidential Libraries are considered by the State Historic Preservation Officers to be eligible. All of these buildings are archival storage facilities and house historically valuable and irreplaceable documents. Literally hundreds of thousands of visitors go to these facilities to do research, to participate in conferences, and for learning and education opportunities. Maintaining these buildings to meet archival storage requirements, to keep their interiors and exteriors in a proper state of repair, as well as to make them safe and efficient buildings for use by researchers and visitors, is demanding not only in staff resources but also in operating and repair funds.

NARA's Capital Improvements Plan enables us to program for future major renovations so that the necessary repairs are performed in a programmed manner to ensure continued operations at the facilities. The Capital Improvements Plan is a prioritization of potential building needs.

While our state-of-the-art facility in College Park, Maryland, and the renovated National Archives Building in Washington, DC, provide appropriate storage conditions for the archival headquarters records of most Federal agencies, as well as modern records of national interest, many of our other facilities require environmental and storage improvements. Several of our regional facilities have severe quality problems, including backlogs of needed repairs and renovations and in some cases removal from their current location to better space is required. Existing Presidential libraries need upgrades in environmental conditions and several need additional storage space. Work planned in FY 2008 and FY 2009 includes

repairs and restoration to the plaza that surrounds the Johnson Presidential Library and Museum that is under the joint control and custody of the University of Texas; design work on the renovation of the Roosevelt Presidential Library and Museum; land acquisition and site preparation for a Kennedy Library addition; and an addition to the Nixon Presidential Library.

Creation of a Federally-operated Richard M. Nixon Presidential Library allows us to advance public access to materials of the highest historical significance, streamline existing archival and museum activities by combining operations in one location, and preserve these invaluable historical resources in appropriate and secure space. The Library completed a renovation project of the existing Nixon Library in Yorba Linda, California, in FY 2007. We have begun transferring Nixon Presidential holdings to that facility from two of our facilities and the currently private Nixon Library. This first phase of the move will transfer artifact holdings. In addition, staff will be added in FY 2008 to operate the library. However, inadequate storage space calls for an additional expansion to hold all the materials stored in other archival space.

In our regions, we are focusing on two facilities with terminating leases—Fort Worth and Kansas City. By the end of 2008, NARA needs to relocate the regional archives operations in Fort Worth, Texas (Southwest Region) and Kansas City, Missouri (Central Plains Region). To meet archival storage standards and provide appropriate, secure public access to archival services, NARA plans to move some of the displaced records to an archival-quality bay in the Southwest Regional Records Center and others to a subterranean storage facility operated by the Federal Records Center Program that is designed especially to meet archival requirements at low cost. We are studying alternatives for siting separate public-use facilities in Fort Worth and Kansas City that are strategically located to provide easy access to NARA's programs and resources by researchers, teachers, students, and the general public that we serve.

The National Personnel Records Center (NPRC), the largest NARA operation outside the Washington, DC, area with over 4 million cubic feet of records, needs new facilities to replace current facilities that do not meet our storage standards for record center and archival records. Military Personnel Records (MPR), Civilian Personnel Records (CPR), and the Dielman Archival Annex contain numerous facility problems and cannot be made to meet storage standards in a cost effective manner. The problems include inadequate temperature and humidity controls and particle and gaseous filtration, and antiquated designs that are not conducive to efficient storage or retrieval of records. Replacement facilities within the St. Louis metropolitan area that meet the specific storage requirements for all military and civilian official personnel records are needed. Toward this goal, NARA completed a requirements study that identified storage space needs for new facilities to house over 4.2 million cubic feet of records. This includes all current NPRC holdings. Staff is developing a project plan to prepare the Official Military Personnel File (OMPF) collection for the move and to carry out the move itself. The comprehensive move plan will identify all required actions to move the records from their current locations when a new facility is ready.

Key external factors   Public, White House, and congressional support for our space planning activities is vital to develop and implement proposed plans.

Verification and Validation

Performance Data	**FY 2004**	**FY 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**
Percent of NARA archival holdings in appropriate space	52	53	57	80		
Number of archival traditional holdings (in thousands of cubic feet)	3,025	3,166	3,299	3,349		

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Percent of artifact holdings in appropriate space	42	42	42	42		
Number of artifact holdings (in thousands)	528	543	544	544		
Percent of electronic holdings in appropriate space	100	100	100	100		
Number of electronic holdings in appropriate space (in millions of logical data records)	3,238	4,041	4,611	4,737		
Performance target for cost of compliant archival storage space per cubic foot of traditional holdings stored (adjusted for inflation).	—	—	—	*$5.78*	*$5.84*	*$6.06*
Cost of archival storage space per cubic feet of traditional holdings stored	$6.11	$6.48	$6.65	$6.20		

Milestones

FY 2004
- Renovation of the National Archives Building 95 percent completed.
- Renovation and expansion of the Reagan Library completed.
- Renovation and expansion of the Ford Museum completed.
- Construction of Roosevelt Library Visitors Center completed.
- Move of Clinton Presidential Materials Project to new library facility completed.
- Study of digitization and facility storage options for long-term preservation of military service records completed.
- 75 percent of the construction of the Southeast Regional Archives completed.

FY 2005
- Renovation of the National Archives Building completed.
- Clinton Presidential Library opened.
- Construction of the Southeast Regional Archives completed.
- Move plan for military personnel records in St. Louis completed.

FY 2006
- Physical access control system at the National Archives at College Park upgraded.
- Alternatives for location of a new Southwest Regional Archives facility studied.
- Alternatives for location of a new Central Plains Regional Archives facility studied.
- Specific holdings within NARA to be transferred to the new National Personnel Records Center identified.
- Nixon artifact holdings from Laguna Niguel, California, transferred to Nixon Library in Yorba Linda, California.

FY 2007
- Location for a new National Personnel Records Center determined.
- Staging plan for moving military personnel records to the new National Personnel Records Center developed.
- Certification and acceptance of Nixon Presidential Library completed.

FY 2008 Estimated
- Portion of move of Nixon artifact holdings from College Park to Nixon Library completed.
- National Archives Building flood prevention measures implemented.
- Fire protection sprinklers for the Eisenhower Museum installed.
- Plan for upgrades to the Regional Archives in Chicago, Seattle and San Bruno finalized.
- Construction contract for mechanical improvements at the Carter Library awarded.
- Land purchased and construction contract awarded for Kennedy Library site work.
- Construction contract for Nixon Library expansion awarded.

FY 2009 Projected
- Design for Roosevelt Library renovation completed.
- Construction contract for first phase of Roosevelt Library renovation awarded.
- Site work contract for Kennedy Library expansion completed.
- Design contract for Eisenhower Center renovations awarded.
- Design contract for Johnson Library renovations awarded.
- Site flood prevention measures at the National Archives Building completed.
- Ground breaking for new National Personnel Records Center completed.

Data source Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions   Appropriate space: storage areas that meet physical and environmental standards for the type of materials stored there. Accession: archival materials transferred to the legal custody of NARA.

Long Range Performance Target 2.6   By 2009, 100 percent of NARA records center holdings are stored in appropriate space.

FY 08 Estimated Performance

- Complete 100 percent of the move from Bannister Road facility.

- Complete certification of new records center facility in Fort Worth, Texas.

- Complete certification of 2 records center facilities that have been brought up to storage standards.

- Complete a lease agreement to construct a National Personnel Records Center Annex for temporary records.

- Complete a lease agreement to construct a records center storage facility in Denver.

FY 09 Projected Performance

- 100 percent of NARA records center holdings are stored in 36 CFR 1228 subpart K compliant space, as certified by NAS.

- Complete certification of 4 records center facilities that have been brought up to storage standards.

- Complete construction of National Personnel Records Center Annex.

Outcome   Agency records are preserved for as long as needed.

Significance   Providing appropriate physical and environmental storage conditions is the most cost-effective means to ensure records preservation. By doing so, we greatly increase the chances of records being available for use by Federal officials and the public for as long as needed.

Means and Strategies   We issued revised facility standards to safeguard Federal records in records centers and other records storage facilities. These standards help ensure Federal records are protected whether they are stored by NARA, another Federal agency, or the private sector.

We assist other Federal agencies to bring their facilities under regulatory storage compliance with advice and, if necessary, by inspecting the storage facilities. Examples include Department of Veteran's Affairs, Department of Energy, U.S. Customs and Border Protection, Central Intelligence Agency, Library of Congress, and the Copyright Office. Working with GSA we developed an Energy Saving Operating Plan for the Washington National Records Center that will allow us to upgrade our HVAC systems to meet new standards while paying for the systems through utility cost savings.

We will also consolidate our records center storage in the Central Plains Region by moving records from our Bannister Road records center facility in Kansas City to our facility in Lenexa, Kansas, a Central Plains underground space that still has expansion opportunities.

Key external factors   Agencies may choose to store records in facilities not controlled by NARA.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target for percent of NARA records center holdings stored in appropriate space.	—	—	—	—	—	*100*
Percent of NARA records center holdings stored in appropriate space.	—	—	—	—		
Percent of NARA records center facilities certified as meeting the 2009 regulatory storage standards	0	9	9	29		
Volume of records center holdings (cubic feet in millions).	24.1	24.6	25.1	25.7		
Storage price per cubic foot for records center holdings.	$2.16	$2.16	$2.28	$2.28		

Milestones
FY 2004
- Repair or relocation plans for bringing NARA records centers into compliance with regulatory storage standards developed.
- Shelving completed and moved into new records center facility in Dayton.
- Records center facility at Lenexa expanded and moved records into facility.
- Solicitation for Offer and Lease Agreement for a facility in Southern California to replace the Laguna Niguel records center completed.
- Buildout of three replacement records center bays in Atlanta completed.
- Construction of a new records center facility in Atlanta to replace East Point records center completed.
- Bluegrass Annex in Philadelphia closed.

FY 2005
- Birmingham, AL Annex closed.
- Palmetto, GA Annex closed.
- Fort Worth Building 5 Annex closed.
- Denver, CO Annex closed.
- Energy Saving Operating Plan for the Washington National Records Center developed with GSA.
- Lease agreement to construct a records center storage facility in Fort Worth completed.

FY 2006
- Move into new records center facility in Atlanta completed.
- East Point records center closed.
- Move into new records center facility in Riverside, CA, completed.

FY 2007
- Construction of new records center facility in Fort Worth completed.
- 1 million cubic feet moved into new records center facility in Fort Worth.
- 75 percent of the move from Bannister Road to Kansas City completed.

FY 2008 Estimated
- Move out of Bannister Road records center in Kansas City completed.
- New records center facility in Fort Worth, Texas certified.
- 2 records center facilities storage standards certified.
- Lease agreement to construct a National Personnel Records Center Annex for temporary records completed.
- Lease agreement to construct a records center storage facility in Denver completed.

FY 2009 Projected
- 4 records center facilities storage standards certified.

- Construction of National Personnel Records Center Annex completed.

Data source   Quarterly performance reports to the Archivist.

Definitions   <u>Appropriate space</u>: storage areas that meet physical and environmental standards for the type of materials stored there.

Long Range Performance Target 2.7 **preservation action.**	**By 2016, less than 50 percent of archival holdings require**

FY 08 Estimated Performance

- Appropriately treat or house 60,000 cubic feet of NARA's at-risk archival holdings so as to slow further deterioration.

- Complete the inventory and rehousing of a cumulative 100 percent of OMPFs (from 2005 transfer).

- Develop business plan for transitioning from analog methods and workflows to digital methods and workflows.

- Identify and procure digitization equipment and IT support for analog-to-digital transition.

- Deploy initial operating capability of Holdings Management System to initial set of users.

FY 09 Projected Performance

- Appropriately treat or house 80,000 cubic feet of NARA's at-risk archival holdings so as to slow further deterioration.

- Implement transition from analog methods and workflows to digital methods and workflows.

- Implement the Holdings Management System (HMS) for managing traditional archival records.

- Implement processes for bar coding archival records containers.

Outcome   Permanent records are preserved for generations to come.

Significance   Providing public access to records for as long as needed requires that we assess the preservation needs of the records, provide storage that retards deterioration, and treat, house, duplicate and/or reformat records at risk of not being preserved.

Means and Strategies   NARA's permanent records provide information pertaining to a wide range of subjects and events in our nation's history. They include records documenting the service of America's veterans and the actions of our Government and nation. More than two-thirds of NARA's textual and non-textual records are at risk of not being preserved and available for use by future generations. We must address the needs of a wide variety of formats and media in our holdings—paper records, motion pictures, audio recordings, videotapes, still photography, aerial photography, microfilm and other

microforms, maps, charts, and artifacts. Examples of at-risk records include acetate-based still photography negatives and microfilm, audio and video recordings requiring obsolete equipment for access, brittle and damaged paper records, and motion pictures. We continue our work to perform the required preservation actions, such as providing the appropriate storage environment, housing records according to archival standards, reformatting, and performing conservation treatment.

Among the many preservation methods we use to extend the life of our holdings, one in particular is undergoing a fast-paced, marketplace-driven change. To ensure the continued availability of some of our most vulnerable holdings, we must reformat them. Traditionally, the preservation action of reformatting has predominantly used analog equipment and supplies. Digital work processes and materials are replacing analog processes and materials. Over the last decade, the switch from analog to digital processes and materials for reformatting is taking place at an increasing rate, with major audio and video and photographic film manufacturers eliminating or reducing traditional analog products and equipment. Within five years, few photographic and other analog special media products—such as videotape, audiotape, and 35 mm film—will be available. Significant and numerous records of America's visual and audio documentary heritage from the 19th and 20th-century are in danger of being lost to the American people if we do reformat and digitize. In FY 2008, we will acquire equipment needed to convert our operations from analog to digital and train staff in the operation of this equipment and develop new work flow processes that take advantage of the new technologies. We will migrate digitized holdings to ERA to secure and preserve the data. We are in a race against time to reformat the records in need.

At our National Personnel Records Center (NPRC) in St. Louis the records of the service of our 19[th-] and 20th-century military veterans require immediate preservation attention. These records comprise more than 3 billion pages in 1.5 million cubic feet of space, and represent the records of more than 56 million service men and women since 1885. Preservation work on the OMPFs has focused on addressing the accessibility and archival storage needs of the oldest, most fragile records, representing slightly more than one percent of the files, dating back to 1885, containing data about Navy and Marine Corps enlisted personnel who served prior to World War II. Beginning with the accessioning of the first 20,000 cubic feet of records in 2004, NARA's archival holdings at St. Louis are expanding to include significant volumes of OMPFs and related records. Simultaneous to our study of the options for housing the Official Military Personnel Files (OMPFs) and in anticipation of moving the holdings, NARA conducted a comprehensive physical needs assessment. We learned that 85 percent of the OMPFs contain particularly unstable, rapidly deteriorating, paper-based formats, and more than 30 other media or information formats, including metal dog tags, hair samples, blood strips, rifle targets, and plastic ID cards. Eighty percent of the files already have damage, due to handling, embrittlement, creases, fire, and mold. Reformatting these records to ensure long-term preservation and access is a massive challenge. Relocating them to a properly controlled environment is an essential, cost-effective first step in stabilizing their condition.

In support of our efforts to ensure efficiency and target the records with the greatest preservation needs, NARA is developing a Holdings Management System (HMS) to track workflow, priorities and circulation. A Business Process Reengineering (BPR) examined the functional requirements for tracking location, space, circulation, and preservation needs and actions for all NARA holdings. In FY2008, the initial implementation of HMS will be tested, and in FY2009 additional phases of implementation will continue until fully functional.

We continue to work hard to keep pace and to make progress in solving the preservation challenges for the holdings at risk of not being preserved. Nonetheless, as we accession new records, our backlog of at-risk records increases and we are challenged to keep up with the preservation needs of these records.

Key external factors   Unusually large increases in new at-risk records, such as the recent accessioning of OMPFs, increases in the cost of leasing cold storage space, increases in demand for digitized holdings, and large increases or shifts in public demands for the use of at-risk records, affect our ability to address preservation requirements and delay achievement of performance objectives.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target for percent of archival holdings that require preservation action.	—	—	—	*Establish Baseline*	*≤65*	*≤64*
Percent of archival holdings that require preservation action.	—	—	—	66		
Backlog of holdings requiring preservation action (in thousands of cubic feet).	—	—	—	2,170		
At-risk archival holdings that received preservation treatment this year (thousands of cubic feet)	19	27	29	54		
Cumulative volume of at-risk archival holdings in cold storage (thousands of cubic feet).	80	86	90	90		
Performance target for cumulative percent of OMPFs inventoried and rehoused.	—	*8*	*35*	*69*	*100*	*—*
Percent of OMPFs inventoried and rehoused.	—	5	42	79		

Milestones

FY 2004	• Analysis of OMPF risk assessment completed.
	• 4 staff hired to prepare move preparation plan and actual move plan for OMPFs.
	• OMPF move preparation plan completed.
FY 2005	• Textual preservation study completed.
FY 2007	• Capability to measure baseline of archival holdings requiring preservation action created.
	• New baseline of archival holdings requiring preservation action established.
	• Business process reengineering to examine functional requirements for tracking location, space, circulation, and preservation needs and actions for developing HMS completed.
FY 2008 Estimated	• Business plan for transitioning from analog methods and workflows to digital methods and workflows developed.
	• Digitization equipment and IT support for analog-to-digital transition identified and procured.
	• Initial operating capability of HMS deployed to initial set of users.
FY 2009 Projected	• Process for bar coding archival records containers developed and implemented.
	• HMS implemented for managing traditional archival records.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions   At-risk: records that require preservation action to retard deterioration and stabilize condition, including storage in the appropriate environment, housing to provide physical and chemical stability, reformatting, and conservation treatment. At risk records are imperiled by physical and chemical damage and inaccessibility due to obsolete technology.

STRATEGIC GOAL 3 WE WILL ADDRESS THE CHALLENGES OF ELECTRONIC RECORDS IN GOVERNMENT TO ENSURE SUCCESS IN FULFILLING NARA'S MISSION IN THE DIGITAL ERA.

Long Range Performance Targets   3.1 By 2016, 95 percent of archival electronic holdings have been processed to the point where researchers can have efficient access to them.

3.2 By 2012, 80 percent of archival electronic records are preserved at the planned level of service.

3.3 By 2016, the per-megabyte cost of managing electronic records decreases each year.

FY 2008 Resources Available to Meet This Goal: $67,445,000; 104 FTE
FY 2009 Resources Requested to Meet This Goal: $76,357,000; 104 FTE

FY 2009 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
3.1. By 2016, 95 percent of archival electronic holdings have been processed to the point where researchers can have efficient access to them.	✓		✓					
3.2. By 2012, 80 percent of archival electronic records are preserved at the planned level of service.			✓					
3.3. By 2016, the per-megabyte cost of managing electronic records decreases each year.	✓		✓					

Long Range Performance Target 3.1   By 2016, 95 percent of archival electronic holdings have been processed to the point where researchers can have efficient access to them.

FY 08 Estimated Performance
- Sustain 80 percent of archival electronic holdings processed to the point where researchers can have efficient access to them.

- Implement data migration of holdings from legacy systems migrating to the ERA system for Federal records.

FY 09 Projected Performance
- Sustain 80 percent of archival electronic holdings processed to the point where researchers can have efficient access to them.

- Complete 75 percent of data migration of holdings from legacy systems migrating to the initial ERA system for Federal records.

Outcome   Electronic records of archival value are available promptly for use.

Significance   We must guarantee the continuing accessibility of the electronic records of all three branches of our Government. If we cannot do this, citizens, corporations, and the Government will lose

the essential documentation necessary to prove their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially. Moreover, as the business of government shifts more and more to electronic government and reliance on information technology, activities such as collecting taxes, providing veteran's benefits, and protecting our environment will suffer in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records.

