

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION 2012 PERFORMANCE BUDGET — CONGRESSIONAL JUSTIFICATION

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**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS**

EXECUTIVE SUMMARY

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

To carry out our mission, NARA strives to achieve the six broad goals of our Strategic Plan.

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

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

| <i>(Dollars in Thousands)</i> | 2010 Enacted | 2011 CR ^[1] | 2011 President's Budget | 2012 Request ^[2] | Change over 2011 President's Budget |
|--|------------------|------------------------|----------------------------|-----------------------------|--|
| Operating Expenses | \$339,770 | \$339,770 | \$348,689 | \$403,742 | \$55,053 |
| Office of Inspector General | 4,100 | 4,100 | 4,250 | 4,100 | -150 |
| Electronic Records Archives | 85,500 | 85,500 | 85,500 | 0 | -85,500 |
| Repairs and Restoration | 27,500 | 27,500 | 11,848 | 9,659 | -2,189 |
| NHPRC Grants | 13,000 | 13,000 | 10,000 | 5,000 | -5,000 |
| Total NARA Request—Appropriations | \$469,870 | \$469,870 | \$460,287 | \$422,501 | -\$37,786 |
| Less: Redemption of Debt | -12,870 | -13,987 | -13,987 | -15,201 | -1,214 |
| Total NARA Request—Budget Authority | \$457,000 | \$455,883 | \$446,300 | \$407,300 | -\$39,000 |

[1] Reflects anticipated funding levels if funded under a full year Continuing Resolution (CR).

[2] For FY 2012 Request, Electronic Records Archives funding, \$49,200,000, is combined with Operating Expenses, \$354,542,000.

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Operating Expenses—Base—Net decrease of \$2,279,000:

- Pay Raises-\$1,920,000
- One Less Compensable Day in 2012.....-\$637,000
- Facility Rates (NARA Facilities)\$665,000
- Rent Rate Changes (GSA Facilities)-\$387,000

Operating Expenses—Program increase of \$12,130,000:

- Records Management Leadership Role\$2,400,000
- Archival Storage Space\$3,700,000
- St. Louis Move and Space Needs\$3,030,000
- National Declassification Center\$1,900,000
- Improve Research Room Holdings Protection\$1,100,000

Operating Expenses—Program decrease of \$3,998,000

Electronic Records Archives—Program decrease of \$36,300,000; remaining \$49,200,000 is now being reflected in Operating Expenses

Office of Inspector General—Program decrease of \$150,000

Repairs and Restoration—Net decrease of \$2,189,000:

Base Level:

- Restriction was removed on the Alaska Regional Archives unobligated balance in FY 2011 to maintain base level\$3,152,000
- Remove restriction from funding received in 2004, P.L. 108-199, for a requirements study at the St. Louis Military Personnel Records Center-\$341,000

Capital Improvements Plan Projects:

- National Archives Experience Phase II Part 1-\$5,000,000
- National Archives Experience Phase II Part 2\$6,000,000
- Remove the restriction on \$6,000,000 of the \$22,000,000 received in 2009, P.L. 111-08, for the Kennedy Library construction project-\$6,000,000

National Historical Publications and Records Commission Grants Program—Program decrease of \$5,000,000

STRATEGIC OVERVIEW

The citizens of the United States depend on the National Archives and Records Administration (NARA) to protect and preserve records that document the rights of citizens and the work of Government. We hold in trust the records that confer citizenship and benefits, attest to court proceedings, and document service to our nation. NARA's customers represent a diverse group of people from various backgrounds, cultures, and disciplines. From genealogists to filmmakers, historians to patent holders, our diverse group of customers, who use our resources for personal or professional reasons, rely and trust that the records we maintain are authentic, available, and accessible. We value and support the principles of open government as exemplified in our commitment in *NARA's Open Government Plan*. These principles which support a culture of openness are embedded in NARA's mission. In the past year, we have worked with the public to create a more transparent, participative, and collaborative environment. We continue to increasingly seek opportunities to communicate more efficiently and effectively with the public to help us deliver records for public view. Government agencies also depend on NARA's records management assistance and guidance to help them more effectively carry out their missions and to ensure that permanently valuable agency records are identified and transferred to NARA's legal custody and protection.

