SECTION 2
PERFORMANCE SECTION

Measuring and Reporting Our Performance

This annual performance report is based on the goals, strategies, and long-range performance objectives set forth in our 2006 Strategic Plan and the annual objectives in our FY 2008 Performance Budget. The following pages detail our performance on our FY 2008 objectives. Checked boxes indicate those we fully achieved. Those we did not fully achieve have open boxes with an explanation below. We also included relevant performance results and trend information. Our budget links to the report's performance goals. We received no aid from non-Federal parties in preparing this report.

We used 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. For ten years, we have collected agency-wide data in our Performance Measurement and Reporting System (PMRS). This system allows us to define and consistently measure data critical to the analysis of our performance objectives. Every year we improve and expand the system further so that our strategic performance is measured using a balanced scorecard approach for tracking cycle times, quality, productivity, cost, and customer satisfaction for our products and services. This report also updates some of our prior year statistics that we corrected because of these improvements. These ongoing refinements indicate that this report, our annual plans, and our Strategic Plan are living documents and an integral part of our operations.

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) helps us control the cost and schedule for the Electronic Records Archives (ERA) program and other programs. PROMT integrates several commercial off-the-shelf program management tools in a Windows-based web environment to help us schedule and link project activities, assign resources, collect and report costs, calculate earned value, and analyze impacts and risks to the ERA program. PROMT incorporates an EIA-748 compliant tool that meets Office of Management and Budget (OMB) and Government Accountability Office (GAO) requirements for calculating earned value.

FY 2008 Performance by Strategic Goal

Strategic Goal 1: Our Nation's Record Keeper

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

Long-Range Performance Targets

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

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

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

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

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

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

FY 2008 Resources Available to Meet This Goal: $38,563,000; 1,453 FTE

1.1 FEDERAL RECORDS MANAGEMENT

FY 2008 Objectives

☑ Survey senior Federal agency managers to assess their view of their records management programs as a positive tool for risk mitigation.

☑ Conduct two records management studies.

Results

✓ We surveyed General Counsels, Chief Financial Officers, and Chief Information Officers to assess their views of their agency records management programs as positive tools for risk mitigation.

✓ We conducted a recordkeeping study and a flexible scheduling study to identify and validate best practices.

Discussion   We continue to use NARA's FY 2003 issuance of *Strategic Directions for Federal Records Management* to enhance our relationship with agencies to support their records management programs. Many of the strategies described in this guide—training and certification, flexible scheduling, targeted assistance, general records schedules, guidance and regulations, advocacy, custody, appraisal, resource allocation—are now part of our standard business practices. In FY 2006, we surveyed a small group of agency Chief Information Officers to understand how Federal agency managers view the role of agency records management programs.   After analyzing this data, we broadened our reach in FY 2008 and targeted the survey at General Counsels, Chief Financial Officers, and Chief Information Officers within a selected group of agencies.   Our goal was to evaluate whether senior Federal executives, though familiar with the value of records management programs, view their agency's records management programs as tools for risk mitigation. Preliminary analysis indicated a low response rate from our target audience, which may hinder our ability to draw statistically valid conclusions. We are analyzing the methodology used to conduct the survey to determine ways to improve future response rates and are looking for recurring ideas that we can cull from the limited data we did receive.

We also conducted two records management studies. We followed our 2007 Records Management Application (RMA) study with a subsequent analysis of how agencies in headquarters and field offices are managing their e-mail records using electronic records management technologies.   We plan to share the lessons learned and best practices that we uncover from this analysis with our agency customers.

In addition, during this period, GAO conducted an evaluation of NARA and issued a report (GAO-08-742) entitled "Federal Records—National Archives and Selected Agencies Need to Strengthen E-Mail Management." The purpose of GAO's study was to evaluate and understand practices agencies follow to identify and manage e-mail that meets the criteria of a Federal record. In this report, GAO recommended that NARA exercise its statutory authority, as defined in the Federal Records Act, and implement oversight mechanisms to ensure that agencies follow records management guidelines when managing their e-mail records.

Finally, we conducted a flexible scheduling study among nine agencies, including NARA. The purpose of the study was to understand the effectiveness of flexible scheduling and obtain information that we can use to assist agencies with writing better flexible schedules. We held interviews with study participants to assess the successes and challenges experienced by agencies using flexible and "big-bucket" schedules. These agencies were among the first to implement the new scheduling concepts and receive approved flexible schedules. These approaches offered alternative ways for agencies to schedule agency records based on business lines identified in the Federal Enterprise Architecture's Business Reference Model; mission and program functions within a Federal department or agency; or groupings of related subjects and/or work processes shared by agencies.   We have not yet published the findings from this report.

Performance Data	**2006**	**2007**	**2008**
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*
Percent of senior Federal agency managers who view their records management programs as a positive tool for risk mitigation.	81*	–	64

*The FY 2006 survey was limited to Chief Information Officer responses. The FY 2008 survey included General Counsels, Chief Financial Officers, and Chief Information Officers.

FY 2009 Performance Plan Evaluation We will finalize the survey report and analyze the survey responses for recurring, consistent feedback and consider ways to encourage participation in future surveys. We are preparing to implement the recommendations identified in the GAO report—to exercise our oversight authority—by first developing a methodology and process for conducting and reporting agency oversight activities. We also plan to conduct another records management study.

1.2 NARA RECORDS MANAGEMENT SERVICES

FY 2008 Objectives	☑	Increase by 10 percent the number of records management training participants who are taking a NARA records management course for the first time.
	☑	Assess effectiveness of flexible schedules for agencies and NARA.
Results *"This will be beneficial on the job-these are my daily duties, and I now have a better understanding."*	✔	We increased the number of records management training participants who are taking a NARA records management course for the first time by 20 percent.
	✔	We assessed the effectiveness of flexible schedules to understand how NARA can assist agencies in developing better flexible schedules.

Discussion NARA's ability to provide agency records managers and records management staff with tools to assist them in identifying and managing their records is critical to ensuring that important records documenting the rights of citizens, the actions of the Federal government, and information of historical relevance, is not lost. This year, we expanded our training curriculum to engage a broader audience in understanding the importance of records management. We trained more than 6,300 Federal staff, 2,500 of them identified as first time attendees, exceeding our target for the year. With the introduction of a new course, *Emergency Planning and Response for Vital Records and Essential Information*, we have been able to reach broader audiences with an aim to train all Federal records managers, operational staffs, and new records management personnel who generate the records vital to Government operations. During FY 2008 alone, we taught this new course 21 times nationwide. Also, in FY 2008, a number of agencies requested copies of the NARA online course—*Records Management for Everyone*—to mount on their internal training web sites. The Department of Labor required many of their employees and contractors, more than 18,000, to complete the training. We continue to see an interest in our professional certification program with more than 300 agency personnel certified in FY 2008, and nearly 900 since the program's inception in FY 2005.

We attribute the increased attention to records management to our communication efforts in advocating records management to agency senior Federal managers, through bi-monthly discussion groups, meetings with the Federal Records Council, and the partnerships we establish with our records management staff and the agencies. We also believe that the emphasis on continuity of operations and protection of vital records has

increased awareness of the importance of records management in the Federal Government.

We assessed the effectiveness of flexible schedules for agencies and NARA *(see discussion of the records management study in 1.1)*. We learned that the main challenge faced by agencies is the need for detailed guidance to assist staff and agencies to develop, appraise, implement, or monitor flexible schedules. As a result, we are developing new Frequently Asked Questions (FAQs) to provide additional information to agencies working with flexible schedules.

Performance Data	2004	2005	2006	2007	2008
Performance target for percent increase in the number of Federal agency customers that are satisfied with NARA records management services.	–	–	*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*
Percent of records management training participants taking a NARA records management course for the first time.	11	32	35	42	40
Number of records management training participants who are taking a NARA records management course for the first time.	442	1,069	1,484	2,122	2,553
Number of Federal agency staff receiving NARA training in records management and electronic records management.	4,166	3,366	4,234	5,047	6,318
Number of records management training participants that NARA certified this year.	–	45	275	269	310
Median time for records schedule items completed (in calendar days).	253	372	334	284	315
Average age of schedule items completed (in calendar days).	332	339	374	452	443
Number of schedule items completed.	3,182	4,248	3,884	2,983	3,282
Number of open schedules in the backlog.	315	379	363	433	569

*The 2005 and 2006 surveys only asked about satisfaction with NARA scheduling and appraisal services. The 2007 survey expanded questions to all of NARA's records management services.

FY 2009 Performance Plan Evaluation We will look at ways to attract more first time participants to our records management training programs. We plan to identify and implement distance-learning techniques to broaden our customer base and draw in first time participants through this method as well. We will survey our existing Federal agency customers to understand their satisfaction with NARA records management services.

1.3 FEDERAL RECORDS CENTER PROGRAM

FY 2008 Objectives   ☑   Increase the number of cubic feet stored by the Federal Records Center Program (FRCP) by 1 percent.

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

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

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

Results

✔   The Federal Records Center Program (FRCP) experienced an annual volume increase in its holdings of 3.8 percent.

✔   We provided 97 percent of reference requests to Federal agency customers within the promised time.

✔   Our customers received answers to 74 percent of their written requests to the National Personnel Records Center within 10 working days.

✔   We completed implementation activities of the Archives and Records Center Information System (ARCIS) at one records center to prepare for initial operating capability.

Discussion NARA's reimbursable Federal Records Center Program (FRCP) plays a vital role in the lifecycle of Federal records. Federal agency customers have access to a host of services designed to assist them with the transfer, storage, and service of their non-current records. We experienced a nearly 4 percent increase in the annual volume of records stored this year. Fluctuations in the annual volume of records stored in FRCs occur for various reasons. Changes in volume do not always reflect retirement of agency records to the FRC, but can also vary because records previously prohibited from disposal due to a court order, for example, become eligible for disposal. However, taken together with stable customer retention, we view increasing volume as a positive indicator for business. The FRCP retained 100 percent of their customers in FY 2008, and exceeded our target to make ready Federal agency reference requests within the promised time.

We fell short of our target to respond to written requests to the National Personnel Records Center within ten working days. This year, we experienced a 10 percent increase in the volume of requests and adjusted our resources to manage the demand.

Proper management of our storage areas is key to ensuring that records in our FRCs remain accessible when needed. We made substantial progress on the Archives and Records Center Information System (ARCIS), a system designed to electronically manage records storage and improve the efficiency of storage processes. This system will eventually allow customers to receive real-time, web-enabled access to information about their holdings and transaction information. This year, we were able to reach initial operating capability and deploy the system to our Mid-Atlantic regions FRC in Philadelphia. We will use the lessons learned from the initial deployment to implement ARCIS at nearly all of the remaining FRCs in FY 2009.

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.   We recently began servicing the Department of Army's electronic Official Military Personnel Files after several years of negotiating for this opportunity. Our improved performance in recent years was a significant factor in the Army's decision to grant approval.

Performance Data	2004	2005	2006	2007	2008
Performance target for percent of customers retained by Federal Records Centers annually.	–	–	–	*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*
Percent increase in cubic feet of holdings stored by Federal Records Center Program.	–	–	2	1.7	3.8
Performance target for percent of Federal agency reference requests ready within the promised time.	*90*	*95*	*95*	*95*	*96*
Percent of Federal agency reference requests ready within the promised time.	96	97	98	97	97
Performance target for customers with appointments for whom records are waiting at the appointed time.	*99*	*99*	*99*	*99*	*99*
Percent of customers with appointments for whom records are waiting at the appointed time.	99.3	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*
Percent of written requests to the NPRC answered within 10 working days.	56	59	67	65	74
Number of written requests to the NPRC answered within 10 working days (in thousands).	564	606	739	740	854
Number of written requests for civilian records to the NPRC answered within 10 working days (in thousands).	167	162	179	174	167
Number of written requests for military records to the NPRC answered within 10 working days (in thousands).	397	444	559	566	687
Number of written requests to the NPRC answered (in thousands).	1,005	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.	*70*	*95*	*95*	*95*	*–*
Percent of requests for military service separation records at the NPRC answered within 10 working days.	75	88	91	90	95
Number of military service separation records (DD-214) requests answered (in thousands).	372	352	442	475	506
Percent of requests for all military service records at the NPRC in St. Louis answered within 10 working days.	48	52	61	59	72
Average price per request for military service separation records.	$29.70	$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.

FY 2009 Performance Plan Evaluation   We will continue to improve our customer service by increasing the percent of times we have agency reference requests ready within the

promised time. We will provide answers to written requests to the National Personnel Records Center within ten working days. We expect an increase in volume in our FRCs because of continued improvements in performance and we will survey our customers at the National Personnel Records Center to establish an understanding of current satisfaction levels. The deployment of ARCIS to nearly all of the FRCs will occur throughout the year.

1.4 PRESIDENTIAL TRANSITIONS

FY 2008 Objectives

☑ Hire additional staff for George W. Bush Presidential Library.

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

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

Results

✔ We hired and transferred staff to support the preparation and move of records of the George W. Bush Administration.

✔ We selected and leased a temporary storage facility in Lewisville, TX, to house the George W. Bush Administration records.

✔ We fully engaged with offices within the White House and other Federal agencies involved with gathering, migrating, and transferring Presidential and Vice Presidential traditional records, electronic records, and artifacts from the White House to NARA by January 20, 2009.

Discussion In January 2009, NARA will become the custodian of the records and artifacts documenting the Presidential Administration of George W. Bush. The volume of records, both paper and electronic, will be significantly higher than all previous collections of Presidential records. To prepare for the work ahead, NARA hired a supervisory archivist, four Library archivists and an administrative officer, in addition to transfers of internal staff to support the end of the George W. Bush Administration activities and to prepare for the movement of materials to the Bush Project facility prior to construction of the new Presidential Library. We detailed several of our archivists to various components of the White House to gain an understanding of the types of records and learn about the organizations creating the records. We continued our work with White House technical staff to gain insight into the technical characteristics of Presidential electronic systems to prepare for a successful migration of electronic records at the end of the Administration. NARA Presidential Library staff were immersed in various aspects of the transition process, including participation in briefings on

Presidential and Vice Presidential e-mail; participation on technical teams to ensure we had the necessary background information for electronic records; coordination with external agencies to ensure the availability of courtesy storage, reference services, and security for the records and artifacts; and attaining approval for the early movement of records and artifacts. NARA staff will provide management oversight during the move of the materials to the temporary storage site in Lewisville, Texas.