Means and Strategies   The growth in the volume of electronic records is enormous. At the end of the last Administration, the White House transferred several terabytes of electronic records to NARA for storage and preservation. When the Bush Administration ends in January 2009, NARA expects to receive several hundred terabytes of email, office automation records, digital photographs, and other multi-media electronic formats. Also, during the next year, the Census Bureau will be transferring electronic images of up to 600 million pages of information, comprising more than 48 terabytes of data, from the 2000 Census. Digital Military Personnel Files represent estimated transfers of a billion files over 10 years. During FY 2005, the National Commission on Terrorist Attacks upon the United States transferred 1.2 terabytes of data to NARA. In FY 2006, we received a large volume of records from the Columbia Shuttle Accident Investigation Board (CAIB). In FY 2007, we received 500 gigabytes of Coast Guard documentation related to Hurricane Katrina. The transfer volume projected for 2009 is more than ten times greater than all the electronic record volume NARA has processed since the first such transfer in 1971. After surveying Federal agencies, we have concluded that the rate of growth of electronic records in the Federal Government is about 50 percent per year. We expect even greater growth in transfers of electronic records to NARA as ERA is implemented because past transfers have been constrained by NARA's limited capacity to process them.

Our ability to promptly process archival electronic records will be significantly enhanced by the creation of ERA. While NARA's existing capacity to process electronic records is higher than it has ever been, it still lags behind what we anticipate agencies will be sending to NARA over the next several years. NARA's existing systems and staff are able to copy about one terabyte of data per year. Until the ERA system is operational, we will extend and expand our existing systems to attempt to keep up. During FY 2008 and FY 2009, we will begin migrating the data—both metadata and holdings—from our existing systems into ERA for those systems that the initial ERA system replaces.

Key external factors   The results of existing and future research and development into electronic records preservation may change the requirements for an electronic records preservation system.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target for percent of archival electronic accessions processed to the point where researchers can have efficient access to them.	*99*	*80*	*80*	*95*	*80*	*80*
Percent of archival electronic accessions processed.	76	80	80	81		
Number of accessions received.	1,732	1,830	2,010	2,153		
Number of accessions processed.	1,239	1,369	1,517	1,638		
Unprocessed accessioning backlog (in accessions).	408	367	395	415		
Median time (in calendar days) from the transfer of archival electronic records to NARA until they are available for access.	736	413	259	467		

Milestones
FY 2004
- New Accession Management Information System installed.
- Certification software for new Digital Linear Tapes on the current Accession Preservation

System installed.
- Copying capacity of the current Accession Preservation System expanded.
- Technologies that can support copying and verifying electronic records in the following formats studied: e-mail with attachments, scanned images, Portable Document Format, digital images, World Wide Web files, and Geographic Information System files.

FY 2005
- New technologies to support copying and verifying the electronic records in the six transfer formats purchased.

FY 2006
- New technologies to support copying and verifying the electronic records in the six transfer formats implemented.

FY 2007
- Data cleanup and data migration planning from legacy systems migrating to the initial ERA system completed.

FY 2008 Estimated
- Data migration of holdings from legacy systems to ERA implemented.

FY 2009 Projected
- Data migration of holdings from legacy systems is 75 percent complete.

Data source   The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions   Gigabyte: (1) a gigabyte is a measure of computer data storage capacity. A gigabyte is 2 to the 30th power, or 1,073,741,824 bytes in decimal notation. Terabyte: A terabyte is a measure of computer data storage capacity. It is 2 to the 40th power, or approximately a thousand gigabytes. 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.

Long Range Performance Target 3.2   By 2012, 80 percent of archival electronic records are preserved at the planned level of service.

FY 08 Estimated Performance
- Develop measurement methodology for preservation at the planned level of service.

FY 09 Projected Performance
- Establish baseline of archival electronic records managed at the planned level of service.

Outcome   Electronic records of archival value are effectively preserved for future generations.

Significance   We must guarantee the continuing accessibility of the electronic records of all three branches of our Government. If we cannot do this, citizens, corporations, and the Government will lose the essential evidence necessary to document their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially. There will be a loss in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records.

Means and Strategies   In the long term, ERA will allow the National Archives to preserve and maintain at the planned level of service any electronic record in any format. The ERA system will enable NARA and the Presidential Libraries to preserve permanent holdings and will enable the Records Center Program to provide storage and access services to other agencies. To help achieve this goal, NARA will use a planning mechanism, implemented as an operational feature of ERA, called the Lifecycle Management Plan (LMP). The LMP will serve as NARA's roadmap for managing specific accessions. It will allow us to prescribe specific strategies for preservation, access review, and reference activities related to the

records that make up those accessions, and to document the decisions behind those strategies. LMPs will allow us to more rigorously manage and plan for the preservation of Federal records. The selection of these specific strategies as implemented in the LMP will result in the categorization of accessioned records into three broad "levels of service." The highest level of service will comprise electronic records in formats that are expected to remain readily accessible for long periods of time. Such formats are called "persistent formats." A small portion of electronic records are transferred to NARA in persistent formats. For all others, a version would have to be created in a persistent format. The lowest level covers electronic records that are not in persistent formats, but are readily accessible in their original using current technology. Such records will be maintained in their current formats. The intermediate level of service provides for access to electronic records that are no longer accessible in their original formats but cannot be converted to a persistent format, often because no persistent format exists. Such records will be made accessible by creating versions in current, readily accessible formats, even though these formats are expected to become obsolete. The choice of these levels will be based on the technological characteristics of the records, the needs of the records' originators, laws and regulations requiring differing levels of control, expected customer demands or interests, and NARA's business strategies and priorities. Specific preservation, reference, and access review strategies needed to implement these levels of service will vary from one set of records to the next, depending on individual circumstances.

To prepare for these capabilities, in FY 2005, we established criteria for levels of service for select electronic records, and in FY 2007, we developed lifecycle management plans for select electronic records, using the levels of service criteria. These lifecycle management plans will indicate the activities to be undertaken in preserving specific documentary material or sets of material and how NARA will provide access to them.

Key external factors   The results of existing and future research and development into electronic records preservation may change the requirements for an electronic records preservation system.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target of percent of NARA's electronic holdings stabilized.	*—*	*—*	*—*	*80*	*80*	*85*
Percent of NARA's electronic holdings that are stabilized.	89	89	89	89		
Number of accessions received.	1,732	1,830	2,010	2,153		
Number of accessions stabilized.	1,541	1,628	1,788	1,915		
Number of archival holdings accessioned (in millions of logical data records).	3,238	4,041	4,611	4,737		

Milestones
FY 2005   • Criteria for levels of service for archival electronic records established.

FY 2006   • Lifecycle management plans for select electronic records developed using criteria established for levels of service piloted.

FY 2007   • Lifecycle management plan pilot for select electronic records using criteria established for levels of service developed.

FY 2008 Estimated   • Measurement methodology for preservation at the planned level of service developed.

FY 2009 Projected   • Baseline of archival electronic records managed at the planned level of service established.

Data source   The Performance Measurement and Reporting System and quarterly performance reports to the Archivist

Definitions   Preservation media – Media on which permanent electronic records are stored. Preservation media includes 3480-Class magnetic tape cartridges, Digital Linear Tape, and Electronic Records Archives disk storage.

Long Range Performance Target 3.3   By 2016, the per-megabyte cost of managing archival electronic records through the Electronic Records Archives will continue to decrease each year.

FY 08 Estimated Performance
- Achieve initial operating capability of the ERA system for Federal records.

- Begin ingesting data from legacy systems and four Federal agencies into the ERA system.

- Complete prototypes for the ERA system for Presidential records.

- Ingest sample data into pilot Presidential system.

FY 09 Projected Performance
- Achieve initial operating capability of the ERA systems for unclassified and classified Presidential records.

- Design and develop initial top-level preservation capabilities for the ERA system.

- Initiate design and development of ERA capabilities for public access and long-term preservation.

Outcome   Electronic records of archival value are economically preserved.

Significance   We must guarantee the continuing accessibility of the electronic records of all three branches of our Government. If we cannot do this, citizens, corporations, and the Government will lose the essential records necessary to document their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially. There will be a loss in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records.

Means and Strategies   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.

The ERA system addresses a fundamental requirement of electronic government: to be able to keep and transmit reliable and authentic electronic records independently of time, place, the vagaries of the market place, the state of the art of information technology, or the peculiarities of proprietary formats or stove piped applications. NARA is developing a comprehensive, systematic, and dynamic means for preserving electronic records, free from dependence on any specific hardware or software. More importantly, ERA will help citizens find records they want and make it easy for NARA to deliver those records in formats suited to citizens' needs.

ERA will include nearly all of NARA's processes for lifecycle management of records; therefore, it will be the catalyst for conversion to the target architecture from the legacy applications NARA currently uses to support these processes. This conversion will include process improvement as well as reengineering the architecture of these applications.

We also will continue collaborative research 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 and the President's Management Council's vision of Government-wide electronic records management in support of e-Government. Specific direction to agencies encourages research to enable preservation and utility of electronic information archives and creation of digital archives of core knowledge for research and learning, as well as being able to produce, collect, store, communicate, and share high amounts of electronic information. We will continue to rely to a large extent on established R&D management capabilities in partner agencies.

NARA has laid out an incremental acquisition strategy for ERA that will enable us to ensure that significant milestones are achieved before commitments are made for subsequent work. In FY 2008, the first increment of ERA will support the automation of selected aspects of our workflow for lifecycle management processes for all types of records and provide tools for agencies to use in transferring electronic records. The initial system will support the online transfer of electronic records to the National Archives and automate the verification of basic characteristics of transferred electronic records. This system will also be able to store electronic records in the formats received.

By the middle of 2008, ERA will operate from a primary site in West Virginia and use a backup site in Maryland for media storage. The primary site will provide for the transfer, verification and storage of unclassified and Sensitive But Unclassified (SBU) records from NARA's existing holdings and initially from four Federal agencies (Bureau of Labor Statistics, National Nuclear Security Administration, Naval Oceanographic Office, and the Patent and Trademark Office).

In FY 2009, ERA systems for unclassified and classified records will be deployed. These systems will enable us to ingest and store electronic records of the Executive Office of the President (EOP) to be transferred to NARA at the end of the George W. Bush Administration. The EOP ERA systems will provide the search and retrieval capabilities needed to make these electronic records available in response to special access requests. Each system will be located in an appropriate and secure facility.

During FY 2009, NARA will begin development of capability and capacity for public online access to electronic records in ERA and will lay the foundation for long-term digital preservation. NARA will continue operations at its primary ERA data center at the Army Ballistics Laboratory in Rocket Center, WV, and the system for classified Presidential electronic records elsewhere.

Key external factors   The ERA developer has encountered problems with software development, which has led to delays in the system deployment schedule. A corrective action plan is in place to minimize the impact of these delays on the program and to mitigate against additional delays as the program progresses. The results of existing and future research and development into electronic records preservation may change the requirements and costs for an electronic records preservation system.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target for megabyte cost to manage archival electronic records.	—	—	—	—	—	*Establish baseline*
Per megabyte cost to manage archival electronic records.	$4.77	$0.72	$0.43	$0.37		
Number of megabytes of archival electronic records stabilized (in millions).	1.9	9.5	16.8	17.8		

Milestones

FY 2004
- Request for Proposals for ERA design released December 5, 2003.
- ERA design contract awarded August 3, 2004.
- Installation of an earned value management system for ERA performance measurement completed.

FY 2005
- System requirements with competing vendors reviewed.
- System Design Review with competing vendors conducted.
- System Analysis and Design completed.
- ERA domain model completed.
- Development contractor for the ERA system selected.

FY 2006
- Software requirements for the initial system for Federal records specified.
- Preliminary Design Review for the initial ERA system for Federal records completed.
- Critical Design Review for the initial ERA system for Federal records completed.

FY 2007
- Infrastructure for the ERA system for Federal records deployed.
- First pilot of the ERA system for Federal records delivered.
- Prototype of capabilities required for Presidential electronic records constructed.

FY 2008 Estimated
- Initial operating capability of the ERA system for Federal records achieved.
- Data ingestion from legacy systems and four Federal agencies begun.
- Pilot for the ERA system for Presidential electronic records completed.
- Sample data ingested into the pilot Presidential system.

FY 2009 Projected
- Initial operating capability of the systems for the unclassified and classified Presidential electronic records achieved.
- Capabilities for public access and long-term preservation designed and development begun.
- Pilots for public access and preservation initiated.

Data source The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions Preserved: (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; 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. Megabyte: a megabyte is a measure of computer data storage capacity. A megabyte is 2 to the 20th power, or 1,048,576 bytes in decimal notation.

STRATEGIC GOAL 4 WE WILL PROVIDE PROMPT, EASY, AND SECURE ACCESS TO OUR HOLDINGS ANYWHERE, ANYTIME

Long Range Performance Targets
4.1. By 2016, NARA customer service standards for researchers are met or exceeded.

4.2. By 2012, 1 percent of archival holdings are available online.

4.3. By 2016, 95 percent of archival holdings are described at the series level in an online catalog.

4.4. By 2012, our web sites score at or above the benchmark for excellence as defined for Federal government web sites.

FY 2008 Resources Available to Meet This Goal: $51,643,000; 276 FTE
FY 2009 Resources Requested to Meet This Goal: $50,119,000; 282 FTE

FY 2009 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
4.1. By 2016, NARA customer service standards for researchers are met or exceeded.	✓		✓					
4.2. By 2012, 1 percent of archival holdings are available online.	✓		✓					
4.3. By 2016, 95 percent of archival holdings are described at the series level in an online catalog.	✓							
4.4. By 2012, our web sites score at or above the benchmark for excellence as defined for Federal government web sites.	✓							

Long Range Performance Target 4.1 **By 2016, NARA customer service standards for researchers are met or exceeded**.

FY 08 Estimated Performance
- Meet or exceed NARA's published standards for access to records and services and customer satisfaction levels:
  - 91 percent of written requests are answered within 10 working days;
  - 90 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
  - 86 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
  - 85 percent of online archival fixed-fee reproduction orders are completed in 20 working days or less;

FY 09 Projected Performance
- Meet or exceed NARA's published standards for access to records and services and customer satisfaction levels:

- o 92 percent of written requests are answered within 10 working days;
- o 93 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
- o 87 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
- o 90 percent of online archival fixed-fee reproduction orders are completed in 20 working days or less;

- Conduct survey of researcher satisfaction with their NARA experience.

Outcome   Our customers are satisfied with NARA's service.

Significance   Our customers deserve the best service we can deliver. Through the measurement of performance against customer service standards, development of customer service teams and customer service training, customer surveys, and process redesign efforts in areas that traditionally had high backlogs, we are coordinating our efforts to ensure that our customer service meets our customers' needs.

Means and Strategies   Serving our customers is one of our primary areas of focus, and we are continually making process improvements in our research rooms, training staff in customer service principles, employing customer service teams, modernizing and upgrading research room equipment, adding research room staff, and adjusting hours of service to make it easier for more people to use our services. We also added public computer terminals with Internet access in all our research rooms nationwide.

Our research facilities at the National Archives Building in Washington, D.C., consolidate in one convenient location access to preeminent genealogy resources in the Washington area. Among the center's amenities is an expanded microfilm research room with ready access to millions of microfilmed documents. A nearby Genealogy Consultation Room provides customers with highly knowledgeable staff and volunteers to help develop research strategies and use finding aids. We have implemented an orientation presentation for customers when they use the facility for the first time.

In response to the appraisal of Official Military Personnel Files (OMPFs) as permanent records, NPRC established an Archival Programs Division to manage the records and construct an archival research room where members of the public can view them. In FY 2005 we opened the new archival research room in the NPRC and opened its first archival records to the public. The first batch of records opened included nearly 1.2 million OMPFs of former United States Navy and Marine Corps enlisted personnel who served in the military between 1885 and 1939. This first set of opened records also included the files of 150 "persons of exceptional prominence" who served in the military and who died at least ten years ago. Among these files were the OMPFs of John F. Kennedy, Elvis Presley, and Jackie Robinson.

NARA is exploring new partnership opportunities that would digitize many of our holdings (see related target 4.2), thereby greatly increasing public access to these records. These partnerships will help us find cost-effective and efficient ways to bring high-interest and representative documents to our users over the Internet. We also strive to provide timely Internet access to high-interest documents such as 9/11 Commission records and materials relating to nominees for appointment to key government positions and the Supreme Court.

Key external factors   Unexpected increases in records holdings or public interest in groups of records can significantly increase workloads, response times, and wear and tear on public use equipment. NARA cannot control the response time for FOIAs that must be referred to other agencies.

Verification and Validation

Performance Data	**FY 2004**	**FY 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**
Performance target for written requests answered within 10 working days.	*90*	*95*	*95*	*90*	*91*	*92*
Percent of written requests answered within 10 working days.	95	96	95	93		
Performance target for Freedom of Information Act requests for Federal records completed within 20 working days.	*85*	*90*	*90*	*85*	*86*	*87*
Percent of Freedom of Information Act requests for Federal records completed within 20 working days.	68	82	87	88		
Number of FOIAs processed.	5,131	8,794	8,758	12,027		
Annual cost to process FOIAs (in millions).	$1.43	$1.74	$2.62	$2.72		
Annual per FOIA cost.	$272	$196	$295	$220		
Performance target for items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	*95*	*95*	*95*	*95*	*90*	*93*
Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	98	98	96	86		
Number of researcher visits to our research rooms (in thousands).	169	171	134	138		
Number of items furnished in our research rooms (in thousands).	696	537	421	520		
Number of items furnished on time in our research rooms (in thousands).	683	527	405	449		
Performance target for archival fixed-fee reproduction orders through OFAS are completed in 20 (35 pre-2007) working days or less.	*75*	*80*	*85*	*85*	*85*	*90*
Percent of archival fixed-fee reproduction orders through OFAS are completed in 20 (35 pre-2007) working days or less.	99.9	98.9	96.7	72.4		
Average per order cost to operate fixed-fee ordering.	$29.35	$27.31	$28.74	$26.67		
Average order completion time (days)	9	12	14	17		
Performance target for percent of researcher satisfaction with NARA experience.	—	—	—	—	—	*Establish baseline*
Percent of researcher satisfaction with NARA experience.	—	—	—	—	—	

Verification and Validation

Milestones
FY 2006
- NARA's published standards for access to records and services exceeded.
- Freedmen's Bureau records project to microfilm records of 15 states and the District of Columbia completed.

FY 2007
- NARA's published standards for access to records and services exceeded.

FY 2008 Estimated
- NARA's published standards for access to records and services exceeded.
- Survey methodology and instrument for measuring researcher satisfaction developed.

- NARA's published standards for access to records and services and customer satisfaction levels exceeded.
- Survey of researcher satisfaction with their NARA experience conducted.

Data source Performance Measurement and Reporting System and quarterly performance reports to the Archivist. Request price for military service separation agreements from FY 2007 Records Center Program Rate Schedule, which is provided annually to agencies in an attachment to their interagency agreement.

Definitions <u>Written requests:</u> requests for services that arrive in the form of letters, faxes, e-mails, 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.

Long Range Performance Target 4.2   By 2012, 1 percent of archival holdings are available online.

FY 08 Estimated Performance
- Develop measurement methodology for number of archival holdings accessible online.

- Gather and add to the Archival Research Catalog (ARC) 1,000 existing digital copies.

- Increase the number of digital copies available online through the Archival Research Catalog (ARC) by 20 percent.

