NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

2010

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. 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)	2008 Enacted	2009 Enacted	2010 Request	Change over 2009
Operating Expenses	$312,337	$327,256	$339,770	$12,514
Office of Inspector General	2,858	3,052	4,100	1,048
Electronic Records Archives	58,028	67,008	85,500	18,492
Repairs and Restoration	28,605	50,711	27,500	-23,211
NHPRC Grants [1]	9,500	11,250	10,000	-1,250
Total NARA Request—Appropriations	**$411,328**	**$459,277**	**$466,870**	**$7,593**
Less: Redemption of Debt	-10,896	-11,842	-12,870	-1,028
Total NARA Request—Budget Authority	**$400,432**	**$447,435**	**$454,000**	**$6,565**

[1] FY 2008 and 2009 Enacted level for NHPRC Grants includes $2 million that was transferred to and executed in the Operating Expenses account. A transfer is not necessary in 2010, as administrative support will be provided from the Operating Expenses account.

Significant Program Increases:

Operating Expenses—Base increases of $10,179,000 to maintain current levels:
- Inflationary cost increases (pay raise, facility rates, rent rates, information technology, and general inflation)

Operating Expenses—Program increases of $4,860,000:
- Controlled Unclassified Information (CUI) Executive Agent (EA)..$1,860,000
- Office of Government Information Services..$1,400,000
- Archival Staff Increase $1,000,000
- Store Accessioned Civilian Official Personnel Files..$600,000

Office of Inspector General—Base increase of $85,000 for pay raise; and Program increase of $500,000 for additional investigative and audit staff

Electronic Records Archives—Program increase of $18,492,000 to develop the capability for providing online public access to NARA's electronic holdings, expand preservation capabilities, increase system capacity, and provide backup and restore functions

Repairs and Restoration—Increase of $18,289,000:
- Roosevelt Library Renovations $17,500,000
- Base increase to maintain current levels $789,000

Significant Program Decreases:

Operating Expenses—Decrease of $2,525,000 for unrequested funding

Repairs and Restoration—Decrease of $41,500,000:
- Kennedy Library Construction...$22,000,000
- Roosevelt Library Renovations $17,500,000
- Johnson Library Repairs..$2,000,000

National Historical Publications and Records Commission Grants Program—Decrease of $1,250,000

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. NARA's customers represent a diverse group of people from various backgrounds, cultures, and disciplines. From genealogists to filmmakers, historians to patent holders, our customers rely and trust that the records we maintain are authentic, available, and accessible. As the internet continues to grow, many expect to access a growing number of our holdings online. 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. Below we have identified our most pressing challenges:

- We must continue the development of the Electronic Records Archives (ERA) system so that we can preserve at-risk valuable electronic records, including the records of the Bush Presidency. We must begin efforts to expand the software to provide public access to ERA.

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

- We must address the fixed costs for space and personnel that make up 65 percent of NARA's Operating Expense budget and will continue to do so in the future. NARA will continue to develop strategies to maintain high-quality services while becoming more efficient and cost-effective.

- We must meet the December 31, 2009 deadline to review and resolve (either by declassification or exemption) equities in security-classified documents that are more than 25 years old. We must make these documents available to agencies systematically to enable agencies to accomplish their missions, permanently protect valuable Federal records, and prevent unauthorized releases of information.

FY 2008 Progress

During FY 2008, we continued building on our progress toward meeting goals detailed in our 10-year Strategic Plan, *"Preserving the Past to Protect the Future,"* 2006-2016. NARA accomplished many objectives toward meeting the goals outlined in our Strategic Plan. A summary of FY 2008 progress is highlighted 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 2008 we continued efforts to update, simplify, and revise Federal records management regulations. We employed greater use of plain language, redefined electronic records management to more closely align with requirements for paper records, and revised guidance on NARA's process to conduct agency records practices.

We continued to broaden our efforts to educate Federal agency staffs about records management. We increased our number of first time records management training participants by 20 percent; exceeding our target of 10 percent. Demand for our online course – *Records Management for Everyone* – increased as some agencies requested copies of this course to train their employees, a result of NARA's advocacy efforts to promote records management to senior agency staff.

As a result of improved performance in our Federal Records Center program and after several years of negotiations, we were granted the opportunity to service the Department of Army's electronic Official Military Personnel Files.

We also achieved initial operating capability with the Archives and Records Center Information System (ARCIS), a system designed to electronically manage records storage and improve efficiency of storage processes. We deployed this system first to our Federal Records Center in Philadelphia. Lessons learned from this initial deployment are assisting in our nationwide deployment activities throughout FY 2009.

In preparation for the Presidential transition in January 2009, which accounts for the largest volume of electronic records in NARA's history, we hired and immersed existing staff in various aspects of the transition process to prepare for the successful collection, transfer, and storage of the Bush Administration records from the White House to a temporary location in Lewisville, Texas. Throughout the year, we worked closely with the White House and other Federal agencies to fully prepare for this effort.

By the end of the fiscal year, we exceeded our goal of 85 percent and reached 100 percent for managing Federal Register documents in our newly implemented Electronic Editing and Publishing System (eDOCS). The eDOCS provides the Office of the Federal Register with the capability to operate in an electronic work environment where agencies can electronically submit digitally-signed, legal documents to the Federal Register.

Preserve and Process. We continued to aggressively *address 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 grown over the decades, and as electronic records have become more prevalent, the number of accessions continues to increase. This year, we examined the processing efficiencies in our Presidential Libraries and regional archives and developed a

capability to measure processing progress for archival holdings held outside the Washington, DC area. The processing of Presidential records varies from processing Federal records because of requirements in the Presidential Records Act, the Freedom of Information Act and applicable Executive orders. We have implemented steps to simplify various processes and have developed the capability to measure systematic processing at the Libraries. These measurement capabilities will be implemented in FY 2009.

We implemented the *National Declassification Initiative*, NARA's effort to collaboratively work with agencies to efficiently and effectively manage the referral of classified equities between the various equity holders. Our Information Security Oversight Office (ISOO) developed a program to improve our oversight of agency declassification review programs. The program is designed to assess agency decisions, identify best practices, and provide recommendations to agencies to help improve their programs. We developed a scoring methodology that we will continue to refine as we address challenges with measuring and scoring agencies consistently due to the varied types of records in different agencies.

For classified materials in the Presidential Library system for which we do not have delegated declassification authority, we partnered with the Central Intelligence Agency (CIA) through a project we refer to as the Remote Archives Capture (RAC). Our partnership involved working with the CIA and classifying agencies in the Government to declassify materials held in the Presidential Libraries. Using the RAC project as a vehicle to scan classified materials held by Presidential Libraries throughout the country, we exceeded our goal in FY 2008 and scanned more than 518,000 pages of classified Presidential records eligible for declassification.

Through regular assessment of our archival holdings, we identify their preservation needs, provide storage conditions that retard deterioration, and treat, duplicate or reformat records at high risk of loss or deterioration. We exceeded our preservation goals this year by more than doubling our goal of treating or housing nearly 140,000 cubic feet of at-risk holdings.

We continued efforts to move records to more cost-effective facilities. We consolidated records from our Bannister Road in Kansas City and moved them to a more economical, underground storage facility in Lenexa, KS. We reused shelving material from the Bannister Road facility in the Lenexa facility. We brought two additional records centers into compliance with 36 CFR 1228 Subpart K storage standards for Federal records.

Meeting Electronic Records Challenges. The *Electronic Records Archives* (ERA), our cutting-edge system that will capture electronic records and information, regardless of format, save them permanently, and make them accessible on whatever hardware or software, was deployed. This year, we reached a significant milestone -- the initial operating capability of the ERA system for Federal records. At this initial stage, the new system supports the basic process of determining how long Federal agencies need to keep records and whether the records should be preserved in the National Archives. ERA will eventually support this process for all Federal records, whether they are on paper, microfilm, electronic, or other media. As we prepared to migrate records from legacy media to ERA, we developed integrated functions with our legacy systems to support legacy migration workflow.

Significant strides were achieved as we prepared to take in the electronic records of the George W. Bush Administration. We developed an instance of the ERA system for the Presidential transition, referred to as the Executive Office of the President (EOP) system, coordinated and collaborated with key stakeholders at NARA, the White House, and other Federal agencies to ensure a smooth transition in January 2009.

Expanding Opportunities for Access. We continually strive to make our holdings accessible to the public as soon as possible. One indication of the quality and interest in the information we provide is the number of visitors to our web sites – nearly 38 million in FY 2008.

We continued our efforts to expedite information to our online customers by establishing a five-year partnership with The Generations Network, while continuing to work with our existing partners (e.g. Footnote, Familysearch.org, Topic Entertainment) in numerous digitizing efforts. Through partnerships and collaborative efforts, we increased the number of digital copies available online through our online catalog of NARA's nationwide holdings -- Archival Research Catalog (ARC) -- from 101 to more than 24,000. This success was accompanied by phenomenal growth of 130 percent in the number of visits to our online catalog. In addition, we provided internet access to a selection of NARA's electronic records from archival databases to more than 30 Federal agencies and experienced increased usage of more than 25 percent.

We continued to provide *outstanding customer service* exceeding our FY 2008 targets in almost every area. Ninety-four percent of the written requests we received from customers were answered within 10 working days, exceeding our goal of 91 percent. Ninety-three percent of the items requested in our research rooms were provided within one hour of the request, 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 86 percent.

Civic Literacy. We engaged in a number of activities designed to advance *understanding of civic literacy.* We designed programs to introduce and educate the public about our vast and diverse resources available for them to use to investigate a range of information that may not be readily apparent to them. This year we continued to offer workshops to inform the public and Federal agencies about the Federal regulatory process and saving permanently valuable information. We launched the "Constitution-in-Action" lab for students in the Boeing Learning Center at the National Archives building in Washington, DC, exposing them to archival holdings and technology to provide an experience where they see the relevancy of the Constitution in their lives today. We continued to host public programs and sponsor American Conversation Series where informal conversations were held between the Archivist and renowned historians, authors, filmmakers and many others who raise awareness and share their interpretations of American heritage.

Our Presidential Libraries and museums play a critical role in promoting an understanding of the Presidency as well as American history and democracy. We held a museum exhibit at the John F. Kennedy Presidential Library to coincide with the 2008 general election campaign. This exhibit, titled "The Making of a President." featured documents and artifacts from key moments of President Kennedy's formative years.

Our Digital Vaults web site received numerous awards this year including Time.com's 50 Best Websites for 2008; The Scout Report Best of 2007-2008; and from STEP Inside Design as 2008 Best of the Web Judge's Selection.
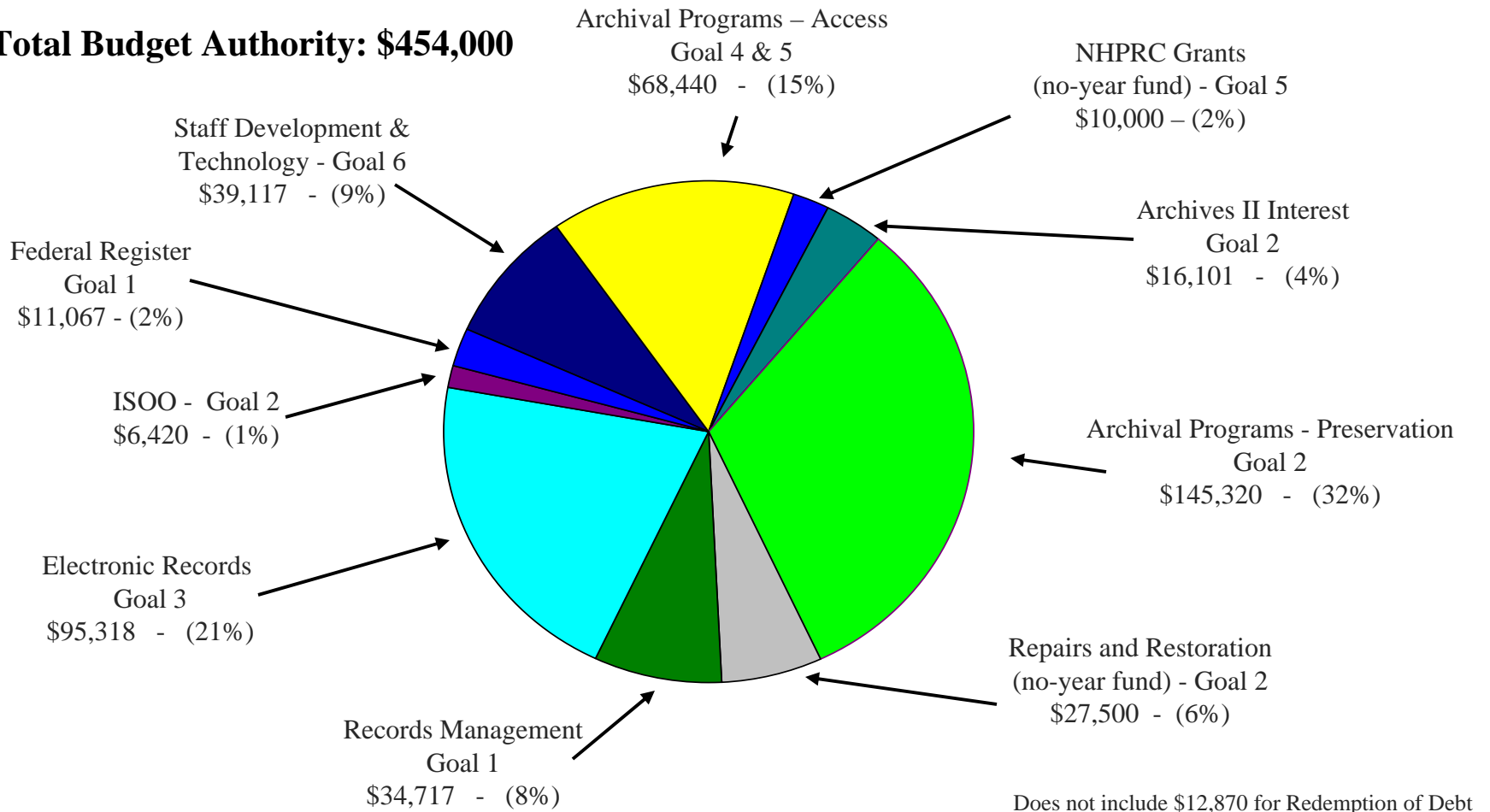
In summary, in all areas we fulfilled the promises we made that were the basis for the funding we received in FY 2008. More information about these and other efforts are available in our 2008 Performance and Accountability Report, published on November 17, 2008, and available on our website at *www.archives.gov/about/plans-reports/performance-accountability/.* With FY 2009 appropriations, we will maintain key programs that support the six goals in our Strategic Plan. We believe this FY 2010 request reflects the critical initiatives and basic needs that should be funded for NARA to fulfill its mission and meet the expectations the Government and the public have for us. (Exhibit 300s and this Performance Budget are available online at *www.archives.gov/about/plans-reports/.*) The funds we are requesting, detailed in the following pages, will allow us to fulfill legal mandates, Administration directions, safety and security requirements, and customer service expectations.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
FY 2010 Performance Budget Request by Function
(dollars in thousands)

Total Budget Authority: $454,000

Archival Programs – Access
Goal 4 & 5
$68,440 - (15%)

NHPRC Grants
(no-year fund) - Goal 5
$10,000 – (2%)

Staff Development &
Technology - Goal 6
$39,117 - (9%)

Archives II Interest
Goal 2
$16,101 - (4%)

Federal Register
Goal 1
$11,067 - (2%)

ISOO - Goal 2
$6,420 - (1%)

Archival Programs - Preservation
Goal 2
$145,320 - (32%)

Electronic Records
Goal 3
$95,318 - (21%)

Repairs and Restoration
(no-year fund) - Goal 2
$27,500 - (6%)

Records Management
Goal 1
$34,717 - (8%)

Does not include $12,870 for Redemption of Debt

JUSTIFICATION OF REQUESTED INCREASES

The Strategic Overview outlined the mission and challenges confronting NARA. Here are the specific increases the Budget requests for FY 2010 that will allow NARA to:

- Fund Base program on-going operations
- Support implementation of Controlled Unclassified Information (CUI) Framework
- Support implementation of Office of Government Information Services (OGIS)
- Hire new Archivists to handle the influx of new records
- Pay storage costs for accessioned civilian official personnel files
- Hire additional staff in the Office of Inspector General
- Continue building the Electronic Records Archives
- Fund repairs and restorations to NARA-owned facilities
- Implement the Top Priority of the Capital Improvement Plan
- Fund Grants to enhance availability of the nation's historical materials

OPERATING EXPENSES BASE INCREASE

Rising inflationary costs require an increase of $10,179,000 to base programs in NARA's FY 2010 Operating Expenses appropriation to meet on-going operational requirements.

Inflationary Cost Increases

For FY 2010, the Budget requests $10,179,000 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. These two categories are impacted by inflationary changes such as congressionally mandated pay raises, utility increases, contract and information technology increases, and facility rent. NARA owns or leases space for 44 facilities. These facilities all incur utility, security, and operation and maintenance costs. Support services are provided at market-generated rates, which must be paid. In facilities where we lease space through the General Services Administration (GSA), or use Government-owned buildings, the rates are set by GSA and the Department of Homeland Security for the provided services. For leases that NARA has entered into under a delegated lease authority from GSA, rates are based on local market conditions. To support the information technology that runs our agency's infrastructure we rely on equipment, operations and maintenance, and contract support. Again, these rates are driven by the marketplace.

Besides inflation-sensitive personnel and facility costs, the workload of the agency increases each year. Agencies create records on a daily basis that document actions of the Federal Government. About 2 percent of these records will come to NARA when they are no longer needed for agency operations. NARA will preserve the records and make them available to a broad cross-section of citizens. NARA has

a dynamic work environment in which we must care for new records coming in while still maintaining responsibility for our existing holdings dating back to the birth of our country. With the resources requested, we can pay our staff, procure the needed information technology support, fund the ongoing maintenance of our equipment, and procure supplies and space to process, preserve, and store records.

NARA has taken steps to mitigate increased agency-wide costs by improving efficiency. Where practical we have moved records to low cost leased underground storage to meet space demands for records storage. We have implemented energy conservation measures in our facilities and invested in alternative energy sources such as solar panels in an effort to reduce electricity usage. These energy efforts have been rewarded with a "green" energy usage rating from the Department of Energy. With the resources included in this budget request, NARA can continue to cover our core programs.

OPERATING EXPENSES INCREASES

For FY 2010, the Budget requests $4,860,000 and 27 FTE to implement two new mandates assigned to NARA and support growing program needs. Fulfilling this request will enable us to:
- *Implement the Controlled Unclassified Information (CUI) Office to oversee and manage the CUI Framework*
- *Operate the Office of Government Information Services to support accessibility to records under the Freedom of Information Act*
- *Grow our Archival Staff by 12 FTE to handle the influx of new records*
- *Store newly accessioned Civilian Official Personnel Files*

Implement the Controlled Unclassified Information Office

For FY 2010, the Budget requests $1,860,000 and 9 FTE to staff and operate the Controlled Unclassified Information Office.

On May 9, 2008, the President issued a memorandum to the Heads of Departments and Agencies on the Designation and Sharing of Controlled Unclassified Information (CUI), directing that a CUI framework be implemented within the Executive branch within five years and designating NARA as the executive agent.

In this role, NARA must:
- Develop and issue CUI policy standards and implementation guidance, including recommendations to State, local, tribal, private sector, and foreign partner entities for implementing the CUI framework;
- Establish new safeguarding and dissemination controls and authorize the use of any additional markings;
- Establish and chair the CUI council;
- Establish, approve, and maintain safeguarding and dissemination instructions to agencies;
- Publish the CUI standards in a CUI registry;
- Monitor compliance;
- Establish training requirements and develop a CUI training program to be implemented by departments and agencies;
- Provide information regarding the CUI framework to Congress, State, local, tribal, and private sector partners;
- Advise agencies on resolution of CUI complaints and disputes; and
- Establish a process that addresses enforcement mechanisms and penalties for improper handling of CUI.

The funding requested for FY 2010 will be used to pay for the CUI staff hired in FY 2009 with funds provided by the Office of the Director of National Intelligence. These staff will operate the CUI Office and carry out the functions identified by the President and noted above. In addition, starting in FY 2009, the CUI Office will be supplemented with approximately six non-reimbursable detailees from agencies with significant CUI responsibilities. The use of detailees will round out the expertise needed to implement this role, integrate key agencies in the establishment of the CUI Framework, and minimize the overall cost to operate.

Operate the Office of Government Information Services

For FY 2010, the Budget requests $1,400,000 and 6 FTE to staff and operate the Office of Government Information Services.