Preparation of the temporary site required both demolition and rebuilding efforts. With much planning and logistical coordination, we installed furniture, shelving and IT equipment in order to have the facility ready for occupancy at the end of FY 2008. Management of the records and artifacts will continue at the temporary facility until we complete construction of the George W. Bush Library at Southern Methodist University.

FY 2009 Performance Plan Evaluation We will continue hiring and training new staff. We will begin to move records and artifacts at the beginning of FY 2009 to the new temporary storage site. We will continue to gather inventories and other information about Presidential and Vice Presidential records and artifacts to prepare for a successful migration and transfer of Bush Presidential and Cheney Vice Presidential records and artifacts by January 20, 2009.

1.5 CONTINUITY OF OPERATIONS

FY 2008 Objectives

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

☑ Develop COOP templates for NARA facilities.

☐ Establish NARA Headquarters and Federal Register regional COOP sites.

☑ Upgrade physical access control system at College Park.

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

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

Results

✓ We established, tested, and validated an alternate continuity facility at Rocket Center, WV, to perform basic unclassified Continuity and Emergency Incident Management operations.

✓ We adopted a COOP Plan template for agency-wide use based on testing of the COOP plan during the National Level Continuity Exercise.

✓ We established a COOP site for NARA Headquarters and the Federal Register for

performance of basic daily emergency and
continuity incident management operations in an
unclassified environment.

✔ We upgraded the physical access control system
in College Park to comply with HSPD-12.

✔ We managed 92 percent of Federal Register
documents in eDOCS and fully replaced the
legacy system.

✔ We issued Federal Identity Credentials (FICS) to
all National Archives employees in Washington,
DC.

Discussion   Continuity of Operations Plans (COOP) are required to ensure that agencies
and facilities can continue to perform essential functions under a broad range of
circumstances. The requirements for viability of these plans are spelled out in Federal
Continuity Policy and include ongoing exercises of the plans and frequent assessments.
This year, we established an alternate continuity facility in Rocket Center, WV. As did
other agencies, we participated in a National Level Continuity Exercise which included
NARA executives, senior managers, and supervisors to simulate responses and
coordination in emergency situations. This exercise served as a test of our COOP plan.
We achieved success in our ability to perform unclassified continuity and emergency
incident management operations, however, long procurement lead times for secure
encryption equipment for fully redundant secure interoperable communications
capability left us short of our objective to achieve 100 percent viability on our NARA
Continuity of Operations plans.

Following the exercise, we received an assessment report that rated the status of our
continuity program, plans, and procedures against criteria and continuity requirements
outlined in the Federal Continuity Directive 1. We used the feedback from the
assessment to develop a corrective action program improvement plan where specific
actions are assigned to members of our Continuity and Emergency Working Group.
These corrections have also been applied to NARA's COOP plan. Using NARA's COOP
plan as the model, we developed and adopted a COOP plan template for agency-wide
use. We will also continue to pursue efforts to achieve secure communications, complete
data networking and establish continuity capability to produce the Federal Register in FY
2009.

Homeland Security Presidential Directive 12 requires all Federal agencies to issue Federal
Identity Cards (FICs) that comply with the standards contained in FIPS 201-1. This year
we leased equipment from GSA and established three NARA credentialing centers to
process Federal employees for FICs. The credentialing centers were established at both
the National Archives buildings in Washington, DC, and College Park, MD, as well as at
the National Personnel Records Center in St. Louis, MO.   NARA staff without access to
these facilities visited local GSA offices or affiliates equipped to prepare the cards.   We
completed the issuance of FICs to NARA staff in Washington, DC; however, minor
processing issues delayed our completion of this project at the other sites.   The delays
have since been resolved and card issuance will resume in early FY 2009.

The Office of the Federal Register continues its transition to an electronic work environment. The Electronic Editing and Publishing System (eDOCS) enables agencies to electronically submit digitally-signed, legal documents to our office. Using the digital signature capability, offices can eliminate the use of paper during the entire process and experience efficiencies and cost savings. More than 1,000 offices and 300 Federal departments and agencies send documents from all over the United States to us for publication in the *Federal Register*. We process an average of 150 documents each day. We exceeded our goal of 85 percent, managing an average of 92 percent of the documents submitted for publication electronically, and reaching 100 percent at the end of the fiscal year.

Performance Data	**2004**	**2005**	**2006**	**2007**	**2008**
Performance target for percent of developed NARA Continuity of Operations Plans that achieve viability.	—	—	—	*100*	*100*
Percent of NARA Continuity of Operations Plans that achieve viability.	—	0	0	0	0
Number of approved continuity of operation plans.	—	3	3	3	3
Performance target for percent of documents Office of the Federal Register manages electronically using eDOCS.	—	*50*	*75*	*75*	*85*
Percent of documents Office of the Federal Register manages electronically using eDOCS.	9	22	59	81	92
Number of documents managed electronically using eDOCS.	3,032	7,066	18,316	24,849	28,683
Number of digitally-signed, legal documents submitted using eDOCS.	3,032	4,142	3,258	5,672	6,651

FY 2009 Performance Plan Evaluation We will continue to establish our COOP site with the procurement and implementation of interoperable communications capability and IT infrastructure needed for a classified environment. We will continue with the issuance of FIC cards to NARA personnel to meet Federal Government standards. We will manage 100 percent of the documents submitted for publication in the *Federal Register* using eDOCs.

1.6 RECORDS IN THE NATIONAL RESPONSE TO EMERGENCIES

FY 2008 Objectives	☑	Establish a supportive partnership in the national response to emergencies in 80 percent of FEMA regions.
Results	✓	We established collaborative relationships with FEMA counterparts in 80 percent of FEMA regions.

Discussion In response to lessons learned from Hurricanes Katrina and Rita, NARA established in its Strategic Plan a "First Preserver" role to promote the preservation of government records during times of disaster. This year we continued to foster relationships that will enable us to manage and preserve Federal records in times of disaster.

In FY 2007, a draft of the National Response Framework Emergency Support Function #11 recognized records as natural and cultural resources and historic properties (NCH) resources. This framework, now in its final form, defines NARA's role to provide preservation, scientific/technical, archival and records management advice, and

information to help secure and prevent or minimize loss following a disaster of government records and archival materials that define and protect citizen rights and government obligations and document our national experience. In addition, NARA's role entails providing information and advice for the stabilization, security, logistics, and contracting for recovery services of these government records.

We offered the NARA "Vital Records" curriculum in 80 percent of our regions this year and periodically collaborated with FEMA to teach and address the vital records components of FEMA courses.

Performance Data	**2005**	**2006**	**2007**	**2008**
Performance target for percent of FEMA regions in which we have established a supportive partnership in the national response to emergencies.	–	–	*50*	*80*
Percent of FEMA regions in which we have established a supportive partnership in the national response to emergencies.	–	–	60	80

FY 2009 Performance Plan Evaluation   We will continue our efforts in developing partnerships with FEMA staff across the country. We will offer emergency planning and vital records training sessions in each of the NARA regions.

Strategic Goal 2: Preserve and Process

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 the Information Security Oversight Office (ISOO).
	2.4 By 2016, NARA archival holdings of 25-year-old or older records are declassified, exempted, or referred under the provisions of Executive Order 12958, as amended.
	2.5 By 2016, 100 percent of archival holdings are stored in appropriate space.
	2.6 By 2009, 100 percent of NARA records center holdings are stored in appropriate space.
	2.7 By 2016, less than 50 percent of archival holdings require preservation action.

FY 2008 Resources Available to Meet This Goal: $173,026,000; 673 FTE

2.1 A̲CCESSIONING̲ R̲ECORDS̲

FY 2008 Objectives	☑ 10 percent of archival electronic records transfers arrive at NARA on time.
	☑ Establish a baseline for archival records transfers arriving at NARA on time.
	☑ Identify and schedule 10 percent more Federal agency electronic records than were scheduled in FY 2007.
Results	✓ Our Federal agency customers transferred archival electronic records to NARA on schedule 40 percent of the time.
	✓ We issued a letter to Federal agencies identifying electronic records for transfer in FY 2008.

✓ We identified and scheduled more than 30 percent of the Federal agency electronic records than were scheduled in FY 2007.

Discussion In prior fiscal years, we developed a set of criteria, procedures and a handbook for identifying functional areas within the Government with the greatest records management challenges. We used this information to help us establish priorities for assisting Federal agencies with records management.   We established criteria that helped focus our attention on records at greatest risk of not being managed properly. These are records that document citizens' rights and Government accountability, and historically valuable information for future generations.

Building on the scheduling emphasis in FY 2007 where we worked with Federal agencies to schedule their electronic records, based on risk assessment criteria, we focused our efforts on scheduling the electronic systems of Chief Financial Officers Act agencies in FY 2008. We focused our appraisal staff in both headquarters and the regions on assisting agencies with scheduling their electronic records for the impending September 2009 deadline of complying with section 207(e) of the E-Government Act of 2002.   This year we surpassed our goal to identify and schedule electronic systems (30 percent more than last year's rate) and our goal to have these records transferred (40 percent of targeted scheduled items actually transferred to NARA).   The scheduling of Federal agency electronic records ensures that permanent electronic records will transfer to NARA on a regular basis and in an acceptable format to be stored and accessed through ERA. It also ensures that those electronic records not deemed historically valuable will still be retained for a sufficient period of time to ensure legal rights and government accountability.

Performance Data	**2006**	**2007**	**2008**
Performance target for percent of archival electronic records transfers arriving at NARA on time.	—	*5*	*10*
Percent of archival electronic records transfers arriving at NARA on time.	—	—	40
Performance target for percent increase in number of Federal agency electronic records series scheduled than prior year.	–	*10*	*10*
Percent increase in number of Federal agency electronic records series scheduled than prior year.	10	33	30
Number of Federal agency electronic records series scheduled.	1,001	1,332	1,746

FY 2009 Performance Plan Evaluation We will continue working with agencies to identify Federal electronic records that need to be scheduled, and encourage Federal agencies to send their scheduled electronic records to NARA when they are due for transfer. We plan to expand this measure to all archival holdings.

2.2 PROCESSING RECORDS

FY 2008 Objectives

☑ Increase by 10 points the percent of archival holdings that have been processed to the point where researchers can have efficient access to them.

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

Results

✓ We increased by 10 points the percentage of archival holdings that have been processed to the point where researchers can have efficient access to them in our Washington, DC, facilities.

✓ We studied processing efficiencies in Presidential Libraries and regional archives and established measurement methodologies to collect data in FY 2009.

Discussion   Archival processing involves all the steps needed to open a record to the public. It includes establishing basic intellectual control, flagging records that have privacy or national security classifications, providing enhanced descriptions of the records content as well as the context in which the records were created, and performing initial preservation so that we can serve the records to the public.   We met our goal to develop the capability to measure processing progress for archival holdings held outside the Washington, DC area and will implement this capability in FY 2009.

Although we met this year's target to increase processed archival holdings in the Washington, DC, area available for access to researchers by 10 percentage points, keeping up with new accessions while addressing the backlog will continue to be a challenge. We have streamlined our business processes to process holdings more efficiently, and adjusted resources to support this initiative; however, we will continue to confront challenges in meeting our processing targets. Some of those challenges include staff retirements and staff development time.   Current staff are documenting their processes for the purpose of training future staff.

Processing Presidential records is central to the operations of Presidential Libraries and key to making Presidential records available to the public. With the combined requirements of the Presidential Records Act, the Freedom of Information Act (FOIA), and applicable Executive Orders, the archival processes for Presidential records vary significantly from the processes used to make Federal records available to the public. Within our Presidential Library system, responding to FOIA requests has been the primary mode for processing Presidential records.   Various complexities, such as multiple reviews to ensure the nondisclosure of personal privacy information, affect the efficiency of processing electronic records.   We have implemented several steps to streamline the review process and reduce FOIA backlogs to simplify electronic records processing. We have developed the capability to measure systematic processing at the Libraries beginning in FY 2009.

We anticipate the challenges ahead of us in accessioning and processing the George W. Bush Presidential records. These challenges include an expected higher volume of traditional records than those from the William J. Clinton Administration, and a substantially higher volume of electronic records than the combined total of all previous collections of electronic Presidential records, to name a few. Steps we have taken to mitigate these challenges include the development of an Executive Office of the President (EOP) instance of our ERA system. This system will ingest the Bush electronic Presidential records at the end of the Administration into a consistent system environment and allow for standardized search and access capabilities. We anticipate that this system will allow greater efficiency in managing special access requests (pre-FOIA requests) for electronic records.

Performance Data	2004	2005	2006	2007	2008
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*	*30*
Percentage point increase in the number 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 reflect only Washington, DC, area work.

FY 2009 Performance Plan Evaluation   We will continue to assess how changes in processing operations can improve processing productivity. We will implement processing measurement capabilities in areas outside of Washington, DC. In our Presidential Libraries, we will hire additional staff to augment current staffs to reduce the backlog and increase systematic processing. We will use the EOP instance of ERA to ingest the electronic records of the George W. Bush Administration and continue to process White House tapes to open collections to the public.

2.3 GOVERNMENT-WIDE DECLASSIFICATION

FY 2008 Objectives

☑ Develop a program for assessing declassification reviews by Federal agencies with substantial declassification programs.

☑ Test the scoring tool in all agencies with substantial declassification programs.