- Increase the number of uses of Access to Archival Databases (AAD) by 10 percent.

- Increase the number of visits to the Archival Research Catalog (ARC) by 10 percent.

- Analyze agency business requirements for digital storage needs.

FY 09 Projected Performance
- Meet 20 percent of the 2012 target for archival holdings accessible online.

- Gather and add to the Archival Research Catalog (ARC) 1,000 existing digital copies.

- Increase the number of digital copies available online through the Archival Research Catalog (ARC) by 20 percent.

- Increase the number of uses of Access to Archival Databases (AAD) by 10 percent.

- Increase the number of visits to the Archival Research Catalog (ARC) by 10 percent.

Outcome   Archival materials are available online for public use.

Significance   We must guarantee the continuing accessibility of the records of all three branches of our Government. If we cannot do this, citizens, corporations, and the Government will lose the essential evidence necessary to document their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially.

Means and Strategies   To increase the amount of archival material that we make available online, we are engaging in four major strategies:
* Gathering existing digital copies of archival material and make them available online;
* Engaging in partnerships to digitize archival material;
* Exploring innovative NARA-led projects for digitizing that will also allow us to develop our internal capacity in this area; and
* Making electronic records, which are "born digital," available online.

First, we plan to identify and publish online material that has already been digitized by NARA, but for one reason or another is not available online. For example, NARA has digitized a large number of high interest documents for exhibits; these materials could be described and placed online. A NARA-wide project to locate, inventory these digitized copies, and assess the level of effort required was initiated in FY 2007, and we plan to make some of these copies available online in FY 2008 and FY 2009.

Second, we are exploring a variety of new partnership opportunities that would digitize many of our holdings, thereby greatly increasing public access to these records. These partnerships will help us find cost-effective and efficient ways to bring high-interest and representative documents to our users over the Internet. NARA will seek to partner with organizations from a variety of sectors (private, public, non-profit, educational, government) to digitize and make available holdings. Through a partnership with EMC, the John F. Kennedy Presidential Library and Museum are undertaking a digitization project that will result in their entire archival collection being digitized and available online. NARA currently is in discussion with a variety of potential partners, and is developing principles to ensure that such partnerships maintain the public trust.

Third, we will explore innovative ways to increase our own capacity to digitize our holdings. We will look for sources of funding and support for specific high-interest projects. We will strive to provide timely Internet access to high-interest documents, such as 9/11 Commission records and materials relating to recent nominees to the Supreme Court and other positions. And, as discussed earlier (see target 2.7), we will be converting from analog equipment to digital equipment in our reformatting activities. This conversion to digital media will provide us the opportunity to make these records available to a much broader audience over the Internet.

Fourth, we will maintain our Access to Archival Databases (AAD) system which makes select "born digital" database records available online. To meet an immediate need to provide online access to high-volume and high-demand electronic records from the Department of State, the Executive Office of the President, and other agencies, NARA launched the AAD system in 2003. We are continuing to increase the number of records available to the public through this tool. This function will eventually be provided by ERA.

Key external factors   We intend to accomplish much of this goal through partnerships with other organizations that want to publish our holdings on their web sites.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target for percent increase in number of archival electronic holdings accessible online.	*50*	*20*	*10*	*10*	*—*	*—*
Percent increase in number of archival electronic holdings accessible online.	51	20	13	-24		
Number of electronic holdings accessible online (cumulative logical data records in millions).	71	86	97	74		
Number of electronic holdings (cumulative logical data records in millions).	3,238	4,041	4,611	4,737		
Performance target for percent increase in ARC visits.	*—*	*—*	*—*	*—*	*10*	*10*
Percent increase in ARC visits.	—	81	(11)	14		
Number of ARC visits (in thousands of visits).	158	286	254	290		
Performance target for percent increase in AAD uses.	*—*	*—*	*—*	*—*	*10*	*10*
Number of AAD uses (in thousands of uses).	551	567	1,986	5,496		
Percent increase in AAD queries.	—	46	31	13		
Number of AAD queries (in thousands of queries).	778	1,134	1,480	1,665		

Milestones

FY 2004
- Online survey of customer satisfaction with online access to electronic records through Access to Archival Databases system conducted.

FY 2005
- Snapshots of Federal Government web sites taken.
- Results of online survey to improve customer usability of Access to Archival Databases system identified.
- Digital photographs from FEMA added to AAD.
- AAD's customer satisfaction score to 55 on customer survey tool improved.

FY 2006
- Additional 13 percent electronic records added to AAD.
- User interface improvements launched.
- AAD's customer satisfaction improved to a score of 65 on customer survey tool.

FY 2007
- Working group to explore strategies for NARA-led digitizing projects chartered.
- Digitization partnership principles and a digitization plan for making available archival holdings online developed.
- Number of digital copies available online through the Archival Research Catalog (ARC) increased by 10 percent.
- Digitization partnership principles and planning developed.
- Inventory of existing digital copies of archival materials completed.

FY 2008 Estimated
- Measurement methodology for number of archival holdings accessible online developed.
- 1,000 existing digital copies harvested and added to the Archival Research Catalog (ARC).
- Number of digital copies available online through the Archival Research Catalog (ARC) increased by 20 percent.
- Inventory of existing digital copies of archival materials that could be made available online developed.
- Agency business requirements for digital storage needs identified.

FY 2009 Projected
- 1,000 existing digital copies harvested and added to the Archival Research Catalog (ARC).
- Number of digital copies available online through the Archival Research Catalog (ARC) increased by 20 percent.
- Snapshots of Federal Government web sites taken at end of Administration.

Data source   The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions   <u>Logical data record</u>: 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. <u>Visits:</u> An online "visit" is analogous to a physical visit to one of our facilities. If someone is continuously active on our site, we count all his retrievals as one visit. If he is inactive for more than 30 minutes, we assume that he has left the building, as it were. If he later requests another page—whether the same day or another day—we count that as a new visit. We exclude visits by "bots," which are not real people but merely agents harvesting data about web sites on behalf of search engines. <u>Use:</u> A query through the AAD or ARC search engine, or a retrieval of the start page, excluding retrievals by "bots." <u>Query:</u> A use of AAD's search engine measured as a click on a search button that returns a "partial records page" identifying records that meet the search criteria.

Long Range Performance Target 4.3   By 2016, 95 percent of NARA archival holdings are described in an online catalog.

FY 08 Estimated Performance

- Describe 60 percent of NARA traditional holdings in the Archival Research Catalog.

- Describe 60 percent of NARA artifact holdings in the Archival Research Catalog.

- Describe 60 percent of NARA electronic holdings in the Archival Research Catalog.

FY 09 Projected Performance

- Describe 65 percent of NARA traditional holdings in the Archival Research Catalog.

- Describe 65 percent of NARA artifact holdings in the Archival Research Catalog.

- Describe 65 percent of NARA electronic holdings in the Archival Research Catalog.

Outcome   Researchers find the descriptive information they need about NARA archival holdings in one convenient location.

Significance   In a democracy, the records of its archives belong to its citizens. NARA is committed to ensuring that citizens anywhere, anytime can gain access to information about and from the records of our Government. A key strategy to fulfilling that commitment is the development and deployment of the Archival Research Catalog (ARC). Eventually, the functionality and data in ARC will be incorporated in the Electronic Records Archives.

Means and Strategies   When fully populated, ARC will be a comprehensive, self-service, online "card catalog" of descriptions of our nationwide holdings. Previously, to locate records you wanted to see or copy, you had to search through various published and unpublished catalogs, indexes, and lists, many of which were out of date, out of print, or available in one location only. ARC will ensure that anyone, anywhere with an Internet connection can browse descriptions of all of our holdings, including electronic records, in our Washington, DC, area archives, regional archives, and Presidential libraries. ARC also contains links to more than 125,000 digital images of some of our most popular and interesting holdings.

The available online historical documents include many of the holdings highlighted in NARA's permanent Public Vaults exhibit.

In developing ARC, we built two systems—a read-only web version of the system for use by staff and the public, and a data entry system in which archivists enter and edit records descriptions. Fully launched in 2004, we have worked steadily since that time to get more descriptions of our holdings in ARC. Today, ARC contains more than one million descriptions. But with 65 years worth of existing descriptive information to place into ARC, we have a multi-year challenge ahead.

We are undertaking a major effort to put the data from existing finding aids into ARC. This project includes folder and item lists, and a wide variety of indexes. We expect it to add hundreds of thousands of detailed descriptions to ARC, and to provide a valuable tool for researchers. We are also working to redesign the ARC web interface, the public face of ARC. The redesign will provide an improved easier-to-navigate user interface based on customer feedback.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target for traditional holdings in an online catalog.	*30*	*40*	*50*	*55*	*60*	*65*
Percent of traditional holdings in an online catalog.	33	43	51	56		
Number of traditional holdings described in an online catalog (thousands of cubic feet).	1,033	1,366	1,671	1,886		
Number of traditional holdings in NARA (thousands of cubic feet).	3,157	3,167	3,299	3,349		
Performance target for artifact holdings in an online catalog.	*30*	*40*	*50*	*55*	*60*	*65*
Percent of artifact holdings in an online catalog.	40	43	57	57		
Number of artifact holdings described in an online catalog (thousands of items).	215	233	309	309		
Number of artifact holdings in NARA (thousands of items).	540	544	544	544		
Performance target for electronic holdings in an online catalog.	*5*	*10*	*20*	*55*	*60*	*65*
Percent of electronic holdings in an online catalog.	10	31	40	99		
Number of electronic holdings described in an online catalog (millions of logical data records).	536	2,539	4,517	4,692		
Number of electronic holdings in NARA (millions of logical data records).	3,238	4,041	4,611	4,737		
Number of series described in ARC (cumulative).	—	—	—	49,691		
Number of ARC visits (in thousands of visits*).	158	286	254	290		

Milestones
FY 2004
- ARC rollout to 97 percent of NARA archival units nationwide complete.

FY 2005
- ARC rollout to all archival units nationwide 100 percent complete.

FY 2006
- Tools to convert existing finding aids into ARC launched.

FY 2007
- Hyperlinks in updated web pages embedded to provide contextual information for users.

FY 2008 Estimated
- Redesigned ARC web system launched.

FY 2009 Projected
- ARC available to online search engine indexing.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions   Visits: An online "visit" is analogous to a physical visit to one of our facilities. If someone is continuously active on our site, we count all his retrievals as one visit. If he is inactive for more than 30 minutes, we assume that he has left the building, as it were. If he later requests another page—whether the same day or another day—we count that as a new visit. We exclude visits by "bots," which are not real people but merely agents harvesting data about web sites on behalf of search engines. Use: A query through the AAD or ARC search engine, or a retrieval of the start page, excluding retrievals by "bots." Traditional holdings: books, papers, maps, photographs, motion pictures, sound and video recordings and other documentary material that is not stored on electronic media. Artifact holdings: objects whose archival value lies in the things themselves rather than in any information recorded upon them. Electronic holdings: records on electronic storage media.

Long Range Performance Target 4.4   By 2012, our web sites score at or above the benchmark for excellence as defined for Federal government web sites.

FY 08 Estimated Performance

- Determine NARA's baseline score against the benchmark for excellence as defined for Federal government web sites.

- Complete an inventory of all web-based access capabilities currently provided to our online customers to identify gaps and overlaps.

FY 09 Projected Performance

- Improve NARA's score against the benchmark for excellence by 5 percent.

- Develop a comprehensive and strategic concept of operations for web-based access to our online assets.

Outcome   More people, nationwide and worldwide, have easy access to NARA services.

Significance   For citizens and the Government to take full advantage of the resources we have to offer, we must make those services available as widely as possible. With the advent of the Internet and other electronic forms of communication, we have the means to offer services remotely. Visiting or writing one of our facilities is no longer the only way for people to get ready access to essential evidence. By broadening the availability of our services, we ensure that citizens everywhere have access to their National Archives.

Means and Strategies   The National Archives reaches millions of people each year through its web presence, consisting of archives.gov, Presidential Library web sites, and web sites supporting unique initiatives, such as *OurDocuments.gov*.

These sites are the most widely available means of electronic access to our services and information, including directions on how to contact us and do research at our facilities located nationwide; descriptions of our holdings; direct access to certain archival electronic records; digital copies of selected archival materials; electronic mailboxes for customer questions, comments, and complaints; electronic versions of Federal Register publications; online exhibits; and classroom resources for students and teachers.

In accordance with the President's Management Agenda, which aims to expand electronic government NARA has aggressively looked for opportunities to make more of our services, for both Federal agencies and the public, available electronically. To meet this challenge and the requirements of the Government

Paperwork Elimination Act (GPEA), however, we must be able to support a wide variety of complex electronic transactions.

Our web sites assist the public in navigating our services from their homes; visiting virtually the National Archives, Presidential Libraries, Regional Archives, and the Charters of Freedom (the Declaration of Independence, Constitution, and Bill of Rights); and using resources available in our facilities nationwide. The sites also provide information about the varied and numerous public programs offered at all of NARA's locations, including those in the Regional Archives and the Presidential Libraries, as well as components of the National Archives Experience in Washington, DC, such as the William G. McGowan Theater and the Public Vaults permanent exhibit.

In FY 2007, we enhanced the educational aspect of our public web site, *archives.gov*, providing more engaging ways for our visitors to learn about the use of historical documents and the services we provide. The Presidential Libraries continue to digitize and post historical materials online, including the launch of the presidential Timeline, podcast series, and a new web site for the Richard Nixon Presidential Library and museum which launched July 11, 2007. Two major online exhibits were developed and launched— *Eyewitness* and *The Way We Worked*—based on the physical exhibits displayed at the National Archives Building.

In FY 2008, NARA will evaluate the need for a redesign of the *archives.gov* home page. The last redesign was in 2005. A new design of the Federal Records Center Program pages will be launched, as well as a redesign of the "National Archives Experience" to offer a new interactive feature using digitized images of many of the records from the Public Vaults exhibit. Also in FY 2008, the George H.W. Bush Presidential Library and Museum launched a new website redesign to complement their museum rededication. Several online exhibits are planned for launch, including a "Running for Office" exhibit about political cartoons. In addition, we have begun work on assessing our current online capabilities to determine gaps and overlaps, and will begin development of a strategic concept of operations for web-based access to NARA's digitized and electronic records by the public.

We continue to collect public feedback about our sites through our American Customer Satisfaction Index (ACSI) online surveys of our web sites and major application interfaces, such as our Archival Research Catalog (ARC) and Access to Archival Databases (AAD) systems. The results of these surveys continue to help guide enhancements to our public web site, *archives.gov*, making it more helpful to our customers. The Presidential Libraries consistently outperform the overall ACSI e-Government satisfaction score and other benchmarks. We plan to continue to respond to customer expectations by following this successful model and building upon the success of the collective Presidential Library web sites.

Order Online!, NARA's public application for ordering copies of selected records, will expand its capabilities to better support the quotation process and improve researcher ease of use by promoting online researcher self-service in determining what records NARA has and how to obtain copies. The key objective of the redesign is to allow researchers to locate and order products across format types while facilitating the pre-quoting process by capturing all relevant data related to the researcher request.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Online visits to NARA's web sites (in thousands).	—	21,859	31,897	34,871		
Cost to provide NARA services online per visitor.	$0.13	$0.17	$0.10	$0.05		
Performance target in percent improvement in web sites score at or above the benchmark for excellence as defined for Federal government web sites.	—	—	—	—	*Establish baseline*	*5*
Web sites score at or above the benchmark for excellence as defined for Federal government web sites.	—	—	—	—		
Percent of NARA services available online.	30	40	52	52		
Number of NARA services online.	36	48	62	62		

Milestones

FY 2004
- Online registration management system piloted.
- *Order Online!* implemented.
- Online ordering and payment of merchandise study conducted.

FY 2005
- Online searching to find microfilm available for purchase, viewing, or renting implemented.
- Online ordering of microform products implemented.
- Siebel Order Fulfillment Application (SOFA), replacing the OFAS Workflow System, implemented.
- Capability to submit grant applications online implemented.

FY 2006
- Online ordering of copies of bankruptcy cases, civil cases, criminal cases, and Court of Appeals cases implemented.
- Online ordering of copies of naturalization records implemented.
- Online ordering of World War I draft registration cards implemented.

FY 2007
- Online store for museum merchandise operational.
- Methodology for assessing NARA's score against the benchmark for excellence as defined for Federal government web sites developed.

FY 2008 Estimated
- Baseline score against the benchmark for excellence as defined for Federal government web sites established.
- Inventory of all web-based access capabilities currently provided to our online customers to identify gaps and overlaps completed.

FY 2009 Projected
- NARA's score against the benchmark for excellence improved by 5 percent.
- A comprehensive and strategic concept of operations for web-based access to our online assets developed.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions   Online Visits: An online "visit" is analogous to a physical visit to one of our facilities. If someone is continuously active on our site, we count all his retrievals as one visit. If he is inactive for more than 30 minutes, we assume that he has left the building, as it were. If he later requests another page—whether the same day or another day—we count that as a new visit. We exclude visits by "bots," which are not real people but merely agents harvesting data about web sites on behalf of search engines.

STRATEGIC GOAL 5 **WE WILL INCREASE ACCESS TO OUR RECORDS IN WAYS THAT FURTHER CIVIC LITERACY IN AMERICA THROUGH OUR MUSEUM, PUBLIC OUTREACH, AND EDUCATION PROGRAMS**

Long Range Performance Targets 5.1. By 2016, our museums score in the top 10 percent of all history museums nationally according to industry measures.

5.2 By 2016, 95 percent of exhibit, public outreach, and education visitors are highly satisfied with their visit experience.

FY 2008 Resources Available to Meet This Goal: $22,734,000; 205 FTE
FY 2009 Resources Requested to Meet This Goal: $14,353,000; 199 FTE

FY 2009 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
5.1. By 2016, our museums score in the top 10 percent of all history museums nationally according to industry measures.	✓					✓		
5.2 By 2016, 95 percent of exhibit, public outreach, and education visitors are highly satisfied with their visit experience.	✓					✓		

Long Range Performance Target 5.1   **By 2016, our museums score in the top 10 percent of all history museums nationally according to industry measures.**

FY 08 Estimated Performance
- Conduct a review of NARA's 12 Presidential Library museum programs.

- Collect comparative data for the National Archives Experience in Washington using the AASLH survey instrument.

FY 09 Projected Performance
- Identify appropriate industry measures and comparative survey tools for Presidential Libraries.

- Analyze data from the AASLH study.

Outcome Our museums are effective at increasing access to our holdings in ways that further civic literacy.

Significance In the promotion of civic literacy, the National Archives has always played a unique and important role. As the keeper of the records of the Government, we have literally safeguarded the documentary record of American history. This record belongs to the American people. From the Charters of Freedom, to the census records that enumerate our country's population, to the records of Congress and Presidential Administrations, our holdings are so vast and diverse that the value and amount of information available is not always readily apparent to the public. Therefore, we continually educate the public about the treasure trove of information and services we offer to enable access to our holdings. Museum programs are an inspiring way for people to understand their own personal connection to the

records in the National Archives. Our efforts are intended to help families see how their own stories fit into our national mosaic, and to thrill young people with the real-life drama of the American experience.