The Open Government Act of 2007 amended the Freedom of Information Act (5 U.S.C. 552) to create an Office of Government Information Services (OGIS) within the National Archives and Records Administration. The purpose of OGIS is to strengthen FOIA and ensure that Government remains open and accessible to the public. While the creation of OGIS is Congressionally mandated, the functions fit within a number of NARA's strategic goals and its mission to ensure accessibility to the documentation of the rights of American citizens and the actions of their Government.

The OGIS will review policies and procedures of administrative agencies under FOIA, review agency compliance with FOIA, and recommend policy changes to the Congress and President to improve the administration of FOIA. OGIS staff will consult with agencies and private sector stakeholders to help define the scope of OGIS program implementation and will develop policies and procedures accordingly. OGIS will also provide services to mediate disputes between FOIA requestors and Federal agencies.

The funds requested will be used to hire and train staff and set up office space and equipment. Resources are also requested for staff travel, development of online and print informational material, purchase of software to track cases and provide reports, and contract support to develop and maintain the database. OGIS will use the online and print material to inform agencies and private sector stakeholders of the various programs available through OGIS and the policies and procedures relevant to those programs. With the help of a contractor and computer software, NARA will develop a tool for tracking mediation requests and their resolution. Finally, these funds will also be used to develop and publish a record of activities and accomplishments, including advisory opinions, as appropriate.

Archival Staff Increase

For FY 2010, the Budget requests $1,000,000 and 12 FTE to address the growing workload of records which need to be processed, preserved, and stored.

NARA's archival workforce faces challenges with the increase of records accessioned into the agency's care each year. Also, NARA faces challenges because of an aging workforce. At the beginning of FY 2009, nearly half (47%) of NARA's workforce was 50 years of age or older. Within the Archivist series, 25 percent were eligible to retire October 1, 2008.

To face these challenges, NARA needs to build an archival staff that can handle the increasingly complex workload ranging from documents 200 years old to state-of-the-art electronic records. It takes time to build the experience required to process, preserve, and

make available to the public the materials that document the workings of our Government. With the resources and FTE requested, NARA can build a cadre of new archivists to address our increasing workload and fill the ranks of our aging workforce with a diverse, technology savvy group of employees.

Store Accessioned Civilian Official Personnel Files

For FY 2010, the Budget requests $600,000 to store newly accessioned civilian official personnel files.

Based upon a recent review of separated Federal civilian employee personnel records, NARA discovered that records from the late 1880s until about 1952 contain historically important individual agency records that document agency programs, as well as personnel records. As a result, NARA has decided that these records contain sufficient archival content to be permanently preserved in the Archives of the United States. Once the records are legally transferred from the Office of Personnel Management to NARA, we must begin paying the storage cost. The cost to store the 242,842 cubic feet of records is estimated at $600,000 per year. The resources requested will enable NARA to pay the annual storage costs for the records transferred to our custody.

OFFICE OF INSPECTOR GENERAL

Additional Staff for the Office of Inspector General

For FY 2010, the Budget requests $500,000 and 3 FTE to staff and operate the Office of Inspector General.

The Office of Inspector General (OIG) seeks an additional $500,000 and 3 FTE to carry out the responsibilities of the OIG. With the additional resources, we will hire two criminal investigators and one program auditor. This funding is essential to enable the OIG to carry out its audit and investigative responsibilities, which continue to expand. New missions recently added to NARA include: the establishment of the George W. Bush Presidential Library; the implementation of the Office of Government Information Services; and the establishment of the Controlled Unclassified Information Office. NARA is a growth agency in terms of size, staffing and complexity of operations and has exceeded the workload capabilities of the current staff. The OIG needs additional resources in order to fulfill its responsibility as the only entity charged by statute with providing independent and skilled audit and investigative coverage to the agency.

ELECTRONIC RECORDS ARCHIVES INCREASE

For FY 2010, the Budget requests an increase of $18,492,000 over the FY 2009 enacted level of $67,008,000 for the Electronic Records Archives Program. Fulfilling this request will enable us to:
- *Complete the design, development, and deployment of changes to the ERA architecture to provide for online public access and preservation capabilities*
- *Increase system capacity for deployment of additional functions*
- *Procure and deploy a backup system to restore ERA infrastructure in event of a system failure*

Building the Electronic Records Archives

For FY 2010, the Budget requests an increase of $18,492,000 to develop the capability for providing online public access to NARA's electronic holdings, expand preservation capabilities, increase system capacity, and provide backup and restore functions. The increase would bring ERA total funding to $85,500,000. Of the total, the Budget requests that $23,743,000 be made available as one-year funding and the remaining $61,757,000 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 of Government.

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. For example, 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 is being 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 included 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.

In FY 2008, a portion of appropriated funds was used to complete the first ERA instance and achieve Initial Operating Capability. The remainder of FY 2008 funds was used to support program operations and Increment 2, developing a separate instance of ERA to handle the transfer of electronic records from the Executive Office of the President (EOP) at the end of the George W. Bush Administration.

The FY 2009 appropriation enables us to maintain the ERA EOP instance and support ongoing operations of the Initial Operating Capability instance (ERA Base). The ERA Base enables users to conduct basic records management functions and transfer electronic records into ERA. Those pilot agencies, in addition to NARA, who are using the ERA Base instance, include the United States Patent and Trade Office, the Bureau of Labor Statistics, the National Nuclear Security Administration, and the Naval Operations Office. Each agency now has the capability of creating records schedules, creating and approving transfer requests and legal transfer instruments, and transferring electronic records into the system.

While various problems encountered in the development of Increment 1 led to a 9-month delay, NARA and the system contractor worked collaboratively on a comprehensive effort to correct or eliminate the conditions that created the problems. Lessons learned from Increment 1 helped NARA and the contractor develop an achievable plan for delivery of the functionality needed to accept the records from the EOP at the end of the administration in Increment 2 of the system. All milestones towards delivery of this functionality were met according to schedule and the program achieved its target to support the transfer of data from the EOP in January 2009.

FY 2009 funds were used to make the infrastructure and architecture of the base system more flexible so that the system can be opened to more formats and other agencies beyond the four pilot agencies. FY 2009 funds also supported the design and development work on Increment 3, which will include public access and initial preservation capabilities. It also enables 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.

The FY 2010 request will enable us to deploy the public access functions and preservation framework tools that were developed in Increment 3. Public access, when it is implemented in ERA, will provide a means for researchers from the general public to use the Internet to search descriptions about, and in some cases, the content of electronic records in ERA, and get access to relevant electronic records by viewing or downloading files from the system. There are significant challenges associated with opening the system to the public. First the system must be adequately sized to meet public demand for services. Resources will be used to purchase hardware and storage capability to enable the public and other Federal agencies to access ERA and other NARA electronic holdings. Second, the system must be engineered to ensure adequate security controls to protect restricted information in the records and to guard against system threats from the Internet.

In FY 2010, we will build additional storage and develop functionality for managing restricted (e.g., national security and privacy) information. In addition, we will expand preservation capabilities that were established in Increment 3, and increase the system's capacity so it can support not only public users but agencies government-wide. Improvements in existing capabilities developed over previous increments are also planned for this increment. Finally, FY 2010 funds will be used to procure and deploy an active backup for the system to restore the ERA infrastructure in the event of a system failure.

REPAIRS AND RESTORATION INCREASE

The Repairs and Restoration portion of NARA's budget includes funding to adjust the base level for repairs and restorations to $10,000,000, an increase of $789,000 over the FY 2009 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. Each year, approximately 3 million visitors go to these facilities to do research, attend conferences, and participate in 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, requires on-going repair and restoration funding.

Prior to FY 1996, NARA funded necessary repairs by allocating operating funds directly to the facilities, however, absent a separate funding level, projects were programmed as operating funds became available, or when the failure of a critical system was imminent. Overall, this was an unsatisfactory manner to operate and maintain any buildings, let alone ones housing the historic documentation of the United States.

Starting in FY 1996, Congress provided "no year" funds to a Repairs and Restoration (R&R) account to support necessary repairs to NARA's buildings. The funds provided over the years have fallen into two categories: base funding that provides for the replacement, upgrade, and repair of building systems that are not too expensive (generally less than $1.5 million per project, but usually less) or special project funding for specific projects that are identified and placed in the budget to address needed major renovations, additions, or new building construction.

Repairs and Restoration Base Increase

For FY 2010, the Budget requests $10,000,000 to fund repairs and restorations to NARA-owned facilities, which is a $789,000 increase over the FY 2009 base request.

The FY 2010 base level will cover increases due to inflation and increases in our space inventory.

In calculating the FY 2010 request, we have taken the 2007 Buildings Owners and Managers Association International (BOMA) Experience Exchange Report calculated amount for operations and maintenance of Government space ($1.89 per square foot) and escalated that rate using the appropriate construction costs index of 3 percent for 2007, 4.6 percent for 2008, 3.9 percent for 2009, and 5 percent for 2010. The $1.89 per square foot 2006 rate increases to $2.22 per square foot for 2010 after escalation.

The calculation of the area to be maintained is based on increasing the square footage (SF) in our FY 2009 request (4,428,554 SF) by 60,000 SF to cover 100 percent of the Southeast Regional Archives because that facility will be five years old. The revised total square

footage is 4,488,554. With all NARA-owned space more than five years old, all spaces are calculated at 100 percent of their area.

Implement the Top Priority on the Capital Improvement Plan

For FY 2010, the Budget requests $17,500,000 to implement the top priority on NARA's Capital Improvement Plan, which is completion of the renovation of the Roosevelt Presidential Library in Hyde Park, New York.

The Roosevelt Library was dedicated in April 1941 and opened to the public in 1946. A new wing in memory of Eleanor Roosevelt was added in 1969 but otherwise the original Library building has remained untouched and unimproved since its creation. Since 1946, more than 14 million people have visited the Library.

In FY 2009, $17,500,000 was appropriated for phase I of the construction and renovation. The resources requested in FY 2010 will fund phase II of the renovation and complete the project.

Some of the challenges to the nearly 70-year-old building that will be corrected in the renovation are:
- Electrical wiring from 1941
- Heating and air conditioning systems without modern controls and gauges
- Replace security and other electronic systems which are obsolete and unacceptable by modern standards
- Bring air conditioning and humidity controls for archival and museum collections up to standard to protect the records
- Repair the roof
- Replace storm water drainage system

- Relocate staff offices to improve security in the archival stacks and museum collection storerooms
- Increase archives storage space at the Library which has reached capacity and cannot accommodate the new materials that are donated on a regular basis.

The Budget requests $17,500,000 to complete the renovation project. This will ensure that the Roosevelt Presidential Library facility meets modern standards and the records of President Roosevelt are in appropriate space.

GRANTS INCREASE

Promote Preservation and Use of the Nation's Historical Records

For FY 2010, the Budget requests $10,000,000 to fund the National Historical Publications and Records Commission (NHPRC).

The National Historical Publications and Records Commission (NHPRC) is the only grant-making organization, public or private, whose exclusive mission is to provide national leadership in promoting the preservation and use of the materials of our documentary heritage—materials that are essential to understanding our American democracy, history, and culture.

The Budget requests $10 million to support NHPRC programs and the Access to America's Primary Sources initiative and does not request a transfer to the Operating Expenses account, as the administrative support will be provided through base OE funding. This will enable more total grant funding than previous years. Funding will also enable us to undertake a major new initiative to

provide online access to the pre-publication transcriptions of the papers of the Founding Fathers for free. It will also enable us to undertake the following work under the **Access to America's Primary Sources** initiative:

- to accelerate the completion of all the Founding Fathers papers editorial processes;
- publish historical papers of key figures and movements in the nation's history; and
- fund archives preservation, access, and digitization projects

Founding Fathers Online will build on the work completed in 2009 through a pilot project to develop a new approach to publishing the papers of John Adams, Benjamin Franklin, Thomas Jefferson, James Madison, and George Washington. This initiative will not only increase access to records essential to our democracy, but will enhance civic engagement and education through an online publishing program that takes advantage of today's technology. The program meets the public's need for faster, smarter, and better access to these papers. New tools will be implemented that make available online without charge the published and not-yet-published papers of these key figures in American history. Through online access to published and unpublished documents, a broad audience of scholars, educators, and the general public will discover new insights into the nation's formative years and the key figures that shaped the nation. The cost of this initiative is $4.5 million, which will support the document preparation and encoding for online searching; and initiate a fully searchable online portal for the Founders' papers that is free to the public.

Publishing Historical Records continues a unique program of support for publishing the papers of key figures and movements in the nation's history. Documentary editions are massive, detailed collections of all of the documents concerning a figure or topic. In creating these editions, projects have had to collect—often from archives around the world—thousands of 18th- to 20th-century documents, which are then transcribed, researched, annotated with explanatory historical notes, edited, and produced in print and online publications. In FY 2010 the Commission will focus its support on new projects that deliver products in an online format and existing editorial projects that modernize their work flows, transcription processes, and editorial techniques. Support will be contingent upon stringent production milestones being met and publication targets completed on time. The cost of this program is $2 million, which will allow us to fund approximately 30 projects.

Archives Preservation, Access, and Digitization grants acknowledge that much of our sense of national history and enumeration of citizens' rights are maintained by a national archival network—an interlocking system of repositories that safeguard our most precious history and protect the most valued records of democracy. This initiative will continue to focus on projects to process "hidden collections" of historical records and perform preservation of major collections; to target digitization of entire series of the most important historical records and to support efforts to preserve electronic records; to support state historical records boards in their statewide services; and to enhance the professional development of historical editors, archivists, and others. The cost of this initiative is $3.5 million, which will allow us to fund approximately 60 projects.

In summary, these programs will enable our customers, the American people, to more quickly access the records they need and want. This will bring the grants appropriation up to its authorized level of $10,000.000.

LINKING BUDGET INITIATIVES TO NARA'S PERFORMANCE PLAN

Budget Initiative	Long-Range Performance Target	Outcome	Budget Request	Performance Plan Linkage
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 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.	$85,500,000	Pages II-39 to II-45
Implement the Controlled Unclassified Information Office	By 2012, 90 percent of agency declassification reviews receive high scores as assessed by ISOO.	Records are properly exempted, referred, or declassified under E.O. 12958, as amended.	$1,860,000	Pages II-23 to II-25
Operate the Office of Government Information Services	By 2016, NARA customer service standards for researchers are met or exceeded.	Our customers are satisfied with our services.	$1,400,000	Pages II-46 to II-49
Implement the Top Priority of the Capital Improvement Plan	By 2016, 100 percent of archival holdings are stored in appropriate space.	Archival records are preserved for public use.	$17,500,000	Pages II-29 to II-32
Store Accessioned Civilian Official Personnel Files	By 2016, 100 percent of archival holdings are stored in appropriate space.	Archival records are preserved for public use.	$600,000	Pages II-29 to II-32

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ALL APPROPRIATIONS

LINKING E-GOV INITIATIVES TO NARA'S PERFORMANCE BUDGET

E-Government Initiative[1]	Benefits	Funding by Account	
Operating Expenses (unless otherwise noted)		*FY 2009*	*FY 2010*
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.	$87,992 service fee	For FY 2010, contributions to E-Gov initiatives, a total of $373.5 thousand is included in the Budget, representing no increase from the FY 2009 Budget. In FY 2010, allocations to specific initiatives will be addressed at a later time as redistributions to meet changes in resource demands are assessed across all inter-agency projects by the Federal CIO, in consultation with the CIO Council.
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.	$108,727 agency contribution	
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.	$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.	$39,961 service fee	
		$32,696 service fee Revolving Fund	

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[1] Associated **Exhibit 300s** are available online at http://www.archives.gov/about/plans-reports/

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

E-Government Initiative	Benefits	Funding by Account	
Operating Expenses (unless otherwise noted)		*FY 2009*	*FY 2010*
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.	$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	
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.	$15,000 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	

CROSSWALK FROM 2008 AVAILABILITY TO 2010 BUDGET REQUEST
(dollars in thousands)

	2008 Enacted Level		2009 Enacted Level		2010 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
OPERATING EXPENSES – DIRECT	**1,356**	**$278,926**	**1,403**	**$312,337**	**1,500**	**$327,256**
Adjustments to Direct Base Level:						
Annualization of 2007 Pay Raise	-	952	-	-	-	-
Annualization of 2008 Pay Raise	-	2,966	-	1,236	-	-
Annualization of 2009 Pay Raise	-	-	-	2,876	-	1,086
Annualization of 2010 Pay Raise	-	-	-	-	-	3,500
Two More Compensable Workdays in 2008	-	1,030	-	-	-	-
One Less Compensable Workday in 2009	-	-	-	-520	-	-
Normalization of Operations (post hiring freeze)	17	1,790	46	-	-	-463
Reappropriation of FY 2006 unobligated balances	-	-445	-	-	-	-
Reappropriation of FY 2007 unobligated balances	-	195	-	-195	-	-
Inflationary Rate Changes (non-pay)	-	676	-	930	-	-
Facility / Utility Rate Changes	-	3,609	-	761	-	2,671
Facility Savings from Change in Operating Hours	-	538	-	-	-	-
Rent Rate Changes (GSA Facilities)	-	958	-	-	-	1,530
Information Technology Changes	-	1,526	-	1,507	-	1,855
Appropriate Storage Space for newly Accessioned Records	-	4,600	-	-	-	600
Adjustment for One-Time Unrequested Funding	12	2,126	12	-1,251	-	-875
Funding for New Archivists	-	-	-	-	12	1,000
Total Adjustments to the Base	**29**	**$20,521**	**58**	**$5,344**	**12**	**$10,904**
Revised Operating Expenses – Direct – Base Level	**1,385**	**$299,447**	**1,461**	**$317,681**	**1,512**	**$338,160**

CROSSWALK FROM 2008 AVAILABILITY TO 2010 BUDGET REQUEST (continued)

(dollars in thousands)

	2008 Enacted Level		2009 Enacted Level		2010 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
OPERATING EXPENSES–DIRECT – INCREASES						
Our Nation's Record Keeper						
Prepare for a new George W. Bush Presidential Library	5	5,633	24	6,325	-	-
Preserve and Process						
Richard Nixon Presidential Library Operations Funding	11	2,925	-	-	-	-
Relocate Southwest and Central Plains Regional Archives	-	4,000	-	-	-	-
Expand capacity to Process Presidential Records	-	-	15	1,600	-	-
Declassification and Review of Army and CIA Records	-	-	-	650	-	-650
Controlled Unclassified Information Executive Agent	-	-	-	-	9	1,860
Electronic Records						
Independent Oversight of the Electronic Records Archives Program	2	332	-	-	-	-
Access						-	-
Office of Government Information Services	-	-	-	1,000	-	-1,000
Office of Government Information Services	-	-	-	-	6	1,400
Total Program Increases	**18**	**$12,890**	**39**	**$9,575**	**15**	**$1,610**
GRAND TOTAL – Operating Expenses – Direct	**1,403**	**$312,337**	**1,500**	**$327,256**	**1,527**	**$339,770**

CROSSWALK FROM 2008 AVAILABILITY TO 2010 BUDGET REQUEST (continued)

(dollars in thousands)

	2008 Enacted Level		2009 Enacted Level		2010 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
OFFICE OF INSPECTOR GENERAL	**17**	**$2,858**	**17**	**$2,858**	**20**	**$3,052**
Pay raises and vacancies	-	-	2	74	-	548
Criminal Investigative Staff Supplement	-	-	1	120	-	-
Criminal Investigative and Audit Staff Supplement	-	-	-	-	3	500
Total Office of Inspector General Increases	**0**	**$0**	**3**	**$194**	**3**	**$1,048**
GRAND TOTAL – Office of Inspector General	**17**	**$2,858**	**20**	**$3,052**	**23**	**$4,100**

	2008 Enacted Level		2009 Enacted Level		2010 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
ELECTRONIC RECORDS ARCHIVES	**37**	**$45,254**	**42**	**$58,028**	**49**	**$67,008**
Meet Electronic Records Challenges						
ERA to Develop / Deploy National Security System	5	12,774	-	-	-	-
Develop Long-Term Preservation and Capacity for Public Access	-	-	7	8,980	-	-
Develop the capability for providing online public access to NARA's electronic holdings, expand preservation capabilities, increase system capacity, and provide backup and restore functions	-	-	-	-	-	18,492
Total Electronic Records Archives Increases	**5**	**$12,774**	**7**	**$8,980**	**0**	**$18,492**
GRAND TOTAL – Electronic Records Archives	**42**	**$58,028**	**49**	**$67,008**	**49**	**$85,500**

CROSSWALK FROM 2008 AVAILABILITY TO 2010 BUDGET REQUEST (continued)
(dollars in thousands)

	2008 Enacted Level		2009 Enacted Level		2010 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
REPAIRS AND RESTORATION		**$9,120**		**$28,605**		**$50,711**
Meet Storage and Preservation Needs						
Buildings Square Footage and Rate Increase*	-	2,543	-	548	-	789
Johnson Library Plaza Repairs	-	3,760	-	-3,760	-	-
Johnson Library Plaza Repairs	-	-	-	2,000	-	-2,000
Nixon Library—Expansion of Archival Storage Space	-	7,432	-	-7,432	-	-
Roosevelt Library—Design and Renovations	-	750	-	-750	-	-
Roosevelt Library—Design and Renovations	-	-	-	17,500	-	-17,500
Roosevelt Library—Design and Renovations	-	-	-	-	-	17,500
Kennedy Library—Land Acquisitions	-	8,000	-	-8,000	-	-
Kennedy Library—Construction	-	-	-	22,000	-	-22,000
Flood Damage to National Archives Building	-	-3,000	-	-	-	-
Total Repairs and Restoration Increases	**0**	**$22,485**	**0**	**$42,048**	**0**	**$18,289**
Total Repairs and Restoration Decreases	**0**	**-$3,000**	**0**	**-$19,942**	**0**	**-$41,500**
GRAND TOTAL – Repairs and Restoration	**0**	**$28,605**	**0**	**$50,711**	**0**	**$27,500**

* This rate is based on the 2007 Buildings Owners and Managers Association International's ("BOMA"*) BOMA Experience Exchange Report* , and adjusted based on the Construction Cost Index (CCI).