☑ Develop recommendations for declassification programs to improve their scores.

Results

✓ We developed a program to assess declassification reviews conducted by Federal agencies. We established a system of issuing notifications to assist agencies in improving their programs.

✓ We developed and tested a scoring tool in Federal agencies with substantial declassification programs.

✓ We developed and communicated recommendations for agency declassification programs to improve their scores.

Discussion- The Information Security Oversight Office (ISOO), administered by NARA, oversees the Executive branch-wide security classification program under Executive Order 12958, as amended. ISOO conducts general oversight of agency declassification programs on an annual basis and reports to the President on its status. ISOO's oversight includes agency actions to declassify, exempt, exclude, refer, or delay specific records under the automatic declassification provisions of the Executive Order 12958, as amended.

In FY 2008, ISOO developed a program to improve our oversight of agency declassification review programs. The program is designed to evaluate agency decisions, identify best practices, and provide agencies with constructive recommendations to improve their programs. We were able to meet each of our targets as we moved toward improving agency declassification programs.

We developed an assessment plan and conducted several trials to formulate and revise our research methodology. ISOO assessed 22 agencies in FY 2008 and used this information to update and refine the assessment plan. We developed a preliminary scoring methodology and refined it throughout FY 2008. We used the finalized scoring tool to measure the results of agency actions and used this data to develop initial scores for agency declassification programs. Scoring agency programs is not without its challenges. Measuring and scoring agencies consistently presents challenges influenced by the various types of records in different agencies, the volume of records, the equities, sensitivities, and declassification review methods. We will address these scoring challenges in FY 2009.

These reviews highlighted the agencies' needs for consistent direction and resulted in the decision by ISOO to issue periodic notifications that would focus on ways to assist agencies in improving their programs. We developed and coordinated five notices in FY 2008.

Performance Data	2004	2005	2006	2007	2008
Performance target for percent increase in number of agency declassification reviews that receive high scores as assessed by ISOO.	–	–		–	*Establish baseline*
Number of agency declassification reviews that receive high scores as assessed by ISOO.	–	–	–	–	8
Number of agency declassification reviews assessed by ISOO.	–	–	–	–	22
Number of pages declassified government-wide (in millions of pages)	24.6	25.5	34.8	34.4	TBD
Per page cost of Government-wide declassification	$1.96	$2.14	$1.26	$1.30	TBD
Total cost of declassification Government-wide (in millions of dollars)*	$48.3	$57.0	$44.0	$44.7*	TBD

Total cost and page figures exclude those of the intelligence agencies that report their costs as classified.

FY 2009 Performance Plan Evaluation The variables that affect how individual agencies conduct their declassification review programs is a determining factor that ISOO will consider as they refine the scoring methodology used to assess and rate agencies declassification programs. ISOO will continue to issue formal notifications that seek to improve the classified national security information program by disseminating consistent guidance to agencies on a periodic basis.

2.4 NARA DECLASSIFICATION
FY 2008 Objectives   ☐   Complete quality assurance process for 7,500 cubic feet of records and make available for the Interagency Referral Center.

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

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

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

Results

✔ We completed the quality assurance process for 3,072 cubic feet of security classified documents that have been referred to one or more equity holding agencies prior to their availability to the Interagency Referral Center.

✔ We implemented a National Declassification Initiative; however, challenges prevail in working collaboratively with agencies to resolve their equities in NARA's Federal record classified holdings.

✔ More than 521,000 pages of Federal records met quality assurance standards and were indexed in the Interagency Referral Center.

✔ As part of the Remote Archives Capture Project, we exceeded our target and scanned 518,873 pages of classified Presidential records eligible for declassification review.

Discussion   Under Executive Order 12958, as amended, agencies are directed to review and resolve their equities in security classified documents over 25 years old that have been referred to them by other agencies. We established the National Declassification Initiative (NDI) to provide an efficient and effective means of handling the referral of classified equities between Executive branch entities, with the ultimate goal of transparency and proper access. NARA chairs this group of interagency personnel that performs a quality assurance function to ensure that classified information is not released to the public. This year, we did not meet our goal to complete the quality assurance process and make 7,500 cubic feet of records available to the Interagency Referral Center. We met only 41 percent of our target, although of those completing the QA process, 86 percent passed review. These data indicates that while there are improvements in the quality of the reviews, productivity is not at the level we anticipated. We noted several challenges that affect the rate at which records pass quality assurance. These challenges include the size of the collection or grouping. For example, smaller collections or groupings of classified records yield more accurate agency reviews than larger groupings. Larger groupings typically require re-sampling or remediation, and at times,

remediation requires review of each box within a container. Other challenges included lower than anticipated resource availability to support the quality assurance function and the loss of physical space due to facility enhancements extending beyond the anticipated timeframe.

NARA indexes the records into the Interagency Referral Center to provide a systematic way for agencies to review their equities among classified documents. This process is designed to enable equity holding agencies to accomplish their missions, while protecting permanently valuable Federal records and preventing unauthorized release of classified information. The volume of records that successfully pass through quality assurance directly affects the number of pages indexed. The low volume of records successfully passing quality assurance significantly impacts our success in indexing pages. We indexed 14 percent of what we had planned for FY 2008.

The success of the National Declassification Initiative (NDI) is dependent on collaboration between NARA and the Federal agencies that comprise the declassification community. Reaching consensus on practices that are transparent and practical for all Federal agencies managing declassified processes has presented its challenges. For example, this year, NARA's agency partners in the NDI reduced resources dedicated to the quality assurance process. This led to decreased productivity in moving classified records through the process. The NDI conducted a training initiative that experienced mixed success. The purpose of the training initiative was to develop guidance for declassifying classified information common across all Government agencies and provide a forum for community-wide declassification training. We found that agreement within the declassification community is, at times, tenuous. Within our area of control, we are taking initial steps to develop a Declassification Guidance Web Application to host shared guidance within the declassification community.

For classified materials in the Presidential Library system for which we do not have delegated declassification authority, we have established a partnership with the Central Intelligence Agency (CIA) called the Remote Archives Capture (RAC) project. We are working in partnership with the CIA and other classifying agencies in the Government to declassify materials held in the Presidential Libraries using the RAC project. We use this vehicle to scan classified materials held by the Presidential Libraries throughout the country. The documents are captured in digital format and reviewed for declassification in Washington by primary classifying agency for review and declassification of their equities. The equity declassification review is transmitted to a CIA center. The CIA center subsequently provides the Library with its declassification decisions. We successfully scanned 518,873 pages of Presidential records eligible for declassification, exceeding our goal of 500,000 pages. State Department historians working on the *Foreign Relations of the United States* series have used the RAC project to review Carter Administration records scanned and available for declassification review in the Washington, DC, area. To expedite declassified RAC scanned records to researchers, we worked with the CIA to purchase unclassified computers for each of the Libraries receiving RAC deliveries. Finally, we made major changes to the way we measure our declassification work from prior years to more accurately and comprehensively cover declassification at NARA, recent initiatives, and E.O. 12958, as amended.

Performance Data	2004	2005	2006	2007	2008
Performance target for annual number of pages indexed through the Interagency Referral Center (in millions)	—	—	—	*3.75*	*3.75*
Annual number of pages indexed through the Interagency Referral Center (in millions)	—	—	—	3.99	0.52

Performance Data	2004	2005	2006	2007	2008
Backlog of pages of Federal records eligible for declassification at start of year (in thousands of pages).	–	–	–	–	420,050
Backlog of pages of Presidential materials at start of year (in thousands of pages).	806	668	218	218	218
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 annual number of Presidential pages scanned (in thousands).	*300*	*300*	*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	TBD

*Statistics prior to FY 2008 represent the pages NARA reviewed that are more than 25 years old for which NARA has declassification authority. This is a subset of overall NARA declassification work. FY 2008 statistics represent overall NARA declassification work.

** Declassification costs are derived from annual reports submitted to ISOO and reported to the President in the following year.

FY 2009 Performance Plan Evaluation   Access and use of agency personnel resources within the declassification community to assist with quality assurance, reduction of the classified records backlog, and guidance development will continue to challenge our efforts. Agency cooperation is essential in identifying records subject to the various declassification deadlines set in E.O. 12958, as amended, as well as helping us resolve impediments in meeting these deadlines. We will continue scanning pages of Presidential records eligible for declassification review and plan to release two million pages of Federal records for declassification.

2.5 ARCHIVAL HOLDINGS IN APPROPRIATE SPACE

FY 2008 Objectives

☑   Move a portion of Nixon artifact holdings from College Park to Nixon Library.

☐   Implement National Archives Building flood prevention measures.

☐   Install fire protection sprinklers in the Eisenhower Museum.

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

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

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

☑   Award construction contract for Nixon Library expansion.

      ☑   Support GSA in procurement activities for new National Personnel Records Center.

Results

    ✔   We shipped a portion of the Head of State gifts from the Nixon collection in College Park, Maryland to the Nixon Library in Yorba Linda, California.

    ✔   We began implementation of several flood prevention measures at the National Archives.

    ✔   We deferred the installation of fire protection sprinklers at Eisenhower Museum until FY 2009.

    ✔   We finalized plans for design work for facility improvements to regional archives in San Bruno, CA, Seattle, WA, and Waltham, MA.

    ✔   We awarded a contract for mechanical improvements at the Carter Library.

    ✔   We received approval for the sale of land from UMass Trustees and the state of Massachusetts for the addition to the Kennedy Library.

    ✔   We awarded the contract to expand the Nixon Library in preparation for receipt of documents stored in College Park, MD.

    ✔   We assisted GSA in the procurement activities for the new National Personnel Records Center.

Discussion: NARA experienced a damaging flood at the National Archives building in Washington, DC, in FY 2006. Damage occurred in the moat, the sub-basement, and some parts of the basement level, as well as in the William McGowan Theater. We conducted an engineering study into the causes of the flood and proposed mitigation measures in FY 2007. Based on the study, we selected two flood mitigation measures to prevent damage from future floods. We have completed the first measure, to install cofferdams and watertight doors on the moat electrical vaults. The second measure, to install floodgates at the moat entrances, is pending final approval from the National Capital Planning Commission and the Commission of Fine Arts.

Delays in the installation of fire protection sprinklers in the Eisenhower Museum result from several challenges. Currently, a temporary exhibit restricts access to areas where work is required. The exhibit will be on display through March 2009, which postpones completion of this effort until June.

We need to expand the Nixon Presidential Library to accommodate the move of all documents currently being housed in College Park, MD. Last year, we completed a design for an addition adjacent to the existing library. In FY 2008, we awarded a construction contract with construction scheduled for completion in FY 2010.

Performance Data	2004	2005	2006	2007	2008
Percent of NARA archival holdings in appropriate space	52	53	57	80	86
Number of archival traditional holdings (in thousands of cubic feet)	3,100	3,167	3,299	3,349	3,731
Percent of artifact holdings in appropriate space	42	42	42	42	40
Number of artifact holdings (in thousands)	540	543	544	544	582
Percent of electronic holdings in appropriate space	100	100	100	100	100
Number of electronic holdings in appropriate space (in millions of logical data records)	3,238	4,041	4,611	4,737	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*
Cost of archival storage space per cubic feet of traditional holdings stored	$6.11	$6.48	$6.65	$6.20	$5.85

FY 2009 Performance Plan Evaluation   We will continue to focus on maintaining storage facilities that meet archival requirements while keeping costs for archival storage as low as possible.

2.6 NARA FEDERAL RECORDS CENTER HOLDINGS IN APPROPRIATE SPACE

FY 2008 Objectives

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

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

☐ Complete certification of 2 records center facilities that meet storage standards.

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

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

Results

✓ We moved over 580,000 cubic feet of holdings from the Bannister Road facility to an existing underground storage site in Lenexa, Kansas.

✓ We completed air quality, temperature, and relative humidity tests to complete certification of a new records center facility in Fort Worth, Texas.

✓ We completed partial facility certifications for both the Lee's Summit and Lenexa facilities.

✓ We completed a lease agreement to construct a National Personnel Records Center Annex for

temporary records.

✓ We completed a real estate study of the Colorado market to determine the delineated area for the new records center storage facility.

Discussion: NARA consolidated records from our Bannister Road records center facility in Kansas City to our facility in Lenexa, KS. Our Lenexa facility is a cost-effective, underground storage facility with opportunity for expansion. In addition, Lenexa is undergoing modifications to bring the facility into compliance with federal records storage requirements. We are reusing shelving from the Bannister facility and rehousing in the Lenexa facility, saving more than $100,000 over the cost of purchasing new shelving. More than 580,000 cubic feet of records were moved from Bannister Road to Lenexa.

NARA continued activities to bring our records storage facilities into compliance. We achieved success in having our new records center facility in Fort Worth, Texas certified. We identified and corrected problems at both our Lenexa and Lee's Summit sites to bring these facilities into compliance. Certification of both of these facilities is scheduled for FY 2009.

We completed a lease agreement and began construction of the National Personnel Records Center Annex for temporary records. Occupancy is planned in early FY 2009.

NARA has plans to replace the Federal Records Center facility in Denver, CO with a new, leased facility. The current facility cannot be cost-effectively brought into compliance with 36 CFR 1228 Subpart K storage standards for Federal records. The Denver facility is one of the last to be replaced and the effort faces numerous challenges. For example, we conducted an in-depth study of potential relocation sites because of Denver's high real estate market. The study helped us determine the delineated area for the new facility. We are now working to develop requirements and timelines for the new facility. We expect the award of a lease for a new facility to occur in FY 2009.

Performance Data	2004	2005	2006	2007	2008
Percent of NARA records center facilities certified as meeting the 2009 regulatory storage standards	0	9	9	29	33
Volume of records center holdings (cubic feet in millions).	24.1	24.6	25.1	25.6	26.6
Storage price per cubic foot for records center holdings.	$2.16	$2.16	$2.28	$2.28	$2.40

FY 2009 Performance Plan Evaluation Our Federal Records Center Program continues to assess infrastructure needs for Federal temporary records and develop compliant storage solutions as necessary. We will complete certification of remaining records centers that have met the storage standards.