Means and Strategies   The National Archives Experience, which was launched with the opening of the Public Vaults, the McGowan Theater, and O'Brien Traveling Exhibits Gallery in FY 2005, continues to grow in scope and impact. The Public Vaults has helped us make a connection between the average visitor and federal records, illustrating how such records illuminate our understanding of the events that shaped our nation, our communities and our families. We expanded the offerings in our Theater, to include "American Conversations," a successful series of civic discussions with noted authors and historical thinkers hosted by the Archivist of the United States. The O'Brien Gallery has featured topical exhibits intended to engage visitors in the stories that define our common heritage, from eyewitness reports of the great events of our times to the school boy experiences of the youngsters who grew up to be President. Added in FY 2007, our new Boeing Learning Center provides resources to teachers and parents, allowing them to more effectively use our records to achieve national standards for history and civics. More than one million visitors a year now visit the National Archives Experience, providing the National Archives with an exceptional opportunity to promote lifelong civic learning among people of different ages and backgrounds who come from all parts of the country.

Presidential Libraries and Museums play a vital role in promoting an understanding not only of the Presidency, but also American history and democracy. From Hoover through Clinton, the museums offer thought-provoking and entertaining permanent exhibits that combine documents and artifacts, photographs and film to immerse visitors in the sights and sounds of the past. Each year, Presidential Libraries also create temporary exhibits that enhance the public's civic literacy by expanding visitors' understanding of their government, their local communities, and modern American history. Exhibits examine themes central to civic literacy in America: leadership, citizenship, and our democratic tradition.

Conferences, symposia, and public forums sponsored by the Libraries are another means of educating and informing the public about our shared democratic values. In FY 2006, more than 200,000 people attended public programs at Presidential Libraries. "Vietnam and the Presidency" was particularly noteworthy. Hosted by the Kennedy Library, this unprecedented gathering of public figures intimately associated with the Vietnam War was the first conference sponsored by all of the Presidential Libraries together with NARA. Due to the extraordinary public response to the conference, Presidential Libraries held a second conference examining the Supreme Court and the Presidency in November 2007 at the Roosevelt Library.

Beyond exhibits and formal programs, education programs are an integral part of Library activities. President Reagan described Presidential Libraries as "classrooms of democracy." This description could not be more accurate. Libraries provide a broad range of educational opportunities for students of all ages. Each Library offers programs designed to introduce students to American history and the Presidency and to inform teachers about the use of primary source documents in teaching history.

Key external factors   Our success depends on the availability and usability of instruments for measuring the effectiveness of museums.   It also depends in part on the support we receive from the Foundation for the National Archives and the private foundations that support the Presidential Libraries because they provide the additional resources needed to accomplish this goal.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target for NARA museums scoring against the industry benchmark.	—	—	—	—	—	*Establish baseline*
NARA museums score against the industry benchmark.	—	—	—	—	—	
Number of visitors to NARA museums and exhibits (in millions)	2.4	2.9	2.9	3.1		

Milestones

FY 2004
- Permanent exhibit, "The Public Vaults," part of NARA's National Archives Experience program opened to the public.
- Lewis and Clark Exhibition, marking the 200th anniversary of that event, opened at the Reagan Library.
- "American Originals" traveling exhibit 4 year tour around the United States concluded.

FY 2005
- William J. Clinton presidential Library and Museum opens to the public.

FY 2007
- Industry measurement tools for an appropriate benchmark for NARA museums surveyed.
- The Learning Center operational, part of NARA's National Archives Experience, is operational.
- Richard Nixon Presidential Library and Museum opens to the public.

FY 2008 Estimated
- A review of NARA's 12 Presidential Library museum programs conducted.
- Comparative data for the National Archives Experience in Washington using the AASLH survey instrument collected.
- George H.W. Bush Presidential Library and Museum rededicated and opened to the public.

FY 2009 Projected
- Appropriate industry measures and comparative survey tools for Presidential Libraries identified.
- Data from the AASLH study analyzed.

Data source Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Long Range Performance Target 5.2   By 2016, 95 percent of our education, public outreach, and exhibit visitors are highly satisfied with their visit experience.

FY 08 Estimated Performance
- 95 percent of NARA education, public outreach, and exhibit visitors are highly satisfied with their visit experience.

- Implement Presidential library museum visitor satisfaction survey.

- Develop Presidential library education program survey.

- Develop baseline of categories for program types across the agency; methodology for measuring offsite program work.

FY 09 Projected Performance
- 95 percent of NARA education, public outreach, and exhibit visitors are highly satisfied with their visit experience.

- Baseline Presidential library survey of museum visitor satisfaction.

- Baseline Presidential library education program survey.

Outcome   Our visitors understand their personal connection to the records of their history.

Significance   Studies indicate that visitor satisfaction correlates with learning. That is, people who report having a satisfying experience also turn out to have learned more of the content of the program.

Means and Strategies   We deliver a wide variety of experiences for visitors throughout the National Archives system. These experiences are delivered through physical visits, online and offline publications, video conferences, webcasts, and others. As technology expands to include new delivery mechanisms, we will look for new opportunities for delivering our programs.

Key external factors   To better understand our customers' interests, we will need to expand our customer survey program.

Verification and Validation

Performance Data	**FY 2004**	**FY 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**
Performance target for percent of education, public outreach, and exhibit visitors who are highly satisfied with their visit experience.	*95*	*95*	*95*	*95*	*95*	*95*
Percent of education, public outreach, and exhibit visitors who are highly satisfied with their visit experience.	99	99	99	98		
Number of rated education programs, workshops, and training courses.	464	547	605	606		
Number of attendees at rated education programs, workshops, and training courses.	8,125	9,248	10,394	12,299		

Milestones
FY 2004
- Permanent exhibit, "The Public Vaults," part of NARA's National Archives Experience program opened to the public.

FY 2007
- Methodology for collecting statistics on customer satisfaction from a variety of sources developed.

FY 2008 Estimated
- Presidential library museum visitor satisfaction survey implemented.
- Education program survey developed.
- Baseline of categories for program types across the agency; methodology for measuring offsite program work developed.

FY 2009 Projected
- Presidential library survey of museum visitor satisfaction baselined.
- Presidential library education program survey baselined.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

STRATEGIC GOAL 6   WE WILL EQUIP NARA TO MEET THE CHANGING NEEDS OF OUR CUSTOMERS.

Long Range Performance Targets   6.1. By 2016, 95 percent of employees possess the core competencies that were identified for their jobs.

6.2. By 2016, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force (CLF).

6.3. By 2016, public network applications are available 99 percent of the time.

FY 2008 Resources Available to Meet This Goal: $33,950,000; 158 FTE
FY 2009 Resources Requested to Meet This Goal: $35,873,000; 158 FTE

FY 2009 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
6.1. By 2016, 95 percent of employees possess the core competencies that were identified for their jobs.	✓	✓	✓		✓			
6.2. By 2016, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force (CLF).	✓	✓	✓		✓			
6.3. By 2016, public network applications are available 99 percent of the time.	✓	✓			✓			

Long Range Performance Target 6.1   By 2016, 95 percent of employees possess the core competencies that were identified for their jobs.

FY 08 Estimated Performance
- Maintain 95 percent of staff development plans linked to strategic outcomes.

- Maintain 95 percent of employee performance plans linked to strategic outcomes.

- Implement pilot for a management development program.

FY 09 Projected Performance
- Maintain 95 percent of staff development plans linked to strategic outcomes.

- Maintain 95 percent of employee performance plans linked to strategic outcomes.

Outcome   The NARA workforce has the skills necessary to deliver the services our customers require.

Significance   To ensure we can achieve our mission and strategic goals we must be able to recruit, retain, and develop high-performing staff for key leadership positions.

Means and Strategies   Having the internal staff capabilities to carry out the strategies in this Strategic Plan is vital to the success of the plan and the achievement of our mission. Like other Federal agencies, NARA is facing significant turnover in senior leadership and loss of specialized expertise over the next several years. To ensure that this personnel change does not create a debilitating "brain drain" we must implement mechanisms to attract, develop, and nurture new agency leaders at all levels. To do this, we have created an agency leadership competency model, and management development curricula based on the competencies has been offered since FY 2003. We will also create a succession planning process for senior levels and critical positions, create management development programs to meet specific office needs, leverage the individual development plan process to grow new leaders, and include employee development as an element in all senior manager performance plans.

In 2004, we launched a new initiative to develop the next generation of records center managers throughout NARA's Federal Records Center Program. The management intern program is a three-year program for selected interns, providing 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, interns are closely mentored by other NARA professionals. The program rolled out to 4 records centers in FY 2004, expanded to 2 more in FY 2005, and additional centers were added in FY 2006. Following this model, we are designing and piloting a management development program.

We will place special emphasis on leadership in the context of our records lifecycle and electronic records business transformation effort. As NARA's business transforms, our staff must also transform. Based on the results of an organizational impact assessment, we are examining our current organizational structures to determine whether or not they are sufficient to support the work of the agency moving forward. Should we find existing structures insufficient, we will consider alternative organizational structures and develop, in consultation with NARA staff and the labor union, detailed reorganization plans and timeframes for implementation. As workflows and organizational structures are finalized, we will also analyze position structures both within and across organizational units to determine whether the positions we have today are the positions we need for tomorrow. As a result of this multi-year effort, we will be able to develop new competency models and performance standards for positions undergoing change, assess the competencies of existing staff and conduct gap analyses, and, develop both short- and long-term strategies to bridge those gaps.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target for percent of permanent staff having staff development plans that link to strategic outcomes.	*95*	*95*	*95*	*95*	*95*	*95*
Percent of permanent staff having staff development plans that link to strategic outcomes.	52	78	76	96		
Number of permanent staff having staff development plans that link to strategic outcomes.	1,400	2,071	1,944	2,379		
Number of permanent staff.	2,703	2,664	2,607	2,485		
Average time (in calendar days) to fill a leadership position	90	82	42	39		
Performance target for percent of staff having performance plans that link to strategic outcomes	*95*	*95*	*95*	*95*	*95*	*95*
Percent of staff having performance plans that link to	93	94	95	97		

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
strategic outcomes.						
Number of staff having performance plans that link to strategic outcomes.	2,826	2,843	2,882	2,157		

Milestones

FY 2004
- Project plan for redesigning NARA's existing recruiting strategies and procedures developed.
- Leadership competency model developed.
- Management intern program implemented in 4 records centers.

FY 2005
- Management intern program expanded to 2 more records centers.
- Pilot course on interview skills and techniques completed.
- System for tracking and monitoring the timeliness of recruitment actions revised.
- Supervisors' performance plans revised to establish accountability for timely recruiting and selection.

FY 2006
- Management trainee program expanded to additional records centers.
- Workforce planning process that enables managers to better plan recruiting for leadership and other positions created.
- Organizational impact study conducted to consider changes to organizational structure and training needs as a result of long-range improvements to NARA workflows (see 1.3).
- Vendor to convert eOPFs selected.

FY 2007
- A management development program for another program office designed.
- Conversion project for eOPFs completed.

FY 2008 Estimated
- Pilot for a management development program implemented.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist. Targets for maintaining staff performance plans and development plans linked to strategic outcomes take into account personnel changes that routinely occur, during which personnel may not have updated plans that relate to their new duties. Because of continuous personnel changes there will always be less than 100 percent linkage.

Definitions   <u>Staff development plan:</u> 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. <u>Leadership position:</u> a supervisory position at grade GS-13 or above and non-supervisory positions at grade 15 or above.

Long Range Performance Target 6.2   By 2016, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.

FY 08 Estimated Performance
- Increase the percentage of applicants pools with applicants in underrepresented groups for positions in grades 13 and above over the percentage in FY 2007.

FY 09 Projected Performance
- Increase the percentage of applicants pools with applicants in underrepresented groups for positions in grades 13 and above over the percentage in FY 2008.

Outcome   NARA customer service to all segments of American society improves because the workforce mirrors the society we serve.

Significance   A diverse workforce enhances our agency by ensuring that we can draw on the widest possible variety of viewpoints and experiences to improve the planning and actions we undertake to achieve our mission and goals. By promoting and valuing workforce diversity, we create a work setting where these varied experiences contribute to a more efficient and dynamic organization and employees can develop to their full potential.

Means and Strategies   We must focus on improving our performance in hiring and promoting people in underrepresented groups by continuing our efforts to expand recruiting techniques, collecting and analyzing pertinent personnel management data, and implementing staff development programs.

We will focus on improving our performance in hiring and promoting people in underrepresented groups by continuing our efforts to expand recruiting techniques, collecting and analyzing pertinent personnel management data, and implementing staff development programs. We hope to make steady gains in attracting underrepresented groups through a recruitment framework developed in FY 2007 to help guide the agency's short- and long-term recruitment activities. The framework includes a special emphasis on recruiting from underrepresented groups. A key strategy in this framework is to maximize Federal hiring flexibilities available for entry-level positions (typically GS-5 through GS-11) in order to increase the availability of underrepresented candidates for higher level positions. To that end, NARA has established partnerships with the Hispanic Association of Colleges and Universities (HACU) and the Gates Millennium Scholars Foundation to place underrepresented students in internship positions throughout NARA; implemented the Federal Career Intern Program as a tool to attract highly qualified diverse applicants to entry-level positions throughout NARA; and continued to reach out to minority-serving organizations at all levels in order to raise awareness about career opportunities at NARA. First quarter performance data from FY 2008 is encouraging—100 percent of applicant pools at the GS-1 through GS-12 level contained members of underrepresented groups.

Key external factors   Achievement of this target depends on qualified people in underrepresented groups applying for positions at NARA.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Performance target for percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.	*90*	*93*	*96*	*87*	*75*	*80*
Percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.	92	95	87	76		
Number of applicants for positions at grades GS-13 and above.	1,783	1,725	677	194		
Number of applicant pools for positions at grades GS-13 and above.	143	153	86	37		
Number of pools for positions in grades GS-13 and above that had self-identified applicants in protected classes.	143	144	75	28		
Percent of Civilian Labor Force rate used to determine if underrepresented groups met employment target.	*70*	*80*	*90*	*100*	*90*	*90*
Underrepresented groups of employees meeting target (checkmark indicates target met or exceeded)						

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
—Women		✓	✓			
—Black		✓	✓	✓		
—Latino-Hispanic						
—Asian American/Pacific Islander		✓				
—American Indian/Alaskan Native		✓				
—Targeted disability		✓	✓	✓		

Data source   Performance Measurement and Reporting System and semi-annual reports to the Archivist.

Definitions   <u>Applicant:</u> Any U.S. citizen who submits a complete application in accordance with the instructions outlined in the job announcement; <u>Underrepresented groups:</u> groups of people tracked by the U.S. Equal Employment Opportunity Commission: Minority groups (Black, Latino-Hispanic, Asian, Native Hawaiian/Pacific Islander, and American Indian/Alaskan Native); Women; People with Disabilities.

Long Range Performance Target 6.3 By 2016, public network applications are available 99 percent of the time.

FY 08 Estimated Performance

- Public network applications are available 98.83 percent of the time.

- Recompete the NARA IT support services contract.

- Test IT solutions to expand NARA's telework resources.

FY 09 Projected Performance

- Public network applications are available 98.84 percent of the time.

- Award the NARA IT support services contract.

- Determine strategy and develop Concept of Operations for integration and management of remote access for mobile users.

Outcome   NARA information and services are electronically accessible to the public 24 hours a day.

Significance   Dramatic increases in computer interconnectivity, especially in the use of the Internet, continue to revolutionize the way our Government, our nation, and much of the world communicate and conduct business. Our customers expect information and services to be available when they need them. However, this widespread interconnectivity poses significant risks to the Government's computer systems and the critical operations they support. The speed and accessibility, as well as the other enormous benefits of the computer age, if not properly controlled, allow individuals and organizations to interfere with critical operations for mischievous or malicious purposes. Reliable performance and security of our public network applications is essential to ensuring that customer expectations for access to our information and services can be met. In addition to supporting public network applications, successful implementation and deployment of many NARA initiatives, including ERA, is dependent upon a robust, reliable, stable, scalable, and high performance technology infrastructure.

Means and Strategies   NARA's fundamental strategic business goal as the national record keeper is to preserve and provide access to the records that document what the government does. NARA's Enterprise Architecture (EA) is an information technology blueprint that specifies how NARA will use information

technology (IT) to support its strategic business goal. NARA is working to enforce the governance process related to its EA. It is the enforcement of the EA governance that will allow NARA to hold all IT projects accountable for EA compliance and alignment with the Federal Enterprise Architecture. Over the past several years we have focused on EA process improvement and worked to resolve some gaps that had been identified through GAO and OMB assessments and the agency-wide review of the EA work products. As a result, NARA's EA received an overall score of "green" from OMB in FY 2007 based on green scores in the Completion and Use categories.

The authenticity and reliability of our electronic records and information technology systems are only as good as our IT security infrastructure. We must ensure the security of our data and our systems or we risk undermining our agency's credibility and ability to carry out our mission and the Government's ability to document the results of and accountability for its programs. IT security becomes even more critical as we increase our visibility through the implementation of electronic government initiatives that expand online services to the public. The more we increase electronic access to our services and records, the more vulnerable we potentially are to intrusions, viruses, privacy violations, fraud, and other abuses of our systems.

We have made significant progress in building and sustaining an ongoing, comprehensive IT security program that will ensure the integrity and safety of our data and systems, sufficient to close a material weakness in IT security in FY 2006. Today, IT security is an integral part of the architectural review process for all new project designs, NARA information systems are undergoing risk assessments and security certification so that they can be formally accredited for operation on the NARA network , and we have implemented a continuing security awareness and training program for employees. We continue to enhance perimeter defenses, access control, remote access, incident response capability, and system security configurations, and update them to be consistent with revised National Institute of Standards and Technology (NIST) guidelines. We refined our information system risk assessments and certifications, established an IT Security Risk Management Plan, updated our agency-wide IT security directive, and included the Security Architecture component in the Enterprise Architecture. The program was also strengthened by the creation of IT governance boards, which provide strong support for configuration management of IT systems that are in production and under development. Standardized configurations were adopted for a number of key operating systems, and network monitoring was enhanced through the deployment of an Intrusion Detection System. Classified IT systems were brought under centralized management control and NARA produced and tested a Disaster Recovery Plan. IT security will be a continuing priority in the foreseeable future as we rely more and more on our IT infrastructure to provide services to the public. It will also continue to receive close oversight by our Inspector General and their auditors.

Key external factors Constantly evolving hardware and software changes make it difficult to accommodate growth while ensuring the minimum performance levels on existing systems. In addition to the technical hurdles NARA faces in providing reliable support and services, new opportunities for strengthening the IT infrastructure from a security perspective may be introduced, which can affect the entire enterprise architecture.

<u>**Verification and Validation**</u>

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Percent of public network availability.	100	99.9	100	100		
Performance target for percent availability of public applications.	*96.5*	*97*	*98.9*	*98.80*	*98.83*	*98.84*
Percent of public applications availability.	98.7	98.9	98.9	99.3		

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Number of total hours that any public network application was unavailable.	1,047	923	830	504		
Number of visits to public applications (in millions).	4.4	6.6	8.7	12.0		
Cost per visit to public applications.	$0.29	$0.24	$0.27	$0.34		
Percent of customer's highly satisfied with NARA helpdesk services (average for year).	—	—	—	65		

Milestones

FY 2004
- Enterprise repository for NARA's Enterprise Architecture and associated IT documentation piloted.
- Improved agency-wide disaster recovery processes and mechanisms implemented.
- Telecommunications upgrade complete except for Atlanta and Archives I.

FY 2005
- Physical security of NARA's computer infrastructure at 50 percent of NARA locations upgraded.
- Enterprise repository for NARA's Enterprise Architecture and associated IT documentation implemented.
- Development of an enterprise-wide disaster recovery plan and an enterprise-wide continuity of operations plan completed.
- Telecommunications upgrade completed.