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS

CROSSWALK FROM 2008 AVAILABILITY TO 2010 BUDGET REQUEST (continued)
(dollars in thousands)

	2008 Enacted Level		2009 Enacted Level		2010 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
NHPRC Grants:	**0**	**$7,425**	**0**	**$9,500**	**0**	**$11,250**
Transfer to Direct, Operating Expenses	-	2,000	-	2,000	-	-
NHPRC National Direct-Grants Program	-	$75	-	-250	-	-1,250
GRAND TOTAL – NHPRC Grants	**0**	**$9,500**	**0**	**$11,250**	**0**	**$10,000**

SUMMARY OF TOTAL BUDGET AUTHORITY
(dollars in thousands)

	2008 Enacted Level		2009 Enacted Level		2010 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
Operating Expenses – Direct	1,403	$312,337	1,500	$327,256	1,527	$339,770
Office of Inspector General	17	2,858	20	3,052	23	4,100
Electronic Records Archives	42	58,028	49	67,008	49	85,500
Repairs and Restoration	0	28,605	0	50,711	0	27,500
NHPRC Grants	0	9,500	0	11,250	0	10,000
Advances and Reimbursements	37	0	37	0	37	0
Revolving Fund	1,203	0	1,250	0	1,250	0
Trust Fund	119	0	112	0	112	0
TOTAL APPROPRIATIONS	**2,821**	**$411,328**	**2,968**	**$459,277**	**2,998**	**$466,870**
Less Redemption of Debt		-$10,896		-$11,842		-$12,870
GRAND TOTAL – BUDGET AUTHORITY	**2,821**	**$400,432**	**2,968**	**$447,435**	**2,998**	**$454,000**

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

PERFORMANCE COSTS - FISCAL YEAR 2009

(dollars in thousands)

ACTIVITIES	Operating Expenses $	FTE	Electronic Records Archives $	FTE	Office of Inspector General $	FTE	R & R $	NHPRC $	Advances & Reimbursements $	FTE	Trust Fund $	FTE	Revolving Fund $	FTE	Total $	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	$36,793	214	-	-	-	-	-	-	-	-	-	-	$153,000	1,250	$189,793	1,464
Archives Related Services	$9,033	63	-	-	-	-	-	-	-	-	-	-	-	-	$9,033	63
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 1	**$45,826**	**277**	**$0**	**0**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$153,000**	**1,250**	**$198,826**	**1,527**
Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.																
Records Services	$145,784	700	-	-	-	-	$50,711	-	-	-	-	-	-	-	$196,495	700
Archives Related Services	142	-	-	-	-	-	-	-	-	-	-	-	-	-	$142	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	$17,129	-	-	-	-	-	-	-	-	-	-	-	-	-	$17,129	0
Total Goal 2	**$163,055**	**700**	**$0**	**0**	**$0**	**0**	**$50,711**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$213,766**	**700**
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	$9,852	52	-	-	-	-	-	-	-	-	-	-	-	-	$9,852	52
Archives Related Services	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Electronic Records Archives	-	-	$67,008	49	-	-	-	-	-	-	-	-	-	-	$67,008	49
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 3	**$9,852**	**52**	**$67,008**	**49**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$76,860**	**101**
Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime.																
Records Services	$49,601	233	-	-	-	-	-	-	4,006	37	$200	1	-	-	$53,807	271
Archives Related Services	506	-	-	-	-	-	-	-	10	-	-	-	-	-	$516	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 4	**$50,107**	**233**	**$0**	**0**	**$0**	**0**	**$0**	**$0**	**$4,016**	**37**	**$200**	**1**	**$0**	**0**	**$54,323**	**271**

PERFORMANCE COSTS - FISCAL YEAR 2009
(dollars in thousands)

ACTIVITIES	Operating Expenses		Electronic Records Archives		Office of Inspector General		R & R	NHPRC	Advances & Reimbursements		Trust Fund		Revolving Fund		Total	
	$	FTE	$	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	$13,979	66	-	-	-	-	-	-	-	-	16,470	111	-	-	$30,449	177
Archives Related Services	$1,777	10	-	-	-	-	-	$9,250	-	-	-	-	-	-	$11,027	10
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 5	**$15,756**	**76**	**$0**	**0**	**$0**	**0**	**$0**	**$9,250**	**$0**	**0**	**$16,470**	**111**	**$0**	**0**	**$41,476**	**187**
Goal 6: We will equip NARA to meet the changing needs of our customers.																
Records Services	$31,301	162	-	-	-	-	-	-	-	-	-	-	-	-	$31,301	162
Archives Related Services	$1,517	-	-	-	-	-	-	-	-	-	-	-	-	-	$1,517	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Office of Inspector General	-	-	-	-	$3,052	20	-	-	-	-	-	-	-	-	$3,052	20
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 6	**$32,818**	**162**	**$0**	**0**	**$3,052**	**20**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$35,870**	**182**
Summary of Goals 1 through 6																
Records Services	$287,310	1,427	$0	0	$0	0	$50,711	$0	$4,006	37	$16,670	112	$153,000	1,250	$511,697	2,826
Archives Related Services	$12,975	73	$0	0	$0	0	$0	$9,250	$10	0	$0	0	$0	0	$22,235	73
Electronic Records Archives	$0	0	$67,008	49	$0	0	$0	$0	$0	0	$0	0	$0	0	$67,008	49
Office of Inspector General	-	0	$0	0	$3,052	20	$0	$0	$0	0	$0	0	$0	0	$3,052	20
Archives II Facility	$17,129	0	$0	0	$0	0	$0	$0	$0	0	$0	0	$0	0	$17,129	0
GRAND TOTAL	**$317,414**	**1,500**	**$67,008**	**49**	**$3,052**	**20**	**$50,711**	**$9,250**	**$4,016**	**37**	**$16,670**	**112**	**$153,000**	**1,250**	**$621,121**	**2,968**

FISCAL YEAR 2010

ANNUAL PERFORMANCE PLAN

Submitted to Congress
May 7, 2009

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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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 2009. It details the actions and outcomes that must occur in FY 2010 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 2010 objectives. Our budget is linked to the performance goals in this plan.

Operating Expenses	**$326,900**
Office of Inspector General	**$4,100**
Electronic Records Archives	**$85,500**
Repairs/Restorations	**$27,500**
Grants	**$10,000**
Total Budget Authority	**$454,000**
Redemption of Debt	**$12,870**
Total Appropriation	**$466,870**
Total FTE	**2,998**

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.

Our performance measurement system, which we continuously work to improve, takes advantage of web infrastructure to collect performance data from the more than 70 organizational units that send data to PMRS from all over the country. We also use robust, enterprise-level databases to store the data and generate reports, instead of high-maintenance desktop databases previously used. As a result, we are able to collect our performance data more consistently and more efficiently and store much more data for use in analyzing trends. We have leveraged this technology and operationally integrated data collection to create a performance measurement database that serves the entire agency and is the single strategic performance data source for the agency.

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 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 2010 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 2009 Resources Available to Meet This Goal: $45,826,000; 1,527 FTE
FY 2010 Resources Requested to Meet This Goal: $45,784,000; 1,527 FTE

FY 2010 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 09 Estimated 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.

- Develop methodology and process for conducting and reporting records management oversight activities.

FY 10 Projected Performance

- Increase by 10 percent the number of senior Federal agency managers who view their records management programs as a positive tool for risk mitigation.

- Increase percentage of CFO and selected agencies' critical functions covered by records schedules over the baseline.

- Conduct one records management inspection.

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 revised the survey in FY 2008, and expanded it to include Chief Financial Officers and General Counsels. This survey provided us with 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. In FY 2010, NARA will issue a revised survey reflecting the analysis performed on the FY 2009 results.

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. In FY 2009, we will examine the evolution of the web at agencies and the effects on Federal recordkeeping.

In FY 2008 GAO issued a report entitled "Federal Records – National Archives and Selected Agencies Need to Strengthen E-Mail Management." GAO recommended that the National Archives exercise its authority as defined in the Federal Records Act and implement oversight mechanisms to ensure that agencies follow necessary records management guidelines so that important federal records are not lost or destroyed. GAO notes we must report our findings to OMB and Congress. As a result of these recommendations, in FY 2009, NARA will develop a methodology and process for conducting records management oversight activities for Federal agencies and mechanisms for reporting the results to Congress and OMB. In FY 2010, we will implement this methodology to conduct oversight activities.

Verification and Validation

Performance Data	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Performance target for percent of senior Federal agency managers who view their records management programs as a positive tool for asset and risk management.	—	—	—	*Establish baseline*	—	*10*
Percent of senior Federal agency managers who view their records management programs as a positive tool for risk mitigation.	—	81*	—	64	—	
Performance target for CFO critical functions covered by records schedules.	—	—	—	—	*Establish baseline*	*TBD*
Percent of CFO critical functions covered by records schedules.	—	—	—	—		

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

Milestones

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
- Senior Federal agency managers surveyed to assess their views of their records management programs as positive tools for risk mitigation.
- Two records management studies (i.e. Recordkeeping Study and Flexible Scheduling

Study) of Federal agencies completed.

FY 2009 Estimated
- 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.
- Methodology and process for conducting and reporting records management oversight activities developed.

FY 2010 Projected
- Senior Federal agency managers surveyed to assess their views of their records management programs as positive tools for risk mitigation.
- One agency inspection conducted.
- Results of government-wide agency self-assessment analyzed.

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 09 Estimated 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.

- Identify and implement distance learning techniques most effective for NARA to expand customer base.

- 75 percent of all agencies have registered schedules with NARA covering all existing electronic information systems.

FY 10 Projected Performance
- Implement improved services identified in FY 2009 records management customer survey.

- Increase by 5 percent NARA's training customers taking training via distance learning.

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 on our records management services.

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. In FY 2010 we will analyze the results and implement improvements identified from our surveys.

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 updated 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. In FY 2010 we will incorporate the 2009 expected regulatory changes and establish a baseline for measuring the success of our distance learning activities.

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 the continued development of the Electronic Records Archives, an application that supports the scheduling and accessioning of Federal records. We successfully achieved initial operating capability of ERA in FY 2008. Continued development of 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 documentation 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. NARA will continue to add products to our online toolkit for agencies, which included references to ERM system requirements, checklists, citations to applicable standards, best practices, and guidance.

In FY 2009 and FY 2010, NARA will continue to develop electronic records management guidance while evaluating strategies to transition to more strategic (as opposed to reactive) operations. Tactics evaluated include development of forward-looking processes to monitor the implications of emerging technologies and enhanced centralized coordination of policy, training and audit requirements across divisions of the Modern Records Programs.

NARA will continue to work closely with individual agencies to address electronic records issues. Past partnership efforts with agencies to schedule records in core function electronic systems had positive results, more than 1,000 systems scheduled. To underscore the importance for agencies to continue scheduling electronic information systems, NARA re-issued a bulletin in FY 2008 reminding agencies to schedule all of their existing electronic information systems by the end of FY 2009. We will work with agencies throughout FY 2009 to facilitate this process.

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 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
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	*81*		
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.	32	35	42	40		
Number of records management training participants who are taking a NARA records management course for the first time.	1,069	1,484	2,122	2,553		
Number of Federal agency staff receiving NARA training in records management and electronic records management.	3,366	4,234	5,047	6,318		
Number of records management training participants that NARA certified this year.	45	275	267	310		
Median time for records schedule items completed (in calendar days).	372	334	284	315		
Average age of schedule items completed (in calendar days).	339	374	452	443		
Number of schedule items completed.	4,248	3,884	2,992	3,282		
Number of open schedules in the backlog.	379	363	402	569		

Milestones
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
- Effectiveness of flexible schedules for agencies and NARA assessed.

FY 2009 Estimated
- Customer Satisfaction Survey issued.
- Two existing courses converted into distance learning formats.

FY 2010 Projected
- Customer Satisfaction survey results analyzed and improvements implemented.
- Baseline of participants using distance learning tools established.

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 Centers Program annually retains 98 percent of its customers.

FY 09 Estimated 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.

- Rollout of ARCIS to more than 90 percent of all Federal Records Centers nationwide.

- Establish baseline customer satisfaction with National Personnel Records Center services.

FY 10 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.

- Deploy ARCIS in remaining records centers and enhance usability.

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 Centers Program (FRCP) 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 Federal records are created and managed in electronic formats, NARA is responding 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 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 on media, and remote servicing of electronic records, for example, electronic Official Military Personnel Files (OMPF). As experience is gained through pilot services, the FRCP expects to launch the electronic Federal Records Center (eFRC) where we will expand those services to more complex or advanced electronic records-related activities, such as data migration and vital records services.

The FRCP is replacing its 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 nearly 20 years. Most importantly, these systems no longer support the new FRCP reimbursable financial environment. The Archives and Records Center Information System (ARCIS) will provide robust inventory and space management for more than 25 million cubic feet of records through a web-based application for all FRC business transactions. ARCIS will enable Federal agencies to better manage records throughout the records lifecycle, and will enable the FRCP to better measure all facets of FRCP performance. NARA's FRCP and ERA, when fully developed, will work collaboratively 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. ARCIS will be deployed to all NARA's Federal Records Centers throughout FY 2009 and early FY 2010.

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 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Performance target for percent of customers retained by Federal Records Centers annually.	—	—	*98*	*98*	*98*	*98*
Percent of customers retained by FRC's annually.	—	—	100	100*		
Number of customers (agreements) served annually.	—	—	142	250		
Number of new customers (agreements) per year.	—	—	3	0		
Performance target for percent increase in cubic feet of holdings stored by Federal Records Center Program.	—	—	—	*1*	*1*	*1*
Percent increase in cubic feet of holdings stored by Federal Records Center Program.	—	2	1.7	3.8		
Performance target for percent increase in customer satisfaction with Federal Records Center Program services.	—	—	—	—	*Establish baseline*	*TBD*
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.	*95*	*95*	*95*	*96*	*97*	*97*
Percent of Federal agency reference requests ready within the promised time.	97	98	97	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.	99.4	99.8	99.9	99.9		
Performance target for percent of written requests to the National Personnel Records Center answered within 10 working days.	—	—	*75*	*75*	*80*	*80*
Percent of written requests to the NPRC answered within 10 working days.	59	67	65	74		
Number of written requests to the NPRC answered within 10 working days (in thousands).	606	739	740	854		
Number of written requests for civilian records to the NPRC answered within 10 working days (in thousands).	162	179	174	167		
Number of written requests for military records to the NPRC answered within 10 working days (in thousands).	444	559	566	687		
Number of written requests to the NPRC answered (in thousands).	1,031	1,108	1,136	1,149		
Performance target for requests for military service separation records at the NPRC answered within 10 working days.	*95*	*95*	*95*	—	—	—
Percent of requests for military service separation records at the NPRC answered within 10 working days.	88	91	90	95		
Number of military service separation records (DD-214) requests answered (in thousands).	352	442	475	506		

Percent of requests for all military service records at the NPRC in St. Louis answered within 10 working days.	52	61	59	72		
Average price per request for military service separation records.	$29.70	$29.70	$29.70	$30.10		

* In FY 2007, the customer count excluded customers with annual billings less than $10K. In FY 2008, the bar was lowered and customer count includes customers with annual billings in excess of $5K.

Milestones

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 2009 Estimated
- Rollout of ARCIS to nearly all Federal Records Centers completed.
- Baseline customer satisfaction with National Personnel Records Center services established.
- NPRC agreements with the Office of Personnel Management to service requests using electronic Official Personnel Files (OPFs) of former federal civilian employees implemented.

FY 2010 Projected
- Increments 1 and 2 for ARCIS implemented.

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 09 Estimated 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.

FY 10 Projected Performance
- Reference Long Range Performance Target 2.2 for future milestones.

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 20th, we 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.

The Bush Administration transferred to NARA more textual and exponentially more electronic Presidential and Vice Presidential records than any earlier 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 worked 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 provided 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. Early staffing is key to 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. We began hiring staff in FY 2007 and continued throughout FY 2008, with the full complement required for the transfer and management of these Presidential and Vice Presidential records completed in FY 2009.

Key external factors Our success depends on successful planning with the outgoing and incoming

White House staffs.

Verification and Validation

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	• Additional staff to support preparation and move of George W. Bush Administration records 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 Estimated	• Temporary facility for George W. Bush Administration records occupied. • 100 percent of George W. Bush Administration Presidential and Vice Presidential records and artifacts transferred to NARA. • 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   Inventory: 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 09 Estimated 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 all NARA Federal employees to meet Federal Government standards.

- Complete installation of Federal Information Processing Standard (FIPS) 201 compliant access control system in Washington, DC.

- Identify and make accessible NARA's vital records that support continuation of essential functions and recovery to normal operations.

- Acquire, install, and achieve operational functionality of all required interoperable communication capabilities for continuity operations at primary and alternate facilities.

FY 10 Projected Performance
- 100 percent of our Continuity of Operations Plans (COOP) meet the requirements for viability.

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

- Replace or upgrade to FIPS 201 compliant physical access control system at NARA facilities.

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 Continuity Directive 1 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 established the ability to publish the daily *Federal Register* every business day of the year regardless of external threats or natural disasters via connectivity to redundant production resources. During a continuity event, we are able to receive electronic and hardcopy submissions of Federal agency *Federal Register* documents. Staff are 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 is able to transmit the final versions of the documents to GPO for printing and online dissemination of the daily *Federal Register.*

The capability to continue to publish the *Federal Register* and perform all NARA mission essential functions during any emergency for a period up to 30 days or until normal operations can be resumed is a requirement. In addition, we must have the capability to fully operate at alternate sites as soon as possible after the occurrence of an emergency but not later than 12 hours after COOP activation.

To ensure COOP viability, we must:
- Have succession orders and pre-planned devolution of authorities that ensure the emergency delegation of authority is planned and documented in advance in accordance with applicable law;

- Ensure our vital resources, facilities and records are safeguarded and official access to them is provided;
- Make provisions for the acquisition of resources necessary for continuity operations on an emergency basis;
- Ensure the availability and redundancy of critical interoperable communications capabilities at our primary and alternate sites that support connectivity between and among key government leadership, internal elements, other executive departments and agencies, critical partners, and the public;
- Develop and sustain reconstitution capabilities that allow for recovery from a catastrophic emergency and resumption of normal operations; and
- Identify, train, and prepare personnel capable of relocating to alternate facilities to support the continued performance of our mission essential functions under all hazards and conditions.

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 2008, we completed the installation of a Federal Information Processing (FIPS) compliant access control system in College Park and plan to complete the installation of another in Washington, D.C. in FY 2009. In FY 2009, we also plan to complete the issuance of Federal identity credentials to all NARA Federal employees. All other NARA facility access control systems will be installed to meet FIPS standards beginning in FY 2010 and as new facilities are built.