2.7 PRESERVATION

FY 2008 Objectives

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

☑ Complete the inventory and rehousing of a cumulative 100 percent of OMPFs (from 2005

transfer).

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

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

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

Results

✓ We successfully treated and housed 138,076 cubic feet of at-risk holdings to minimize further deterioration.

✓ We completed the inventory and rehousing of a cumulative 100 percent of OMPFs (from 2005 transfer) several months ahead of schedule.

✓ We made substantial progress in our efforts to develop a business plan to transition from analog methods and workflows to digital methods and workflows.

✓ We identified and procured digitization equipment and IT support for analog-to-digital transition.

✓ We developed a prototype of the Holdings Management System to define and refine user requirements.

Discussion: We regularly assess our archival holdings to ensure their preservation for as long as possible. We must preserve holdings in a variety of formats and media, such as, paper records, motion pictures, audio recordings, videotapes, still photography, microfilm, maps, and artifacts. We regularly assess their preservation needs, provide storage conditions that retard deterioration, and treat, duplicate, or reformat records at high risk for loss or deterioration. Our at-risk records include acetate-based still photography and microfilm, brittle and damaged paper records, and audio recordings that require obsolete equipment, to name a few. We made significant strides in the past year and exceeded our goal by more than 120 percent to successfully treat and preserve these holdings.

We also exhibited substantial progress in our efforts to gain intellectual control of important records documenting Americans' military service to the nation. These records include World War I US Navy and US Marine Corps records previously stored in an archival annex in St. Louis. We completed the inventory and rehousing of this important collection of records seven months ahead of schedule and plan to make the index available through our online catalog.

Other compelling reasons drive our decision-making process in managing at-risk records. The replacement of analog media and equipment to digital counterparts is the impetus behind our need to migrate to newer technologies. Analog tools are difficult to obtain, repair, or replace. We expect that within five years, very few products, such as photographic and other analog special media products will even be available. To address these issues, we established a digital coordination team to develop a plan to migrate from analog to digital formats and technologies. We initiated a business process re-engineering effort to identify and document current processes and recommend changes to these processes to take full advantage of digitization. In addition, we purchased digitization equipment for our preservation labs to prepare for transition to digital reformatting workflows that match our current analog capabilities.

We continued making progress with development activities for the Holdings Management System (HMS). This system will provide greater physical control over non-electronic archival holdings. HMS will provide location and space management for identifying records stored at multiple NARA facilities and quickly locating available space to store records. The system will also include circulation management for tracking the circulation of records to various users; preservation management for effectively managing preservation data, such as risk levels, condition assessments, and the history of preservation actions; and inventory management of traditional holdings. In FY 2008, due to complexities in defining user requirements for preservation and processing activities, we did not meet our deadline to deploy initial operating capability of HMS. We developed a prototype of the system and used this as a tool to further define and refine user requirements. The prototype helped us to analyze the impact of some initial requirements that complicated system functionality. We continue to interact with the stakeholders to ensure that the final product meets their needs.

Performance Data	**2004**	**2005**	**2006**	**2007**	**2008**
Performance target for percent of archival holdings that require preservation action.	–	–	–	*Establish Baseline*	*≤65*
Percent of archival holdings that require preservation action.	–	–	–	65	64
Backlog of holdings requiring preservation action (in thousands of cubic feet).	–	–	2,182	2,165	2,386
At-risk archival holdings that received conservation treatment this year (thousands of cubic feet)	19	27	29	54	130
Cumulative volume of at-risk archival holdings in cold storage (thousands of cubic feet).	80	86	90	90	91
Performance target for cumulative percent of OMPFs inventoried and rehoused.	–	*8*	*35*	*69*	*100*
Percent of OMPFs inventoried and rehoused.	–	4	34	79	100

FY 2009 Performance Plan Evaluation   We will finalize our business plan that lays out the information for the migration from analog to digital work processes. The plan will include a guide to digitization processes and a website for digitization projects. We will continue our transition from analog to digital equipment and processes. We will also deploy an initial operating capability of the Holdings Management System to an initial set of users.

Strategic Goal 3: Electronic Records

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

Long-Range Performance Targets

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

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

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

FY 2008 Resources Available to Meet This Goal: $72,814,000; 95 FTE

3.1 PROCESSING ELECTRONIC RECORDS

FY 2008 Objectives

☑ Sustain 80 percent of archival electronic holdings processed to the point where researchers can have efficient access to them.

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

Results

✔ We processed 86 percent of archival electronic holdings to the point where researchers can have efficient access to them.

✔ We successfully migrated electronic records from selected archived tapes to network attached storage devices resulting in 95 accessions, currently stored on legacy media, available for transfer to ERA.

Discussion   The number of fully processed accessions of electronic holdings increased by more than 16 percent over last year.   As the Federal Government becomes increasingly dependent on technology, we can expect rapidly escalating volumes of archival electronic records accessioned to NARA for preservation and access.

To address this issue, we have made significant strides in the development of our Electronic Records Archives (ERA). This year we met our goal to reach initial operating capability of the system At this stage, the system supports the basic process of scheduling; that is, determining how long Federal agencies need to keep records and whether the records should be preserved in the National Archives. ERA supports this process regardless of whether the records are on paper, microfilm, tape, or electronic. In addition, ERA supports the workflow for processing electronic records, functions that have been performed by older legacy systems.

We began migrating our existing electronic records holdings from our legacy media to ERA. We are transitioning approximately 3.5 million computer files, ranging from databases about World War II soldiers to the State Department's central files on foreign affairs, from legacy media into ERA. The migration of records from legacy media to ERA has been a rigorous process. In preparation for this initial migration, we developed or integrated functions with our legacy systems to support the legacy migration workflow. For example, we developed a function for our Archival Processing System to copy files from archived tape media to network attached storage devices. This effort enabled the legacy electronic records to be electronically packaged and transferred via secure network connections to the ERA data center in West Virginia. We implemented processes to validate incoming transfers of records. Migration preparation efforts resulted in the selection of 95 accessions of holdings from legacy media available for transfer to ERA.

Finally, the median time for making electronic records accessible climbed this year because we completed accession processing of numerous transfers of Federal e-mails from the Clinton Administration that we received in FY 2002. Each of these accessions included thousands of e-mails, and among the many hurdles we had to surmount was to create the capability to verify efficiently these records. We expect the FY 2009 median time to drop significantly.

Performance Data	2004	2005	2006	2007	2008
Performance target for percent of archival electronic accessions processed to the point where researchers can have efficient access to them.	*99*	*80*	*80*	*95*	*80*
Percent of archival electronic accessions processed.	76	80	80	81	86
Number of accessions received.	1,732	1,830	2,010	2,153	2,328
Number of accessions processed.	1,324	1,463	1,615	1,738	2,004
Unprocessed accessioning backlog (in accessions).	408	367	395	415	324
Median time (in calendar days) from the transfer of archival electronic records to NARA until they are available for access.	736	413	259	467	2,127*

* This measure is calculated annually, rather than cumulatively, which results in an increase in the median processing time in the year in which the processing is completed for electronic records received several years ago.

FY 2009 Performance Plan Evaluation   We will continue the migration of data from the legacy media to ERA. In addition, we will strive to process new transfers of electronic records using both ERA and our legacy processes for transfers not eligible for ERA processing, making them available to researchers at the same rate as in FY 2008. This combination of processing work will create greater demands on our staff.

3.2 PRESERVING ELECTRONIC RECORDS

FY 2008 Objectives   ☐   Develop measurement methodology for preservation at the planned level of service.

Results   ✓   We developed a draft methodology for the capability to measure preservation of electronic records in a persistent format.

Discussion   We developed a draft methodology to measure and assess how effectively and efficiently we preserve our electronic records in a persistent format. With an ever-increasing volume of Federal government electronic records created every day, we need

to ensure that our methods are sound in preserving the valuable records of our nation. Understanding the volume and the impacts to processing assists us in planning our resources and adjusting our priorities to ensure electronic archival records are available for generations to come.

Performance Data	2004	2005	2006	2007	2008
Performance target of percent of NARA's electronic holdings stabilized.	–	–	–	*80*	*80*
Percent of NARA's electronic holdings stabilized.	89	89	89	89	90
Number of accessions received.	1,732	1,830	2,010	2,153	2,328
Number of accessions stabilized.	1,541	1,628	1,788	1,915	2,097
Number of archival holdings accessioned (in millions of logical data records).	3,238	4,041	4,611	4,737	5,522

FY 2009 Performance Plan Evaluation   We will finalize our methodology to measure NARA's capability to manage and preserve archival electronic records in a persistent format and use this to establish a baseline measure in FY 2009.

3.3 COST OF ELECTRONIC RECORDS MANAGEMENT

FY 2008 Objectives   ☑   Achieve initial operating capability of the ERA system for Federal records.

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

☑   Complete prototypes for the ERA system for Presidential records.

☑   Ingest sample data into pilot Presidential system.

Results   ✓   We achieved initial operating capability of the ERA system for Federal records.

"…ERA will radically transform how we do our work for the better."   ✓   We ingested data from two separate types of sources: 1) legacy media using systems that process electronic archival holdings, and 2) four Federal agencies into the ERA system.

✓   We completed prototypes and conducted test readiness reviews for the ERA system for Presidential records.

✓   We ingested sample data into the pilot Presidential system for ERA.

Discussion   The Electronic Records Archives (ERA) is our leading-edge system that will capture electronic records and information, regardless of format, save them permanently, and make them accessible on whatever hardware or software is currently in use. Due to delays in delivery in FY 2007, we continued our regimented oversight of the ERA program this year. In FY 2008, we adopted a modified implementation approach. This development approach to implement incremental deliveries of software with a strong

focus on software requirements proved successful this year. This approach led to quickly identified resolutions to problems discovered during testing and successive incremental deliveries that resulted in ERA successfully meeting the initial operating capability milestone.

With the Presidential transition occurring in January 2009, we anticipate the transfer of more than 100 terabytes of electronic records to NARA for storage and preservation. We developed a modified version of ERA to allow for requirements unique to Presidential records. We designed this version, termed the Executive Office of the President (EOP) instance of ERA, to handle the vast number of electronic records expected from the George W. Bush Administration. This year, we began testing the EOP system following a similar approach to ERA IOC. We tested three consecutive piloted versions of the EOP, with each successive pilot building on the lessons learned of the prior pilot. Through testing and working with key stakeholders at NARA and at the White House, we expect that the EOP will successfully meet users' needs. We are on target to have EOP ERA operational and ready to capture electronic records from the Bush Administration on January 20, 2009.

Performance Data	2004	2005	2006	2007	2008
Performance target for megabyte cost to manage archival electronic records.	–	–	–	–	–
Per megabyte cost to manage archival electronic records.	$3.61	$0.70	$0.43	$0.37	$0.39
Number of megabytes of archival electronic records stabilized (in millions).	1.9	9.5	16.8	17.8	18.1

FY 2009 Performance Plan Evaluation   Our challenge in FY 2009 is to achieve initial operating capability of the EOP and transfer the records of the George W. Bush Administration to the National Archives. Following our incremental approach, we will extend ERA to agencies beyond those included in the initial release. We will also begin our design and development activities for public access and long-term preservation.

Strategic Goal 4: Access

We will provide prompt, easy, and secure access to our holdings anywhere, anytime

Long-Range Performance Targets	4.1. By 2016, NARA customer service standards for researchers are met or exceeded.
	4.2. By 2012, 1 percent of archival holdings are available online.
	4.3. By 2016, 95 percent of archival holdings are described at the series level in an online catalog.
	4.4. By 2012, our web sites score at or above the benchmark for excellence as defined for Federal government web sites.

FY 2008 Resources Available to Meet This Goal: $52,457,000; 262 FTE

4.1 NARA CUSTOMER SERVICE STANDARDS

FY 2008 Objectives	☑ 91 percent of written requests are answered within 10 working days
	☑ 90 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
	☑ 86 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
	☐ 85 percent of online archival fixed-fee reproduction orders are completed in 20 working days or less.
	☐ Develop measure of researcher satisfaction with their NARA experience.
Results	✔ We answered 94 percent of written requests within 10 working days.
"Thank you for handling my orders quickly."	✔ We provided 93 percent of items requested in our research room within 1 hour of request or scheduled pull time.
"*The copies of the Hoover documents arrived today and I am thrilled with the content!"*	✔ We answered 88 percent of Freedom of Information Act requests for Federal records within 20 working days.

✔ We completed 68 percent of our online archival fixed-fee reproduction orders in 20 working days or less.

✔ We deferred development of a researcher satisfaction measure.

Discussion   We met or exceeded most of our customer service targets in FY 2008. Despite a nearly 16 percent increase in the number of Freedom of Information Act requests received in FY 2008, our customers received answers to these requests within 20 days 88 percent of the time. In addition, our customers received requested research materials within one hour 93 percent of the time, while the number of requests completed increased by 23 percent. NARA customers received responses to their written requests within 10 working days 94 percent of the time. This consistently positive trend reflects our commitment to provide more timely responses to these important requests.

We make reproductions of archival documents for a fixed fee to the general public. We did not achieve our goal to complete online archival fixed-fee reproduction orders within 20 working days this fiscal year. In the first quarter, we rebounded from an influx of orders that came at the end of FY 2007, prior to a scheduled price increase in FY 2008. Our commitment to reduce this backlog of orders was observed by the marked improvement in performance later in the year. By the end of the year, our performance was back to meeting our customer service standards.