FY 2006
- Physical security of NARA's computer infrastructure at remaining NARA locations upgraded.
- Network operating system and agency e-mail system upgrade across NARA initiated.
- NARA's Enterprise Architecture received overall score of "green" from OMB.

FY 2007
- Network operating system and agency e-mail system upgrade across NARA completed.

FY 2008 Estimated
- Recompete of Information Technology Support Services contract initiated.
- Possible IT solutions for work-at-home tested to support Federal telework initiatives.

FY 2009 Projected
- Information Technology Support Services contract awarded.
- Strategy determined and Concept of Operations developed for integration and management of remote access for mobile users.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist.
NARANET: a collection of local area networks installed in 36 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.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
2009 PERFORMANCE BUDGET — CONGRESSIONAL JUSTIFICATION

Budget Tables

February 2008

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)

ANALYSIS OF REQUESTED LEVEL FOR 2009
(dollars in thousands)

	FTE	Amount
Level Authorized by P.L. 110-161 for Fiscal Year 2008	1,448	$315,000
Transfer of Funds Authorized by P.L. 110-161		$2,000
Revised Availability for Fiscal Year 2008	1,448	$317,000
Estimates for Fiscal Year 2009	1,488	$327,783
Total Change, 2008 to 2009	**40**	**$10,783**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2009
(dollars in thousands)

Activity	Obligations						Increases or Decreases for 2009	
	2007 Actual		2008 Estimate		2009 Estimate			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Records Services:								
Records Services - Washington, DC	752	$124,848	755	$129,635	761	$129,978	6	$343
Regional Records Services	252	41,052	256	51,816	256	53,216	0	1,400
Presidential Libraries	307	70,349	343	88,036	383	97,365	40	9,329
Information Security Oversight Office	22	4,136	23	4,540	23	4,652	0	112
Subtotal, Records Services	1,333	$240,385	1,377	$274,027	1,423	$285,211	46	$11,184
Archives Related Services:								
Federal Register	60	9,844	61	11,713	61	12,165	0	452
National Historical Publications and Records Commission	10	2,205	10	2,289	4	1,436	-6	-853
Subtotal, Archives Related Services	70	$12,049	71	$14,002	65	$13,601	-6	-$401
Archives II Facility Interest Payments [1]	-	18,945	-	18,075	-	17,129	0	-946
Total Obligations	**1,403**	**$271,379**	**1,448**	**$306,104**	**1,488**	**$315,941**	**40**	**$9,837**
Archives II / Redemption of Debt [1]	-	10,026	-	10,896	-	11,842	0	946
Total Request	**1,403**	**$281,405**	**1,448**	**$317,000**	**1,488**	**$327,783**	**40**	**$10,783**

[1] See explanation of Archives II financing on page III-12.   Note: See each activity for prorated amount of program direction.

SUMMARY EXPLANATION OF CHANGES REQUESTED FOR 2009
(dollars in thousands)

Activity	Records Services		Archives Related Services		Total	
	FTE	Amount	FTE	Amount	FTE	Amount
Program Changes:						
Prepare for new George W. Bush Library	24	$6,325	-	$0	24	$6,325
Processing Presidential Records	15	1,600	-	-	15	1,600
OIG Staffing - Criminal Investigator	1	114	-	6	1	120
Adjustment for NHPRC Administrative Function	6	-	-6	-902	-	-902
Total Program Changes	**46**	**$8,039**	**-6**	**-$896**	**40**	**$7,143**
Other Changes:						
Annualization of 2008 Pay Raise	-	$1,163	-	$73	-	$1,236
January 2009 Pay Raise	-	2,775	-	175	-	2,950
One Less Compensable Day in 2009	-	-489	-	-31	-	-520
Facility Rate Changes (NARA Facilities)	-	676	-	85	-	761
Information Technology Changes	-	1,349	-	158	-	1,507
Inflationary Rate Changes (non-pay)	-	895	-	35	-	930
One-time Unrequested Funding	-	-2,126	-	-	-	-2,126
Adjustment for NHPRC Administrative Function	-	-1,098	-	-	-	-1,098
Total Other Changes	**0**	**$3,145**	**0**	**$495**	**0**	**$3,640**
Total Changes Compared to 2008	**46**	**$11,184**	**-6**	**-$401**	**40**	**$10,783**

RECORDS SERVICES
Analysis of Resources
(dollars in thousands)

Activity	Obligations						Increases or Decreases for 2009	
	2007 Actual		2008 Estimate		2009 Estimate			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Records Services - Washington, DC	641	$91,217	657	$98,540	663	$97,537	6	-$1,003
Regional Records Services	218	30,994	222	40,869	222	41,795	0	926
Presidential Libraries	262	56,588	280	67,753	319	76,204	39	8,451
Information Security Oversight Office	18	3,025	19	3,331	19	3,391	0	60
Subtotal	1,139	181,824	1,178	210,493	1,223	218,927	45	8,434
Program Direction *	194	58,561	199	63,534	200	66,284	1	2,750
Total	**1,333**	**$240,385**	**1,377**	**$274,027**	**1,423**	**$285,211**	**46**	**$11,184**
* Includes Office of Inspector General	12	$2,024	17	$2,575	18	$2,756	1	$181

BACKGROUND

Records Services programs cover selecting, preserving, describing, and making available to the general public, scholars, and Federal agencies the permanently valuable historical records of the Federal Government and the historical materials and Presidential records in Presidential Libraries; for preparing related publications, exhibits, and public programs; and for conducting the appraisal of Federal records. Included is the systematic review of all classified records in the National Archives over 25 years old, and the implementation and monitoring of security classification programs in both Government and industry. Such programs are administered through NARA's Office of Records Services-Washington, D.C.; Office of Regional Records Services; Office of Presidential Libraries; and the Information Security Oversight Office.

1. Records Services-Washington, D.C. — This program provides Federal agencies and the public with access to records of the Federal Government. Information regarding these records and reproductions of them are also provided through mail, e-mail, telephone, and fax. Records are arranged and descriptions of their contents are prepared to provide access and facilitate use of the records. Descriptions of materials are published in guides, inventories, special lists, other publications, and electronically. Exhibits provide additional public access to archival holdings.

This program also appraises records of the Federal Government for disposition and establishes government-wide policies, standards, procedures, and regulations to ensure adequate and appropriate documentation of the Government's activities. Assistance is provided to Federal agencies to ensure the proper creation, maintenance, use, and disposition of agency records, including the development and implementation of records administration programs, as mandated by law.

Included is a declassification program that makes available to the public historically valuable information in previously classified Federal Government records and donated historical materials by declassifying information without endangering national security. Much of the work is performed in the Washington metropolitan area on records in the National Archives at College Park. Some of this work also is accomplished at the Presidential Libraries of recent Presidents. Under Executive Order 12958, effective October 16, 1995, the program is focused on the systematic review and declassification of classified information in archival records more than 25 years old. The program also provides for review of records requested by researchers in accordance with procedures under Executive Order 12958 and the Freedom of Information Act.

Records Services - Washington, D.C. Program Costs
(dollars in thousands)

Activity	2007 Actual	2008 Estimate	2009 Estimate	Change from 2008
Reference Services / Access	$25,940	$28,402	$28,524	$122
Preservation	14,034	14,201	13,914	-287
Records Life Cycle System	17,959	19,171	18,436	-735
Records Declassification	5,587	6,035	5,914	-121
Public Programs	2,994	3,196	2,783	-413
Rent	47	66	72	6
O&M - NARA Buildings	18,571	20,645	20,917	272
Common Distributable	6,085	6,824	6,977	153
Total Program Costs	$91,217	$98,540	$97,537	-$1,003

2. Regional Records Services — Outside the Washington, D.C. area, NARA operates a system of individual regional records services facilities in ten regions. Each of the ten regional administrators oversees a program encompassing the full life cycle of records from creation through ultimate disposition and use. Included are records management activities with records creators, records processing, archival accessioning, and provision of records access to the public. Historically valuable records, particularly those of regional interest, are maintained in regional archives, which arrange and preserve the records and prepare finding aids to facilitate their use, make the records available for use in research rooms, answer written and oral requests for information contained in the holdings, and, for a fee, provide copies of the records. In addition, many important original records held in NARA facilities in the Washington, D.C., area are available on microform in regional facilities.

Regional records services facilities provide reference services on over 625 thousand cubic feet of records, which includes retrieving records for the agency of origin, preparing authenticated reproductions of documents, and furnishing information from records. The facilities also dispose of records of transitory value and transfer into archival custody those that have enduring value. The facilities also offer to Federal agencies in the regions technical assistance workshops and advice on records creation and management.

3. Presidential Libraries — This program provides for the operation of eleven Presidential Libraries, the Presidential Materials Staff in Washington, D.C., and the retention and processing of Nixon Presidential materials. Presidential records, manuscripts, books, prints, films, and other historical materials received from former Presidents or acquired from their contemporaries pursuant to the Presidential Records Act of 1978 are arranged, described, preserved, and processed for opening to the public. Finding aids are published and assistance is provided to scholars and other researchers. The libraries also solicit donations of historical materials relating to Presidents and the Presidency. The Presidential Libraries have programs of exhibits, publications, scholarly symposia, conferences, and related activities based upon their holdings. Preservation actions include making copies of Presidential films and tapes, conserving museum items, and preserving color photos.

Selected library holdings at the close of 2007 were as follows:

(cubic feet)	
Traditional Textual	234,607
Traditional Non-Textual	33,748
Artifacts (number of items)	542,056

Exhibits in Presidential Libraries were viewed by 1,848,209 visitors in 2007.

Presidential Libraries Program Costs

(dollars in thousands)

Activity	2007 Actual	2008 Estimate	2009 Estimate	Change from 2008
Hoover	$1,181	$1,216	$1,249	$33
Roosevelt	1,382	1,394	1,435	41
Truman	1,538	1,507	1,551	44
Eisenhower	2,002	2,038	2,097	59
Kennedy	2,109	2,147	2,209	62
Johnson	2,169	2,159	2,222	63
Nixon Materials Staff	1,419	1,814	1,866	52
Ford	1,779	1,821	1,874	53
Carter	2,109	2,076	2,136	60
Reagan	1,941	2,055	2,343	288
Bush	1,563	1,579	1,833	254
Clinton	1,828	1,953	2,426	473
Presidential Materials Staff	1,307	1,339	1,378	39
Planning and Direction	4,408	3,321	4,176	855
Nixon Library	913	5,564	5,725	161
G.W. Bush	50	5,350	11,675	6,325
Rent	7	7	7	0
O&M - NARA Buildings	1,112	1,237	1,253	16
O&M - Libraries	26,406	27,726	27,212	-514
Common Distributable	1,365	1,450	1,537	87
Total Program Costs	$56,588	$67,753	$76,204	$8,451

4. Information Security Oversight Office (ISOO) — The Information Security Oversight Office provides oversight for the information security program established by Executive Order 12958 and reports annually to the President on the status of that program. This involves monitoring the information security programs of approximately 80 executive branch agencies. It is also responsible for policy oversight for the National Industrial Security Program established under Executive Order 12829.

5. Program Direction — This activity provides general direction and program support for all NARA programs. Direction is provided by the Archivist and a policy, communications, legal, and administrative staff. The Archivist's staff coordinates the offices' programs; provides legal advice; promotes the efficient utilization of resources; maintains liaison activities with the Congress; provides policy on budget and human resources matters; conducts audits; manages facilities and the procurement program; evaluates programs; and coordinates information technology systems. An additional major responsibility of this staff is to coordinate and oversee the agency's strategic planning process. This includes management of strategic and annual performance plans, all related customer service programs, and performance measurement systems.

The Office of Inspector General (OIG)'s mission is to ensure that NARA provides the American people with ready access to essential evidence by providing high-quality, objective audits and investigations and serving as an independent, internal advocate for economy, efficiency, and effectiveness. The Inspector General Act of 1978, as amended, established the OIG's independent role and general responsibilities. The Inspector General reports to both the Archivist of the United States and the Congress. The OIG evaluates NARA's performance, makes recommendations for improvements, and follows up to ensure economical, efficient, and effective

operations and compliance with laws, policies, and regulations. OIG funding supports the personnel compensation and benefits of staff and also provides for travel and contractual services and supplies to support the mission of the OIG.

NARA is committed to streamlining operations, enhancing productivity, and creating innovation. NARA is continuing business process design efforts in both archival and administrative areas as part of an on-going effort to improve management oversight and internal efficiency. NARA is also creating an agency-wide information technology architecture that will make possible access to shared reference data throughout the records life cycle in a consistent and compatible manner; promote the technological integration of all sites; and involve technologies that are secure, maintainable, and reusable.

In response to the Administration's policy of reducing administrative support costs, NARA has cross-servicing agreements for payroll and accounting services. NARA continues to contract out Washington, D.C. area mailroom services and certain other administrative services. Human resources management services are provided nationwide through a centralized employment policy branch in Washington, D.C., and an operations branch in St. Louis, Missouri.

Under the requirements of OMB Circular A-127 and the NARA Internal Control Program, the National Archives conducts two financial reviews: one for the Appropriated Funds Financial Review, Analysis, and Reporting System, and one for Budget Preparation. These reviews are done annually in August. The systems conform to the principals and standards developed by the Comptroller General, and implemented through OMB. The systems rely on contemporary technology including electronic communication between systems, flexible-reporting formats, and controlled access to databases by personal computers. Financial management data is complete and accurate, and readily available. It is at a level of detail necessary to meet the needs of management and external resources. Financial data is reported in the same manner throughout the agency using uniform definitions. Applications have adequate documentation. The GSA accounting system, using reports based on official accounting records, which services the National Archives, provides financial data in enough detail to support the development of budget estimates and to facilitate carrying out program and administrative responsibilities.

NARA completed audited financial statements in accordance with the accounting standards codified in the Statements of Federal Financial Accounting Standards (SFFAS) and OMB Bulletin No. 01-09, Form and Content of Agency Financial Statements.

The Facilities and Materiel Management Services, NAF, employs a nationwide property inventory and management information system that manages NARA's assets. The property management system is Integrated Property Management, IPM. The IPM system maintains accurate information regarding the funding used, the date of purchase, and capitalization and depreciation of all real property assets that the value exceeds $1,000. The IPM system also maintains information on sensitive items such as computers, weapons and audio/visual equipment. The IPM system provides information on the real property's location, size, whether the item is purchased or leased, and warranty information. The IPM system provides reports on past audit/inventories and maintains schedules for future audit/inventories. IPM also has a disposal/surplus module that creates the surplus forms, pulls the asset from an open active inventory file to an inactive surplus file. The inactive surplus file becomes a history file for audit purposes. This IPM system is operated and maintained by a trained property management staff

within NAF. This staff works daily with the property officers nationwide to keep the information accurate and up to date.

Program direction staff are responsible for all aspects of facility management for the National Archives Building and the Archives II facility, including security, operation, and maintenance. In addition, staff provides management oversight for major repair and alteration projects at the National Archives Building, the Archives II facility at College Park, Maryland and Presidential Libraries located at facilities around the country.

EXPLANATION OF CHANGES, 2008 VERSUS 2009

Program changes. The budget request reflects an increase of $8,039,000 and 46 FTE. Increases include $6,325,000 and 24 FTE to prepare for the George W. Bush Presidential Library; $1,600,000 and 15 FTE for processing Presidential records; and $114,000 and 1 FTE to supplement the Criminal Investigative staff of the office of the NARA Inspector General. Also includes a realignment of 6 FTE from the Archives Related Services.

Other changes. An overall increase of $3,145,000 includes $1,163,000 for annualization of the 2008 pay raise; $2,775,000 for the January 2009 pay raise; $676,000 for facility rate changes (NARA facilities); $1,349,000 for information technology changes; and $895,000 for inflationary rate changes.

These increases are offset by decreases of $489,000 for one less compensable day in 2009; $1,098,000 for funding provided in 2008 for a one-time increase to Grants Administration; and $2,126,000 for a one-time unrequested funding adjustment.

Records Services Performance Costs
(dollars in thousands)

Goals and Activities	2007 Actual	2008 Estimate	2009 Estimate	Change from 2008
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	$22,153	$29,304	$37,360	$8,056
We will preserve and process records to ensure access by the public as soon as legally possible.	$97,847	$138,292	$141,034	$2,742
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	$8,593	$9,417	$9,349	-$68
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	$46,143	$51,246	$49,712	-$1,534
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach and education programs.	$35,983	$13,398	$13,556	$158
We will equip NARA to meet the changing needs of out customers.	$29,666	$32,370	$34,200	$1,830
Total Performance Costs	$240,385	$274,027	$285,211	$11,184

ARCHIVES RELATED SERVICES
Analysis of Resources
(dollars in thousands)

Activity	Obligations						Increases or Decreases for 2009	
	2007 Actual		2008 Estimate		2009 Estimate			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Federal Register	52	$7,314	52	$8,758	52	$9,082	-	$324
National Historical Publications and Records Commission [1]	8	1,588	8	1,617	2	735	-6	-882
Subtotal	60	8,902	60	10,375	54	9,817	-6	-558
Program Direction *	10	3,147	11	3,627	11	3,784	-	157
Total	**70**	**$12,049**	**71**	**$14,002**	**65**	**$13,601**	**-6**	**-$401**
* Includes Office of Inspector General	1	$107	1	$136	1	$145	-	9

[1] Estimated administrative costs of the NHPRC Grants program for FY 2009 is $301 ($1,203 if fully staffed)

BACKGROUND

Archives Related Services include two special services that are archival related in the Federal government. One is the publication of the *Federal Register*, the *Code of Federal Regulations*, the *U.S. Statutes at Large*, and Presidential documents. The other is the administration and reference services portion of the budget for the National Historical Publications and Records Commission. This Commission makes grants nationwide to preserve and publish records that document American history. This section also describes program direction for NARA as a whole.

1. Federal Register — This program provides for the editing, compilation, and publication of Federal regulations in the *Federal Register* and the *Code of Federal Regulations*; laws in slip form and the *U.S. Statutes at Large*; Presidential documents in the *Weekly Compilation of Presidential Documents* and *Public Papers of the Presidents*; a compilation of Privacy Act issuances; and statements of Federal agency organization and functions in the *United States Government Manual*.

The program also provides leadership and assistance to agencies in drafting regulations; assists the public in using its publications by providing finding aids; and conducts educational programs for the public on how to use the *Federal Register*. In Presidential election years, the *Federal Register* program administers the Electoral College process.

2. National Historical Publications and Records Commission (NHPRC) — The NHPRC makes grants nationwide to preserve and publish records that document American history. Administered within the National Archives and Records Administration, which preserves Federal records, the NHPRC helps state and local governments and private non-profit institutions preserve non-Federal records, helps historians publish the papers of major figures in American history from George Washington to Martin Luther King, Jr., and helps archivists, records managers, and documentary editors improve their techniques, training, and ability to serve a wide range of information users–teachers, students, lawyers, judges, legislators, journalists, documentary film and TV producers, genealogists, and government officials as well as historians and other scholars. The Commission is a statutory body chaired by the Archivist of the U.S. Its 15 members represent the President, the Congress, the Supreme Court, the Departments of State and Defense, the Library of Congress, and six national associations of archivists and historians. The Commission uses grants to leverage funding contributions from state legislatures, local governments, private donors, universities and other institutions, who provide on the average more than 50 percent of the costs of projects assisted by the NHPRC. The Commission's grant appropriation will advance the progress the NHPRC is making in carrying out its strategic plan, which currently gives priority to funding publication of the papers of the Founding Fathers, helping archivists develop techniques for preserving, appraising, and providing access to electronic records, and helping to strengthen the nation's archival infrastructure by supporting state historical records advisory boards in developing statewide programs for historical documentary preservation. The administrative costs of the Commission's small staff are covered here, within the administrative budget of the National Archives and Records Administration.