As the volume of the Government's records continues to grow and increase in complexity, NARA is encountering new challenges in achieving our core mission and goals. Below we have identified our most pressing challenges:

- We must aggressively engage Federal agencies in transferring their permanently valuable electronic records to NARA through the Electronic Records Archives system. As ERA moves into full operations, our focus turns to increasing the volume of electronic records under ERA management.
- We must protect and secure our holdings, balancing the need for access to the holdings with the need to secure them.
- We must strengthen the National Declassification Center and work with other equity agencies to streamline the review and declassification of records to ensure records are released to the public as soon as possible. We must meet the 2013 deadline to declassify archival holdings 25-years-old or older under the provisions of Executive Order 13526.
- We must address the deficiencies that compromise effective records management across the Federal Government.
- We must tackle the space issues that challenge us in housing and preserving historically valuable records transferred to our custody.

FY 2010 Progress

In FY 2010, with input from NARA staff and the public, we documented and issued *NARA's Open Government Plan*. This plan aligns with our agency goals, and our commitment to these goals, detailed in our 10-year Strategic Plan, "Preserving the Past to Protect the Future," updated September 2009.

Provided below is a summary of FY 2010 accomplishments toward meeting the goals identified in our Strategic Plan.

Our Nation's Record Keeper. We continued our work in response to the FY 2008 GAO audit on Federal Records Management of E-Mail (GAO-08-742) where GAO recommended NARA carry out more oversight activities. Because we had developed a body of electronic records management policy and guidance that could effectively support our statutory responsibilities around compliance, NARA developed a program for annual agency self-assessments, targeted inspections by NARA staff, and reporting standards for making public our findings.

The self-assessment, conducted in FY 2009, was issued to more than 240 cabinet-level Federal agencies and their components, and independent agencies. We achieved a 91 percent agency participation rate and reported the results of Federal agency compliance in meeting existing records management regulations and requirements. The self-assessment covered five areas: Program Management, Records Disposition, Vital Records, Electronic Records, and E-Mail Records. Survey results indicated that 79 percent of Federal agencies have moderate to high levels of risk with their records management programs. The final report *Records Management Self-Assessment 2009: An Assessment of Records Management Programs in the Federal Government* can be found at <http://www.archives.gov/records-mgmt/resources/self-assessment.pdf>. We will use these results to identify key areas to target for inspection. We conducted the FY 2010 self-assessment with 271 agencies, 93 percent of which responded. We will publish the results of this self-assessment in FY 2011.

As part of our oversight responsibilities, we inspected several projects at the Office of the Secretary of Defense (OSD). We inspected OSD's project to scan files of high level officials and other permanent records; OSD's use of an e-vault approach to preserve e-mail; and the implementation of procedures to prevent the inadvertent disposal of permanent records. We also worked with the National Geospatial-Intelligence Agency (NGA) component responsible for the preparation of mapping products.

Section 207(e) of the E-Government Act of 2002 imposed a statutory requirement for all Executive agencies to schedule their electronic information systems in existence since December 17, 2005, by September 30, 2009. Based on 240 Federal agencies, we assessed that 25 percent were in the moderate to high risk category for failing to schedule more than 90 percent of their electronic records. Forty-two percent of Federal agencies were rated low risk and 33 percent did not respond to NARA's request for information. As we move forward, we will continue to advocate for the scheduling and transfer to NARA of electronic records and look for ways to partner and work with agencies to increase compliance with scheduling the growing volume of electronic records within the Federal government.

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We continued with enhancements to the Archives and Records Center Information System (ARCIS), NARA's online portal through which agencies conduct business with our Federal Records Centers. We developed functionality of the customer portal with the addition of records transfer capability, user administration, and agency controlled user access. With the deployment of ARCIS throughout the regions, our customers are able to submit electronic reference requests. Future system enhancements include features such as support for local billing arrangements and the capability for customers to electronically submit their transfer requests.

Timely responses to requests from our customers are important to NARA. Our National Personnel Records Center (NPRC) responds to more than one million written requests each year from former members of the military services, various Federal, state, and local government agencies, historians, genealogists, researchers and other requesters. Improved response time for requests for military personnel records is an agency high priority goal for NARA. Despite best efforts, we failed to achieve our target of 85 percent of military personnel records responded to within 10 working days. While steadily improving over prior years, we only responded to 73 percent within 10 working days. Currently, increased response times result from a seven percent increase in written requests (approximately 1,600 requests per week) above levels experienced during the same period in FY 2009. To help improve performance, we completed our planned hiring of military correspondence technicians and will continue to monitor progress to ensure increased response times to military personnel requests.