Verification and Validation

Performance Data	**FY 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**
Performance target for percent of developed NARA Continuity of Operations Plans that achieve viability.	*—*	*—*	*100*	*100*	*100*	*100*
Percent of NARA Continuity of Operations Plans that achieve viability.	0	0	0	0		
Number approved continuity of operations plans.	3	3	3	3		
Performance target for percent of documents Federal Register manages electronically using eDOCS.	*50*	*75*	*75*	*85*	*100*	*100*
Percent of documents Federal Register manages electronically using eDOCS.	22	75	81	92		
Number of documents managed electronically using eDOCS.	7,066	18,316	24,849	28,683		
Number of digitally-signed, legal documents submitted using eDOCS.	—	—	5,672	6,651		

Milestones
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	• COOP templates for NARA facilities developed.
	• NARA Headquarters and *Federal Register* regional COOP sites established for performance of basic daily emergency and continuity incident management operations in an unclassified environment.
	• Physical access control system at the National Archives at College Park upgraded.
	• Federal Information Processing Standard (FIPS) 201-1 Federal Identity Credentials issued to National Archives employees in Washington, DC..

FY 2008

- COOP templates for NARA facilities developed.
- NARA Headquarters and *Federal Register* regional COOP sites established for performance of basic daily emergency and continuity incident management operations in an unclassified environment.
- Physical access control system at the National Archives at College Park upgraded.
- Federal Information Processing Standard (FIPS) 201-1 Federal Identity Credentials issued to National Archives employees in Washington, DC..

FY 2009 Estimated

- All NARA Federal employee re-badging to meet Federal Government standards completed.
- Federal Information Processing Standard (FIPS) 201-1 Federal Identity Credentials issued to all NARA Federal employees.
- FIPS 201 compliant physical access control system at the National Archives, Washington, DC, upgraded.
- Orders of Succession and Delegations of Authorities for all Mission Essential Functions and activities that support them planned and documented in the COOP plan.
- Vital records that support the continuation of essential functions and recovery to normal operations identified and made accessible during all hazards.
- All required interoperable communications capabilities for continuity operations at primary and alternate facilities acquired, installed, and functional.

FY 2010 Projected

- Capabilities for recovery and reconstitution from a catastrophic emergency and resumption of normal operations planned, tested, and documented.
- FIPS 201 compliant physical access control system at NARA facilities replaced or upgraded.

Data source Performance Measurement and Reporting System and quarterly performance reports to the Archivist. Federal Continuity Directive 2 (FCD 2), February 2008.

Definitions COOP viability: The continuous performance of essential functions must be guaranteed with the right people, the right resources, and the right planning. Continuity cannot be an afterthought for organizations as they strive to perform essential functions.

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 09 Estimated Performance

- Establish a supportive partnership in the national response to emergencies in 100 percent of FEMA regions.

- Offer emergency planning and vital records training sessions in each NARA region.

FY 10 Projected Performance

- Maintain a supportive partnership in the national response to emergencies in 100 percent of FEMA regions.

- Offer emergency planning and vital records training sessions in each NARA region.

- Establish a supportive partnership in the planning and response to emergencies with 40 percent of Federal Executive Boards.

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   As a direct result of NARA's leadership in this area, "electronic and non-electronic records and documents" are now defined as national assets to be protected.   To have any role, however, we need to have a continuing relationship with the national response coordinator, the Federal Emergency Management Agency (FEMA). 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.

Federal Executive Boards (FEB) have as a specific Strategic Objective Line of Business "emergency preparedness." NARA will seek supportive partnerships with FEB's across the nation to ensure that FEB emergency preparedness planning addresses vital records necessary for continuity of Federal operations.

NARA is 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 state, tribal, and local government officials throughout the country. All 50 states are encouraged to include 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.

Verification and Validation

Performance Data	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Performance target for percent of FEMA regions in which we have established a supportive partnership in the national response to emergencies.	—	—	*50*	*80*	*100*	*100*
Percent of FEMA regions in which we have established a supportive partnership in the national response to emergencies.	—	—	60	80		
Performance target for percent of FEB's with which we have established a supportive partnership in the national response to emergencies.	—	—	—	—	—	*40*
Percent of FEB's with which we have established a supportive partnership in the national response to emergencies.	—	—	—	—	—	

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

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

FY 2010 Projected
- "Vital records" training piloted and delivered by FEMA and CoSA to state and local government jurisdictions
- Participation by each NARA region in Regional Intergovernmental COOP Working Group(s) continued.
- NARA's "Vital Records" and "Emergency Planning and Response" courses offered in each NARA region.
- Emergency procedures for providing instructions and advice on the handling and preservation of records critical to the operation of the Federal Government in national security emergencies developed/revised.

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, 90 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 2009 Resources Available to Meet This Goal: $213,766,000; 700 FTE
FY 2010 Resources Requested to Meet This Goal: $195,341,000; 717 FTE

FY 2010 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, 90 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.	✔							

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

FY 09 Estimated Performance

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

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

- Establish baseline for records schedules submitted using ERA.

FY 10 Projected Performance

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

- Identify and schedule 10 percent more Federal agency electronic records series than were scheduled in FY 2009.

- 10 percent more records schedules are submitted using ERA than in FY 2009.

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. We must instill the importance of transferring to NARA all records on schedule, regardless of format, according to their disposition authority to minimize loss of Federal records protecting our rights as citizens, demonstrating our government's accountability, and preserving information of historical relevance.

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. We will monitor disposition instructions and be able to generate reminders to agencies of when records need to be transferred to NARA.

Starting in FY 2008, NARA established, 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. We deployed the initial operating capability (IOC) release of the ERA system in June 2008. This release made it possible for four pilot agencies to submit their records schedules as well as transfer their records to the legal custody of the National Archives through the ERA system. 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. For several years, we have collected information from Federal agencies to identify unscheduled electronic records and learn more about the electronic records challenges Federal agencies face. With the volume of these records increasing every year, we will continue this practice throughout FY 2009 and FY 2010, while also working to improve the timeliness of records transfers to NARA. 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 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Performance target for percent scheduled transfers of archival records transferred to NARA at the scheduled time.	—	—	—	—	*20*	*30*
Percent of archival records transferred to NARA at the scheduled time.	—	—	—	TBD		
Performance target for percent of archival electronic records transfers for high value records arriving at NARA on time.	—	—	*5*	*10*	—	—
Percent of transfers for high value archival electronic records arriving at NARA on time.	—	—	—	40		
Number of electronic records transferred (in millions of logical data records).	85	348	622	39		
Performance target for percent increase in number of Federal agency electronic records series scheduled than prior year.	—	—	*10*	*10*	*10*	*10*
Percent increase in number of Federal agency electronic records series scheduled than prior year.	—	10	33	30		

Performance Data	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Number of Federal agency electronic records series scheduled.	—	1,001	1,332	1,746		

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Milestones

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 2009 Estimated
- Baseline for records scheduled using ERA established.

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 09 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.

FY 10 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.

- Train new archival staff in the processing of Presidential records.

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, and flagging records that have privacy issues, national security classification, or other restrictions or exemptions. It also includes providing enhanced descriptions of the records content, if necessary to understand, 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.

We recognize that the growth of NARA's archival workforce has not kept pace with the increase of records accessioned each year. This situation was exacerbated by an agency-wide hiring freeze in 2006 and 2007. Besides the shortfall in archival staff, we are also faced with an aging workforce. It is imperative that NARA build an archival staff able to handle the increasingly complex workload ranging from traditional paper documents more than 100 years old to state-of-the-art electronic records. We expect to hire a cadre of new archivists with the technical skills and knowledge needed to address our increasing workload of records.

In FY 2009, we were funded to add 15 new archivists to our Presidential libraries whose records are governed by the Presidential Records Act. With the addition of these 15 staff, we will be able to dedicate staff to both FOIA and systematic processing. The efficiencies inherent in systematic processing will enable us to open more records than we have been able to do in FOIA processing. We will train these new archivists in FY 2010.

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 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
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*	*10*
Percent of archival holdings that have been processed to the point where researchers can have efficient access to them.	—	—	21*	33*		

*Data reported in 2007 and 2008 reflects only Washington, DC, area work.

Milestones
FY 2006
- Clinton Presidential and Vice Presidential records became available to FOIA request 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	• Processing efficiencies in Presidential Libraries and regional archives studied.
FY 2009 Estimated	• Additional staff in Presidential Libraries dedicated to processing hired.
	• Processing backlog elimination plans in regional archives implemented.
FY 2010 Projected	• New archival staff for processing Presidential records trained.

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 09 Estimated Performance	• Perform annual assessments of agencies with substantial declassification review activity.
	• Increase the percentage of agency declassification reviews receiving high scores as assessed by ISOO.
	• Develop recommendations for declassification programs to improve the quality of their reviews.
	• Develop policy guidance for the Controlled Unclassified Information (CUI) Framework.
FY 10 Projected Performance	• Increase the percentage of agency declassification reviews receiving high scores as assessed by ISOO over the number in FY 2009.
	• Complete interim policy guidance for the CUI Framework.

Outcome Records are properly exempted, referred, or declassified under E.O. 12958, as amended. Interim policy guidance is created for the CUI Framework.

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.

NARA also serves as the Executive Agent for the CUI Framework. ISOO's CUI Office is responsible for overseeing and managing the implementation of the CUI Framework for designating, marking, safeguarding, and disseminating CUI. CUI is the single, categorical designator throughout the Executive branch for information previously identified as "sensitive but unclassified."

Means and Strategies On March 25, 2003, President Bush 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 and extensions for records with classified equities belonging to more than one agency and most classified records consisting of special media. 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 is inefficient, highly redundant, and prone to error. It is also now clear that agencies will not make the December 31, 2009, deadline to review all referrals made by December 31, 2006. Through collaborative working groups, policy revisions, and increased oversight, ISOO will seek to 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.

In FY 2008, NARA established the Controlled Unclassified Information (CUI) Office in response to President Bush's May 9, 2008 Memorandum for Heads of Departments and Agencies on the "Designation and Sharing of Controlled Unclassified Information (CUI)." This memorandum designated NARA responsible for oversight and management in the implementation of the CUI Framework. To fulfill these responsibilities will require the development of implementation guidance; the development of CUI policy including designation and marking guidance, safeguarding standards, and dissemination standards; a CUI training program; a registry that will contain recognized markings and standards; and an oversight mechanism to monitor department and agency compliance with CUI policy, standards, and markings.

The CUI Office will work to ensure an effective and transparent transition to the CUI Framework through its work with the CUI Council and working groups with interagency representation. Guidance and policy development will focus on sharing and protection, while addressing the needs of all Information Sharing Environment (ISE) partners, including users and producers of information of all media types. A risk management approach will ensure the CUI Framework implementation is efficient and effective, but not overly burdensome. The implementation framework will simultaneously respect the privacy, civil rights and civil liberties of Americans. The CUI Office will utilize clearly defined and well understood business practices.

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 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**
Performance target for percentage point increase in number of agency declassification reviews that receive high scores as assessed by ISOO.	—		—	*Establish baseline*	*15*	*15*
Percent of agency declassification reviews that receive high scores as assessed by ISOO.	—	—	—	36		
Number of agency declassification reviews assessed by ISOO.	0	0	21	22		
Number of pages declassified government-wide (in millions of pages)	26.5	34.8	34.4	27.9		
Per page cost of Government-wide declassification	$2.14	$1.26	$1.29	$1.53		
Total cost of declassification Government-wide (in millions of dollars)	$56.8	$43.9	$44.7	$42.7		

Milestones

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
- Program for enhancing ISOO's assessment of declassification review programs in agencies with substantial declassification programs developed.
- Annual assessment of agencies with substantial declassification review activity performed.
- Scoring tool on the declassification reviews of all agencies with substantial declassification review programs tested.
- Recommendations for declassification programs to improve their scores developed.

FY 2009 Estimated
- Declassification reviews of all agencies with substantial declassification review programs assessed.
- Recommendations for declassification programs to improve the quality of their reviews issued.
- CUI Office staffed.
- Policy guidance for CUI Framework developed.

FY 2010 Projected
- Declassification reviews of all agencies with substantial declassification review programs assessed.
- Recommendations for declassifications programs to improve the quality of their reviews issued.
- Interim policy guidance for CUI Framework completed.

Data source   Quarterly performance reports to the Archivist. Information Security Oversight Office, FY Reports to the President (*http://www.archives.gov/isoo/reports/*).

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, as amended. 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 E.O. 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 09 Estimated Performance
- Increase by 10 percent the number of pages completed in the National Declassification Initiative (NDI) process.

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

FY 10 Projected Performance
- Increase by 10 percent the number of pages completed in the National Declassification Initiative (NDI) process.

- 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, surveys records to determine whether the initial review was adequate prior to the records being processed for the interagency referral center. 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 the quality of initial agency reviews is severely impacting the processing of records for the interagency referral center. 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. 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 in a digital format which can then be transferred back to Washington, D.C. Once in Washington, the digital images 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 the declassification decisions to the Library.

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 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. The slow pace of both agency Kyl and Lott re-reviews and the final DOE quality control review further reduce our ability to timely process records for release to the public.

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.

Verification and Validation

Performance Data	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Backlog of pages of Federal records eligible for declassification review at start of year (in thousands of pages).	—	—	—	—	420,050	417,098	
Backlog of pages of Presidential materials at start of year (in thousands of pages).	806	668	218	218	218	127	
Annual number of Federal pages declassified (in thousands).	116	35	89	374	260		
Annual number of Presidential pages declassified (in thousands).	94	94	89	194	80		
Performance target for percentage point increase in the number of pages completed in the National Declassification Initiative (NDI) process.	—	—	—	—	—	*10*	*10*
Percent increase in the number of pages completed in the NDI process.	—	—	—	—	—		
Number of pages completed in the NDI process.	—	—	—	—	—		
Performance target for annual number of Presidential pages scanned (in thousands).	*300*	*300*	*500*	*500*	*500*	*500*	*500*
Annual number of Presidential pages scanned (in thousands).	500	563	506	512	519		
Cost per page declassified (Federal and Presidential).	$24.29	$27.60	$25.28	$8.45	$39.71		

Milestones

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
- Quality assurance process for 3,072 cubic feet of records completed and made available for the Interagency Referral Center.
- The National Declassification Initiative implemented.

FY 2009 Estimated	• 500,000 pages of Presidential records eligible for declassification review as part of Remote Archives Capture project scanned.

FY 2010 Projected	• Quality assurance process for 7,500 cubic feet of records completed and made available for the Interagency Referral Center. • More than 100,000 pages of formerly classified Presidential materials in electronic format released using the unclassified CREST system at the Presidential Libraries (Truman – Reagan).

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 09 Estimated 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.
	• Complete sprinkler upgrades and award construction for mechanical improvements at Eisenhower Library.
	• Award construction contract and complete mechanical improvements at Carter Library.
	• Complete design of 1571 improvements for Waltham, San Bruno, and Seattle.
	• Complete site flood prevention measures at the National Archives Building.
	• Break ground on new National Personnel Records Center facility.

FY 10 Projected Performance

- Complete 50 percent of site work for first phase of Roosevelt Library renovation.

- Complete design for second phase of Roosevelt Library renovation.

- Award design contract for Johnson Library renovations.

- Open National Personnel Records Center facility for occupancy.

- Complete construction of Nixon Library expansion.

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 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 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.

Creation of the 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. The renovation was completed in FY 2007. We have begun transferring Nixon Presidential holdings to that facility from two of our facilities. This first phase of the move will transfer artifact holdings. In addition, staff was 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. The expansion will be completed in FY 2010.

The renovation of the aging Franklin D. Roosevelt Library will provide environmentally appropriate, safe and secure space for the long-term care of archival and artifact collections. The renovation will also improve conditions for the staff, researchers, and visitors and help maximize productivity and enjoyment of the facility as a place for work and research. In FY 2009, NARA began phase 1 activities for the project. In FY 2010 NARA will begin general site work to support new mechanical and electrical equipment. NARA will also begin renovating holdings storage rooms and the research room to enhance security and productivity.

In our regions, Fort Worth and Kansas City had terminating leases. 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 a separate public-use facility in Fort Worth strategically located to provide easy access to NARA's programs and resources by researchers, teachers, students, and the general public that we serve.

NARA will open a new National Archives–Central Plains Region facility in FY 2009. We are relocating documents and artifacts chronicling 170 years of Great Plains life from their current location in the Bannister Federal Complex to this new regional facility, located in Kansas City, Missouri. In addition to research facilities, the facility will house archival records in a specially designed storage module with temperature, humidity, and other environmental controls. Archival records most frequently requested or used by researchers will be housed at the new Central Plains Region facility, other archival records will be shipped to an archival bay at Lee's Summit, Missouri.

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 temporary and archival records. The National Personnel Records Center (i.e. both Military Personnel Record and Civilian Personnel Records), 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 particulate and gaseous filtration, and antiquated designs that are not conducive to efficient storage or retrieval of records. The existing facilities are being replaced with two new facilities designed to meet the records' particular storage requirements. The new facility for temporary records, the National Personnel Records Center Annex, will be completed in FY 2009. NARA is working with GSA on a new leased facility to house NPRC's archival and permanent holdings. The new facility will be located in St. Louis' North County area. With the lease for the new facility signed in September 2008, groundbreaking will begin in FY 2009.
The facility will open for occupancy in FY 2010.

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 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**
Percent of NARA archival holdings in appropriate space	53	57	80	86		
Number of archival traditional holdings (in thousands	3,166	3,299	3,349	3,731		

Performance Data	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
of cubic feet)						
Percent of artifact holdings in appropriate space	42	42	42	40		
Number of artifact holdings (in thousands)	543	544	544	582		
Percent of electronic holdings in appropriate space	100	100	100	100		
Number of electronic holdings in appropriate space (in millions of logical data records)	4,041	4,611	4,737	5,522		
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*	*TBD*
Cost of archival storage space per cubic feet of traditional holdings stored	$6.48	$6.65	$6.20	$5.85		

Milestones

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
- Portion of move of Nixon artifact holdings from College Park to Nixon Library completed.
- Plan for upgrades to the Regional Archives in Chicago, Seattle and San Bruno finalized.
- Construction contract for mechanical improvements at the Carter Library awarded.
- Construction contract for Nixon Library expansion awarded.

FY 2009 Estimated
- Design for phase I of Roosevelt Library renovation completed.
- Construction contract for first phase of Roosevelt Library renovation awarded.
- Site work contract for Kennedy Library expansion completed.
- Sprinkler upgrades completed and construction contract for mechanical improvements at Eisenhower Library awarded.
- Construction contract for Carter Library awarded and mechanical improvements completed.
- National Archives Building flood prevention measures completed.
- Ground breaking for new National Personnel Records Center completed.
- Design of 1571 improvements for Waltham, San Bruno, and Seattle completed.

FY 2010 Projected
- Portion of site work for first phase of Roosevelt Library renovation completed.
- Design for phase II of Roosevelt Library renovation completed.
- Site work for Eisenhower Center renovations completed.
- Design for Johnson Library renovations completed.
- National Personnel Records Center facility opened for occupancy.
- Construction for Nixon Library expansion 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 09 Estimated Performance

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

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

- Complete construction of National Personnel Records Center Annex.

- Move 80 percent of holdings slated for National Personnel Records Center Annex.

FY 10 Projected Performance

- Store 100 percent of NARA records center holdings in 36 CFR 1228 subpart K compliant space.

- Move remaining holdings into 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.

NARA's system of records centers is supplemented by centers operated by other Federal agencies and private interests. Federal agencies' certify that the storage facilities they plan to use are in compliance with the Facility Standards for Records Storage Facilities (36 CFR 1228, subpart K). The standards were initially issued in 1999 and revised in September 2005. The new standards place more stringent compliance requirements on existing facilities and will go into effect on October 1, 2009. In an effort to assist agencies, we have participated in NARA-sponsored Records Administration Conference (RACO) to communicate information about compliance. In addition, we issued a Records Storage Facility Standards Toolkit, available both in hard copy and on the web. This toolkit provides agencies with the information needed by Records Officers to verify that a facility meets the required storage standards.

We also consolidated 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 had opportunity for expansion. We have opened a new underground facility in Valmeyer, Illinois for the storage of temporary records from the Civilian Personnel Records facility and the Military Personnel Records facility in St. Louis. In FY 2010 we will continue to monitor agency certification for records center compliance with 36 CFR 1228 subpart K and ensure that our complete inventory of records center holdings are stored in compliant space.

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

Verification and Validation

Performance Data	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Performance target for percent of NARA records center holdings stored in appropriate space.	—	—	—	—	*100*	*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	9	9	29	33		
Volume of records center holdings (cubic feet in millions).	24.6	25.1	25.7	26.6		
Storage price per cubic foot for records center holdings.	$2.16	$2.28	$2.28	$2.40		

Milestones

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
- 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.

FY 2009 Estimated
- Remaining records center facilities storage standards certified.
- Construction of National Personnel Records Center Annex completed.
- Move of 80 percent of holdings slated for National Personnel Records Center Annex completed.
- Lease agreement to construct a records center storage facility in Denver completed.