3. Program Direction — The description for this activity can be found on pages III-6 through III-8 of the Records Services section.

EXPLANATION OF CHANGES, 2008 VERSUS 2009

Program changes. The budget request reflects a decrease of $902,000 and 6 FTE for the NHPRC administrative function; offset by an increase of $6,000 to supplement the criminal investigative staff of the Inspector General.

Other changes. An overall increase of $495,000 includes $73,000 for annualization of the 2008 pay raise; $175,000 for the January 2009 pay raise; $85,000 for facility rate changes (NARA facilities); $158,000 for information technology changes; and $35,000 for inflationary rate changes (non-pay); offset by a decrease of $31,000 for one less compensable day in 2009.

Archives Related Services Performance Costs

(dollars in thousands)

Goals and Activities	2007 Actual	2008 Estimate	2009 Estimate	Change from 2008
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	$8,294	$10,054	$10,585	$531
We will preserve and process records to ensure access by the public as soon as legally possible.	$132	$135	$139	$4
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	-	-	-	-
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	$387	$397	$407	$10
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach and education programs.	$1,799	$1,836	$797	-$1,039
We will equip NARA to meet the changing needs of out customers.	$1,437	$1,580	$1,673	$93
Total Performance Costs	$12,049	$14,002	$13,601	-$401

ARCHIVES II FINANCING

BACKGROUND

PL 100-440 (102 Stat. 1743-44), the NARA appropriation section, provided authorization for the construction of Archives II as follows:

> "That notwithstanding the provisions of 31 U.S.C. 1341(a)(1) or any other provision of law, the Archivist of the United States is authorized, pursuant to 44 U.S.C. 2903, to enter into a contract for construction and related services for a new National Archives facility in Prince George's County, Maryland, on a site provided, without charge, to the United States by the University of Maryland or the State of Maryland, which site may be transferred to the United States by less than fee simple estate, but shall remain available to the United States so long as it shall be used as a National Archives facility. The contract shall provide, by lease or installment payments payable out of annual appropriations over a period not to exceed thirty years, for the payment of the purchase price and associated costs, which shall not exceed $205,000,000 plus escalation to the midpoint of construction, and reasonable interest thereon. The contract shall further provide that title to the building shall vest in the United States at or before the expiration of the contract term upon fulfillment of the terms and conditions of the contract."

The authorizing language for Archives II permitted the Archivist to enter into a contract for construction and related services either by lease or by installment payments payable out of annual appropriations over a period not to exceed 30 years.

Budget authority equal to the debt issue was scored in the year Certificates of Participation were issued (1989). Obligations reflect interest payments made to certificate holders and payments made for accrued interest and premiums when securities are purchased on the secondary market. Outlays reflect payments to certificate holders, payments for accrued interest and premiums paid when securities are purchased, and payments to GSA to repay amounts spent on construction. Outlays are reduced by offsetting collections in the form of interest earned on the funds that are invested until needed to make payments. Beginning in 1994, the Archives sought appropriations for the annual payments to be made under the terms of the Certificates of Participation. In accordance with OMB's guidance, the total payment ($29 million) must be separated into a principal and interest component. The portion that represents principal is to be treated as an appropriation for the redemption of debt and excluded from the budget authority and outlay amounts. The portion that represents interest will be reported as budget authority and outlays.

Archives II Performance Costs

2009 BUDGET DISPLAY
(dollars in thousands)

(dollars in thousands)

	2007 Actual	2008 Estimate	2009 Estimate
Appropriation for Redemption of Debt	$10,026	$10,896	$11,842
Budget Authority	$18,945	$18,075	$17,129
Obligations	$18,945	$18,075	$17,129

Goals and Activities	2007 Actual	2008 Estimate	2009 Estimate	Change from 2008
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records	-	-	-	-
We will preserve and process records to ensure, access by the public as soon as legally possible.				
Budget Authority	$18,945	$18,075	$17,129	-$946
Redemption of Debt	$10,026	$10,896	$11,842	$946
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	-	-	-	-
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	-	-	-	-
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach and education programs	-	-	-	-
We will equip NARA to meet the changing needs of our customers	-	-	-	-
Total Performance Costs	$28,971	$28,971	$28,971	$0

FISCAL YEAR 2009 (and beyond) REQUIREMENT:

Beginning in 1990, the Archives began certificate payments utilizing funding from the debt issue. However, beginning in fiscal year 1994 funding was required from appropriated funds as funds raised by the debt issue and/or the interest earned thereon were depleted. Final payment is anticipated in the year 2019 for the Archives II facility.

Total funding in 2009 includes $17,129,000 in budget authority for the payment of interest to certificate holders and $11,842,000 for the redemption of debt.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

	Object Classification	2007 Actual	2008 Estimate	2009 Estimate
11.1	Full-Time Permanent	$94,410	$102,203	$105,841
11.3	Other than Full-Time Permanent	2,800	3,408	4,063
11.5	Other Personnel Compensation	2,553	2,786	3,061
11.8	Special Personal Services Payments	1	1	1
11.9	**Total Personnel Compensation**	**99,764**	**108,398**	**112,966**
12.1	Personnel Benefits	25,638	27,759	30,661
13.0	Benefits for Former Personnel	23	24	25
21.0	Travel and Transportation of Persons	1,296	1,441	1,491
22.0	Transportation of Things	180	1,435	3,534
23.1	Rental Payments to GSA	4,726	5,572	7,113
23.2	Rental Payments to Others	1,008	1,055	1,086
23.3	Communications, Utilities and Misc. Charges	15,742	17,057	17,569
24.0	Printing and Reproduction	763	837	859
25.1	Advisory and Assistance Services	6,570	8,029	8,270
25.2	Other Services	19,048	24,655	25,395
25.3	Purchases of Goods & Services from Government Accounts	12,731	17,331	16,436
25.3	Security Payments to DHS for Rental Space	652	708	708
25.4	Operation & Maintenance of Facilities	25,845	31,241	30,968
25.7	Operation & Maintenance of Equipment	16,330	21,448	21,612
26.0	Supplies and Materials	4,196	5,775	4,926
31.0	Equipment	17,808	14,372	14,301
32.0	Land and Structures	103	892	892
	Subtotal Obligations	**252,423**	**288,029**	**298,812**
43.0	Interest and Dividends - Archives II	18,945	18,075	17,129
99.0	**Total Obligations Related to B.A.**	**271,368**	**306,104**	**315,941**
43.0	Archives II/Redemption of Debt	10,026	10,896	11,842
	Total Request	**$281,394**	**$317,000**	**$327,783**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

11.0 **Personnel Compensation -** $112,966,000. For 1,488 FTE, of this amount, $3,089,000 is for 40 additional FTE.

12.0 **Personnel Benefits -** $30,661,000. Includes $821,000 in benefits for additional personnel. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; FICA and Medicare hospital insurance; accident compensation; and moving allowances.

13.0 **Benefits for Former Personnel -** $25,000. Provides for unemployment compensation payments to former Federal employees.

21.0 **Travel and Transportation of Persons -** $1,491,000. Provides $1,441,000 for travel required to conduct activities of NARA, including inspection and oversight of field activities. Also, includes $50,000 for travel requirements to prepare for the George W. Bush Presidential Library.

22.0 **Transportation of Things -** $3,534,000. Provides for accessioning and transfer of records, supplies and equipment by commercial carrier. Includes an increase of $2,400,000 to prepare for the George W. Bush Presidential Library.

23.1 **Rental Payments to GSA -** $7,113,000. For payment to the Federal Buildings Fund for space rental.

23.2 **Rental Payments to Others** - $1,086,000. Payments to a non-Federal source for rental of space, land, and structures.

23.3 **Communications, Utilities and Miscellaneous Charges -** $17,569,000. Communications services, including local and long distance telephone charges, postage, and overnight delivery service costs, and utilities to operate the National Archives building, Presidential Libraries, the Archives II facility, and the Southeast Regional Archives.

24.0 **Printing and Reproduction -** $859,000. Provides for printing *Federal Register* publications by GPO, document containers' labels, archival inventories, finding aids, and administrative instructional materials. Includes printing for records services operation and for reproducing handbooks, reports and regulations.

25.1 **Advisory and Assistance Services -** $8,270,000. Provides analytical and technical support for the quality control and administration of the Archives II facility support contract. Also provides management and professional support services, including acquisition support, that advise, assist, and train staff to achieve efficient and effective management and operation of their responsibilities to carry out the mission of the agency.

25.2 **Other Services -** $25,395,000. Various contractual services with non-Federal sources. Includes an increase of $1,685,000 to prepare for the George W. Bush Presidential Library. Also includes security (guard service) for the Presidential Libraries and Archives I and II, buildings operation and maintenance and building supplies for the Presidential Libraries and Archives I and II through commercial contractors and the Federal Buildings Fund for recurring reimbursable services.

25.3 **Purchases of Goods and Services from Government Accounts** - $16,436,000. Includes payments to GSA for accounting and payroll services, to OPM for security checks and clearances, and the U.S. Public Health Service for basic occupational health center services. Other interagency agreements are also included.

25.3 **Security Payments to DHS for Rental Space -** $708,000. Provides for security payments to the Department of Homeland Security for rental space.

25.4 **Operation and Maintenance of Facilities** - $30,968,000. Provides facility program management, building systems operations and maintenance, housekeeping, supply support, transportation services, physical fitness centers as well as cafeteria operations at Archives I and II.

25.7 **Operation and Maintenance of Equipment** - $21,612,000. Provides for a contractor to operate the Government Owned Contractor Operated (GOCO) Data Center. The data center will provide operation and maintenance of data communications and administrative processing to support all NARA organizations. Provides for the operation and maintenance of other information technology systems.

26.0 **Supplies and Materials -** $4,926,000. Provides program supplies, including cardboard document containers, records repair and encapsulation supplies, and exhibit supplies, administrative supplies and materials.

31.0 **Equipment -** $14,301,000. Provides for purchases of personal property of a durable nature, such as furniture and information technology hardware and software.

32.0 **Land and Structures -** $892,000. Provides for purchase and improvement of land and structures.

43.0 **Interest and Dividends -** $28,971,000. $17,129,000 for interest payments to certificate holders and $11,842,000 for the redemption of debt on the Archives II facility.
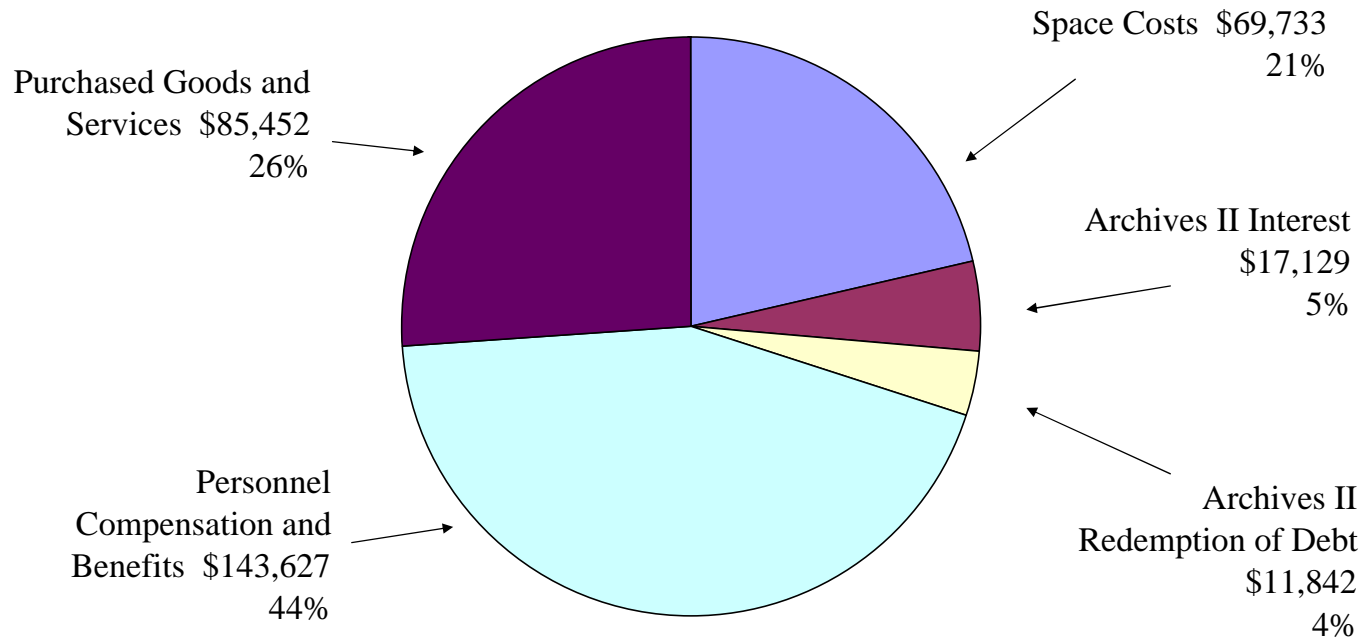
APPROPRIATION LANGUAGE

For necessary expenses in connection with the administration of the National Archives and Records Administration (including the Information Security Oversight Office) and archived Federal records and related activities, as provided by law, and for expenses necessary for the review and declassification of documents and the activities of the Public Interest Declassification Board, and for the hire of passenger motor vehicles, and for uniforms or allowances therefor, as authorized by law (5 U.S.C. 5901 *et seq.*), including maintenance, repairs, and cleaning, *$327,783,000.* *(1 U.S.C. 106a, 106b, 112; 3 U.S.C. 6; 44 U.S.C. 710, Chapters 15, 21, 22, 25, 29, 31, 33; Executive Orders 12656; 12958, as amended by 13142 and 13292; 13233; 13392.)*

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Space Costs as a Proportion of Direct Budget -- Operating Expenses

(dollars in thousands)

2009 Request $327,783

Space Costs $69,733
21%

Purchased Goods and
Services $85,452
26%

Archives II Interest
$17,129
5%

Personnel
Compensation and
Benefits $143,627
44%

Archives II
Redemption of Debt
$11,842
4%

	2007 Actual	2008 Estimate	2009 Estimate
Rent *	$4,776	$5,694	$7,238
Security Payments to DHS for Rental Space **	652	708	708
Operation and Maintenance Costs	56,306	60,966	61,192
Recurring Reimbursable	539	566	595
Total	**$62,273**	**$67,934**	**$69,733**

* Excludes Rent Costs Paid from the Revolving Fund: 2007 - $43.3 million, 2008 - $45.9 million, 2009 - $48.9 million
** Excludes Security Payments to DHS for Rental Space paid from the Revolving Fund: 2007 - $4.8 million, 2008 - $6.0 million, 2009 - $6.0 million

ANALYSIS OF REQUESTED LEVEL FOR 2009
(dollars in thousands)

	FTE	Amount
Level Authorized by Public Law 110-161 for Fiscal Year 2008	49	$58,028
Estimates for Fiscal Year 2009	49	$67,008
Total Change, 2008 to 2009	**0**	**$8,980**

DIGEST OF BUDGET ESTIMATES FOR 2009
(dollars in thousands)

Activity	Obligations						Increases or Decreases for 2009	
	2007 Actual		2008 Estimate		2009 Estimate			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Electronic Records Archives	39	$48,912	49	$58,028	49	$67,008	0	$8,980
Total	**39**	**$48,912**	**49**	**$58,028**	**49**	**$67,008**	**0**	**$8,980**

BACKGROUND

The Electronic Records Archives program encompasses NARA's strategic initiatives to address the challenge of electronic records. This program is administered in the Office of Information Services, in collaboration with the Office of Presidential Libraries, the Office of Records Services, Washington, D.C., and the Office of Regional Records Services.

1. **Acquisition of the Electronic Records Archives System** – The Electronic Records Archives system will provide the technological infrastructure necessary to automate NARA's processes for government-wide management of records, and enable NARA to preserve and provide sustained access to electronic records of the Federal Government in the National Archives and Presidential Libraries and to help agencies to improve efficiency of current operations by providing economical offsite storage of inactive electronic records. The ERA system will make it easy for Federal agencies to transfer records of any type or format to NARA. ERA will help NARA customers to find records they want and make it easy for NARA to deliver those records in formats suited to its customers' needs. The ERA system will be a change agent, enabling the transformation of NARA. It will be the major means through which NARA implements its target Enterprise Architecture.

It will be the catalyst for conversion to the target architecture of the legacy applications NARA currently uses for lifecycle management of records. NARA will take advantage of the opportunities provided by this conversion to improve its processes and transform itself into an agency capable of leading Government-wide efforts to manage critical information assets and improve the delivery of services, which depend on these assets.

2. **Research and Exploratory Development Projects** – Since 2006, NARA has been a member agency of the National Science and Technology Council Subcommittee on Networking and Information Technology Research and Development (NITRD). This membership reflects recognition of the importance of research NARA sponsors under the ERA program on problems that must be solved for effective lifecycle management of records in the context of e-government. The research enriches the knowledge base required for management and preservation of electronic records and fosters the development of advanced technologies for the management of electronic records supporting current operations of government, and for the preservation and sustained access to valuable records in the National Archives, Presidential Libraries, and other agencies.

Electronic Records Archives Performance Costs
(dollars in thousands)

Goals and Activities	2007 Actual	2008 Estimate	2009 Estimate	Change from 2008
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	-	-	-	$0
We will preserve and process records to ensure access by the public as soon as legally possible.	-	-	-	$0
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	$48,912	$58,028	$67,008	$8,980
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	-	-	-	$0
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach and education programs.	-	-	-	$0
We will equip NARA to meet the changing needs of out customers.	-	-	-	$0
Total Performance Costs	$48,912	$58,028	$67,008	$8,980

EXPLANATION OF CHANGES, 2008 VERSUS 2009

Program Changes.   The budget request reflects an increase of $8,980,000 to support development and deployment of Increment 3 of the system. Increment 3 will provide public access to records in the system and begin work to provide digital preservation above and beyond physical survival of the files transferred to NARA.

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

	Object Classification	2007 Actual	2008 Estimate	2009 Estimate
11.1	Full-Time Permanent	$3,751	$4,888	$5,007
11.3	Other than Full-Time Permanent	132	102	104
11.5	Other Personnel Compensation	102	102	102
11.9	**Total Personnel Compensation**	**3,985**	**5,092**	**5,213**
12.1	Personnel Benefits	1,008	1,450	1,502
21.0	Travel and Transportation of Persons	131	170	170
23.3	Communications, Utilities and Misc. Charges	11	1,505	2,050
24.0	Printing and Reproduction	1	10	10
25.1	Advisory and Assistance Services	2,058	3,615	3,724
25.2	Other Services	445	524	475
25.3	Purchases of Goods & Services from Government Accounts	19	40	20
25.4	Operation & Maintenance of Facilities	188	488	503
25.5	Research and Development Contracts	3,529	4,500	4,500
25.7	Operation & Maintenance of Equipment	822	620	2,618
26.0	Supplies and Materials	40	78	90
31.0	Equipment	34,775	39,936	46,133
32.0	Land and Structures	1,900	-	-
	Total Request	**$48,912**	**$58,028**	**$67,008**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

11.0 **Personnel Compensation -** $5,213,000. For 49 FTE.

12.0 **Personnel Benefits -** $1,502,000. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; FICA and Medicare hospital insurance; accident compensation; and moving allowances.

21.0 **Travel and Transportation of Persons -** $170,000. Provides for travel required to conduct activities of ERA, including oversight of field activities.