Performance Data	**2004**	**2005**	**2006**	**2007**	**2008**
Performance target for written requests answered within 10 working days.	*90*	*95*	*95*	*90*	*91*
Percent of written requests answered within 10 working days.	95	96	97	95	94
Performance target for Freedom of Information Act requests for Federal records completed within 20 working days.	*85*	*90*	*90*	*85*	*86*
Percent of Freedom of Information Act requests for Federal records completed within 20 working days.	68	82	87	88	88
Number of FOIAs processed.	5,131	8,794	8,758	12,027	13,472
Annual cost to process FOIAs (in millions).	$1.43	$1.74	$2.62	$2.72	$2.34
Annual per FOIA cost.	$272	$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*	*95*	*90*
Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	98	98	96	86	93
Number of researcher visits to our research rooms (in thousands).	169	171	134	138	140
Number of items furnished in our research rooms (in thousands).	696	537	421	520	576
Number of items furnished on time in our research rooms (in thousands).	683	527	405	449	537
Performance target for archival fixed-fee reproduction orders through SOFA are completed in 20 (35 pre-2007) working days or less.	*75*	*80*	*85*	*85*	*85*
Percent of archival fixed-fee reproduction orders through SOFA are completed in 20 (35 pre-2007) working days or less.	99.9	99	97	72	68

Performance Data	2004	2005	2006	2007	2008
Average per order cost to operate fixed-fee ordering.	$29.35	$27.31	$28.74	$26.67	$30.59
Average order completion time (days)	9	12	14	17	22

FY 2009 Performance Plan Evaluation   We expect to meet or exceed our published standards for customer service.

4.2 ONLINE ACCESS TO ARCHIVAL HOLDINGS

FY 2008 Objectives   ☑   Develop measurement methodology for number of archival holdings accessible online.

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

☑   Increase the number of digital copies available online through ARC by 20 percent.

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

☑   Increase the number of visits to ARC by 10 percent.

☑   Analyze agency business requirements for digital storage needs.

Results   ✓   We developed a methodology to measure the number of archival holdings accessible online.

✓   We added more than 18,000 existing digital copies to the Archival Research Catalog.

✓   We increased the number of digital copies available online through ARC from 101 to more than 24,000.

"Pure perfection and at no cost. Many, many thanks."   ✓   We increased the use of Access to Archival Databases (AAD) by 25 percent.

✓   We increased the number of visits to our online catalog (ARC) by 130 percent.

✓   We developed a strategic planning document for digital storage needs.

Discussion   As we continue on our path of making more of our archival holdings accessible online, we continue to pursue and enter into partnerships that facilitate the digitization process. We established a new five-year partnership this year with The Generations Network to digitize selected records from our vast holdings. We continued

to work with our existing partners (e.g. Footnote, Familysearch.org, Topic Entertainment) in numerous digitizing efforts that span across a range of media types from scanning textual images, digitizing photographs, film titles, and microfilm, just to name a few. At the Kennedy Library our staff is testing, refining and benchmarking their digitization procedures in order to document the procedures used in digitization. Our collection of digitized holdings includes such images as President Lyndon B. Johnson taking the oath of office aboard Air Force One, Civil War widow's pension application files, Vietnam images, and a host of other resources from our holdings.

We offer digital conversion services at our Federal Records Centers. These services are needed for current and future Federal agency requirements for maintenance, storage, and servicing of temporary and pre-accessioned records. Although implementation has presented challenges in the areas of acquisition and information technology, we continue to look for ways to attract customers that can utilize these services. We identified customers in St. Louis, Riverside, Ft. Worth, and Atlanta that have expressed an interest in digital conversion services once they become available at these facilities.

We established a target to add an additional 1,000 existing digital copies to ARC. By the end of FY 2008, we were able to add more than 18,000 additional digital copies to ARC. Our success on this effort resulted from effective and efficient collaboration between internal NARA units. In addition, much of our success can be attributed to our partnerships established through external agreements, which also played a significant role in the augmentation of online digital copies. These efforts led to the phenomenal growth we experienced going from 101 total digital copies to in excess of 24,000.

Our Access to Archival Databases (AAD) resource provides online access via the Internet to a selection of NARA's electronic records from archival databases to more than 30 Federal agencies. We set a target to increase the use of Access to Archival Databases (AAD) system by 10 percent this year. We exceeded the target with an increase of more than 25 percent. We attribute this increase to an addition of over 5 million records of 19th century passenger lists of immigrants.

With more of our customers looking online to access our holdings, as reflected, for example, in a 130 percent increase in the number of visits to ARC, we must ensure that our technical infrastructure can sustain the amount of growth. This year, we conducted a study to understand NARA's business requirements for creating, maintaining, storing, and providing access to temporary and permanent records that are in digital format. We gathered information on our current processes and made significant progress toward developing a set of requirements to build the technical infrastructure needed to support the agency's digitization activities from a strategic perspective.

Performance Data	2004	2005	2006	2007	2008
Percent of traditional records available online	–	–	–	–	.04
Performance target for percent increase in number of archival electronic holdings accessible online.	*50*	*20*	*10*	*10*	–
Percent increase in number of archival electronic holdings accessible online.	51	20	13	-24	8
Percent of electronic records available online (cumulative logical data records in millions).	2.2	2.1	2.1	1.6	1.4
Performance target for percent increase in ARC visits.	–	–	–	–	*10*
Percent increase in ARC visits.	–	81	-11	14	131
Number of ARC visits (in thousands of visits).	158	286	254	290	671
Performance target for percent increase in AAD use.	–	–	–	–	*10*

Performance Data	2004	2005	2006	2007	2008
Use of AAD (in thousands of queries).	778	1,134	1,480	1,665	2,086
Percent increase in AAD use.	–	46	31	13	25

FY 2009 Performance Plan Evaluation   We will increase the number of archival holdings accessible online, whether through NARA or our partners.

4.3 ONLINE CATALOG

FY 2008 Objectives

☑   Describe 60 percent of NARA traditional holdings in the Archival Research Catalog (ARC).

☑   Describe 60 percent of NARA artifact holdings in ARC.

☑   Describe 60 percent of NARA electronic holdings in ARC.

Results

✔   We described 64 percent of NARA traditional holdings in ARC.

"The availability of public information in one place that is easily searchable and accessible…"

✔   We described 61 percent of NARA artifact holdings in ARC.

"This is a great research tool for students of history."

✔   We described 98 percent of NARA electronic holdings in ARC.

Discussion   We successfully launched a redesigned ARC database system that provides new features and improved navigational tools. In response to customer feedback, we incorporated many new upgrades, such as streamlined basic and advanced searches; enhanced screen designs; e-mail capability and modified print capability. These features were incorporated to assist customers in their search for information within our increasing volume of online accessible holdings while simplifying and improving the customer's experience with the system.

We continued our agency-wide description work this year, making our holdings easier for researchers and the public to find. Our online catalog now contains descriptions of more than 3.7 million cubic feet of traditional records (64 percent of our traditional holdings), more than 350,000 artifacts (61 percent of our artifacts), and 5.5 billion logical data records (98 percent of our electronic records).

In FY 2008, we continued to make steady progress in adding and describing our holdings in ARC. Our continuing success with this measure depends on factors such as the size and number of accessions transferred to NARA each year and the resources available to manage the work. Partnerships, improved processes, and internal training have resulted in a significant increase in volume of holdings described in ARC. We anticipate an impact to our progress in FY 2009 with the transfer of George W. Bush electronic Presidential records to our custody in January 2009 and will consider ways to meet these challenges.

Access is about making information about our holdings easier to find and goes beyond simply describing our holdings in ARC. We continue to put data from existing finding aids into ARC. This is a remarkably efficient way to leverage previous work and to provide detailed, searchable information on the web, a huge value to our researchers.

Performance Data	2004	2005	2006	2007	2008
Performance target for traditional holdings in an online catalog.	*30*	*40*	*50*	*55*	*60*
Percent of traditional holdings in an online catalog.	33	43	51	56	64
Number of traditional holdings described in an online catalog (thousands of cubic feet).	1,033	1,366	1,671	1,886	2,392
Number of traditional holdings in NARA (thousands of cubic feet).	3,100	3,167	3,299	3,349	3,731
Performance target for artifact holdings in an online catalog.	*30*	*40*	*50*	*55*	*60*
Percent of artifact holdings in an online catalog.	40	43	57	57	61
Number of artifact holdings described in an online catalog (thousands of items).	215	233	309	309	353
Number of artifact holdings in NARA (thousands of items).	540	544	544	544	582
Performance target for electronic holdings in an online catalog.	*5*	*10*	*20*	*55*	*60*
Percent of electronic holdings in an online catalog.	17	63	98	99	98
Number of electronic holdings described in an online catalog (millions of logical data records).	535	2,539	4,517	4,692	5,399
Number of electronic holdings in NARA (millions of logical data records).	3,225	4,037	4,612	4,737	5,522
Number of series described in ARC (cumulative).	—	—	—	49,691	74,544
Number of ARC users (in thousands of visits*).	158	286	254	290	570

FY 2009 Performance Plan Evaluation   We will continue to expand our online holdings and the percent of our holdings described in our online catalog.

4.4 ONLINE SERVICES

FY 2008 Objectives	☑	Determine NARA's baseline score against the benchmark for excellence as defined for Federal government web sites.
	☑	Complete an inventory of all web-based access capabilities currently provided to our online customers to identify gaps and overlaps.
Results	✔	We use the American Customer Satisfaction Index (ACSI) to determine customer satisfaction with our websites.
	✔	We identified gaps and overlaps in our inventory of web-based access capabilities currently provided to our online customers.

Discussion   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. We measure our success in providing excellent web sites as way to validate that our customers, throughout the nation and around the globe, have easy access to our services. These survey results help NARA to measure satisfaction by customer groups (e.g. genealogists, veterans, educators, etc.) who provide us with valuable feedback of their experience on our websites. We use this input to develop strategies to redesign our sites; or modify, enhance or remove online web content to improve customer satisfaction.

The Presidential Libraries sites continue to outperform the overall ACSI e-Government satisfaction score and other benchmarks. We use the ACSI e-Government satisfaction score for the government portal site as a benchmark to evaluate our web sites. 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.

This year, we completed an inventory of all of NARA's current online capabilities to help us identify gaps and overlaps in our content and services. Our objective is to prepare a high-level strategy to evaluate NARA's web presence as we consider future applications in an effort to improve user interactions and customer satisfaction with our online products and services. We used this information to begin work on a strategic concept of operations for web-based access to NARA's digitized and electronic record holdings by the public.

In FY 2008, NARA evaluated the need for a redesign of the *archives.gov* home page. Our evaluation, with the benefit of customer input, indicated that web site users want more content and the ability to search all NARA online applications from one location. We plan to begin the redesign in FY 2009, aiming for a completed product in FY 2010.

Other new looks on our web sites include redesigned Federal Records Center Program pages. To offer an online, virtual experience with several of our exhibits, we redesigned such sites as the "National Archives Experience" to complement the online digital vaults; and at the George H.W. Bush Presidential Library and Museum, we launched a new web site redesign to complement their museum rededication. We received positive reviews on the successful launch of the online version of "Running for Office," an exhibit of political cartoons that highlights the American campaign and election process. We coordinated the production of captioned videos for the Nixon Oral Histories Project and we digitized and released the records from the Ethel and Julius Rosenburg Grand Jury testimonies revealing transcripts of witnesses involved in this case.

Performance Data	2004	2005	2006	2007	2008
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.	$0.13	$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*
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.	40	52	52	52	52
Number of NARA services online.	48	62	62	62	62

FY 2009 Performance Plan Evaluation   NARA will evaluate strategies for providing access to all online NARA resources from one central, entry point. We will continue to collect public feedback about our web sites and major application interfaces to guide us as we enhance *archives.gov* to make it more beneficial to our customers.

Strategic Goal 5: Civic Literacy

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

Long-Range Performance Targets	5.1. By 2016, our museums score in the top 10 percent of all history museums nationally according to industry measures.
	5.2 By 2016, 95 percent of exhibit, public outreach, and education visitors are highly satisfied with their visit experience.

FY 2008 Resources Available to Meet This Goal: $23,207,000; 194 FTE

5.1 ACCESS THROUGH MUSEUMS

FY 2008 Objectives	☐	Conduct a review of NARA's 12 Presidential Library museum programs.
	☑	Collect comparative data for the National Archives Experience in Washington using the AASLH survey instrument.
Results	✔	We issued questionnaires to NARA's 12 Presidential Libraries and developed a draft of library profiles.
"Let freedom ring!"	✔	We began the collection of data for the National Archives Experience with monthly survey distributions using the AASLH survey instrument.

Discussion: 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. 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.

Our museums offer a variety of public experiences throughout the United States. The National Archives Experience, launched in FY 2005 with the opening of the Public Vaults exhibit, the McGowan Theater, and O'Brien Traveling Exhibits Gallery, continues to grow in scope and impact. Presidential libraries and museums play a vital role in promoting an understanding of not only 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.

This year, we used the American Association of State and Local History Museums (AASLH) measurement instrument to survey customers for vital feedback on the museum and museum programs in Washington, DC. This measurement instrument also allows us to establish a benchmark comparison with other similar museums. The survey is not our only source of documented feedback. We also rely on customer feedback through a National Archives Experience customer comment book. Customer input from both the survey instrument and the comment book indicate that the National Archives Experience continues to be a success.

Work on our Presidential libraries study was delayed in FY 2008 due to the loss of the study leader. The work will be reassigned and new milestones set for completion in FY 2009.

Performance Data	2004	2005	2006	2007	2008
Performance target for NARA museums scoring against the industry benchmark.	–	–	–	–	*Establish baseline*
NARA museums score against the industry benchmark.	–	–	–	–	TBD
Number of visitors to NARA museums and exhibits (in millions)	2.6	3.0	3.0	3.2	3.2

FY 2009 Performance Plan Evaluation   We will complete the analysis of our survey of the Washington, DC, museum and begin to implement improvements based on survey findings. We expect to complete a study across the Presidential Library system.