FY 2010 Projected
- Move of remaining holdings slated for 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   **By 2016, less than 50 percent of archival holdings require preservation action.**

FY 09 Estimated Performance
- Appropriately treat or house 80,000 cubic feet of NARA's at-risk archival holdings so as to slow further deterioration.

- Establish measures for the quantity of dynamic media record holdings that can be preserved using digitization.

- Develop plan for conversion of dynamic media records holdings to digital formats by 2016.

- Implement infrastructure to ensure preservation of digital products created in preservation reformatting.

- Deploy IOC of the Holdings Management System (HMS) for textual records in Archives II and provide training to staff.

FY 10 Projected Performance
- Appropriately treat or house 85,000 cubic feet of NARA's at-risk archival holdings so as to slow further deterioration.

- Preserve dynamic media records in digital formats according to plan developed in FY 2009.

- Deploy Holdings Management System (HMS) in two regional archives.

- Develop and provide archival preservation educational tools, resources and training on the web.

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 purchased much of the equipment needed to convert our operations from analog to digital. We are training staff in the operation of this equipment and developing 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 the National Personnel Records Center (NPRC) in St. Louis, records of 57 million military veterans who have served since 1885 comprise more than 6 billion pages in more than 1.5 million cubic feet of space. Annually over the next 60 years, Offical Military Personnel Files (OMPFs) will be accessioned to a point where all 1.5 million cubic feet (57 million records) will be opened to the public. There were 218,688 cubic feet of OMPFs accessioned in FY 2007 and FY 2008 into the NPRC archives, with approximately 59,000 cubic feet of OMPFs to be accessioned in FY 2009 and 13, 167 cubic feet in FY 2010.

Preservation work on the OMPFs is focused on addressing the accessibility and archival storage needs of the oldest, most fragile records, representing slightly more than one percent of the files. Simultaneous to our study of the options for housing the 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. The OMPFs and related holdings from NPRC will be moved to a new GSA-leased facility St. Louis County, beginning in calendar year 2010.

Beginning in FY 2009, civilian Official Personnel Folders (OPFs) dating from the 1850s to 1952 will also be accessioned into the NPRC; the volume of these series will be approximately 200,000 cubic feet.

Providing preservation treatment and appropriate environmentally controlled storage will be a high priority and poses challenges similar to the OMPFs.

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 FY 2009, the initial implementation of HMS will be made available, and in FY 2010 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 and OPFs, 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 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**
Performance target for percent of archival holdings that require preservation action.	—	—	*Establish Baseline*	*≤65*	*≤64*	*≤63*
Percent of archival holdings that require preservation action.	—	—	66	64		
Backlog of holdings requiring preservation action (in thousands of cubic feet).	—	—	2,170	2,386		
At-risk archival holdings that received preservation treatment this year (thousands of cubic feet)	27	29	54	130		
Cumulative volume of at-risk archival holdings in cold storage (thousands of cubic feet).	86	90	90	91		
Performance target for cumulative percent of OMPFs inventoried and rehoused.	*8*	*35*	*69*	*100*	*—*	
Percent of OMPF's inventoried and rehoused.	4	34	79	100		

Milestones
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
- Digitization equipment and IT support for analog-to-digital transition identified and procured.
- Prototype of HMS developed.

FY 2009 Estimated
- Measures for quantity of dynamic media record holdings that can be preserved digitally established.
- Plan for conversion of dynamic media records holdings to digital format developed.
- Infrastructure to ensure preservation of digital products created implemented.
- IOC of HMS deployed in Archives II and staff trained.

FY 2010 Projected
- Dynamic media records preserved in digital format.
- HMS deployed in two regional archives.
- Archival preservation educational tools, resources and training on the web developed.

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. Dynamic media: record holdings in formats including audio, video, and motion picture.

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 2009 Resources Available to Meet This Goal: $76,860,000; 101 FTE
FY 2010 Resources Requested to Meet This Goal: $95,318,000; 101 FTE

FY 2010 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 09 Estimated 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.

FY 10 Projected Performance
- Sustain 80 percent of archival electronic holdings processed to the point where researchers can have efficient access to them.

- Complete 80 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 permanent 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 and transfer the permanent ones to NARA.

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. 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 created in the Federal Government is about 50 percent per year, although the rate of growth of permanently valuable electronic records is likely not as high. 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 technical capacity to process electronic records is higher than it has ever been, staffing has declined. Technical processing 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 fully operational, we will extend and expand our existing systems to attempt to keep up. During FY 2008 we began to migrate data—both metadata and holdings—from our existing systems into ERA for those systems that the initial ERA system replaced. We will run dual operations—both ERA and our legacy systems—as we continue to migrate data throughout FY 2009. Data migration will continue for the initial system into FY 2010.

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 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Performance target for percent of archival electronic accessions processed to the point where researchers can have efficient access to them.	*80*	*80*	*95*	*80*	*80*	*80*
Percent of archival electronic accessions processed.	80	80	81	86		
Number of accessions received.	1,830	2,010	2,153	2,328		
Number of accessions processed.	1,369	1,517	1,638	2,004		
Unprocessed accessioning backlog (in accessions).	367	395	415	324		
Median time (in calendar days) from the transfer of archival electronic records to NARA until they are available for access.	413	259	467	2,127*		

* Processing completed for numerous electronic record holdings received more than 5 years ago.

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
- Legacy data migration testing and data cleanup completed.
- Data migration of electronic records on legacy media for transfer to ERA initiated.

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 09 Estimated Performance
- Establish baseline of archival electronic records preserved and managed in a persistent format.

FY 10 Projected Performance
- Build the preservation framework in ERA that will preserve and manage holdings in a persistent format.

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 records series. 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 who use the program for managing their temporary records. 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 its permanent holdings. 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." Some 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 formats 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 for each of the differing types of electronic records and within each type, from one series of records to the next, depending on individual circumstances.

To prepare for these capabilities, we established criteria for levels of service for select electronic records and 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. In FY 2008, we tested a process to migrate electronic records on archived tapes to a network attached storage (NAS) device. We successfully copied more than two thousand files from archived tapes from one of NARA's legacy systems to a NAS device that resulted in the availability of 95 closed accessions for migration to ERA. We will apply our planned level of service methodology to manage these records once we electronically package and transfer the accessions via secure network connections to the ERA data center.

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 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Performance target of percent of NARA's electronic holdings stabilized.	—	—	*80*	*80*	*85*	*85*
Percent of NARA's electronic holdings that are stabilized.	89	89	89	90		
Number of accessions received.	1,830	2,010	2,153	2,328		
Number of accessions stabilized.	1,628	1,788	1,915	2,097		
Number of archival holdings accessioned (in millions of logical data records).	4,041	4,611	4,737	5,522		

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	• Draft methodology for capability to measure preservation of electronic records in a persistent format developed.
FY 2009 Estimated	• Baseline of archival electronic records preserved and managed in a persistent format established.

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

Definitions   <u>Preservation media</u> – 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 09 Estimated Performance	• Achieve initial operating capability of the ERA system for Presidential records.
	• Extend ERA to additional agencies beyond the pilot agencies.
	• Initiate design and development of ERA capabilities for public access and long-term preservation.
FY 10 Projected Performance	• Implement long term preservation functions.
	• Deploy public access functions for ERA system.
	• Increase system capacity to support bringing on additional agencies.

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 supports the automation of the initial phases of lifecycle management; development and approval of records schedules, transfer plans, and requests for transfer for federal records of all types. The initial system supports the transfer of electronic records to the National Archives both electronically and on digital media, and automates the verification of basic characteristics of transferred electronic records. This system also stores and enables output of electronic records in the formats received.

ERA operates from a primary site in West Virginia and uses a backup site in Maryland for media storage. The primary site provides for the transfer, verification, and storage of unclassified and Sensitive But Unclassified (SBU) records from NARA's existing holdings. As initial external users, four Federal agencies (Bureau of Labor Statistics, National Nuclear Security Administration, Naval Oceanographic Office, and the Patent and Trademark Office) can also transfer new accessions of electronic records to ERA. Until use is expanded to other agencies, NARA staff act as proxies for them in entering new records schedules, transfer plans and transfer requests for all types of records, and for transfer of electronic records.

In FY 2009, ERA will deploy capabilities that will enable us to ingest and store electronic records of the Executive Office of the President (EOP) that will be transferred to NARA at the end of the George W. Bush Administration. The EOP ERA instance will provide the search and retrieval capabilities needed to make these electronic records available in response to special access requests.

During FY 2009, NARA will begin development of capability and capacity for online public 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 and the system for classified Presidential electronic records elsewhere.

In FY 2010, ERA will implement the long-term preservation functions developed in FY 2009, increase system capability, bring more agencies online and deploy public access functions. Also in FY 2010,

NARA anticipates developing additional capabilities for managing restricted information in the electronic records within ERA (e.g. privacy, national security, Freedom of Information Act exemptions). In addition, NARA will make incremental improvements in existing capabilities. We will also transition from offline to online backup and restore services.

Key external factors   In FY 2007, the ERA developer encountered problems with software development, which led to delays in the system deployment schedule. A corrective action plan was put into place, which has been successful to date in minimizing the impact of these delays on the program and mitigating against additional delays as the program progresses.

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

Performance Data	**FY 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**
Performance target for megabyte cost to manage archival electronic records.	—	—	—	—	*Establish baseline*	
Per megabyte cost to manage archival electronic records.	$0.70	$0.43	$0.37	$0.39		
Number of megabytes of archival electronic records stabilized (in millions).	9.5	16.8	17.8	18.1		

Milestones
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
- 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 Estimated
- Initial operating capability of the systems for Presidential electronic records achieved.
- Capabilities for public access and long-term preservation designed and development begun.
- Extension of ERA to additional agencies beyond the pilot agencies accomplished.

FY 2010 Projected
- Public access capabilities deployed.
- Preservation functions implemented.
- System capacity increased to accommodate extension of system to additional agencies.
- Capabilities for management of restricted information developed.

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

Definitions   <u>Preserved:</u> (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; <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>Megabyte:</u> 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 2009 Resources Available to Meet This Goal: $50,107,000; 271 FTE
FY 2010 Resources Requested to Meet This Goal: $52,457,000; 281 FTE

FY 2010 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 09 Estimated Performance   • Meet or exceed NARA's published standards for access to records and services and customer satisfaction levels:
  o 92 percent of written archival 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

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

- Operate Office of Government Information Services to strengthen FOIA and ensure an open and accessible government.

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. Thousands of genealogists come to the National Archives Building in Washington to use our original records, microfilm copies, and online resources. Our Genealogy Consultation Room provides customers with highly knowledgeable staff and volunteers to help develop research strategies and use finding aids. Our online orientation presentation for customers also helps them get started on the road to their family history.

NARA has established partnerships and 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.

The Open Government Act of 2007 amended the Freedom of Information Act (5 U.S.C. 552) to create an Office of Government Information Services (OGIS) within NARA. This act expands NARA's

responsibilities from administering and responding to FOIA requests directed to NARA to an office also responsible for improving the administration of FOIA in the Federal government. Our responsibilities include reviewing the policies and procedures of administrative agencies under FOIA to strengthen FOIA and ensure transparency of Government information to the public, and offering mediation services to resolve disputes between FOIA requesters and agencies as a non-exclusive alternative to litigation. In FY 2010 we will implement the OGIS, work with the agencies under FOIA, and seek input from private sector stakeholders to assist in the implementation of this office.

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 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**
Performance target for written requests answered within 10 working days.	*95*	*95*	*90*	*91*	*92*	*93*
Percent of written requests answered within 10 working days.	96	95	93	94		
Performance target for Freedom of Information Act requests for Federal records completed within 20 working days.	*90*	*90*	*85*	*86*	*87*	*87*
Percent of Freedom of Information Act requests for Federal records completed within 20 working days.	82	87	88	88		
Number of FOIAs processed.	8,794	8,758	12,027	13,472		
Annual cost to process FOIAs (in millions).	$1.74	$2.62	$2.72	$2.34		
Annual per FOIA cost.	$196	$295	$220	$173		
Performance target for items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	*95*	*95*	*95*	*90*	*93*	*94*
Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	98	96	86	93		
Number of researcher visits to our research rooms (in thousands).	171	134	138	140		
Number of items furnished in our research rooms (in thousands).	537	421	520	576		
Number of items furnished on time in our research rooms (in thousands).	527	405	449	537		
Performance target for archival fixed-fee reproduction orders through OFAS are completed in 20 (35 pre-2007) working days or less.	*80*	*85*	*85*	*85*	*90*	*90*
Percent of archival fixed-fee reproduction orders through OFAS are completed in 20 working days or less (Note: Previous reports based on 35 working days for pre-2007 data)	84.4	85.9	72.0	68		
Average per order cost to operate fixed-fee ordering.	$27.31	$28.74	$26.67	$30.59		
Average order completion time (days)	12	14	17	22		
Performance target for percent of researcher satisfaction with NARA experience.	—	—	—	—	—	*Establish baseline*
Percent of researcher satisfaction with NARA experience.	—	—	—	—	—	

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

FY 2009 Estimated
- NARA's published standards for access to records and services and customer satisfaction levels exceeded.

FY 2010 Projected
- Survey of researcher satisfaction with their NARA experience conducted.
- Office of Government Information Services operational.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist. Request price for military service separation agreements from FY 2009 Records Center Program Rate Schedule, which is provided annually to agencies in an attachment to their interagency agreement.

Definitions   Written requests: 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 09 Estimated Performance
- Meet 20 percent of the 2012 target for archival holdings accessible online.

- Increase the volume of use of Access to Archival Databases (AAD) by 10 percent.

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

FY 10 Projected Performance
- Meet 30 percent of the 2012 target for archival holdings accessible online.

- Increase the number of visits to the Archival Research Catalog (ARC) by 15 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 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 traditional archival material and make them available online;

- Engaging in partnerships to digitize selections of traditional archival material;
- Exploring innovative NARA-led projects for digitizing archival material that will also allow us to develop our internal capacity in this area; and
- Making electronic records, which are "born digital," available online, as appropriate.

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 are making some of these copies available online as they are described in our online catalog.

Second, we continue to explore 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 traditional 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 developed principles to ensure that such partnerships maintain the public trust.

Third, we continue to explore innovative ways to increase our own capacity to digitize selections of 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 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 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, though the series appropriate for this type of access will always be limited. 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 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Percent of traditional records available online.	—	—	—	0.4		
Performance target for percent increase in number of archival electronic holdings accessible online.	*20*	*10*	*10*	*—*	*—*	
Percent increase in number of archival electronic holdings accessible online.	20	13	-24	8		
Percent of accessioned electronic records available online.	2.1	2.1	1.6	1.4		
Performance target for percent increase in ARC	*—*	*—*	*—*	*10*	*10*	

Performance Data	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
visits.						
Percent increase in ARC visits.	81	(11)	14	131		
Number of ARC visits (in thousands of visits).	286	254	290	671		

Milestones

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 improved to a score of 55 on customer survey tool.

FY 2006
- Percent of electronic records in AAD increased by 13 percent.
- 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
- Measurement methodology for number of archival holdings accessible online developed.
- More than 18,000 existing digital copies harvested and added to the Archival Research Catalog (ARC).
- Agency business requirements for digital storage needs identified.

FY 2009
- ARC upload tool for uploading descriptions with digital objects enhanced.

FY 2010
- New description tool to provide access to millions of item descriptions with links to digital partners under development.

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

Definitions   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. 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.

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

FY 09 Estimated 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.

FY 10 Projected Performance
- Describe 70 percent of NARA traditional holdings in the Archival Research Catalog.

- Describe 70 percent of NARA artifact holdings in the Archival Research Catalog.

- Describe 70 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 133,000 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. We began our description effort with describing large series, however, as we move forward, we progressively move to smaller series thereby impacting the number of series being described. 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. This effort has already yielded hundreds of thousands of additional detailed descriptions in ARC, and has enhanced ARC as a valuable tool for researchers. The redesign of the public face of ARC has provided an improved easier-to-navigate user interface based on customer feedback.

Verification and Validation

Performance Data	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Performance target for traditional holdings in an online catalog.	*40*	*50*	*55*	*60*	*65*	*70*
Percent of traditional holdings in an online catalog.	43	51	56	64		
Number of traditional holdings described in an online catalog (thousands of cubic feet).	1,366	1,671	1,886	2,392		
Number of traditional holdings in NARA (thousands of cubic feet).	3,167	3,299	3,349	3,731		
Performance target for artifact holdings in an online catalog.	*40*	*50*	*55*	*60*	*65*	*70*
Percent of artifact holdings in an online catalog.	43	57	57	61		
Number of artifact holdings described in an online catalog (thousands of items).	233	309	309	353		
Number of artifact holdings in NARA (thousands of items).	544	544	544	582		
Performance target for electronic holdings in an online catalog.	*10*	*20*	*55*	*60*	*65*	*70*
Percent of electronic holdings in an online catalog.	63	98	99	98		
Number of electronic holdings described in an online catalog (millions of logical data records).	2,539	4,517	4,692	5,399		
Number of electronic holdings in NARA (millions of logical data records).	4,037	4,612	4,737	5,522		
Number of series described in ARC (cumulative).	—	—	49,691	74,544		
Number of ARC visits (in thousands of visits*).	286	254	290	570		

Milestones
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   • Redesigned ARC web system launched.

FY 2010   • Work required to subsume ARC web into ERA conducted.

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 09 Estimated Performance   • Improve NARA's score against the benchmark for excellence by 1 percent.

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

FY 10 Projected Performance
- Improve NARA's score against the benchmark for excellence by 3 percent.

- Establish priorities on recommendations in concept of operations 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 and offices; 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 2008, we evaluated the need for a redesign of the *archives.gov* home page. With the last redesign of this site performed in 2005, we plan to improve our customer's experience on the site with a redesign scheduled for FY 2009. We will analyze data collected from our online web survey, web analytics reports, and feedback from staff about their customers as we begin to redesign the *archives.gov* home

page. We completed an inventory of all NARA's current online capabilities to help us identify gaps and overlaps and are working to develop a strategic concept of operations for web-based access to NARA's digitized and electronic records by the public.

Planned projects for FY 2009 include the design of a 75th Anniversary celebration web site to coincide with NARA's celebration beginning in January 2009. The Anniversary celebration website will showcase NARA's history and announce anniversary programs and events at NARA facilities around the country throughout the year.

Also, in FY 2009, we strive to increase visibility and transparency regarding our programs and services. We plan to develop a web governance strategy to identify Web 2.0 technologies and social media tools that that enhance NARA's interactive, collaborative, and participative relationships with Federal agencies, partners and the public. NARA will also build a web site for the Bush 43 project, which will include an interface to the two versions of the *whitehouse.gov* web sites during that Administration.

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. In FY 2009 we will use a recently implemented ACSI survey to collect feedback from federal records managers and others with records management responsibilities about the guidance and training material available to help them perform their records management responsibilities. 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.

Verification and Validation

Performance Data	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Online visits to NARA's web sites (in thousands).	21,859	31,897	34,871	37,806		
Cost to provide NARA services online per visitor.	$0.17	$0.10	$0.05	$0.03		
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*	*1*	*3*
Web sites score at or above the benchmark for excellence as defined for Federal government web sites.	69	69	*67*	*66*		
Percent of NARA services available online.	52	52	52	52		
Number of NARA services online.	62	62	62	62		

Milestones
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
- NARA's 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 Estimated
- Redesign of *archives.gov* home page completed.
- Three projects on three different social media web sites (e.g. You Tube, Flickr, Twitter, Facebook, etc.) piloted
- Comprehensive and strategic concept of operations for web-based access to our online assets developed.
- Web governance team established.

FY 2010 Projected
- Additional projects on selected social media web sites implemented.
- Recommendations in concept of operations on web-based access to our online assets prioritized.

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

Definitions   <u>Online 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.

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 2009 Resources Available to Meet This Goal: $25,006,000; 187 FTE
FY 2010 Resources Requested to Meet This Goal: $25,983,000; 187 FTE

FY 2010 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 09 Estimated Performance	• Analyze data from the AASLH study.
	• Issue report on NARA's 12 Presidential Library museum programs.
FY 10 Projected Performance	• Following peer review, identify appropriate industry measures for Presidential Libraries and set targets for meeting those standards by FY 2016.
	• Establish priorities on recommended improvements identified through AASLH study results.
	• Conduct and evaluate a longitudinal study of the Public Vaults and visitor experience to compare to 2005 data.