23.3 **Communications, Utilities and Miscellaneous Charges -** $2,050,000. Includes equipment rental and data, voice, and wireless communication services.

24.0 **Printing and Reproduction -** $10,000. Provides for printing of ERA materials, administrative materials, and reports.

25.1 **Advisory and Assistance Services -** $3,724,000. Provides for contractual services associated with program management support, engineering studies, and technical support during the major acquisition of the ERA system.

25.2 **Other Services -** $475,000. Provides for various contractual services associated with program management support, with non-Federal sources.

25.3 **Purchases of Goods and Services from Government Accounts** - $20,000. Includes payments to OPM for security checks and clearances, as well as other interagency agreement costs.

25.4 **Operation and Maintenance of Facilities** - $503,000. Provides facility program management, building systems operations and maintenance, housekeeping, and security for the ERA operational facilities.

25.1 **Research and Development Contracts** - $4,500,000. Includes contract funding to conduct basic and applied research focused on the interfacing with systems for the transfer of electronic records and transformation of electronic records into formats that protect their authenticity and reliability.

25.7 **Operation and Maintenance of Equipment** - $2,618,000. Includes costs associated with the operations and maintenance of other IT systems.

26.0 **Supplies and Materials -** $90,000. Provides program and administrative supplies and materials.

31.0 **Equipment -** $46,133,000. Provides for the contract funding for the development and deployment of the ERA system, including testing, hardware, software and related services.

APPROPRIATION LANGUAGE

For necessary expenses in connection with the development of the electronic records archives, to include all direct project costs associated with research, analysis, design, development, and program management, $67,008,000, of which $45,795,000 shall remain available until September 30, 2011: Provided, That none of the multi-year funds may be obligated until the National Archives and Records Administration submits to the Committees on Appropriations a plan for expenditure that: (1) meets the capital planning and investment control review requirements established by the Office of Management and Budget, including Circular A-11; (2) complies with the National Archives and Records Administration's enterprise architecture; (3) conforms with the National Archives and Records Administration's enterprise life cycle methodology; (4) is approved by the National Archives and Records Administration and the Office of Management and Budget; (5) has been reviewed by the Government Accountability Office; and (6) complies with the acquisition rules, requirements, guidelines, and systems acquisition management practices of the Federal Government.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REPAIRS AND RESTORATION

ANALYSIS OF REQUESTED LEVEL FOR 2009
(dollars in thousands)

	Amount
Level Authorized by Public Law 110-161 for Fiscal Year 2008	$28,605
Fiscal Year 2009 Request	$9,211
Total Change, 2008 to 2009	**-$19,394**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2009
(dollars in thousands)

Activity	Obligations			Increases or Decreases for 2009
	2007 Actual	2008 Estimate	2009 Estimate	
	Amount	Amount	Amount	Amount
Repairs and Restoration Fund:				
Archives Facilities and Presidential Libraries	$8,408	$28,605	$9,211	-$19,394
Total Obligations	**$8,408**	**$28,605**	**$9,211**	**-$19,394**

BACKGROUND

In the fiscal year 1996 Treasury, Postal Service, and General Government Appropriations Act, Congress provided a separate account for the repairs and restoration of Archives facilities and Presidential Libraries, which will remain available until expended. The purpose of this account is to provide ongoing funds specifically for the repairs, alteration, and improvement of Archives facilities and Presidential Libraries nationwide. It will better enable the National Archives and Records Administration (NARA) to maintain its facilities in proper condition for public visitors, researchers, and employees in NARA facilities, and also maintain the structural integrity of the buildings.

JUSTIFICATION OF REQUESTED INCREASES

In 2009, the request of $9,211,000 includes an increase of $548,000 for the ongoing repairs and restoration program, which allows NARA to plan effectively for the systematic repair and restoration of the Presidential Libraries, the National Archives Building, Archives II, and the Southeast Regional Archives, buildings that NARA is responsible for operating and maintaining. The justification for this increase is contained in the Justification of Requested Increases section of this budget, pages I-14 through I-15.

APPROPRIATION LANGUAGE

For the repair, alteration, and improvement of archives facilities, and to provide adequate storage for holdings, *$9,211,000*, to remain available until expended.

Repairs and Restoration Performance Costs

(dollars in thousands)

Goals and Activities	2007 Actual	2008 Estimate	2009 Estimate	Change from 2008
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	-	-	-	$0
We will preserve and process records to ensure access by the public as soon as legally possible.	$8,408	$28,605	$9,211	-$19,394
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	-	-	-	$0
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	-	-	-	$0
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.	-	-	-	$0
We will equip NARA to meet the changing needs of out customers.	-	-	-	$0
Total Performance Costs	$8,408	$28,605	$9,211	-$19,394

EXPLANATION OF CHANGES, 2008 VERSUS 2009

The budget request reflects a net decrease of $19,394,000 from the FY 2008 level. This includes a decrease of $8,000,000 for acquiring the land for the Kennedy Library Addition; $750,000 to complete the design work on the Franklin D. Roosevelt Presidential Library and Museum; $7,432,000 to construct an addition to the Richard Nixon Presidential Library and Museum; $3,760,000 for the repair and restoration of the plaza that surrounds the Lyndon Baines Johnson Presidential Library and Museum; and is offset by an increase of $548,000 for Building Square Footage Increase.

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

Object Classification	2007 Actual	2008 Estimate	2009 Estimate
23.3 Telecommunications Rentals	$22	-	-
25.1 Advisory and Assistance Services	4,425	-	-
26.0 Supplies	46	-	-
31.0 Equipment	93	-	-
32.0 Land and Structures	3,822	$28,605	$9,211
Total	**$8,408**	**$28,605**	**$9,211**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

32.0   **Land and Structures - $9,211,000.** Includes $9,211,000 for the ongoing repairs and restoration program.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GRANTS

ANALYSIS OF REQUESTED LEVEL FOR 2009
(dollars in thousands)

	Amount
Level Authorized by Public Law 110-161 for Fiscal Year 2008	$9,500
Transfer of Funds Authorized by Public Law 110-161	-$2,000
Revised Availability for Fiscal Year 2008	$7,500
Estimate for Fiscal Year 2009	$0
Total Change, 2008 to 2009	**-$7,500**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2009
(dollars in thousands)

Activity	2007 Actual	2008 Estimate	2009 Estimate	Increases or Decreases for 2009
	Amount	Amount	Amount	
National Historical Publications And Records Commission:				
Grants	$5,706	$7,500	$0	-$7,500
Total Grants	**$5,706**	**$7,500**	**$0**	**-$7,500**

BACKGROUND

Mission

The mission of the National Historical Publications and Records Commission (NHPRC), as outlined in 44 U.S.C. 2504, is to encourage the collection, preservation, editing, and publication of the papers of "outstanding citizens of the United States, and other documents as may be important for an understanding and appreciation of the history of the United States."

Current Request

For FY 2009, the Budget requests no new funding for grants for the NHPRC.

We request no new funding for grants for the NHPRC in order to focus funding on operations that directly impact management, access, and preservation of Federal records. The Commission itself will retain all other authorized functions.

NHPRC Grants Performance Costs

(dollars in thousands)

Goals and Activities	2007 Actual	2008 Estimate	2009 Estimate	Change from 2008
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	-	-	-	$0
We will preserve and process records to ensure access by the public as soon as legally possible.	-	-	-	$0
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	-	-	-	$0
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	-	-	-	$0
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.	$5,706	$7,500	$0	-$7,500
We will equip NARA to meet the changing needs of out customers.	-	-	-	$0
Total Performance Costs	$5,706	$7,500	$0	-$7,500

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

Object Classification	2007 Actual	2008 Estimate	2009 Estimate
41.0 Grants, Subsidies and Contributions	$5,706	$7,500	$0
Total	**$5,706**	**$7,500**	**$0**

ANALYSIS OF REQUESTED LEVEL FOR 2009
(dollars in thousands)

	FTE	Amount
2008 Level of Reimbursable Services	29	$2,317
2009 Level of Reimbursable Services	29	$2,438
Change from 2008 to 2009	**0**	**$121**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2009
(dollars in thousands)

Activity	Summary						Increases or Decreases for 2009	
	2007 Actual		2008 Estimate		2009 Estimate			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Records Services	31	$1,487	29	$2,303	29	$2,425	-	$122
Archives Related Services	-	16	-	14	-	13	-	-1
Total Obligations	**31**	**$1,503**	**29**	**2,317**	**29**	**$2,438**	**0**	**$121**

OVERVIEW OF NARA REIMBURSABLE PROGRAMS

Beginning in 2000, the National Archives and Records Administration (NARA) established a working capital fund. The working capital fund is available for the expenses and equipment necessary to provide for accessioning, reference, refiling, storage, servicing, preservation, disposal, and related services for all temporary and pre-archival Federal records to be stored or currently stored at Federal national and regional records services centers by Federal agencies and other instrumentalities of the Federal Government. (See the Revolving Fund section of this overall Agency budget request.)

Records Services includes the reimbursable activity at thirteen (13) regional archives facilities, NARA's Central Office archives facilities, and select participating Presidential Libraries. Services provided include specialized training and workshops on archiving potentially permanent Federal records, and reimbursable services provided to agencies for special projects. Also, declassification services are offered, providing records review prior to their accessioning into NARA.

Advances and Reimbursements Performance Costs
(dollars in thousands)

Goals and Activities	2007 Actual	2008 Estimate	2009 Estimate	Change from 2008
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	-	-	-	$0
We will preserve and process records to ensure access by the public as soon as legally possible.	-	-	-	$0
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	-	-	-	$0
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	$1,503	$2,317	$2,438	$121
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.	-	-	-	$0
We will equip NARA to meet the changing needs of out customers.	-	-	-	$0
Total Performance Costs	$1,503	$2,317	$2,438	$121

SUMMARY EXPLANATION OF CHANGES FROM 2008 TO 2009
(dollars in thousands)

Activity	Records Services		Archives Related		Total	
	FTE	Amount	FTE	Amount	FTE	Amount
Increased Costs of Goods and Services	-	$90	-	-$1	-	$89
Increased Personnel Costs	-	32	-	0	-	32
Total Changes, 2008 to 2009	**0**	**$122**	**0**	**-$1**	**0**	**$121**

EXPLANATION OF CHANGES, 2008 VERSUS 2009

The reimbursable program for 2009 is estimated at $2,438,000, an increase of $121,000 from the 2008 reimbursable program. Changes include an increase of $32,000 for personnel and benefits costs, and an increase of $89,000 in the costs of other goods and services.

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

	Object Classification	2007 Actual	2008 Estimate	2009 Estimate
11.1	Full-time Permanent	$872	$1,221	$1,244
11.3	Other than Full-time Permanent	192	130	132
11.5	Other Personnel Compensation	40	17	17
11.9	Total Personnel Compensation	1,104	1,368	1,393
12.1	Personnel Benefits	224	373	380
21.0	Travel / Transportation of Persons	9	88	97
22.0	Transportation of Things	0	32	34
23.3	Communications, Utilities, and Misc. Charges	0	6	8
24.0	Printing and Reproduction	0	34	37
25.2	Other Services	25	285	340
26.0	Supplies and Materials	89	131	139
31.0	Equipment	52	0	10
99.0	**Total Obligations**	**$1,503**	**$2,317**	**$2,438**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ADVANCES AND REIMBURSEMENTS

EXPLANATION OF DISTRIBUTION OF OBJECT CLASS

11.0   **Personnel Compensation** - $1,393,000. For 29 FTE**.**

12.0   **Personnel Benefits** - $380,000. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; and FICA and Medicare hospital insurance.

21.0   **Travel and Transportation of Persons** - $97,000. Provides for travel required for administration of reimbursable programs and technical assistance projects.

22.0   **Transportation of Things -** $34,000.   Accessioning and transfer of records, supplies, and equipment by commercial carrier.

23.3   **Communications, Utilities, and Misc. Charges** - $8,000. Provides for equipment rental, overnight delivery charges, and utility costs.

24.0   **Printing and Reproduction** - $37,000. Includes printing costs for technical assistance reports and electrostatic copying.

25.2   **Other Services** - $340,000. Provides for commercial contractual services, including registration fees associated with training.

26.0   **Supplies and Materials** - $139,000. Includes program and administrative supplies and materials.

31.0   **Equipment** - $10,000. Provides for purchase of electrostatic and copying machines.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REVOLVING FUND**

INCOME/COST COMPARISON SUMMARY FOR 2009
(dollars in thousands)

	2007 Actual	2008 Estimate	2009 Estimate
Income/Cost Comparison - Summary:			
Operating Income	$144,407	$148,000	$153,500
Operating Expense	141,329	147,000	153,000
Net Profit or Loss (-)	**$3,078**	**$1,000**	**$500**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2009
(dollars in thousands)

Activity	Summary						Increases or Decreases for 2009	
	2007 Actual		2008 Estimate		2009 Estimate			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Accession, Reference, Refile, and Disposal Service	1,149	$89,037	1,185	$93,500	1,185	$97,300	0	$3,800
Storage Services	15	52,292	15	53,500	15	55,700	0	2,200
Total Obligations	**1,164**	**$141,329**	**1,200**	**$147,000**	**1,200**	**$153,000**	**0**	**$6,000**

OVERVIEW OF NARA REVOLVING FUND PROGRAMS

NARA takes care of some two million cubic feet of *archival* records in our legal and physical custody. Funding for these records comes from the direct operating expenses appropriation. But in our Federal Records Center Program facilities, we store more than ten times as many temporary and pre-archival records that belong to other Federal agencies. NARA's Federal Records Center Program operates as a revolving fund.

The revolving fund allows NARA to utilize in its operations any receipts that are generated by the activities of the fund. In addition, costs are distributed fairly and at savings to the government. It also improves services to individual agencies by providing more space to meet agency demands, providing better quality space where appropriate, and improving transfer, reference, refile, disposal, and other services for records stored in records service centers.

Regional records services facilities maintain low cost storage to which Federal agencies retire certain noncurrent records for specified periods. For such records, the regional records services facilities provide reference services on nearly 26 million cubic feet of records in NARA's custody. These services include loan or return of records to the agency of origin; preparation of authenticated reproductions of documents; and provision of information from records. The National Personnel Records Center alone provides for the maintenance and reference service on over 140 million military and civilian personnel records. The facilities also dispose of records of transitory value and transfer into archival custody those that of enduring value. The facilities also offer to Federal agencies in the regions technical assistance workshops and advice on records creation, maintenance, storage, disposition, and vital records.

AUTHORIZING LANGUAGE

Under the provisions of 44 USC § 2901 note (Public Law 106-58), the National Archives and Records Administration implemented a Revolving Fund for the storage and servicing of Federal records at all NARA records centers. As of October 1, 1999, the NARA records center program operates on a full cost recovery basis by charging user fees to other agencies.

The NARA Records Center Revolving Fund utilizes operations effectively by providing services on a fee for service basis to Federal agency customers by maintaining low cost, quality storage and transfer, reference, refile, and disposal services for records stored in service centers.
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Revolving Fund Performance Costs

(dollars in thousands)

Goals and Activities	2007 Actual	2008 Estimate	2009 Estimate	Change from 2008
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	$141,329	$147,000	$153,000	$6,000
We will preserve and process records to ensure access by the public as soon as legally possible.	-	-	-	$0
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	-	-	-	$0
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	-	-	-	$0
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.	-	-	-	$0
We will equip NARA to meet the changing needs of out customers.	-	-	-	$0
Total Performance Costs	$141,329	$147,000	$153,000	$6,000

EXPLANATION OF CHANGES, 2008 VERSUS 2009

Total obligations for FY 2009 are estimated at $153,000,000. This represents an increase of $6,000,000 from FY 2008. This includes increases of $2,090,000 associated with personnel and benefits; $3,047,000 for rent and security rate changes at federal and non-federal facilities and $863,000 for the cost of other goods and services.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REVOLVING FUND**

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

Object Classification	2007 Actual	2008 Estimate	2009 Estimate
11.1 Full-time Permanent	$41,632	$44,685	$46,092
11.3 Other than Full-time Permanent	4,924	6,508	6,710
11.5 Other Personnel Compensation	2,113	1,241	1,280
11.8 Reemployed Annuitants	0	19	0
11.9 Total Personnel Compensation	48,669	52,453	54,082
12.1 Civilian Personnel Benefits	13,634	14,861	15,322
13.0 Benefits for Former Personnel	213	453	467
21.0 Travel and Transportation of Persons	543	527	543
22.0 Transportation of Things	1,141	1,198	1,235
23.1 Rental Payments to GSA	37,091	38,958	39,159
23.2 Rental Payments to Other	6,110	6,908	9,708
23.3 Communications, Utilities, and Misc. Charges	1,511	4,754	4,901
24.0 Printing and Reproduction	49	50	52
25.1 Advisory and Assistance Services	2,345	2,272	2,343
25.2 Other Services	2,913	5,871	6,053
25.3 Purchases of Goods and Services from Government Accounts	6,727	853	879
25.3 Security Payments to DHS for Rental Space	5,125	5,998	6,044
25.7 Operations and Maintenance of Equipment	4,178	6,125	6,315
26.0 Supplies and Materials	1,265	1,242	1,281
31.0 Equipment	3,436	2,540	2,618
32.0 Land and Structures	6,372	1,854	1,912
43.0 Interest and Dividends	7	83	86
99.0 **Total Obligations**	**$141,329**	**$147,000**	**$153,000**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REVOLVING FUND

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

11.0   **Personnel Compensation** - $54,082,000. For 1,200 FTE.

12.0   **Personnel Benefits** - $15,322,000. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; and FICA and Medicare hospital insurance.

13.0   **Benefits for Former Personnel** - $467,000. Provides for unemployment compensation payments to former Federal employees.

21.0   **Travel and Transportation of Persons** - $543,000. Provides for travel required for administration of revolving fund programs and technical assistance projects.

22.0   **Transportation of Things** - $1,235,000. Accessioning and transfer of records, supplies, and equipment by commercial carrier.

23.1   **Rental Payments to GSA** - $39,159,000. Provides for payments to the General Services Administration, Federal Building Fund for rental space.

23.2   **Rental Payments to Other** - $9,708,000. Provides for payments to a non-Federal source for rental space.

23.3   **Communications, Utilities, and Misc. Charges** - $4,901,000. Provides for equipment rental, overnight delivery charges, and utility costs.

24.0   **Printing and Reproduction -** $52,000. Includes reproduction of records, printing costs for technical assistance reports, and electrostatic copying.

25.1   **Advisory and Assistance Services -** $2,343,000. Provides for commercial contractual services, such as management and professional support services, and engineering and technical services.

25.2   **Other Services -** $6,053,000. Provides for commercial contractual services, such as training and ADP equipment maintenance.

25.3   **Purchases of Goods and Services from Government Accounts-** $879,000. Includes payments to GSA for accounting and payroll services, to OPM for security checks and clearances, and the U.S. Public Health Service for basic occupational health center services.

25.3   **Security Payments to DHS for Rental Space -** $6,044,000. Provides for security payments to the Department of Homeland Security for rental space.

25.7   **Operation and Maintenance of Equipment** - $6,315,000. Includes funding for contractors to provide operation and maintenance of data communications and administrative processing to support the organizations. Also includes maintenance and fuel costs for motor vehicles managed through GSA.

26.0   **Supplies and Materials** - $1,281,000. Includes program and administrative supplies and materials.

31.0   **Equipment** - $2,618,000. Includes information technology equipment in records services centers applicable to the revolving fund program.

32.0   **Land and Structures** - $1,912,000. Includes purchase of shelving applicable to the revolving fund program.