5.2 CUSTOMER SATISFACTION WITH OUR PROGRAMS

FY 2008 Objectives
☐ 95 percent of NARA education, public outreach, and exhibit visitors are highly satisfied with their visit experience.

☐ Implement Presidential library museum visitor satisfaction survey.

☐ Develop Presidential library education program survey.

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

Results
✔ Our users rated more than 99 percent of NARA's education programs, workshops and training courses as meeting their expectations.

"…being able to interact with other educators to see how they would use these materials is priceless!"

✔ We launched an internal study of Presidential library museum satisfaction.

✔ We drafted an education program survey for

Presidential Libraries.

✓ We continued our efforts to define the wide variety of program types for measurement across the agency.

Discussion: Studies indicate that visitor satisfaction correlates with learning. People who report having a satisfying experience also turn out to have learned more of the content of the program. We continue to deliver a wide variety of experiences for visitors throughout the National Archives through physical visits, online and offline publications, video conferences, web casts, and other venues. This year 99 percent of those surveyed rated our programs, workshops, and training courses as meeting their expectations.

NARA's special exhibits, outreach, educational efforts, and public programs are key components in efforts to promote civic literacy both in Washington, DC and throughout our Presidential Libraries and regional archival facilities. Our efforts reach across agencies, extend into communities, and establish both domestic and international partnerships. We offer monthly workshops to educate the public and Federal agency regulation-writers about the Federal regulatory process. During this year, we continued efforts to develop an initiative, based on a cooperative partnership with the Kettering Foundation and the National Issues Forum Institute to host community forums relating to health care, immigration, Federal debt, education and energy; numerous staff have served as judges in the DC-National History Day Program. We partnered with the Library and Archives Canada to oversee the installation of the exhibit, *1783: Subject or Citizen*, which used NARA documents, including the original Treaty of Paris.

During this election year, our Presidential Libraries worked with Scholastic, Inc., to identify holdings and themes that convey the importance of active citizenship to include as part of a display in Democracy Plaza in New York City. NARA's traveling exhibit, "School House to White House," continued to attract visitors to the Eisenhower Library. We held an exhibit in the National Archives Building that displayed the Electoral College tally for the 2000 Presidential election. We held two public programs, *Electoral College: The Debate Continues* and *Moving Political Cartoons from Page to Screen,* in connection with our temporary exhibit, *Running for Office*. Our Digital Vaults received numerous recognitions, including being named one of Time.com's 50 Best Websites for 2008.

Performance Data	**2004**	**2005**	**2006**	**2007**	**2008**
Performance target for percent of education, public outreach, and exhibit visitors who are highly satisfied with their visit experience.	*95*	*95*	*95*	*95*	*95*
Percent of education programs, workshops, and training courses meeting attendees' expectations.	99	99	99	98	99.6
Number of rated education programs, workshops, and training courses.	464	547	605	606	632
Number of attendees at rated education programs, workshops, and training courses.	8,125	9,248	10,394	10,229	11,246

FY 2009 Performance Plan Evaluation We will develop an education program survey to identify and prioritize ways to enhance teaching programs at the Presidential libraries. We will also work toward identifying and prioritizing museum visitor satisfaction.

Strategic Goal 6: Infrastructure

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

Long-Range Performance Targets	6.1. By 2016, 95 percent of employees possess the core competencies that were identified for their jobs.
	6.2. By 2016, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force (CLF).
	6.3. By 2016, public network applications are available 99 percent of the time.

FY 2008 Resources Available to Meet This Goal: $31,718,000; 161 FTE

6.1 RECRUITMENT AND DEVELOPMENT

FY 2008 Objectives	☐	Maintain 95 percent of staff development plans linked to strategic outcomes.
	☑	Maintain 95 percent of employee performance plans linked to strategic outcomes.
	☑	Implement pilot for a management development program.
Results	✔	We maintained 89 percent of staff development plans linked to strategic outcomes.
	✔	We maintained 98 percent of employee performance plans linked to strategic outcomes.
	✔	We implemented a management development program pilot.

Discussion: Staff need to understand how their jobs and the work they do links to the agency's mission and strategic goals. Each year we work to align our staff development plans and employee performance plans to NARA's Strategic Plan, and this year 89 percent of NARA's staff development plans and 98 percent of the employee performance plans linked to strategic outcomes. We strive to meet these goals each year because we recognize the importance of the plans. Staff use these to identify training, mentoring, shadowing, and cross-training opportunities both within and external to our agency. Many staff use these as vehicles to broaden their skills and knowledge base, network within their profession, learn new competencies, and expand their perspective of how their work connects to NARA's mission.

Development initiatives in this area have included an Emerging Manager Development Program and the conduct of assessment centers for development for all current managers in NARA's Office of Records Services. At present, 36 managers have gone through an

assessment center and received feedback for targeted development. NARA has also implemented our online training system with special features such as listing SkillSoft courses and making books available on-line at Books 24/7. Finally, some offices within NARA have begun to focus on high performance for their organizations, groups and individuals. This focus is based on integrating vision, values, customer satisfaction, quality and efficiency and identifying measures of performance for each. All of these initiatives aim to enhance the organization, management and staff development in NARA.

Performance Data	2004	2005	2006	2007	2008
Performance target for percent of permanent staff having staff development plans that link to strategic outcomes.	*95*	*95*	*95*	*95*	*95*
Percent of permanent staff having staff development plans that link to strategic outcomes.	52	78	76	96	89
Number of permanent staff having staff development plans that link to strategic outcomes.	1,401	2,073	2,044	2,379	2,229
Number of permanent staff.	2,704	2,671	2,629	2,485	2,570
Average time (in calendar days) to fill a leadership position	90	82	42	39	55
Performance target for percent of staff having performance plans that link to strategic outcomes	*95*	*95*	*95*	*95*	*95*
Percent of staff having performance plans that link to strategic outcomes.	93	94	95	97	98
Number of staff having performance plans that link to strategic outcomes.	2,514	2,492	2,361	2,299	2,475

FY 2009 Performance Plan Evaluation   We will develop NARA's Strategic Human Capital Plan.

6.2 EQUAL EMPLOYMENT OPPORTUNITY

FY 2008 Objectives   ☑   Increase the percentage of applicants pools with applicants in underrepresented groups for positions in grades 13 and above over the percentage in FY 2007.

Results   ✓   We employed people in underrepresented groups so that our percentages matched in two out of six underrepresented groups.

Discussion: NARA strives to achieve a workforce that reflects the demographics of our nation's diverse workforce. We are pleased that we have met this goal for Blacks and persons with targeted disabilities, however, we must focus on improving our performance in hiring and promoting people in underrepresented groups by continuing our efforts to expand recruiting techniques, analyze pertinent personnel information and implement staff development programs.

This year, we exceeded our target for GS 13-15 applicant pools that contained members of underrepresented groups. Although these results are encouraging, NARA is still experiencing a trend towards more internal hiring. If this trend continues, we will need to look at other ways to increase diversity at the higher levels since NARA is already less diverse than the overall civilian labor force.

We hope to make steady gains in attracting underrepresented groups through a recruitment framework developed last year. 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, in FY 2008, NARA expanded its diversity partnership initiative to include a new partnership with the Washington Internships for Native Students (WINS) Program. Together with the Hispanic Association of Colleges and Universities (HACU) and the Gates Millennium Scholars Foundation, WINS is a key partner in helping NARA place underrepresented students in internship positions throughout the agency. This year, we placed 15 students in internship positions through this diversity partnership initiative—a 50 percent increase over the number placed in FY 2007.

Also in FY 2008, NARA implemented the Federal Career Intern Program (FCIP) as a tool to attract highly qualified diverse applicants to entry-level positions throughout NARA. This new program was particularly successful in recruiting Hispanics and women to entry-level program analyst positions in the Information Security Oversight Office (ISOO). Of the five program analysts hired under the new FCIP authority, two (40 percent) were Hispanic, and three (60 percent) were women. Of the two Hispanics hired, one was a former HACU intern with NARA.

Performance Data	2004	2005	2006	2007	2008
Performance target for percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.	*90*	*93*	*96*	*87*	*77*
Percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.	92	95	87	76	91
Number of applicants for positions at grades GS-13 and above.	1,783	1,725	693	194	259
Number of applicant pools for positions at grades GS-13 and above.	143	153	88	37	54
Number of pools for positions in grades GS-13 and above that had self-identified applicants in protected classes.	132	145	77	28	49
Percent of Civilian Labor Force rate used to determine if underrepresented groups met employment target.	*70*	*80*	*90*	*100*	*98*
Underrepresented groups of employees meeting target (checkmark indicates target met or exceeded) —Women —Black —Latino-Hispanic —Asian American/Pacific Islander —American Indian/Alaskan Native —Targeted disability	✓ ✓ ✓ ✓ ✓	✓ ✓ ✓	 ✓ ✓	 ✓ ✓	 ✓ ✓

FY 2009 Performance Plan Evaluation Improving performance in hiring and promoting people in underrepresented groups will continue as an ongoing effort to achieve a workforce that mirrors the society that we live in.

6.3 INFORMATION TECHNOLOGY

FY 2008 Objectives	☑	Public network applications are available 98.83 percent of the time.
	☑	Recompete the NARA IT support services contract.
	☐	Test IT solutions to expand NARA's telework resources.
Results	✓	Public network applications are available 99.5 percent of the time.
	✓	We issued a request for quotation (RFQ) and Statement of Work as part of the recompete process for NARA IT support services contract.
	✓	We installed and conducted functionality tests of IT solutions procured to expand NARA's telework resources.

Discussion: Our technological resources are invaluable tools that offer steadily increasing flexibility for today's workforce. The requirements of both NARA's customers and staff using our public network applications necessitates that these tools remain stable, secure, and continuously available (i.e. 24x7). We have achieved great success in maintaining a public network application availability rate of more than 99 percent. We use these tools to communicate with our customers, provide our nation with access to digital records and research, and create venues for customers to visit our facilities and experience our exhibits through virtual worlds.   The challenges we face are the growing number of digitized materials available. We anticipate more of the public coming to our sites to access this information. To ensure that our customers have this trove of information at their fingertips, our IT infrastructure must support the movement of a growing volume of work to a digitized environment. Although our reliance on resources, both hardware and software, and technically competent staff to ensure secure access and availability is a moving target with numerous challenges, we have been successful in sustaining our infrastructure to provide access for our customers.

We made progress toward completing the recompetition of NARA's IT support services contract and expect an award in FY 2009. We also began a series of pilots and phased rollouts of functionality that will support our telework program.

Performance Data	**2004**	**2005**	**2006**	**2007**	**2008**
Percent of public network availability.	100	99.9	100	100	100
Performance target for percent availability of public applications.	*96.5*	*97*	*98.9*	*98.80*	*98.83*
Percent of public network applications availability.	98.7	98.9	98.9	99.3	99.5
Number of total hours that any public network application was unavailable.	1,047	923	830	504	424
Number of network users for public applications (in millions).	4.4	6.6	6.7*	6.5*	8.8
Cost per network user for public applications.	$0.29	$0.24	$0.27	$0.34	$0.40
Percent of customer's highly satisfied with NARA	—	—	—	65	83

Performance Data	2004	2005	2006	2007	2008
helpdesk services (average for year).					

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

FY 2009 Performance Plan Evaluation   We will update network capacity across the enterprise by increasing bandwidth. We will ensure that our public network applications availability rate continues to meet the target. We will award the contract for IT Support Services and we will upgrade the telephone infrastructure.

FY 2008 PROGRAM EVALUATIONS

Strategic Goal 1: Our Nation's Record Keeper

Government Accountability Office, GAO-08-742, *National Archives and Selected Agencies Need to Strengthen E-Mail Management*, June, 2008.

> GAO was tasked by Congress to review the extent to which NARA provides oversight of federal records management, describe selected agencies' processes for managing e-mail records, and assess these agencies' e-mail policies and key practices. GAO made four interrelated recommendations specific to NARA. NARA provided GAO and Congress with a high-level plan to satisfy these recommendations in September 2008 and are pursuing several strategies to meet internal milestones and target dates.

Strategic Goal 2: Preserve and Process

Office of Inspector General, OIG Report 08-01, *Audit of the Process of Safeguarding and Accounting for Presidential Library Artifacts,* October 26, 2007.

> The NARA Office of Inspector General (OIG) performed an audit of the controls over artifacts to determine if the process of accounting for and safeguarding Presidential Library artifacts was adequate. This audit was identified in the OIG's FY 2006 annual work plan, but as field work commenced, the OIG received an inquiry from United States Senator Charles Grassley's office asking that they conduct a detailed audit of the operations of Presidential Libraries and the activities of NARA to protect and preserve these collections. There were five recommendations made in the audit report. Although progress has been made, all five recommendations remain open.

Office of Inspector General, OIG Report 08-07, *Audit of NARA's Researcher Identification Card Program,* April 24, 2008.

> The Inspector General sought to determine whether management controls over the researcher registration and application program ensure that researcher information is accurately obtained, verified, and properly safeguarded according to NARA directives. There are three recommendations associated with this audit. All three recommendations remain open.

Office of Inspector General, OIG Management Letter 08-12, *Update on Conditions of the Museum Collection at the Ronald Reagan Presidential Library,* August 12, 2008.

> The Inspector General updated the Archivist on significant progress being made by the Office of Presidential Libraries and the Ronald Reagan Presidential Library in strengthening their stewardship of presidential artifacts. There were no recommendations in this management letter.

Office of Inspector General, OIG Management Letter OI 08-01, *Historical Records Discarded in Trash,* June 19, 2008.

The Inspector General informed the Archivist about a weakness at the Archives I facility with records disposal. There were no recommendations associated with this management letter.

Office of Administrative Services, *Physical Security, OSHA, and Accessibility Inspection,* October 2007.

The office conducted an inspection of the Northeast Regional Records Center in New York City. There were eight findings identified in this report, all of which are open as of September 30, 2008.