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 offerings in the McGowan Theater, including conferences, symposia, film series, and notable free public programs with speakers who have participated in and/or analyzed the events documented in our records. 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. The new online Digital Vaults exhibit has captured the spirit of our Public Vaults and made inquiry-based learning about NARA records available to millions of people around the globe. The exhibit was selected as one of the 50 websites of the year by Time.com in 2008 and will continue to expand in FY 2009. 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, with another 1.8 million visitors to NARA's 12 Presidential libraries, 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. Last year, more than 200,000 people attended public programs at Presidential Libraries. In FY 2008, the Roosevelt Library hosted our second Presidential Libraries conference, this one examining the Supreme Court and the Presidency.

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.

We want to gain insight of the degree to which our exhibits have had a meaningful impact on visitors. To increase our understanding, in FY 2008, we obtained OMB approval to use a measurement instrument program offered by the American Association of State and Local History Museums (AASLH). This allowed us to survey customers for feedback on our museum in Washington, DC, but it also provided us

with a benchmark comparison with other similar museums. Our Presidential libraries are conducting a review of their museum programs and measuring these programs against industry standards.

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 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**
Performance target for NARA museums scoring against the industry benchmark.	—	—	—	*Establish baseline*	*TBD*	*TBD*
NARA museums score against the industry benchmark.	—	—	—	*TBD*		
Number of visitors to NARA museums and exhibits (in millions)	3.0	3.0	3.2	3.2		

Milestones

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
- Draft profile of NARA's 12 Presidential Libraries developed.
- Comparative data for the National Archives Experience in Washington using the AASLH survey instrument collected.

FY 2009 Estimated
- Report on NARA's Presidential Library museum programs issued.
- Data from the AASLH study analyzed.

FY 2010 Projected
- Longitudinal study of visitor response to Public Vaults and National Archives Experience implemented and evaluated.
- Feedback from stakeholders and customers analyzed; industry measures for Presidential Libraries identified.
- Measures for meeting industry standards by 2016 established.

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

- Implement Presidential library education program survey.

FY 10 Projected Performance
- 95 percent of NARA education, public outreach, and exhibit visitors are highly satisfied with their visit experience.

- Identify and prioritize ways and means to increase museum visitor satisfaction in Presidential libraries.

- Identify and prioritize recommendations derived from 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 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**
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	98	99.6		
Number of rated education programs, workshops, and training courses.	547	605	606	632		
Number of attendees at rated education programs, workshops, and training courses.	9,248	10,394	10,299	11,246		

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

FY 2008
- Internal study of Presidential library museum satisfaction launched.
- Education program survey for Presidential Libraries drafted.

FY 2009 Estimated
- Approval from OMB for Presidential Library education program survey sought.

FY 2010 Projected
- Approach to increase Presidential Library museum visitor satisfaction identified and prioritized.

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 2009 Resources Available to Meet This Goal: $35,870,000; 182 FTE
FY 2010 Resources Requested to Meet This Goal: $39,117,000; 185 FTE

FY 2010 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 09 Estimated Performance   • Maintain 95 percent of staff development plans linked to strategic outcomes.

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

• Develop NARA's Strategic Human Capital Plan.

FY 10 Projected Performance   • Maintain 95 percent of staff development plans linked to strategic outcomes.

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

• Identify core competencies for NARA's mission critical occupations.

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 ensure that staff have the skills and competencies they need to optimize individual and organizational performance.

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. To ensure that we have the staff capacity that we need both now and in the future, we are systematically examining NARA's major occupations to identify competency requirements at all levels. As these competency requirements are identified, we will use them as the basis for recruitment, selection, performance management, training, and development of NARA staff. Specifically, we will use the results of our competency development work to:

- Update our recruitment and selection criteria (to include making increased use of automation and expanding the types of assessments used to hire candidates into NARA positions) to ensure that we are hiring the right people with the right skills for the right jobs at the right time.
- Develop competency-based performance standards that clearly articulate performance expectations and hold staff accountable for achieving results.
- Design training opportunities that will provide staff with the competencies needed to perform their jobs.
- Assess the competencies of existing staff, identify skill gaps, and develop both short- and long-term strategies to bridge those gaps.
- Identify workforce imbalances and anticipate succession or other workforce planning needs.
- Identify and communicate to staff paths for career progression and advancement throughout NARA.

Our initial focus will be on developing core competencies for our mission critical occupations – Archivists in the GS-1420 series and Archives Specialists and Technicians in the GS-1421 series. We will then look to expand our competency development work to other critical and important occupations. In FY 2008, we successfully piloted our competency development approach across several positions in NARA's Modern Records Program and in the Information Security Oversight Office (ISOO). The results and lessons learned from this pilot project will be applied to future competency development efforts across other mission critical occupations in the years to come.

We have also made significant progress toward creating an agency-wide leadership competency model. During FY 2008, NARA's Office of Records Services, Washington DC validated a leadership competency model that is now being used as the foundation for several management development activities across the office, including a formal competitive management development program for high-potential "emerging" managers. We will look to expand this leadership competency model to all NARA leadership positions during FY 2009.

NARA is also developing a Strategic Human Capital Plan (SHCP) for FY 2009 – 2014 that will provide direction for addressing NARA's most significant workforce management challenges and opportunities. It will outline our mission, infrastructure, goals, objectives, and strategies. The plan will be based on guidance provided by the U.S. Office of Personnel Management (OPM) and its foundation will be rooted in the five human capital systems outlined in OPM's Human Capital Accountability and Assessment Framework (HCAAF).

All Federal agencies are required to develop a human capital plan per 5 CFR 250 and the Chief Human

Capital Officers (CHCO) Act of 2002. But beyond fulfilling regulatory requirements, this plan will serve as the basis to further engage all NARA offices in the management of their most important resources, their employees. By establishing a viable human capital planning process, we will increase our understanding and awareness of the factors that impact our agency workforce. In particular, the SHCP will establish a systematic, data-driven, agency-wide approach to human capital management, aligned with the Agency's mission and vision. The purpose of the plan is to address the strategic management of the agency's human capital over the next five years.

Verification and Validation

Performance Data	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
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.	78	76	96	89		
Number of permanent staff having staff development plans that link to strategic outcomes.	2,073	2,044	2,379	2,229		
Number of permanent staff.	2,671	2,629	2,485	2,570		
Average time (in calendar days) to fill a leadership position	82	42	39	55		
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 strategic outcomes.	94	95	97	98		
Number of staff having performance plans that link to strategic outcomes.	2,843	2,882	2,157	2,333		

Milestones

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
- NARA Mission Critical Occupations formally identified.
- Contract support for competency development initiative obtained.
- Competency development pilot project with NARA's Modern Records Program completed.
- Pilot for a management development program implemented.

FY 2009 Estimated
- Competency development work expanded to cover at least two additional NARA units and/or occupations.
- Leadership competency model expanded to cover all NARA leadership positions.
- NARA's Strategic Human Capital Plan developed.

FY 2010 Projected   • Competencies for NARA's mission critical occupations developed.

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   Staff development plan: an individualized plan to enhance employees' knowledge, skills, and abilities, and to improve performance in their current jobs or of duties outside their current jobs in response to organizational needs and human resource plans. Leadership position: 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 09 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 2008.

FY 10 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 2009.

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 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) 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), the Washington Internships for Native Students (WINS) Program, 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.

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 2005**	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**
Performance target for percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.	*93*	*96*	*87*	*77*	*92*	*93*
Percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.	95	87	76	91		
Number of applicants for positions at grades GS-13 and above.	1,725	693	194	259		
Number of applicant pools for positions at grades GS-13 and above.	153	88	37	54		
Number of pools for positions in grades GS-13 and above that had self-identified applicants in protected classes.	145	77	28	49		
Percent of Civilian Labor Force rate used to determine if underrepresented groups met employment target.	*80*	*90*	*100*	*100*	*100*	*100*
Underrepresented groups of employees meeting target (checkmark indicates target met or exceeded)						
—Women	✔	✔				
—Black	✔	✔	✔	✔		
—Latino-Hispanic						
—Asian American/Pacific Islander	✔					
—American Indian/Alaskan Native	✔					
—Targeted disability	✔	✔	✔	✔		

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

Definitions   Applicant: Any U.S. citizen who submits a complete application in accordance with the instructions outlined in the job announcement; Underrepresented groups: 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 09 Estimated 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.

- Update network capacity across the enterprise by increasing bandwidth.

	•	Upgrade the telephone infrastructure.

FY 10 Projected Performance

- Public network applications are available 98.85 percent of the time.

- Fully implement service level agreements under the ITSS contract across the enterprise.

- Create an agency wide data dictionary that contains data modeling and physical implementation information for NARA's major mission-related systems.

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 2008 based on green scores in the Completion, Use, and Results 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. 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 augmenting staff, 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.

In FY 2009, having completed Business Impact Analyses (BIA) for IT systems begun in FY 2008, we will examine all systems for re-evaluating the conclusions made in the BIAs. The resulting contingency plans will be updated to ensure all disaster recovery and COOP activities are in place to meet agency business continuity objectives.

In FY 2010, we will create a data dictionary to identify NARA's data in major mission-related systems and to facilitate further development of data standards and data sharing.

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.

Verification and Validation

Performance Data	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Percent of public network availability.	99.9	100	100	100		
Performance target for percent availability of public applications.	*97*	*98.9*	*98.80*	*98.83*	*98.84*	*98.85*
Percent of public applications availability.	98.9	98.9	99.3	99.5		
Number of total hours that any public network application was unavailable.	923	830	504	424		
Number of network users for public applications (in millions).	6.6	6.7*	6.5*	8.8		
Cost per visit to public applications.	$0.24	$0.27	$0.34	$0.40		
Percent of customer's highly satisfied with NARA helpdesk services (average for year).	—	—	65	83		

* This data is not reliable because it reflects bot invations that we are now able to exclude from 2008 data.

Milestones

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

FY 2009 Estimated
- Information Technology Support Services contract awarded.
- Strategy and Concept of Operations for integration and management of remote access for mobile users developed.
- Network capacity across the enterprise updated.
- Telephone infrastructure upgraded.

FY 2010 Projected
- Service level agreements under the ITSS contract across the enterprise implemented.
- Agency wide data dictionary with standardized data for major mission-related systems created.

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

Definitions   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
2010 PERFORMANCE BUDGET — CONGRESSIONAL JUSTIFICATION

Budget Tables

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)

ANALYSIS OF REQUESTED LEVEL FOR 2010
(dollars in thousands)

	FTE	Amount
Level Authorized by P.L. 111-8 for Fiscal Year 2009	1,520	$330,308
Transfer of Funds Authorized by P.L. 111-8		$2,000
Revised Availability for Fiscal Year 2009	1,520	$332,308
Estimates for Fiscal Year 2010	1,527	$339,770
Total Change, 2009 to 2010	**7**	**$7,462**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2010
(dollars in thousands)

Activity	Obligations						Increases or Decreases for 2010	
	2008 Actual		2009 Estimate		2010 Request			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Records Services:								
Records Services - Washington, DC	731	$133,480	753	$133,499	762	$135,889	9	$2,390
Regional Records Services	247	49,423	254	51,964	258	54,762	4	2,798
Presidential Libraries	333	85,797	396	97,442	401	100,400	5	2,958
Information Security Oversight Office	21	4,400	24	4,405	33	6,420	9	2,015
Subtotal, Records Services	1,332	$273,100	1,427	$287,310	1,454	$297,471	27	$10,161
Archives Related Services:								
Federal Register	61	10,106	63	10,789	63	11,067	0	278
National Historical Publications and Records Commission	10	2,206	10	2,186	10	2,261	0	75
Subtotal, Archives Related Services	71	$12,312	73	$12,975	73	$13,328	0	$353
Office of Inspector General [2]	17	$2,858	20	$3,052	0	$0	-20	-$3,052
Archives II Facility Interest Payments [1]	-	18,075		17,129		16,101	-	-1,028
Total Obligations	**1,420**	**$306,345**	**1,520**	**$320,466**	**1,527**	**$326,900**	**7**	**$6,434**
Archives II / Redemption of Debt [1]	-	10,896	-	11,842	-	12,870	-	1,028
Total Request	**1,420**	**$317,241**	**1,520**	**$332,308**	**1,527**	**$339,770**	**7**	**$7,462**

[1] See explanation of Archives II financing on page III-12.
[2] New, separate appropriation requested for the Office of Inspector General in 2010.

Note: See each activity for prorated amount of program direction.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)

SUMMARY EXPLANATION OF CHANGES REQUESTED FOR 2010
(dollars in thousands)

Activity	Records Services		Archives Related Services		Total	
	FTE	Amount	FTE	Amount	FTE	Amount
Program Changes:						
Controlled Unclassified Information Executive Agent		$1,860		$0		$1,860
Office of Government Information Services		1,337				1,400
Archival Staff Increase	9	1,000	-	-	9 12	1,000
Store Accessioned Civilian Official Personnel Files	6	600	-	63	6	600
Transfer Funding for OIG	12 -	-463		-	-	-463
One-time Unrequested Funding		-4,479	-	-46		-4,525
Total Program Changes	-	**-$145**	0	**$17**	- 27	**-$128**
Other Changes:	-		-		-	
Annualization of 2009 Pay Raise	27	$1,026		$60		$1,086
January 2010 Pay Raise	-					
Facility Rate Changes (NARA Facilities)		3,309,620	-		-	3,500,671
Information Technology Changes	-		-	191	-	
Rent Rate Changes	-	1,770,581	-	51 -51	-	1,855,530
Total Other Changes	- 0	**$10,306**	0 85	**$336**	- 0	**$10,642**
Transfer OIG to new, separate appropriation	-	**-**	-	**-**	- -20	**-$3,052**
Total Changes Compared to 2009	27	**$10,161**	0	**$353**		**$7,462**

7

RECORDS SERVICES
Analysis of Resources
(dollars in thousands)

Activity	Obligations						Increases or Decreases for 2010	
	2008 Actual		2009 Estimate		2010 Request			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Records Services - Washington, DC	640	$101,203	652	$101,076	658	$101,851	6	$775
Regional Records Services	216	38,417	220	40,908	223	43,155	3	2,247
Presidential Libraries	277	65,742	334	77,296	337	79,251	3	1,955
Information Security Oversight Office	18	3,320	21	3,320	30	5,281	9	1,961
Subtotal	1,151	208,682	1,227	222,600	1,248	229,538	21	6,938
Program Direction	181	64,418	200	64,710	206	67,933	6	3,223
Total	**1,332**	**$273,100**	**1,427**	**$287,310**	**1,454**	**$297,471**	**27**	**$10,161**

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	2008 Actual	2009 Estimate	2010 Request	Change from 2009
Reference Services / Acces	$26,855	$27,136	$27,317	$181
Preservation	14,246	14,472	14,569	97
Records Life Cycle System	20,657	20,623	20,760	137
Records Declassification	5,414	6,439	5,827	-612
Public Programs	4,060	4,342	4,371	29
Rent	49	51	51	0
O&M - NARA Buildings	22,602	20,694	21,397	703
Common Distributable	7,320	7,319	7,559	240
Total Program Costs	$101,203	$101,076	$101,851	$775

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 1,022 million 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 2008 were as follows:

(cubic feet)	
Traditional Textual	256,707
Traditional Non-Textual	25,209
Artifacts (number of items)	579,843

Exhibits in Presidential Libraries were viewed by 1,779,981 visitors in 2008.

Presidential Libraries Program Costs
(dollars in thousands)

Activity	2008 Actual	2009 Estimate	2010 Request	Change from 2009
Hoover	$1,270	$1,435	$1,497	$62
Roosevelt	1,598	1,806	1,884	$78
Truman	1,880	2,124	2,217	$93
Eisenhower	2,005	2,266	2,364	$98
Kennedy	2,206	2,493	2,601	$108
Johnson	2,159	2,440	2,546	$106
Nixon	3,846	4,346	4,535	$189
Ford	1,874	2,118	2,210	$92
Carter	2,942	3,324	3,469	$145
Reagan	2,014	2,716	2,834	$118
Bush	1,663	2,259	2,357	$98
Clinton	1,936	2,828	2,950	$122
G.W. Bush	3,086	7,995	7,188	-$807
Presidential Materials Staff	1,404	1,727	1,802	$75
Planning and Direction	4,606	5,254	5,483	$229
Rent	8	8	8	$0
O&M - NARA Buildings	1,350	1,237	1,279	$42
O&M - Libraries	27,168	28,346	29,308	$962
Common Distributable	2,727	2,574	2,719	$145
Total Program Costs	$65,742	$77,296	$79,251	$1,955

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.

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, 2009 VERSUS 2010

The budget requests $10,161,000 and 27 FTE.

Program changes. Increases totaling $4,797,000 and 27 FTE include $1,860,000 and 9 FTE to support implementation of Controlled Unclassified Information (CUI) Framework; $1,337,000 and 6 FTE to support implementation of Office of Government Information Services (OGIS); $1,000,000 and 12 FTE to hire new Archivists to handle the influx of new records; and $600,000 to pay storage costs for accessioned civilian official personnel files.

These increases are offset by decreases of $463,000 transferred to the Office of Inspector General and $4,479,000 for one-time unrequested funding.

Other changes. Increases of $10,306,000 include $1,026,000 for annualization of the 2009 pay raise; $3,309,000 for the January 2010 pay raise; $2,620,000 for facility rate changes (NARA facilities); $1,770,000 for information technology changes; and $1,581,000 for Rent rate changes (GSA facilities).

Records Services Performance Costs

(dollars in thousands)

Goals and Activities	2008 Actual	2009 Estimate	2010 Request	Change from 2009
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.	$29,590	$36,793	$36,631	-$162
We will preserve and process records to ensure access by the public as soon as legally possible.	$139,015	$145,784	$151,594	$5,810
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	$9,034	$9,852	$9,818	-$34
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	$51,107	$49,601	$51,874	$2,273
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach and education programs.	$13,195	$13,979	$14,162	$183
We will equip NARA to meet the changing needs of out customers.	$31,159	$31,301	$33,392	$2,091
Total Performance Costs	$273,100	$287,310	$297,471	$10,161

ARCHIVES RELATED SERVICES
Analysis of Resources
(dollars in thousands)

Activity	Obligations						Increases or Decreases for 2010	
	2008 Actual		2009 Estimate		2010 Request			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Federal Register	54	$7,540	55	$8,211	55	$8,361	0	$150
National Historical Publications and Records Commission	8	1,666					0	48
Subtotal	62	9,206	63	9,854	63	10,052	0	198
Program Direction	9	3,106	10	3,121	10	3,276	0	
Total	**71**	**$12,312**	**73**	**$12,975**	**73**	**$13,328**	**0**	**[1]$353**

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 and III-7 of the Records Services section.

EXPLANATION OF CHANGES, 2009 VERSUS 2010

The budget requests $353,000.

Program changes. An increase of $63,000 to support implementation of the Office of Government Information Services (OGIS), offset by a decrease of $46,000 for one-time unrequested funding.

Other changes. An overall increase of $336,000 includes $60,000 for annualization of the 2009 pay raise; $191,000 for the January 2010 pay raise; $51,000 for facility rate changes (NARA facilities); and $85,000 for information technology changes; offset by a decrease of $51,000 for Rent rate changes (GSA facilities).

Archives Related Services Performance Costs

(dollars in thousands)

Goals and Activities	2008 Actual	2009 Estimate	2010 Request	Change from 2009
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.	$8,248	$9,033	$9,153	$120
We will preserve and process records to ensure access by the public as soon as legally possible.	$234	$142	$146	$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.	$527	$506	$583	$77
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach and education programs.	$1,780	$1,777	$1,821	$44
We will equip NARA to meet the changing needs of out customers.	$1,523	$1,517	$1,625	$108
Total Performance Costs	$12,312	$12,975	$13,328	$353

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

2010 BUDGET DISPLAY
(dollars in thousands)

(dollars in thousands)

	2008 Actual	2009 Estimate	2010 Request
Appropriation for Redemption of Debt	$10,896	$11,842	$12,870
Budget Authority	$18,075	$17,129	$16,101
Obligations	$18,075	$17,129	$16,101

FISCAL YEAR 2010 (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 2010 includes $16,101,000 in budget authority for the payment of interest to certificate holders and $12,870,000 for the redemption of debt.