43.0   **Interest and Dividends** - $86,000. Interest resulting from the capital leases for shelving.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GIFT FUND

ANALYSIS OF ESTIMATED LEVEL FOR 2009
(dollars in thousands)

	2007 Actual	2008 Estimate	2009 Estimate
Financing:			
Prior Year Carry Forward	$2,365	$2,275	$2,102
Permanent Indefinite Budget Authority [1]	15,756	2,187	1,931
Recovery of Prior Year Obligations	1	-	-
Total Availability	**$18,122**	**$4,462**	**$4,033**
Obligations	15,847	2,360	2,289
Unobligated Balance	**$2,275**	**$2,102**	**$1,744**

[1] Includes donations, interest received and reinvested on investments, and divestments of non-federal investments. 2007 Actual includes divestment and reinvestment of non-federal securities.

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2009
(dollars in thousands)

Activity	Summary			Increases or Decreases for 2009
	2007 Actual	2008 Estimate	2009 Estimate	
	Amount	Amount	Amount	Amount
Historical Research, Conferences, Archival and Cultural Events, and Publications	$1,315	$209	$158	-$51
Presidential Libraries	14,532	2,151	2,131	-20
Total Obligations	**$15,847**	**$2,360**	**$2,289**	**-$71**

SUMMARY JUSTIFICATION OF 2009 BUDGET ESTIMATE

The National Archives Gift Fund was established to administer incoming gifts and bequests. Expenditures are made for various programs, including historical research, conferences, archival and cultural events, and publications.

Gifts of money and property are made by individuals and organizations for the benefit of archival and records activities and are expended from the Gift Fund as authorized by the Archivist or in accordance with donor restrictions, if any. Permanent indefinite budget authority is provided from donated funds and interest earned on investments.

In accordance with 44 U.S.C. 2112, the Bush Presidential Library received a $4,477,233 endowment from the Bush Library Foundation. The money was deposited in the Gift Fund and invested in accordance with established National Archives Trust and Gift Fund procedures. Income earned on the investment, which is estimated to be $240,000 annually, will be used to offset a portion of the Library's operation and maintenance costs. NARA has also received an endowment of $7,200,000 from the Clinton Library Foundation to offset operation and maintenance costs of the Clinton Presidential Library. Income earned on this investment is estimated to be $390,000 annually.

NARA continues to receive donations from various donors. The Nixon Presidential Library's Oral History Project is anticipating donations of over $100,000 for FY 2008.

Total obligations for FY 2009 are estimated at $2,289,000, a decrease of $71,000 compared to FY 2008 estimated obligations of $2,360,000. The decrease is attributable to fluctuation of donations among various program offices.

AUTHORIZING LANGUAGE

The National Archives Trust Fund Board may solicit and accept gifts or bequests of money, securities, or other personal property, for the benefit of or in connection with the national archival and records activities administered by the National Archives and Records Administration (44 U.S.C. 2305).

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GIFT FUND

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

Object Classification	2007 Actual	2008 Estimate	2009 Estimate
21.0 Travel/Transportation of Persons	$113	$129	$87
22.0 Transportation of Things	7	3	3
23.3 Communications, Utilities, and Misc. Charges	4	15	15
24.0 Printing and Reproduction	45	23	29
25.2 Other Services	2,389	1,505	1,414
26.0 Supplies and Materials	54	53	104
31.0 Equipment	18	-	5
33.0 Equity Investments	13,217	632	632
99.0 Total Obligations	**$15,847**	**$2,360**	**$2,289**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

21.0 **Travel and Transportation of Persons** - $87,000. Provides for travel to participate in archival activities.

22.0 **Transportation of Things** - $3,000. Provides for transportation of artifacts.

23.3 **Communications, Utilities, and Misc. Charges** - $15,000. Provides for local and long distance phone communications charges, postage, and overnight delivery service.

24.0 **Printing and Reproduction** - $29,000. Provides for printing of brochures, publications, and reproductions.

25.2 **Other Services** - $1,414,000. Provides for commercial contractual services. Also, provides for offset of Trust Fund personnel compensation at the Johnson Library from a donation from the Johnson Library Foundation, and operations and maintenance costs at the Bush and Clinton Libraries from income earned on the invested donation from the Bush and Clinton Library Foundations.

26.0 **Supplies and Materials** - $104,000. Provides for administrative supplies and materials.

31.0 **Equipment** - $5,000. Purchase equipment.

33.0 **Equity Investments** - $632,000. Budgetary outlays as a result of non-Federal interest reinvested.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
TRUST FUND

ANALYSIS OF ESTIMATED LEVEL FOR 2009
(dollars in thousands)

	2007 Actual	2008 Estimate	2009 Estimate
Income/Cost Comparison - Summary:			
Operating Income	$16,417	$16,249	$17,445
Operating Expense before depreciation	16,154	17,252	18,411
Net Operating Income or Loss before depreciation	$263	-$1,003	-$966
Depreciation	-44	-11	-12
Net Operating Income or Loss (-)	219	-1,014	-978
Non-Operating Income or Loss (-)	1,480	750	718
Net Profit or Loss (-)	**$1,699**	**-$264**	**-$260**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2009
(dollars in thousands)

Activity	Summary						Increases or Decreases for 2009	
	2007 Actual		2008 Estimate		2009 Estimate			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Sales	17	$7,710	20	$8,574	20	$9,303	0	$729
Presidential Libraries	105	9,131	109	9,778	109	9,108	0	-670
Total Obligations	**122**	**$16,841**	**129**	**$18,352**	**129**	**$18,411**	**0**	**$59**

OVERVIEW OF NARA TRUST FUND PROGRAMS

The Trust Fund receives, holds, and disburses monies collected from: sales of reproductions of records and sales of publications and historical mementos in the National Archives, the regional records services facilities, and the Presidential Libraries; admission fees to the Presidential Libraries; and fees for archival training and conferences.

Reproduction of Records. Reproductions of all varieties of records, including documents, photographs, maps, motion pictures, and ADP tapes in the National Archives, the regional records services facilities, and the Presidential Libraries, are made upon request and sold to the public, to scholars and to Federal agencies. These reproductions are used for scholarly research, genealogy and family history, to illustrate books and articles, and to make new motion pictures and video productions.

Publications and Historical Mementos. The fund publishes or purchases for resale books and other printed materials based upon the records in the National Archives and the Presidential Libraries. These publications include facsimiles of the Declaration of Independence and the Constitution, genealogical guides, and memoirs of former Presidents. The fund also manufactures or purchases for resale items for visitors to the National Archives Exhibit Hall and the Presidential Libraries. Such items include post cards, color slides, posters, and souvenirs.

Admission Fees. Fees are charged for admission to the exhibits at most of the Presidential Libraries and for educational workshops at other NARA locations.

Trust Fund Performance Costs

(dollars in thousands)

Goals and Activities	2007 Actual	2008 Estimate	2009 Estimate	Change from 2008
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	-	-	-	$0
We will preserve and process records to ensure access by the public as soon as legally possible.	-	-	-	$0
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	-	-	-	$0
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	$200	$200	$200	$0
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.	$17,579	$18,152	$18,211	$59
We will equip NARA to meet the changing needs of out customers.	-	-	-	$0
Total Performance Costs	$17,779	$18,352	$18,411	$59

AUTHORIZING LANGUAGE

The Archivist of the United States furnishes, for a fee, copies of unrestricted records in the custody of the National Archives (44 U.S.C. 2116). Proceeds from the sale of copies of microfilm publications, reproductions, special works, and other publications, and admission fees to Presidential Library museum rooms are deposited to this fund (44 U.S.C. 2112, 2307).

SUMMARY EXPLANATION OF CHANGES FROM 2008 TO 2009
(dollars in thousands)

Activity	Sales		Presidential Libraries		Total	
	FTE	Amount	FTE	Amount	FTE	Amount
Program Changes:						
Increased Cost of Sales / Reproductions and Library Museum Activities	-	$24	-	$102	-	$126
Other Changes:						
One-time Equipment Purchases	-	-20	-	-74	-	-$94
Change in Cost of Other Goods and Services	-	15	-	12	-	$27
Total Changes, 2008 to 2009	**0**	**$19**	**0**	**$40**	**0**	**$59**

EXPLANATION OF CHANGES, 2008 VERSUS 2009

Total obligations for 2009 are estimated at $18,411,000, an increase of $59,000 from 2008 estimated obligations of $18,352,000. The $126,000 increased cost of sales, reproductions and library museum activities results primarily from anticipated fee changes, and implementation of new revenue-producing initiatives to offset emerging competition from the private sector. Other changes include a decrease of $94,000 for one-time equipment purchases, and an increase of $27,000 for the cost of other goods and services.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
TRUST FUND

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

Object Classification	2007 Actual	2008 Estimate	2009 Estimate
11.1 Full-time Permanent	$4,885	$4,847	$4,981
11.3 Other than Full-time Permanent	618	639	658
11.5 Other Personnel Compensation	169	167	172
11.9 Total Personnel Compensation	**5,672**	**5,653**	**5,811**
12.1 Civilian Personnel Benefits	1,560	1,774	1,824
21.0 Travel and Transportation of Persons	271	263	271
22.0 Transportation of Things	45	60	57
23.3 Communications, Utilities, and Misc. Charges	593	667	676
24.0 Printing and Reproduction	325	418	556
25.2 Other Services	2,390	2,481	2,557
25.3 Purchases of Goods and Services from Government Accounts	3,390	3,672	4,425
26.0 Supplies and Materials	1,790	1,960	2,024
31.0 Equipment	217	304	210
32.0 Land and Structures	65	0	0
33.0 Investments and Loans	523	1,100	0
99.0 Total Obligations	**$16,841**	**$18,352**	**$18,411**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS FOR 2009

11.9 **Total Personnel Compensation** - $5,811,000. For 129 FTE.

12.1 **Civilian Personnel Benefits** - $1,824,000. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; and FICA and Medicare hospital insurance.

21.0 **Travel and Transportation of Persons** - $271,000. Provides for travel associated with the National Archives Trust Fund activities.

22.0 **Transportation of Things** - $57,000. Provides for postage used in parcel post and commercial transportation charges.

23.3 **Communications, Utilities, and Miscellaneous Charges** - $676,000. For local and long distance phone communications charges, postage, and overnight delivery service.

24.0 **Printing and Reproduction** - $556,000. For reproducing reports and microfilm, and printing of forms and publications.

25.2 **Other Services** - $2,557,000. Provides for contractual services including reproduction services and library museum renovations.

25.3 **Purchases of Goods and Services from Government Accounts -** $4,425,000. Provides for payments to operating expenses for services performed for the Trust Fund.

26.0 **Supplies and Materials** - $2,024,000. Provides for program and administrative equipment and office supplies.

31.0 **Equipment** - $210,000. Provides for electrostatic and copying machines, and laboratory and other equipment.

NATIONAL ARCHIVES AND RECORDS ADMINSTRATION

CAPITAL IMPROVEMENTS PLAN

TO ACCOMPANY THE
FISCAL YEAR 2009 PERFORMANCE BUDGET

INDEX

Introduction

The Capital Improvements Plan (CIP) was required by the 2008 enacted Omnibus appropriation and has been developed by the National Archives and Records Administration (NARA) as a plan to prioritize needs for capital expenditures and / or projects. NARA has defined capital expenditures and / or projects, in general, as the purchase, construction or repairs to NARA owned or operated facilities including designs or studies associated with these projects that exceed $1,500,000.

A project's inclusion in the CIP does not, in and of itself, commit NARA to funding and accomplishing the project. This is a planning tool. The lack of available funding, emergencies and changes in prioritization may require that some projects ultimately be deferred beyond the timeframe in which they are initially envisioned for accomplishment.

Several abbreviations are used throughout this plan that needs to be explained. They are as follows:

ADSPL: Architectural Design Standards for Presidential Libraries - refers to the architectural design standards for Presidential Libraries that were developed by the National Archives and Records Administration in 1997.

ADA-AG: Americans with Disabilities Act – Architectural Guidelines - These guidelines were developed and issued in the early 1990s. Older buildings should be in basic compliance with the standard, provided that they were designed for conformance with the Uniform Federal Accessibility Standards (the Federal Government's predecessor to the ADA-AG). When older buildings are renovated, they are expected to be brought into compliance with the more current ADA-AG.

BCR: Building Condition Report – Reports compiled by NARA over a five-year cycle on the condition of facilities. Findings are categorized as: Category 1 represents high priority repairs that must be implemented in order to keep the building functional; Category 2 deficiencies should be completed within the next 5 years to maintain building operations; and Category 3 findings are minor repairs that can be planned beyond 5 years.

Purpose

The National Archives and Records Administration (NARA) receives annual funding for normal repairs and restoration of NARA owned and operated facilities. The Capital Improvements Plan (CIP) is a dynamic document that lists and prioritizes major repairs, renovations, improvements and expansions (those in excess of $1,500,000) of NARA owned facilities that are used in the performance of the agencies mission. The CIP is intended as a planning tool that is to be reviewed and updated on an annual basis and can be modified during the fiscal year as needs, priorities, and resources change.

The annual update process begins with a request for input from the various offices that occupy NARA facilities. NARA staff then compiles the data received from the various offices and update the project list based on this information as well as updated Building Condition Reports (BCRs), when available, and projected completion of projects during the current fiscal year. Projects identified as major projects are then included in a "Capital Plan Strategic Budget Initiative" that is then submitted with the annual NARA budget request to the Office of Management and Budget (OMB).

A separate proposed list of projects, costing $1,500,000 or less, is prepared at the same time for the upcoming fiscal year based on available funding projections and the total estimated project cost. NARA refers to this list of projects as the annual Repair and Restorations Plan (R&R Plan). After review by the Assistant Archivist for Administration, the R&R Plan is forwarded to the Archivist of the United States for project approval and funded from the NARA R&R appropriation.

Methodology

The Capital Improvements Plan (CIP) provides information on proposed capital improvements over the next five to seven years. A description of the proposed projects, including information on the need and prioritization of the improvements as well as a brief scope of work is included. Efforts are made to bundle together recommendations from the BCRs so as to take advantage of economy of scale by doing similar work at the same time under the same contract.

In developing the CIP, consideration was given to future long term needs of the agency as they relate to special projects, expansions of existing facilities, replacements of existing facilities and major renovations of existing facilities.

R&R funds that are provided to NARA each year in the Federal budget are used to perform the building condition reports on NARA owned facilities (it is their goal to perform building condition reports on facilities on a five year cycle). From these reports, NARA develops a prioritized listing of required repair and restoration projects. In preparing this list, consideration is given to completing the highest priority projects (those projects identified in BCRs as Category 1 which are high priority repairs that must be implemented immediately to keep the building functional) as early as possible. Category 2 deficiencies (those identified as being repairs that should be completed within a 1 to 5 year time period to continue the normal operation of the building) are considered next on the prioritized projects list. In some cases a category 2 repair will be programmed to be performed in connection with category 1 repairs of a similar nature to take advantage of bundling the work into a larger project to attempt to get a better cost for the repairs. The Category 3 deficiencies (those repairs that can be planned to be completed more than five years out) are, for the purposes of the CIP, deferred pending a review in a subsequent building condition report within the next five years.

Efforts have been made to program the required projects in a manner to evenly distribute the required funding over future fiscal years. The required building condition reports have also been distributed in the R&R Plan over several years with the goal that each facility will receive a new building condition report every five years. An effort has also been made to review the scope and nature of each special project to determine if the funding for the project can be distributed over several fiscal years (such as doing the design in one fiscal year and construction in the next year or in multiple phases). In some instances special projects have been specifically deferred in order to accomplish the higher priority special projects.

Finally, energy savings has been considered. If a project is anticipated to yield savings in operational costs, such as utilities through energy saving initiatives, then the project may receive higher prioritization. This reflects an attempt to reduce facility operating expenses in subsequent years.

Anticipated Capital Projects

The following anticipated Capital Projects are sorted into tiers. These tiers represent overall prioritization based upon the building condition reports, impact on agency mission accomplishment, sunk costs and cost avoidance as well as potential future cost savings.

First Tier Projects

Roosevelt Library Renovation (Construction over 3 Phases) – In FY 2005, NARA performed an updated BCR on the facility. It was determined that many of the building systems had reached the end of their anticipated service life and that the building was in need of a major renovation, not only to correct the deficiencies found in the report but also to bring the facility into compliance with the current NARA standards for preservation (NARA Directive 1571) and to improve the fire-safety protection of the facility. As part of this renovation, NARA would mitigate hazardous materials that have been found in the original building construction. In addition to upgrading the facility, the renovation design will incorporate a new permanent exhibit including a visible storage area. Construction would be undertaken over three years.

Eisenhower Renovations and Visitor Center Expansion (Design & Construction over 2 Phases) - The most recent BCR identified numerous deficiencies with major mechanical systems throughout the library and museum buildings. NARA anticipates that the building needs improvements to bring it in compliance with current preservation requirements (NARA Directive 1571), and corrections are needed to remedy fire safety deficiencies.

Second Tier Projects

Kennedy Library Expansion (Construction Phase 2) - NARA has received a tremendous volume of accessioned materials related to the Kennedy family over the years and NARA has reached the limits of storage capacity at the John F. Kennedy Library. The present storage conditions are over-crowded and not in compliance with the NARA standards for the proper storage of archival materials (NARA Directive 1571). To temporarily solve the problem, NARA arranged for off site-storage of some materials of John F. Kennedy's presidency, which is neither desirable nor efficient. NARA is in the process of repackaging the design for a two phase expansion of the Kennedy Library to provide additional and appropriate storage. With funds received in the FY 2008 budget, NARA plans to purchase the land for the addition and to begin the site preparation for the construction of an addition.

Ford Library Electrical, HVAC and Elevator Renovation (Design & Construction) - The BCR that was finished in August 2007, indicated that there were approximately $3,000,000 of repairs required to the facility. The bulk of the noted repairs were Category 2 type repairs which would require attention within five years of the report. By

fiscal year 2013, NARA plans to make the repairs to previous noted deficiencies and to any additional deficiencies that are noted in subsequent BCRs.

Johnson Library Space Alteration (Design & Construction) - In 2004, NARA performed a comprehensive space planning study for the Johnson Library. During that study it was determined that substantial changes should be made to the building to improve the space utilization of the facility and the efficiency of operations. NARA is currently performing an updated BCR on the library, which will give NARA a clearer picture of the extent of repairs necessary to the building.

Third Tier Projects

Ford Library Roof Replacement - The current roof was installed in (approximately) 1994 and NARA expects the roof will be nearing the end of its anticipated service life within the next five years. NARA plans to replace the roof before it develops leaks that might cause damage to interior finishes and holdings. Based on a recent BCR, NARA has made some minor roof repairs that were required as Category 1 repairs. The BCR also identified approximately $30,000 worth of Category 2 skylight repairs that need to be completed within five years.

Hoover Library Mechanical Renovations (Design) – NARA performed an updated BCR for the Hoover Library in FY 2007. The draft BCR indicates that many of the current building systems, while well maintained, are reaching the end of their anticipated service life. In approximately five years, NARA anticipates replacement of the building systems following the results of a future BCR (when the scope of the necessary renovations can be identified).

Ford Museum Roof Replacement - The original roof, constructed in 1981, and the perimeter flashings were replaced with a single ply membrane roof in 1991. In 2003, an addition was constructed with a new roof. As part of maintenance, a number of the seams in the 1991 section of roof were repaired in 2005. NARA believes that, with those repairs and continued maintenance, the existing 1991 roof will need to be replaced, approximately 20 years after the original construction.