Office of Administrative Services, *Physical Security, OSHA, and Accessibility Inspection,* October 2007.

The office conducted an inspection of the George Bush Presidential Library in College Station, Texas. There were four findings identified in this report, all of which are open as of September 30, 2008.

Strategic Goal 3: Electronic Records

Office of Inspector General, OIG Report 08-08, *Review of the Electronic Records Archives Contract Direct Labor Costs,* June 10, 2008.

This review began as a request by the contracting officer for ERA. Its final scope was expanded by the Inspector General. The objectives of the review were to determine if the (a) invoices submitted by the contractor for direct labor costs and subcontract costs for work performed on the ERA contract, paid by NARA, were accurate, supported and reasonable, and (b) ERA program management officials had a satisfactory process in place to review and approve contract invoices. The review included two suggestions for ERA and NARA contracting officials.

Office of Inspector General, OIG Report 08-11, *Review of the Subcontract Costs on the ERA Development Contract,* August 28, 2008.

This report is a follow up on the June review of ERA contractor direct costs. This report focuses on subcontractor costs. The review included two suggestions for ERA and NARA contracting officials.

Government Accountability Office, GAO-08-1105, *The National Archives and Records Administration's FY 2008 Expenditure Plan*, September 2008.

GAO's objectives in reviewing the expenditure plan were to determine the extent to which the expenditure plan satisfied the six legislative conditions specified in the Appropriations Act. GAO recommended that NARA create a mitigation plan for acceptance of presidential records into ERA at end of this administration. We believe that we will meet the challenges to use ERA for this purpose, but are also working on a mitigation plan.

Strategic Goal 6: Infrastructure

Office of Inspector General, Report 08-02, *Audit of NARA's Purchase Card Program,* November 14, 2007.

> The objective of this audit was to assess (1) compliance with laws and regulations, (2) efficiency of operations, and (3) adequacy of internal or management controls to help prevent fraud, waste, and abuse by cardholders or others who attempt to manipulate the program. There were 20 recommendations made in this report, four of which remain open.

Office of Inspector General, Report 08-04, *Audit of NARA's Development of the Holdings Management System,* March 11, 2008.

> In this audit, the Inspector General sought to determine whether NARA has adequately managed the proposal and development of the Holdings Management System in accordance with Federal and agency requirements. There are six recommendations associated with this audit, five of which remain open.

Office of Inspector General, Report 08-05, *Audit of NARA's Compliance with the Federal Information Security Act for FY 2007,* March 20, 2008.

> The overall objective of this audit was to assess the adequacy of controls over information security and compliance with information security policies, procedures, standards, and guidelines. There were 21 recommendations made in this report, all of which remain open.

Office of Inspector General, Report 08-09, *Audit Management Controls over Accounting for Lost Property,* August 14, 2008.

> This audit was initiated based on a referral from OIG Investigations. The auditors sought to identify whether NARA adhered to its own policy and procedures in accounting for lost property and whether management actions taken in response to the identification of lost property were appropriate to protect government assets from loss. There were 15 recommendations made in this report, all of which remain open.

Office of Inspector General, Report 08-10, *Audit of NARA's Implementation of the Federal Desktop Core Configuration,* August 27, 2008.

> In this audit, the Inspector General sought to determine whether NARA (1) met the OMB mandated deadline, (2) adequately reported their status to OMB, and (3) developed adequate plans for implementing FDCC across the enterprise. There are five recommendations associated with this report, all of which were open on September 30, 2008.

Office of Inspector General, Management Letter 08-14, *Work at Home System Project,* September 4, 2008.

With this management letter, the Inspector General informed the Assistant Archivist for Information Services that the strategy employed in the development of the Work at Home System exposes NARA to security vulnerabilities. The initial text phase of the project was completed shortly after the management letter was issued and potential vulnerabilities cited were no longer applicable.

Office of Inspector General, OIG Report 08-13, *Audit of NARA's Central Receiving Function,* September 29, 2008.

The Inspector General sought to evaluate the effectiveness of controls over the central receiving functions at the Archives II facility in College Park, MD. There were 25 recommendations in this report.

Office of Inspector General, OIG Report 08-15, *Clifton-Gunderson LLP (CG) Review of NARA's Compliance with Section 522 of the Consolidated Appropriations Act of 2005 (Policies, Procedures, and Practices for the Protection of Personally Identifiable Information),* September 29, 2008.

The Inspector General contracted with Clifton Gunderson (CG) to conduct an audit of NARA's privacy and data protection policies and procedures in compliance with Section 522. CG made 2 recommendations in this audit.

Multi-Goal Evaluations

Office of Personnel Management, *OPM Report on the Human Resources Operations Audit of the National Archives and Records Administration,* November 13, 2007.

The purpose of this audit was to determine NARA's adherence to the merit systems principles, laws, and regulations, and to assess its efficiency and effectiveness in the administration of human capital (HC) and human resources (HR) management programs and systems. The audit encompassed five areas within the Human Capital Assessment and Accountability Framework (HGCAAF). OPM made 22 recommendations in this report. All are closed.

Office of Inspector General, OIG Report 08-03, *Clifton-Gunderson LLP (CG) Audit of the National Archives and Records Administration FY 2007 Financial Statements,* November 20, 2007.

The Inspector General contracted with Clifton Gunderson (CG) to conduct an audit of NARA's FY 2007 financial statements. CG made 13 recommendations to correct matters involving internal control and operations. Seven of these recommendations are closed and the remaining 6 will carry forward to the next report.

Office of Inspector General, OIG Report 08-06, *Evaluation of Management Control Program for FY 2007,* March 7, 2008.

The Inspector General reviewed NARA's FY 2007 Management Control

Program. There are three recommendations associated with this report. All three remain open.

Office of Regional Records Services, *Program Review*, March 2008.

The office conducted a program evaluation of the Mid-Atlantic Region in Philadelphia. There were four recommendations made in this report, all of which remain open on September 30, 2008.

Office of Regional Records Services, *Program Review*, June 2008.

The office conducted program evaluations of the Pacific-Alaska Region in Seattle and Anchorage. There were three recommendations made in this report, all of which remain open on September 30, 2008.

Office of Presidential Libraries, *Program Review*, February 2008.

The office conducted a program review of the Richard Nixon Library in Yorba Linda, California. There were 29 recommendations made in this report, 27 of which remain open on September 30, 2008.

Office of Presidential Libraries, *Program Review*, March 2008.

The office conducted a program review of the Franklin D. Roosevelt Library in Hyde Park, New York. There were nine recommendations made in this report, three of which remain open on September 30, 2008.

Federal Records Management Evaluations

Under 44 U.S.C. 2904(c)(8), the Archivist of the United States is required to report to Congress and OMB annually on the results of records management activities. NARA fulfills this requirement through the Performance and Accountability Report. This report focuses on Federal agency activities in identifying, scheduling, and transferring electronic records as well as reporting on allegations of unauthorized disposition. We also recognize the two agencies who received special recognition this year for electronic records management.

Records Management Achievement

In FY 2008, NARA presented Archivist's Achievement Award to two agencies who have demonstrated success in electronic records management:

- Office of the Comptroller of the Currency (OCC)
- Internal Revenue Service (IRS)

OCC received the award for its successful planning, development, and implementation of its Document and Records Management System, known as WISDM. The IRS received its award for outstanding work in incorporating records management requirements into the agency governance structure for electronic systems.

Electronic Records Management

In FY 2008, NARA continued its partnerships with Federal agencies to increase the number of electronic records series and systems scheduled across the Government and to increase the number of permanent electronic records transferred to the National Archives. Continuing the approach begun last year, NARA is focusing on the important electronic records of the CFO Act agencies in making sure that these records are all covered by records schedules before the E-Government Act of 2002 deadline of September 2009 and that electronic records scheduled as permanent are transferred to the National Archives in a timely manner. These efforts will ensure that agency business assets are maintained for as long as needed, to protect the legal and financial rights of the Government and its citizens, and to preserve records of enduring historical value.

Records Scheduling

In FY 2008, NARA set a goal to schedule 280 electronic records series and systems from the following CFO Act agencies, components, and other selected agencies:

Department of Homeland Security
Department of Health and Human Services
Department of Transportation
Department of Justice
Department of the Treasury
Environmental Protection Agency
Department of Commerce
Department of Interior
Department of Education

Department of Agriculture
Department of Labor
Central Intelligence Agency
Department of Defense
Department of State
Nuclear Regulatory Commission

Through close cooperation with these agencies, NARA exceeded its target by scheduling close to 450 series of electronic records and systems. In FY 2009, NARA will continue to work with these agencies to surpass the goal of scheduling ten percent more records than were scheduled in FY 2008.

Agency Recognition

While there is still a tremendous amount of work required in this area, scheduling efforts continued to increase in FY 2008. The following highlights a few of the agencies who made dramatic improvements in their scheduling activities.

Patent and Trademark Office. PTO's records management program has been very active in FY 2008. The agency is one of the four pilot agencies for NARA's Electronic Records Archives (ERA) and has been working closely with NARA to schedule and transfer records to NARA electronically. Additionally, the agency has been a leader in developing flexible records schedules, allowing the agency to schedule more records effectively. Using this approach, PTO has scheduled 63 electronic systems since FY 2006 and continues to work towards scheduling all their electronic records to comply with the E-Government Act deadline in 2009.

Department of Homeland Security. Established in FY 2003, DHS has consistently focused on scheduling their records. From FY 2004 through FY 2007, DHS submitted 26 records schedules to NARA for approval. In FY 2008 alone, DHS submitted 43 records schedules to NARA, which has resulted in the approval of 32 series of electronic records and systems.

Federal Bureau of Investigation. In recent years, the records of the FBI have received even more attention from the public and the media, and as a result, the Bureau has increased resources for scheduling and managing records. Over the last three years, the FBI has submitted to NARA for approval 59 schedules covering 417 distinct records series. From these schedules, NARA has approved 26 records schedules that include 62 series of electronic records or systems.

Department of Agriculture. In FY 2008, NARA concluded a multi-year project with three USDA components to schedule all their existing electronic records. These active records management programs – Agricultural Marketing Service, Federal Nutrition Service, and the Food Safety and Inspection Service – have successfully scheduled their electronic records.

Small Business Administration. Similar to USDA, the SBA worked diligently over the last five years to schedule all their existing electronic records series and systems. By the end of FY 2008, NARA had approved 34 records schedules consisting of over 500 distinct series of records.

Environmental Protection Agency. In addition to approving 19 electronic systems submitted by EPA, NARA worked closely with the agency to approve 72 media neutral

records schedules for the agency to facilitate their transition to an Enterprise Content Management System (ECMS). This new system will allow EPA to manage their records more efficiently and will ensure that staff across the country has access to the records they need to conduct business.

Nuclear Regulatory Commission. In FY 2008, NRC added new staff to concentrate on scheduling their electronic records. The increase in staff resources led to 22 new records schedules submitted to NARA covering 26 electronic records systems.

Challenges and Risks

In FY 2008, NARA announced to agencies that in this report we would identify specific agencies where we believe there are records management risks that need to be addressed. The list below includes agencies that have not scheduled their records – electronic or otherwise – and have not responded to outreach or advocacy from NARA staff. NARA is concerned that these agencies are at high risk for litigation because they have not identified and scheduled their records for disposition.

Department of Health and Human Services. NARA has worked closely with several HHS agencies; however, there are four components in particular that have resisted contact with NARA and have not scheduled their records. These agencies are Administration for Children and Families, Agency for Healthcare Research and Quality, Health Resources and Services Administration (which did transfer 3 accessions of permanent records to NARA), and the Substance Abuse and Mental Health Services Administration. Over the last three years, none of these four agencies has submitted a records schedule, and have resisted NARA attempts to develop records schedules.

National Transportation Safety Board. The NTSB, established in 1967, maintains important records on the safety of our Nation's transportation that directly affect the rights of citizens. NARA is particularly concerned given the importance of these records that the NTSB has not scheduled any records since the 1970s and none of their electronic records.

Defense Contract Management Agency. Established in 2000, DCMA maintains records that impact rights and government accountability. These are important records, which the agency has not attempted to schedule in their 8 years of existence.

National Institute of Standards and Technology. A bureau of the Department of Commerce, NIST has not actively scheduled their records since the mid-1990s. Aside from one schedule approved in 2001 for administrative records related to their web site, NIST has not scheduled any electronic records.

U.S. Marshals Service. The U.S. Marshals Service, part of the Department of Justice, has not submitted any schedules for electronic records since 2000 and nor any schedules since 2003. The records of the U.S. Marshals are high value records that protect citizen rights and provide government accountability.

Electronic Records Transferred to NARA

In FY 2008, NARA registered 186 new accessions of electronic records from 38 agencies and one donated collection. In FY 2008, NARA also targeted a selection of CFO Act Agencies and their components in its efforts to bring into the National Archives the electronic records that are scheduled as permanently valuable and that are eligible for

transfer. Eighteen of the 30 agencies we targeted as having items eligible for transfer in FY 2008 contributed 106 of the 186 accessions (or, 57 percent of the transfers).