Goals and Activities	2008 Actual	2009 Estimate	2010 Request	Change from 2009
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	$18,075	$17,129	$16,101	-$1,028
Redemption of Debt	$10,896	$11,842	$12,870	$1,028
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

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

Object Classification		2008 Actual	2009 Estimate	2010 Request
11.1	Full-Time Permanent	$97,368	$110,501	$113,600
11.3	Other than Full-Time Permanent	4,311	4,862	4,999
11.5	Other Personnel Compensation	2,658	3,108	3,064
11.8	Special Personal Services Payments	18	18	18
11.9	**Total Personnel Compensation**	**104,355**	**118,489**	**121,681**
12.1	Personnel Benefits	26,968	30,709	31,726
13.0	Benefits for Former Personnel	24	26	26
21.0	Travel and Transportation of Persons	1,698	1,590	1,680
22.0	Transportation of Things	940	2,676	2,676
23.1	Rental Payments to GSA	5,288	6,683	8,604
23.2	Rental Payments to Others	1,265	1,289	1,315
23.3	Communications, Utilities and Misc. Charges	15,169	17,728	17,727
24.0	Printing and Reproduction	636	678	743
25.1	Advisory and Assistance Services	9,420	7,472	7,472
25.2	Other Services	21,683	22,885	22,856
25.3	Purchases of Goods & Services from Government Accounts	14,456	14,299	15,213
25.3	Security Payments to DHS for Rental Space	820	852	914
25.4	Operation & Maintenance of Facilities	31,933	32,871	32,870
25.7	Operation & Maintenance of Equipment	19,597	20,230	20,230
26.0	Supplies and Materials	3,998	3,483	3,455
31.0	Equipment	22,382	14,776	15,010
32.0	Land and Structures	7,638	6,601	6,601
	Subtotal Obligations	**288,270**	**303,337**	**310,799**
43.0	Interest and Dividends - Archives II	18,075	17,129	16,101
99.0	**Total Obligations Related to B.A.**	**306,345**	**320,466**	**326,900**
43.0	Archives II/Redemption of Debt	10,896	11,842	12,870
	Total Request	**$317,241**	**$332,308**	**$339,770**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

11.0 **Personnel Compensation -** $121,681,000. For 1,527 FTE, of this amount, $2,267,000 is for 27 additional FTE.

12.0 **Personnel Benefits -** $31,726,000. Includes $825,000 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 -** $26,000. Provides for unemployment compensation payments to former Federal employees.

21.0 **Travel and Transportation of Persons -** $1,680,000. Provides $1,565,000 for travel required to conduct activities of NARA, including inspection and oversight of field activities. Also, includes $100,000 for travel requirements to prepare for the Controlled Unclassified Information Office and $15,000 for the Office of Government Information Services.

22.0 **Transportation of Things -** $2,676,000. Provides for accessioning and transfer of records, supplies and equipment by commercial carrier.

23.1 **Rental Payments to GSA -** $8,604,000. For payment to the Federal Buildings Fund for space rental.

23.2 **Rental Payments to Others** - $1,315,000. Payments to a non-Federal source for rental of space, land, and structures.

23.3 **Communications, Utilities and Miscellaneous Charges -** $17,727,000. 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 -** $743,000. 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. Also includes $15,000 for the Controlled Unclassified Information Office and $50,000 for the Office of Government Information Services.

25.1 **Advisory and Assistance Services -** $7,472,000. 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 -** $22,856,000. Various contractual services with non-Federal sources. Includes an increase of $125,000 to prepare for the Controlled Unclassified Information Office and $195,000 for the Office of Government Information Services. 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** - $15,213,000. 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. Also includes $315,000 for the Controlled Unclassified Information Office and $600,000 to Store Accessioned Civilian Official Personnel Files.

25.3 **Security Payments to DHS for Rental Space -** $914,000. Provides for security payments to the Department of Homeland Security for rental space.

25.4 **Operation and Maintenance of Facilities** - $32,870,000. 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** - $20,230,000. 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 and for the hire of passenger motor vehicles.

26.0 **Supplies and Materials -** $3,455,000. Provides program supplies, including cardboard document containers, records repair and encapsulation supplies, and exhibit supplies, administrative supplies and materials. Includes $40,000 for the Controlled Unclassified Information Office and $10,000 for the Office of Government Information Services.

31.0 **Equipment -** $15,010,000. Provides for purchases of personal property of a durable nature, such as furniture and information technology hardware and software. Includes $35,000 for the Controlled Unclassified Information Office and $268,000 for the Office of Government Information Services.

32.0 **Land and Structures -** $6,601,000. Provides for purchase and improvement of land and structures.

43.0 **Interest and Dividends -** $28,971,000. $16,101,000 for interest payments to certificate holders and $12,870,000 for the redemption of debt on the Archives II facility.
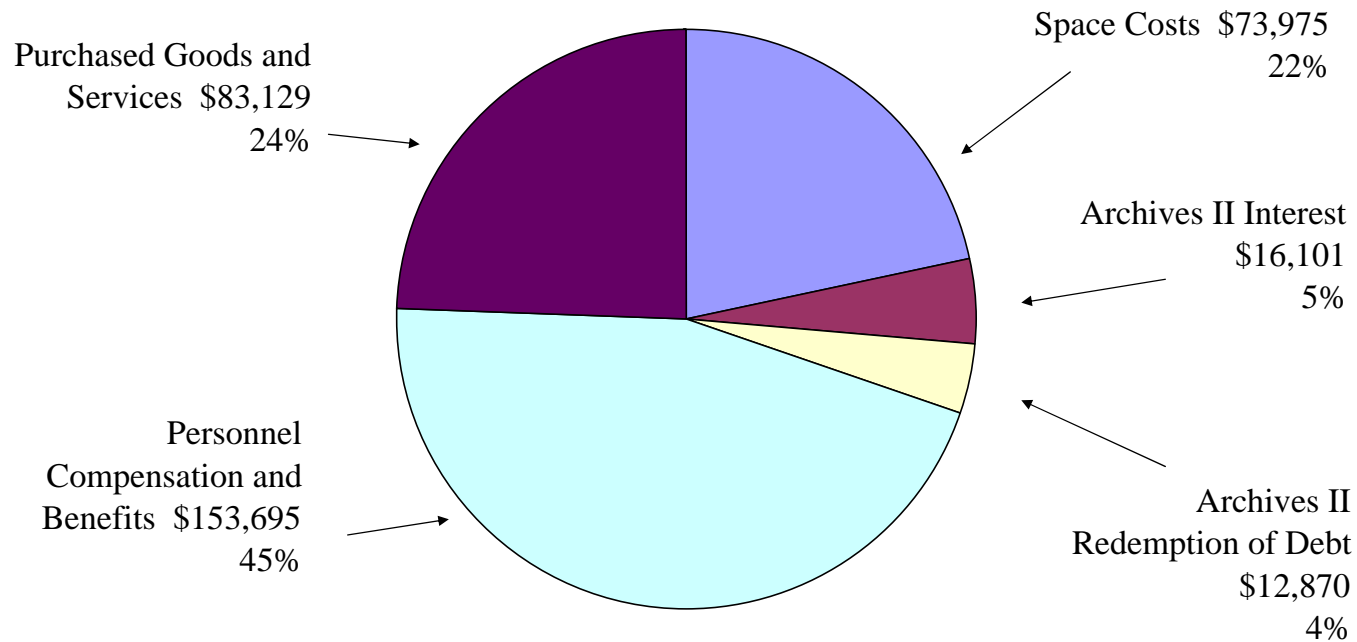
APPROPRIATION LANGUAGE

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, $339,770,000.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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

(dollars in thousands)

2010 Request $339,770

Space Costs $73,975
22%

Purchased Goods and
Services $83,129
24%

Archives II Interest
$16,101
5%

Personnel
Compensation and
Benefits $153,695
45%

Archives II
Redemption of Debt
$12,870
4%

	2008 Actual	2009 Estimate	2010 Request
Rent *	$5,354	$7,030	$8,979
Security Payments to DHS for Rental Space **	820	852	914
Operation and Maintenance Costs	62,815	61,277	63,357
Recurring Reimbursable	481	725	725
Total	**$69,470**	**$69,884**	**$73,975**

* Excludes Rent Costs Paid from the Revolving Fund: 2008 - $44.2 million, 2009 - $43.4 million, 2010 - $49.3 million
** Excludes Security Payments to DHS for Rental Space paid from the Revolving Fund: 2008 - $6.2 million, 2009 - $5.9 million, 2010 - $6.2 million

ANALYSIS OF REQUESTED LEVEL FOR 2010
(dollars in thousands)

	FTE	Amount
Level Authorized by Public Law 111-8 for Fiscal Year 2009	49	$67,008
Fiscal Year 2010 Request	49	$85,500
Total Change, 2009 to 2010	**0**	**$18,492**

DIGEST OF BUDGET ESTIMATES FOR 2010
(dollars in thousands)

Activity	Obligations						Increases or Decreases for 2010	
	2008 Actual		2009 Estimate		2010 Request			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Electronic Records Archives	42	$62,550	49	$67,008	49	$85,500	0	$18,492
Total	**42**	**$62,550**	**49**	**$67,008**	**49**	**$85,500**	**0**	**$18,492**

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 e-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	2008 Actual	2009 Estimate	2010 Request	Change from 2009
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.	$62,550	$67,008	$85,500	$18,492
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	$62,550	$67,008	$85,500	$18,492

EXPLANATION OF CHANGES, 2009 VERSUS 2010

Program Changes. The budget request reflects an increase of $18,492,000 to continue the design, development, and deployment of the ERA system to enable government-wide implementation and increased online public access, add specific preservation capabilities to the preservation framework developed in FY 2009, develop and deployment of functionality for records appraisal and Freedom of Information Act requests, and to procure and deploy a backup system to enable continuity of ERA operations in event of a system failure.

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

	Object Classification	2008 Actual	2009 Estimate	2010 Request
11.1	Full-Time Permanent	$4,137	$5,505	$5,681
11.3	Other than Full-Time Permanent	210	166	168
11.5	Other Personnel Compensation	166	117	117
11.9	**Total Personnel Compensation**	**4,513**	**5,788**	**5,966**
12.1	Personnel Benefits	1,111	1,514	1,565
21.0	Travel and Transportation of Persons	105	150	150
23.3	Communications, Utilities and Misc. Charges	1,153	1,660	2,714
24.0	Printing and Reproduction	25	30	30
25.1	Advisory and Assistance Services	2,145	1,873	2,013
25.2	Other Services	228	335	461
25.3	Purchases of Goods & Services from Government Accounts	67	115	118
25.4	Operation & Maintenance of Facilities	528	609	627
25.5	Research and Development Contracts	4,024	4,500	4,500
25.7	Operation & Maintenance of Equipment	3,990	8,790	12,995
26.0	Supplies and Materials	52	84	87
31.0	Equipment	43,199	41,560	54,274
32.0	Land and Structures	1,410	-	-
	Total Request	**$62,550**	**$67,008**	**$85,500**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

11.0   Personnel Compensation - $5,966,000. For 49 FTE.

12.0   Personnel Benefits - Provides for the government's contribution to the $1,565,000. retirement fund; health benefits; group life insurance; FICA and Medicare hospital insurance; accident compensation; and moving allowances.

21.0   Travel and Transportation of Persons - Provides for travel required to conduct activities of ERA, $150,000 including oversight of field activities.

23.3   Communications, Utilities and Miscellaneous Charges - $2,714,000. Includes equipment rental and data, voice, and wireless communication services.

24.0   Printing and Reproduction - $30,000. Provides for printing of ERA materials, administrative materials, and reports.

25.1   Advisory and Assistance Services - $2,013,000. 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 - $461,000. Provides for various contractual services associated with program management support, with non-Federal sources.

25.3   Purchases of Goods and Services from Government Accounts - $118,000. Includes payments to OPM for security checks and clearances, as well as other interagency agreement costs.

25.4   Operation and Maintenance of Facilities - $627,000. 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 - $12,995,000. Includes costs associated with the operations and maintenance of other IT systems.

26.0   Supplies and Materials - $87,000. Provides program and administrative supplies and materials.

31.0   Equipment - $54,274,000. 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, $85,500,000, of which $61,757,000 shall remain available until September 30, 2012.

ANALYSIS OF REQUESTED LEVEL FOR 2010
(dollars in thousands)

	Amount
Level Authorized by Public Law 111-8 for Fiscal Year 2009	$50,711
Fiscal Year 2010 Request	$27,500
Total Change, 2009 to 2010	**-$23,211**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2010
(dollars in thousands)

Activity	Obligations			Increases or Decreases for 2010
	2008 Actual	2009 Estimate	2010 Request	
	Amount	Amount	Amount	Amount
Repairs and Restoration Fund:				
Archives Facilities and Presidential Libraries	$14,204	$50,711	$27,500	-$23,211
Total Obligations	**$14,204**	**$50,711**	**$27,500**	**-$23,211**

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 2010, the request of $27,500,000 includes an increase of $789,000 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; and an increase of $17,500,000 to complete the renovation of the Roosevelt Library. The justification for the increases is contained in the Justification of Requested Increases section of this budget, pages I-15 through I-16.

APPROPRIATION LANGUAGE

For the repair, alteration, and improvement of archives facilities, and to provide adequate storage for holdings, $27,500,000, to remain available until expended.

Repairs and Restoration Performance Costs

(dollars in thousands)

Goals and Activities	2008 Actual	2009 Estimate	2010 Request	Change from 2009
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.	$14,204	$50,711	$27,500	-$23,211
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	$14,204	$50,711	$27,500	-$23,211

EXPLANATION OF CHANGES, 2009 VERSUS 2010

The budget request reflects a net decrease of $23,211,000 from the FY 2009 level. This includes decreases of $22,000,000 for the Kennedy Library Addition; $17,500,000 to renovate the Franklin D. Roosevelt Presidential Library and Museum; and $2,000,000 for the repair and restoration of the plaza that surrounds the Lyndon Baines Johnson Presidential Library and Museum; offset by an increase of $789,000 for Building Square Footage Increase and an additional $17,500,000 to complete the renovation of the Roosevelt Library.

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

Object Classification	2008 Actual	2009 Estimate	2010 Request
23.3 Telecommunications Rentals	$22	-	-
25.1 Advisory and Assistance Services	$732	-	-
26.0 Supplies	$23	-	-
32.0 Land and Structures	$13,427	$50,711	$27,500
Total	**$14,204**	**$50,711**	**$27,500**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

32.0   **Land and Structures - $27,500,000.** Includes $17,500,000 for renovation of the Roosevelt Library and $10,000,000 for the ongoing repairs and restoration program.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GRANTS

ANALYSIS OF REQUESTED LEVEL FOR 2010
(dollars in thousands)

	Amount
Level Authorized by Public Law 111-8 for Fiscal Year 2009	$11,250
Transfer of Funds Authorized by Public Law 111-8	-$2,000
Revised Availability for Fiscal Year 2009	$9,250
Estimate for Fiscal Year 2010	$10,000
Total Change, 2009 to 2010	**$750**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2010
(dollars in thousands)

Activity	2008 Actual	2009 Estimate	2010 Request	Increases or Decreases for 2010
	Amount	Amount	Amount	
National Historical Publications And Records Commission:				
Grants	$7,962	$9,250	$10,000	$750
Total Grants	**$7,962**	**$9,250**	**$10,000**	**$750**

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."

The National Historical Publications and Records Commission (NHPRC) is the only grant-making organization, public or private, whose exclusive mission is to provide national leadership in promoting the preservation and use of the materials of our documentary heritage—materials that are essential to understanding our American democracy, history, and culture.

Authorization

The NHPRC is authorized to receive up to $10 million in annual appropriations. The NHPRC provides considerable assistance to potential grantees and operates a system of State Board and peer review of applications, resulting in high-quality proposals. For the dollars it awards, the NHPRC leverages a considerable amount of money, in the form of non-Federal matching dollars, cost sharing, and influence far in excess of its appropriation on behalf of America's documentary heritage.

Current Request

For FY 2010, the Budget requests $10,000,000 for grants for the NHPRC.

The Budget requests $10 million to support NHPRC programs and the Access to America's Primary Sources initiative. This funding will enable us to undertake a major new initiative to provide online access to the pre-publication transcriptions of the papers of the Founding Fathers without charge. It will also enable us to undertake the following work under the **Access to America's Primary Sources** initiative:

- to accelerate the completion of the Founding Fathers papers editorial processes using lessons from a 2009 pilot project;
- publish historical papers of key figures and movements in the nation's history; and
- fund archives preservation, access, and digitization projects

Founding Fathers Online will build on the work completed in 2009 through a pilot project to develop a new approach to publishing the papers of John Adams, Benjamin Franklin, Thomas Jefferson, James Madison, and George Washington. This initiative will not only increase access to records essential to our democracy, but will enhance civic engagement and education through an online publishing program that takes advantage of today's technology. The program meets the public's need for faster, smarter, and better access to these papers. New tools will be implemented that make available online the published and not-yet-published papers of these key figures in American history. Through online access to published and unpublished documents, a broad audience of scholars, educators, and the general public will discover new insights into the nation's

formative years and the key figures that shaped the nation. The cost of this initiative is $4.5 million, which will support the document preparation and encoding for online searching; and initiate a fully searchable online portal for the Founders' papers that is free to the public.

Publishing Historical Records continues a unique program of support for publishing the papers of key figures and movements in the nation's history. Documentary editions are massive, detailed collections of all of the documents concerning a figure or topic. In creating these editions, projects have had to collect—often from archives around the world—thousands of 18th- to 20th-century documents, which are then transcribed, researched, annotated with explanatory historical notes, edited, and produced in print and online publications. In FY 2010 the Commission will focus its support on new projects that deliver products in an online format and existing editorial projects that modernize their work flows, transcription processes, and editorial techniques. Support will be contingent upon stringent production milestones being met and publication targets completed on time. The cost of this program is $2 million, which will allow us to fund approximately 30 projects.

Archives Preservation, Access, and Digitization grants acknowledge that much of our sense of national history and enumeration of citizens' rights are maintained by a national archival network—an interlocking system of repositories that safeguard our most precious history and protect the most valued records of democracy. This initiative will continue to focus on projects to process "hidden collections" of historical records and perform preservation of major collections; to target digitization of entire series of the most important historical records and to support efforts to preserve electronic records; to support state historical records boards in their statewide services; and to enhance the professional

development of historical editors, archivists, and others. The cost of this initiative is $3.5 million, which will allow us to fund approximately 60 projects.

In summary, these programs will enable our customers, the American people, to more quickly access the records they need and want. This will bring the grants appropriation up to its authorized level of $10,000.000.

EXPLANATION OF CHANGES, 2009 VERSUS 2010

The budget requests $10,000,000.

Program changes. The Budget request supports a $750,000 increase over the FY 2009 appropriated amount for grant programs.

Other changes. In the past, Congress transferred $2,000,000 to the Operating Expenses appropriation to support NHPRC staff costs. This transfer is not needed in FY 2010.

APPROPRIATION LANGUAGE

For necessary expenses for allocations and grants for historical publications and records as authorized by 44 U.S.C. 2504, $10,000,000, to remain available until expended.

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

Object Classification	2008 Actual	2009 Estimate	2010 Request
41.0 Grants, Subsidies and Contributions	$7,962	$9,250	$10,000
Total	**$7,962**	**$9,250**	**$10,000**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GRANTS

NHPRC Grants Performance Costs

(dollars in thousands)

Goals and Activities	2008 Actual	2009 Estimate	2010 Request	Change from 2009
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.	$7,962	$9,250	$10,000	$750
We will equip NARA to meet the changing needs of out customers.	-	-	-	$0
Total Performance Costs	$7,962	$9,250	$10,000	$750

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ADVANCES AND REIMBURSEMENTS

ANALYSIS OF REQUESTED LEVEL FOR 2010
(dollars in thousands)

	FTE	Amount
2009 Level of Reimbursable Services	37	$4,016
2010 Level of Reimbursable Services	37	$2,805
Change from 2009 to 2010	**0**	**-$1,211**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2010
(dollars in thousands)

Activity	Summary						Increases/Decreases for 2010	
	2008 Actual		2009 Estimate		2010 Estimate			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Records Services	37	$2,486	37	$4,006	37	$2,795	0	-$1,211
Archives Related Services	-	8	-	10	-	10	-	0
Total Obligations	**37**	**$2,494**	**37**	**4,016**	**37**	**$2,805**	**0**	**-$1,211**

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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	2008 Actual	2009 Estimate	2010 Estimate	Change from 2009
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.	$2,494	$4,016	$2,805	-$1,211
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	$2,494	$4,016	$2,805	-$1,211

SUMMARY EXPLANATION OF CHANGES FROM 2009 TO 2010
(dollars in thousands)

Activity	Records Services		Archives Related		Total	
	FTE	Amount	FTE	Amount	FTE	Amount
Decreased Costs of Goods and Services	-	-$927	-	$0	-	-$927
Decreased Personnel Costs	-	-284	-	0	-	-284
Total Changes, 2009 to 2010	**0**	**-$1,211**	**0**	**$0**	**0**	**-$1,211**

EXPLANATION OF CHANGES, 2009 VERSUS 2010

The reimbursable program for 2010 is estimated at $2,805,000, a decrease of $1,211,000 from the 2009 reimbursable program. Changes include a decrease of $284,000 for personnel and benefits costs, and a decrease of $927,000 in the costs of other goods and services. In 2009, the establishment of the Controlled Unclassified Information (CUI) Executive Agent, within the Information Security Oversight Office, was funded as a reimbursable entity. In 2010, the Budget requests funding for the CUI in the Operating Expenses appropriation.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ADVANCES AND REIMBURSEMENTS

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

	Object Classification	2008 Actual	2009 Estimate	2010 Estimate
11.1	Full-time Permanent	$1,537	$1,950	$1,729
11.3	Other than Full-time Permanent	227	249	256
11.5	Other Personnel Compensation	0	8	8
11.9	Total Personnel Compensation	1,764	2,207	1,993
12.1	Personnel Benefits	365	481	411
21.0	Travel / Transportation of Persons	21	63	24
22.0	Transportation of Things	0	8	8
23.3	Communications, Utilities, and Misc. Charges	4	6	6
24.0	Printing and Reproduction	0	17	7
25.2	Other Services	98	618	232
26.0	Supplies and Materials	106	257	114
31.0	Equipment	136	359	10
99.0	**Total Obligations**	**$2,494**	**$4,016**	**$2,805**

EXPLANATION OF DISTRIBUTION OF OBJECT CLASS

11.0 **Personnel Compensation** - $1,993,000. For 37 FTE**.**

12.0 **Personnel Benefits** - $411,000. 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** - $24,000. Provides for travel required for administration of reimbursable programs and technical assistance projects.