The following agencies transferred new accessions of electronic records to the National Archives in FY 2008 for permanent preservation:

Department	Agency	Number of Accessions in FY2008
Department of Agriculture	National Agricultural Statistics Service	5
Department of Agriculture	Cooperative State Research, Education and Extension Service	1
Department of Commerce	Bureau of the Census	25
Department of Commerce	National Oceanic and Atmospheric Admin	1
Department of Defense	Office of the Secretary of Defense	8
Department of Defense, Department of the Army	Army Staff	1
Department of Defense, Department of the Navy	Bureau of Naval Personnel	2
Department of Defense, Department of the Navy	U.S. Marine Corps	1
Department of Defense, Department of the Navy	U.S. Naval Academy	1
Department of Defense, Dept of the Air Force	U. S. Air Force Commands, Activities, and Organizations	1
Department of Education	Department of Education	22
Department of Energy	Department of Energy	1
Department of Health and Human Services	Centers for Disease Control and Prevention	44
Department of Health and Human Services	Health Resources and Services Administration	3
Department of Homeland Security	U.S. Coast Guard	1
Department of Homeland Security	Federal Emergency Management Agency	1
Department of the Interior	Bureau of Indian Affairs	1
Department of the Interior	Fish and Wildlife Service	2
Department of the Interior	Secretary of Interior	1
Department of the Interior	Bureau of Land Management	8
Department of the Interior	U.S. Geological Survey	2
Department of the Interior	Forest Service	1
Department of Justice	Law Enforcement Assistance Administration	4
Department of Labor	Labor-Management Services Administration	1
Department of Labor	Mine Safety and Health Administration	1
[Department of State]	U.S. Information Agency	1
Department of Transportation	Federal Aviation Administration	5
Department of the Treasury	Bureau of Public Debt	1
Consumer Product Safety Commission	Consumer Product Safety Commission	1
Federal Reserve System	Federal Reserve System	5
Merit Systems Protection Board	Merit Systems Protection Board	1
National Aeronautics and Space Admin	National Aeronautics and Space Admin	2
National Endowment for the Arts	National Endowment for the Arts	1

Department	Agency	Number of Accessions in FY2008
National Science Foundation	National Science Foundation	1
Office of Personnel Management	Office of Personnel Management	1
Small Business Administration	Small Business Administration	1
Temporary Committees, Commissions and Boards	Temporary Committees, Commissions and Boards	3
United States Senate	U.S. Senate	23
	Donation	1
	TOTAL	**186**

The table below identifies the agencies that we targeted for transfer of permanent electronic records, the number of accessions they transferred, and the related number of targeted items.

Targeted Agency	Dept	Disposition Authorities (Items) Targeted FY 2008	Accessions Received FY 2008	Targeted Disposition Authorities for Accessions Received FY 2008	FY 2008 Targeted Disposition Authorities NOT Received as of 9/30/08
U.S. Air Force Commands, Activities, & Organizations	Air Force	1	1	1	0
Army Staff	Army	4	**1**	1	3
Bureau of Land Management	DOI	2	**8**	1	1
Bureau of Naval Personnel	Navy	4	**2**	2	2
Center for Disease Control and Prevention	HHS	10	**44**	3	7
Defense, Office of the Secretary	DOD	11	**8**	5	6
Education, Department of	DOEd	17	**21**	14	3
Environmental Protection Agency	EPA	1	**0**	0	1
Federal Aviation Administration	DOT	10	**5**	7	3
Federal Bureau of Investigation	FBI	1	**0**	0	1
Federal Communications Commission	FCC	5	**0**	0	5
Fish and Wildlife Service	DOI	1	**2**	1	0
Forest Service, USDA	USDA	2	**1**	1	1
Homeland Security, Department of	DHS	1	**0**	0	1
Housing and Urban Development, Department of	HUD	5	**0**	0	5
Interior, Department of	DOI	2	**1**	1	1
Internal Revenue Service	Treas	1	**0**	0	1
Marine Corps	Navy	2	**1**	1	1

Targeted Agency	Dept	Disposition Authorities (Items) Targeted FY 2008	Accessions Received FY 2008	Targeted Disposition Authorities for Accessions Received FY 2008	FY 2008 Targeted Disposition Authorities NOT Received as of 9/30/08
National Aeronautics and Space Admin	NASA	1	**2**	1	0
National Oceanic and Atmospheric Admin	Commerce	2	**1**	1	1
National Park Service	DOI	2	**0**	0	2
Naval Academy	Navy	1	**1**	1	0
Navy, Department of, 1947-	Navy	2	**0**	0	2
Nuclear Regulatory Comm	NRC	1	**0**	0	1
Office of Justice Programs	DOJ	2	**4**	1	1
State, Department of	State	2	**0**	0	2
Tennessee Valley Authority	TVA	7	**0**	0	7
Transportation, Department of	DOT	4	**0**	0	4
U.S. Geological Survey	USGS	2	**2**	1	1
U.S. Information Agency	State	1	**1**	1	0
Total		**107**	**106**	**44**	**63**

Alleged Unauthorized Disposition of Federal records

Under 44 USC 3106, Federal agencies are required to notify the Archivist of the United States of any alleged unauthorized disposition of the agency's records. NARA also receives notifications from other sources such as the news media and private citizens. NARA establishes a case to track each allegation and communicates with the agency until the issue is resolved. Summary statistics on FY 2008 cases are as follows:

Open cases, start of FY 2008:   25
Cases opened in FY 2008:   12
Cases closed in FY 2008:   19
Open cases, end of FY 2008:   18

Of the 18 cases open at the end of FY 2008, nine of them are involved in ongoing litigation and three are cases that are still being investigated by the agency. NARA monitors the status of these cases and is not reporting them here. The following two tables list the six cases that are open and pending a response from the agency and the 19 cases that were closed in FY 2008.

Cases Awaiting Agency Response or Follow-Up

Case Opened	Agency	Records	Status
August 1998	**Dept. of Army**, Office of Deputy Chief of Staff for Operations and Plans	Records of action officers	Awaiting agency response or follow-up
March 1999	**Dept. of Interior**, Bureau of Indian Affairs	Records of Crow Agency, Montana	Awaiting agency response or follow-up
May 2007	**Executive Office of the President**, Office of Administration	Federal records in White House e-mail system	Awaiting agency response or follow-up
July 2007	**Federal Labor Relations Authority**	Records of FLRA Chair	Awaiting agency response or follow-up
April 2008	**Dept. of Defense,** Office of Secretary of Defense	Video recordings of interrogations	Allegation founded- awaiting corrective action
May 2008	**Dept. of Defense,** Defense Intelligence Agency	Video recordings of interrogations of terrorism suspect	Allegation founded- awaiting corrective action

Note: In the case involving Federal records in the White House e-mail system, NARA has been informed by the Executive Office of the President, through its Office of Administration, that EOP staff is actively pursuing the issue of possible recovery of e-mail records. In light of this representation, and in view of pending related litigation, NARA continues to be updated on further developments.

The following table covers cases of alleged unauthorized disposition that were closed in FY 2008. Note that, when an allegation is determined to be founded, the affected agency takes corrective action to prevent additional unauthorized disposition of records.

Cases Closed in FY 2008

Case Opened	Agency	Records	Resolution
May 1999	**Dept. of Justice,** Bureau of Prisons	Alcatraz Prison files	Allegation founded. Most records recovered
March 2000	**Dept. of Interior,** National Park Service	Director's Office files	Allegation founded- corrective action taken
November 2005	**Dept. of Health and Human Services,** Food and Drug Administration	Commissioner's records relating to "Plan B" drug application review	Allegation not founded
July 2006	**Dept. of Air Force**	1958 intelligence document	Allegation not founded
April 2007	**Dept. of Interior**, Minerals Management Service	Compliance audit records	Allegation founded- corrective action taken

Case Opened	Agency	Records	Resolution
April 2007	**National Commission on Libraries and Information Science**	1977 and 1979 White House Conference records, meeting minutes, and task force records	Allegation founded-corrective action taken
May 2007	**Dept. of Defense,** Defense Intelligence Agency	Video recording of interrogation of terrorism suspect	Allegation founded-corrective action planned
June 2007	**Dept. of Education**	Email of agency employees	Allegation not founded
June 2007	**National Aeronautics and Space Administration**	Project records	Allegation not founded
July 2007	**Dept. of Interior,** Bureau of Land Management	Cartographic records	Allegation founded-corrective action taken
September 2007	**Dept. of Treasury,** Financial Management Service	Miscellaneous records	Allegation founded-corrective action taken
October 2007	**Dept. of Air Force**	Administrative orders of Air National Guard	Allegation founded-corrective action taken
January 2008	**Federal Deposit Insurance Corporation**	Records relating to First National Bank of Midland, Texas	Allegation not founded
April 2008	**Dept. of Labor**	Investigations of complaints conducted by Veterans' Employment and Training Service	Allegation founded-corrective action taken
April 2008	**Environmental Protection Agency**	Computer files in limited-access e-mail accounts of former Administrators	Allegation founded – corrective action taken
June 2008	**Dept. of Agriculture,** Forest Service	Miscellaneous records	Allegation founded-corrective action taken
June 2008	**Central Intelligence Agency**	Video recording of interrogation of terrorism suspect	Allegation founded – corrective action taken
July 2008	**Dept. of Labor**	Records relating to performance measurement and monitoring	Allegation founded-corrective action taken
August 2008	**National Aeronautics and Space Administration**	X-38 program records	Allegation founded-corrective action taken

Performance Assessment Rating Tool Summary

Records Services Program

As part of the FY 2005 budget formulation, OMB evaluated NARA's records services program using the Program Assessment Rating Tool (PART). PART was established to provide a process for rating the performance of programs across the Federal Government. The chart below summarizes the FY 2008 results for our PART measures.

Selected PART Measures	Year	Target	Actual
Annual cost of archival storage space per cubic feet of traditional holdings	2008	$5.84	$5.85
By 2005, 95 percent of requests for military service separation records are answered within 10 working days	2008	95%	95%
By 2009, 100 percent of NARA's archival holdings are in appropriate space	2008	No annual target	86% traditional holdings, 100% electronic holdings, 40% artifact holdings
By 2009, 100 percent of NARA records centers comply with the October 2009 regulatory storage standards	2008	No annual target	33%

Electronic Records Services Program

As part of the FY 2006 budget formulation, OMB evaluated NARA's electronic records services program using the PART. The chart below summarizes the FY 2008 results for our PART measures.

Selected PART Measures	Year	Target	Actual
Percentage of archival electronic records accessioned by NARA at the scheduled time.	2008	10%	40%
The per megabyte cost of managing archival electronic records through the Electronic Records Archives will decrease each year	2008	Target pending completion of ERA	$0.39
Milestone measures for development of the Electronic Records Archives in 2008 including completing Interim Operating Capability for Increment 1.	2008	Annual measures	Rebaselined Initial Operating Capability met June 2008. Oversight by OMB and GAO continues.

Definitions

The following provides definitions for many of the terms and concepts used in this Performance section.

Goal 1	Our Nation's Record Keeper
Capital Asset Planning	An element in the decision-making process for ensuring that IT investments integrate strategic planning, budgeting, procurement, and the management of IT in support of agency missions and business needs.
COOP viability	NARA Headquarters and Federal Register must perform essential functions with and without warning regardless of emergency circumstances within 12 hours of activation of COOP for up to 30 days to include reconstitution of normal operations. Viability also includes regular testing, training, exercising of NARA personnel, equipment, systems, processes, and procedures used to support NARA during a COOP event.
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.
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.
Inventory	A listing of the volume, scope, and complexity of an organization's records.
Proof of concept	Demonstration of new technology to show that an idea works.
Records management service (RMS)	An application or system software providing services that support the creation, management, transfer, and destruction of electronic records within a computing environment.
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.

Goal 2	Preserve and Process
Accession	Archival materials transferred to the legal custody of NARA.
Appropriate space	Storage areas that meet physical and environmental standards for the type of materials stored there.
At-risk	Records that have a media base near or at the point of deterioration to such an extent that the image or information in the physical media of the record is being or soon will be lost, or records that are stored on media accessible only through obsolete or near-obsolete technology.

Declassification review	An evaluation of the declassification aspects of an executive branch agency's security classification program to determine whether an agency has met the requirements of Executive Order 12958. The review may include the appropriateness of agency declassification actions, the quality of agency actions to identify classified equities of other agencies, and the appropriateness of agency action to exempt records from automatic declassification based upon application of declassification guidance approved by the Interagency Declassification 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 senior official or agency head.
Equity-holding agency	An agency that may have classified information in a document, whether or not it created the document. Without declassification guidelines, only the equity-holding agency can declassify information in the document.

Goal 3   Electronic Records

Gigabyte	A measure of computer data storage capacity. A gigabyte is 2 to the 30th power, or approximately a thousand megabytes.
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 email message; each row in each table of a relational database or each row in an independent logical file database.
Megabyte	A measure of computer data storage capacity. A megabyte is 2 to the 20th power, or approximately a million bytes.
Preserved	(1) The physical file containing one or more logical data records has been identified and its location, format, and internal structure(s) specified; (2) logical data records within the file are physically readable and retrievable; (3) the media, the physical files written on them, and the logical data records they contain are managed to ensure continuing accessibility; and (4) an audit trail is maintained to document record integrity.
Terabyte	A measure of computer data storage capacity. A terabyte is 2 to the 40th power, or approximately a thousand gigabytes.

Goal 4   Access

Artifact holdings	Object whose archival value lies in the thing itself rather than in any information recorded upon it.
Electronic holdings	Records on electronic storage media.
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 email message; each row in each table of a relational database or each row in an independent logical file database.
Online visit	One person using our web site is counted as one "visit." It is a count of the number of visitors to our web site, and is similar to counting the number of people who walk through our front door. In contrast, it does not count "hits," which refers to the number of files used to show the

user a web page. A visit in which a user accessed a web page comprising 35 files would count as 1 visit and 35 hits. Counting visits is a more accurate way of showing how much use our web site is getting than counting hits.

Traditional holdings   Books, papers, maps, photographs, motion pictures, sound and video recordings, and other documentary material that are not stored on electronic media.

Written requests   Requests for services that arrive in the form of letters, faxes, email messages, and telephone calls that have been transcribed. Excludes Freedom of Information Act requests, personnel information requests at the National Personnel Records Center, Federal agency requests for information, fulfillment of requests for copies of records, requests for museum shop products, subpoenas, and special access requests.

Goal 6	Infrastructure

Applicant   Any U.S. citizen who completed an application for a specific position.

Leadership position   A supervisory position at grade GS-13 or above and non-supervisory positions at grade 15 or above.

NARANET   A collection of local area networks installed in 37 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.

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

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