22.0 **Transportation of Things -** $8,000. Accessioning and transfer of records, supplies, and equipment by commercial carrier.

23.3 **Communications, Utilities, and Misc. Charges** - $6,000. Provides for equipment rental, overnight delivery charges, and utility costs.

24.0 **Printing and Reproduction** - $7,000. Includes printing costs for technical assistance reports and electrostatic copying.

25.2 **Other Services** - $232,000. Provides for commercial contractual services, including registration fees associated with training.

26.0 **Supplies and Materials** - $114,000. Includes program and administrative supplies and materials.

31.0 **Equipment** - $10,000. Provides for purchase of ADP equipment applicable to the reimbursable program.

INCOME/COST COMPARISON SUMMARY FOR 2010
(dollars in thousands)

	2008 Actual	2009 Estimate	2010 Estimate
Income/Cost Comparison - Summary:			
Operating Income	$154,701	$153,500	$161,655
Operating Expense	154,503	153,000	161,155
Net Profit or Loss (-)	**$198**	**$500**	**$500**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2010
(dollars in thousands)

Activity	Summary						Increases or Decreases for 2010	
	2008 Actual		2009 Estimate		2010 Estimate			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Accession, Reference, Refile, and Disposal Service	1,188	$97,288	1,235	$97,300	1,235	$102,555	0	$5,255
Storage Services	15	57,215	15	55,700	15	58,600	0	2,900
Total Obligations	**1,203**	**$154,503**	**1,250**	**$153,000**	**1,250**	**$161,155**	**0**	**$8,155**

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	2008 Actual	2009 Estimate	2010 Estimate	Change from 2009
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.	$154,503	$153,000	$161,155	$8,155
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	$154,503	$153,000	$161,155	$8,155

EXPLANATION OF CHANGES, 2009 VERSUS 2010

Total obligations for FY 2010 are estimated at $161,155,000. This represents an increase of $8,155,000 from FY 2009. This includes increases of $1,439,000 associated with personnel and benefits; $6,192,000 for rent and security rate changes at federal and non-federal facilities and $524,000 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	2008 Actual	2009 Estimate	2010 Estimate
11.1 Full-time Permanent	$43,421	$48,092	$49,173
11.3 Other than Full-time Permanent	6,934	7,710	7,837
11.5 Other Personnel Compensation	4,301	1,280	1,318
11.8 Reemployed Annuitants	7	0	0
11.9 Total Personnel Compensation	54,663	57,082	58,328
12.1 Civilian Personnel Benefits	14,584	15,322	15,507
13.0 Benefits for Former Personnel	134	467	475
21.0 Travel and Transportation of Persons	706	543	568
22.0 Transportation of Things	959	1,860	1,888
23.1 Rental Payments to GSA	37,034	35,076	39,686
23.2 Rental Payments to Other	7,173	8,314	9,580
23.3 Communications, Utilities, and Misc. Charges	3,875	4,901	5,007
24.0 Printing and Reproduction	35	52	54
25.1 Advisory and Assistance Services	1,965	2,343	2,448
25.2 Other Services	4,996	8,057	8,060
25.3 Purchases of Goods and Services from Government Accounts	6,262	879	901
25.3 Security Payments to DHS for Rental Space	6,229	5,892	6,208
25.7 Operations and Maintenance of Equipment	5,922	6,315	6,451
26.0 Supplies and Materials	1,612	1,281	1,303
31.0 Equipment	4,451	2,618	2,654
32.0 Land and Structures	3,903	1,912	1,948
43.0 Interest and Dividends	0	86	89
99.0 **Total Obligations**	**$154,503**	**$153,000**	**$161,155**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REVOLVING FUND

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

11.0   **Personnel Compensation** - $58,328,000. For 1,250 FTE.

12.0   **Personnel Benefits** - $15,507,000. 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** - $475,000. Provides for unemployment compensation payments to former Federal employees.

21.0   **Travel and Transportation of Persons** - $568,000. Provides for travel required for administration of revolving fund programs and technical assistance projects.

22.0   **Transportation of Things** - $1,888,000. Accessioning and transfer of records, supplies, and equipment by commercial carrier.

23.1   **Rental Payments to GSA** - $39,686,000. Provides for payments to the General Services Administration, Federal Building Fund for rental space.

23.2   **Rental Payments to Other** - $9,580,000. Provides for payments to a non-Federal source for rental space.

23.3   **Communications, Utilities, and Misc. Charges** - $5,007,000. Provides for equipment rental, overnight delivery charges, and utility costs.

24.0   **Printing and Reproduction -** $54,000. Includes reproduction of records, printing costs for technical assistance reports, and electrostatic copying.

25.1   **Advisory and Assistance Services -** $2,448,000. Provides for commercial contractual services, such as management and professional support services, and engineering and technical services.

25.2   **Other Services -** $8,060,000. Provides for commercial contractual services, such as training and ADP equipment maintenance.

25.3   **Purchases of Goods and Services from Government Accounts-** $901,000. 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 -** $6,208,000. Provides for security payments to the Department of Homeland Security for rental space.

25.7   **Operation and Maintenance of Equipment** - $6,451,000. 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** - $1,303,000. Includes program and administrative supplies and materials.

31.0   **Equipment** - $2,654,000. Includes information technology equipment in records services centers applicable to the revolving fund program.

32.0   **Land and Structures** - $1,948,000. Includes purchase of shelving applicable to the revolving fund program.

43.0   **Interest and Dividends** - $89,000. Interest resulting from the capital leases for shelving.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GIFT FUND

ANALYSIS OF ESTIMATED LEVEL FOR 2010
(dollars in thousands)

	2008 Actual	2009 Estimate	2010 Estimate
Financing:			
Prior Year Carry Forward	$2,275	$1,987	$1,995
Permanent Indefinite Budget Authority [1]	2,006	3,771	1,703
Recovery of Prior Year Obligations	3	-	-
Total Availability	**$4,284**	**$5,758**	**$3,698**
Obligations	2,297	3,763	2,474
Unobligated Balance	**$1,987**	**$1,995**	**$1,224**

[1] Includes donations, interest received and reinvested on investments, and divestments of non-federal investments. 2008 Actual includes divestment and reinvestment of non-federal securities.

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2010
(dollars in thousands)

Activity	Summary			Increases or Decreases for 2010
	2008 Actual	2009 Estimate	2010 Estimate	
	Amount	Amount	Amount	Amount
Historical Research, Conferences, Archival and Cultural Events, and Publications	$282	$265	$200	-$65
Presidential Libraries	2,015	3,498	2,274	-1,224
Total Obligations	**$2,297**	**$3,763**	**$2,474**	**-$1,289**

SUMMARY JUSTIFICATION OF 2010 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. Donations for FY 2009 are expected to increase $1,980,000 with a donation from the Nixon Library Foundation for capital improvements at the Nixon Presidential Library in California.

Total obligations for FY 2010 are estimated at $2,474,000, a decrease of $1,289,000 compared to FY 2009 estimated obligations of $3,763,000. The decrease is attributable to the $1,980,000 obligation for the Nixon Library addition in FY 2009.

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).

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

Object Classification	2008 Actual	2009 Estimate	2010 Estimate
21.0 Travel/Transportation of Persons	$90	$118	$92
22.0 Transportation of Things	20	5	5
23.3 Communications, Utilities, and Misc. Charges	10	15	16
24.0 Printing and Reproduction	8	71	18
25.2 Other Services	1,281	2,640	1,515
26.0 Supplies and Materials	73	101	112
31.0 Equipment	36	97	-
33.0 Equity Investments	779	716	716
99.0 Total Obligations	**$2,297**	**$3,763**	**$2,474**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

21.0   **Travel and Transportation of Persons** - $92,000. Provides for travel to participate in archival activities.

22.0   **Transportation of Things** - $5,000. Provides for transportation of artifacts.

23.3   **Communications, Utilities, and Misc. Charges** - $16,000. Provides for local and long distance phone communications charges, postage, and overnight delivery service.

25.2   **Other Services** - $1,515,000. Provides for commercial contractual services. Also, provides for operations and maintenance costs at the Bush and Clinton Libraries from income earned on the invested donations from the Bush and Clinton Library Foundations.

24.0   **Printing and Reproduction** - $18,000. Provides for printing of brochures, publications, and reproductions.

26.0   **Supplies and Materials** - $112,000. Provides for administrative supplies and materials.

33.0   **Equity Investments** - $716,000. Budgetary outlays as a result of non-Federal interest reinvested.

ANALYSIS OF ESTIMATED LEVEL FOR 2010
(dollars in thousands)

	2008 Actual	2009 Estimate	2010 Estimate
Income/Cost Comparison - Summary:			
Operating Income	$17,555	$16,827	$16,967
Operating Expense before depreciation	15,692	17,197	17,699
Net Operating Income or Loss before depreciation	$1,863	-$370	-$732
Depreciation	11	0	0
Net Operating Income or Loss (-)	$1,852	-$370	-$732
Non-Operating Income or Loss (-)	-353	589	609
Net Profit or Loss (-)	**$1,499**	**$219**	**-$123**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2010
(dollars in thousands)

Activity	Summary						Increases or Decreases for 2010	
	2008 Actual		2009 Estimate		2010 Estimate			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Sales	17	$8,219	17	$8,716	17	$8,825	0	$109
Presidential Libraries	102	9,185	95	7,954	95	8,409	0	455
Total Obligations	**119**	**$17,404**	**112**	**$16,670**	**112**	**$17,234**	**0**	**$564**

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	2008 Actual	2009 Estimate	2010 Estimate	Change from 2009
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.	$17,204	$16,470	$17,034	$564
We will equip NARA to meet the changing needs of out customers.				$0
Total Performance Costs	$17,404	$16,670	$17,234	$564

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 2009 TO 2010
(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	-	$175	-	$481	-	$656
Other Changes:						
One-time Equipment Purchases	-	-78	-	-30	-	-$108
Change in Cost of Other Goods and Services	-	12	-	4	-	$16
Total Changes, 2009 to 2010	**0**	**$109**	**0**	**$455**	**0**	**$564**

EXPLANATION OF CHANGES, 2009 VERSUS 2010

Total obligations for 2010 are estimated at $17,234,000, an increase of $564,000 from 2009 estimated obligations of $16,670,000. The $656,000 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 $108,000 for one-time equipment purchases and an increase of $16,000 for the cost of other goods and services.

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

Object Classification	2008 Actual	2009 Estimate	2010 Estimate
11.1 Full-time Permanent	$4,062	$4,982	$5,361
11.3 Other than Full-time Permanent	1,109	846	900
11.5 Other Personnel Compensation	222	200	200
11.9 Total Personnel Compensation	**5,393**	**6,028**	**6,461**
12.1 Civilian Personnel Benefits	1,610	1,763	1,838
21.0 Travel and Transportation of Persons	376	290	297
22.0 Transportation of Things	71	71	78
23.3 Communications, Utilities, and Misc. Charges	452	531	512
24.0 Printing and Reproduction	341	464	472
25.2 Other Services	2,482	1,582	1,623
25.3 Purchases of Goods and Services from Government Accounts	3,854	4,325	4,347
26.0 Supplies and Materials	1,999	1,081	1,141
31.0 Equipment	91	158	50
33.0 Investments and Loans	735	377	415
99.0 Total Obligations	**$17,404**	**$16,670**	**$17,234**

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
TRUST FUND**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS FOR 2010

11.9 **Total Personnel Compensation** - $6,461,000. For 112 FTE.

12.1 **Civilian Personnel Benefits** - $1,838,000. 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** - $297,000. Provides for travel associated with the National Archives Trust Fund activities.

22.0 **Transportation of Things** - $78,000. Provides for postage used in parcel post and commercial transportation charges.

23.3 **Communications, Utilities, and Miscellaneous Charges** - $512,000. For local and long distance phone communications charges, postage, and overnight delivery service.

24.0 **Printing and Reproduction** - $472,000. For reproducing reports and microfilm, and printing of forms and publications.

25.2 **Other Services** - $1,623,000. Provides for contractual services including reproduction services and library museum renovations.

25.3 **Purchases of Goods and Services from Government Accounts -** $4,347,000. Provides for payments to operating expenses for services performed for the Trust Fund.

26.0 **Supplies and Materials** - $1,141,000. Provides for program and administrative equipment and office supplies.

31.0 **Equipment** - $50,000. Provides for electrostatic and copying machines, and laboratory and other equipment.

33.0 **Investments and Loans** - $415,000. Provides for outside investments.

OFFICE OF INSPECTOR GENERAL
Analysis of Resources
(dollars in thousands)

Activity	Obligations						Increases or Decreases for 2010	
	2008 Actual		2009 Estimate		2010 Request			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Office of Inspector General	17	$2,858	20	$3,052	23	$4,100	3	$1,048
Total	**17**	**$2,858**	**20**	**$3,052**	**23**	**$4,100**	**3**	**$1,048**

NOTE:
OIG 2008 Actual Obligations and 2009 Estimated Obligations are included in NARA, Operating Expenses. The Office of Inspector General is requested as a new, separate appropriation for 2010.

BACKGROUND

The Inspector General Reform Act of 2008 required the head of each designated Federal entity to submit an aggregate request for the Inspector General. The Budget seeks a new, separate appropriation for the Office of Inspector General (OIG) beginning in FY 2010 to clearly identify the resources necessary to staff and operate the office. Previously, resources for the OIG were reported under the Operating Expenses appropriation.

Mission

The mission of the Office of Inspector General (OIG) is to ensure NARA safeguards and preserves the records of our Government while providing the American people with access to the essential documentation of their rights and the actions of their government. The OIG accomplishes this by combating fraud, waste and abuse through high-quality, objective audits and investigations; and serving as an independent, internal advocate for the economy, efficiency, and effectiveness of NARA and its operations. The OIG evaluates NARA's performance, makes recommendations for improvements, and follows up to ensure economical, efficient, and effective operations and compliance with current laws, policies, and regulations. Furthermore, many of the records NARA maintains and the OIG oversees are important to national security. OIG investigators are deputized and act with full law enforcement authority executing search warrants, seizing evidence, and making arrests.

The Inspector General reports to both the Archivist of the United States and the Congress. This reporting system, as well as the OIG's independent role and general responsibilities, was established by the Inspector General Act of 1978, as amended. Recently the Inspector General Reform Act of 2008 further defined the responsibilities and operations of the OIG. OIG funding supports the salary and benefits of staff and provides for necessary travel, training, contractual

services, investigative equipment and supplies to support the OIG's mission.

Our investigations cover all aspects of agency operations at 44 facilities nationwide. Aside from traditional agency issues, NARA holds millions of cubic feet and an ever growing electronic repository of classified and highly sensitive records, including those of the 9/11 and Warren Commissions, our nation's military veterans' records, and Presidential records. NARA also holds the historic records of our democracy, as well as troves of priceless artifacts and Presidential gifts. Criminal investigations routinely encompass a broad range of criminal activity including theft of holdings and assets, embezzlement, espionage, release of classified information, ethics violations, the loss of personally identifiable information (PII), compromise of our IT network, sensitive compartmental information facility (SCIF) violations, and procurement fraud and inappropriate conduct of rank-and-file staff, as well as senior NARA officials.

OIG auditors must review and evaluate the programs of an agency with approximately 2,900 FTE with multi-million dollar programs and operations. Currently, our capacity to provide the necessary coverage is limited by our staffing constraints. Because of this, programs which could demand an entire team of auditors in other federal entities are routinely left in the hands of a single auditor at NARA. Responsible NARA stewardship over records from creation throughout the entire life-cycle brings economy and efficiency to government and supports transparency and accountability for our democracy.

Training

The OIG plans to spend approximately $60,000 for staff training in FY 2010. Of this amount $30,000 will be spent on auditor training.

The GAO recommends all auditors receive at least 80 hours of training every two years. Auditors will engage in the following training: contract and grant auditing, performance management, fraud auditing, and information technology training such as Information Technology security, project management and network and applications management. Additionally, the remaining approximately 50 percent of the total training funds will be spent on investigator training and training for the remaining staff. Like our auditors, our special agents receive annual law enforcement training as recommended by best practices of the Inspector General Community. Special agents will engage in the following training: firearms and self-defense, legal training, forensics for investigations, and procurement and white collar fraud training. The management, legal and administrative staffs, also requires periodic training to remain proficient and effective at their jobs.

Support for the Council of the Inspectors General on Integrity and Efficiency

Under the Inspector General Reform Act of 2008, agencies are expected to provide support to the newly formed Council of the Inspectors General on Integrity and Efficiency (CIGIE). Since the Council is new in FY 2009, the methodology for establishing financial support has not been finalized. It is anticipated that NARA's CIGIE contribution will be approximately $11,000.

Justification of Requested Increases

In FY 2010, the Budget request for $4,100,000 includes an increase of $85,000 for pay raises, and $500,000 and 3 FTE for additional staff. The justification for the staff increase is contained in the Justification of Requested Increases section of this budget, page I-12.

OIG Performance Costs

(dollars in thousands)

Goals and Activities	2008 Actual	2009 Estimate	2010 Request	Change from 2009
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 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 out customers.	$2,858	$3,052	$4,100	$1,048
Total Performance Costs	$2,858	$3,052	$4,100	$1,048

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

	Object Classification	2008 Actual	2009 Estimate	2010 Request
11.1	Full-Time Permanent	$1,812	$2,019	$2,646
11.5	Other Personnel Compensation	105	117	153
11.9	**Total Personnel Compensation**	**1,917**	**2,136**	**2,799**
12.1	Personnel Benefits	535	596	781
21.0	Travel and Transportation of Persons	50	50	53
25.1	Advisory and Assistance Services	81	-	100
25.2	Other Services	182	183	238
25.3	Purchases of Goods and Services from Government Accounts	9	9	40
25.7	Operation and Maintenance of Equipment	8	8	9
26.0	Supplies and Materials	41	40	45
31.0	Equipment	35	30	35
	Total Request	**$2,858**	**$3,052**	**$4,100**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

11.0 **Personnel Compensation -** $2,799,000. For 23 FTE. Includes $391,000 for 3 additional FTE.

12.0 **Personnel Benefits -** $781,000. Includes $109,000 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.

21.0 **Travel and Transportation of Persons -** $53,000. Provides for travel required to conduct activities of the OIG, including inspection and oversight of field activities.

25.1 **Advisory and Assistance Services -** $100,000. Provides for contractual services associated with independent auditing services for privacy and data protection.

25.2 **Other Services -** $238,000. Provides for various contractual services, including training, with non-Federal sources.

25.3 **Purchases of Goods and Services from Government Accounts** - $40,000. Includes payments to OPM for security checks and clearances, training, and other interagency agreement costs.

25.7 **Operation and Maintenance of Equipment** - $9,000. Includes costs associated with the operations and maintenance of vehicles.

26.0 **Supplies and Materials -** $45,000. Provides program and administrative supplies and materials.

31.0 **Equipment -** $35,000. Provides for software licensing and other personal property of a durable nature.

APPROPRIATION LANGUAGE

For necessary expenses of the Office of Inspector General in carrying out the provisions of the Inspector General Reform Act of 2008, Public Law 110-409, 122 Stat. 4302-16 (2008), and the Inspector General Act of 1978, as amended, 5 U.S.C. Appendix, and for the hire of passenger motor vehicles, $4,100,000.