Preparations are underway to move to a new NPRC facility in St. Louis, MO, in 2011. Current facilities housing these records contain numerous problems that cannot cost effectively be renovated to meet storage standards. The new facility will provide vastly improved storage conditions for our military service files while helping to ensure their continued preservation.

Preserve and Process. Our commitment to ensuring access to the records of our nation depends heavily on getting the records transferred from agencies to NARA on schedule. Without the proper identification, schedule, disposition, and transfer of these important records to the National Archives, the Federal Government is vulnerable to losing these records. NARA works closely with agencies to get more of their high value records transferred on schedule, or even ahead of schedule, as in the case of some electronic records. We set a target to bring in 30 percent of selected records on schedule: we received 27 percent on schedule, but were well ahead of last year's target.

We continue to aggressively address our backlog of unprocessed records. Archival processing involves a series of steps that establish physical and intellectual control of records and culminates in describing records in our online catalog, making them easier and faster to locate for research. Although the percent of processed backlogged records has improved from 30 percent in FY 2008 to 47 percent in FY 2010, the processing backlog of textual and audiovisual records has grown over the decades. In addition, new processing challenges have arisen with the increasing number of electronic records accessions and the loss of veteran staff due to retirement. To address the waning skilled staff, we hired a cadre of new entry-level archivists. These archivists participate in developmental training to gain institutional and archival knowledge unique to NARA so that they are prepared to help with many of NARA's challenges, including records processing.

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The processing of Presidential records differs from processing Federal records because of requirements in the Presidential Records Act. This Act entitles the former President and the incumbent to exercise executive privilege in determining what records can be released. This requires NARA to conduct a page-by-page review of Presidential records, which has a significant impact on the volume of records that NARA releases to the public. To this end, we made steady progress in the processing of our backlog of records; however, the addition of the George W. Bush Presidential records to the count of holdings dramatically increased the backlog. We added archivists to our Presidential Libraries and spent much of this year training these new archivists. With the addition of new staff this year, we expect a steady improvement in processing holdings.

Upon signing of Executive Order 13526, NARA was designated to establish and lead a National Declassification Center (NDC), a critical element in reforming the Executive Branch's declassification program. Working closely with staff of national security agencies, NARA developed a concept of operations for a national center that would work collaboratively with agencies to efficiently and effectively manage the referral of classified equities between the various equity holders. Incorporating Lean Six Sigma concepts, we re-engineered our current declassification business processes to efficiently process and expedite the availability of declassified records to the public while balancing the needs of national security. To demonstrate our commitment to open government, we involved the public and historical communities to help us establish priorities for declassification and interagency referral reviews; the Archivist hosted an Open Forum to discuss the NDC and share the Prioritization Plan; we collaborated with national security agencies to improve business processes; and we established a website to provide timely information on the NDC.

For classified materials in the Presidential Library system, we continued our partnership with the Central Intelligence Agency (CIA) through our Remote Archives Capture (RAC) project. We met our target by scanning more than 530,000 pages of classified Presidential records eligible for declassification.

We identified appropriate storage of archival and non-archival holdings as two of NARA's high priority performance goals. Appropriate storage space is the most fundamental component in achieving our mission to safeguard and preserve the records of the Federal Government. To comply with 36 CFR 1234 storage standards for Federal records, we continued to work on a lease agreement to replace our Denver records center and two new leases to replace the Washington National Records Center in Suitland, MD. We have renovation efforts underway to bring facilities such as our Federal Records Centers in Seattle, WA, and Chicago, IL, into compliance. We recently completed improvements to our facility in Waltham, MA. Construction of a new National Personnel Records Center (NPRC) facility in St. Louis County is scheduled for initial occupancy in 2011. The facility will store our archival and permanent holdings, providing physical and environmental storage conditions appropriate to the type of records held there. The new facility will store records currently located at the Military Personnel Records Center and the Civilian Personnel Records Center in St. Louis, MO.

Meeting Electronic Records Challenges. The critical Electronic Records Archives (ERA) system captures electronic records and information, regardless of format, saves them permanently, and makes them accessible on whatever hardware or software is currently in use. We achieved a major milestone with the deployment of the Congressional Records Instance of ERA. This instance provides for management and access to

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Congressional assets. We met another major milestone in early FY 2011 with the release of a prototype of Online Public Access (OPA), the portal for public access to our holdings and information about our holdings. Initial public feedback has been overwhelmingly positive. We also drafted a Preservation Framework, defining the principles for long-term preservation and access to permanent electronic records in ERA.

We continue to move data from our legacy systems to ERA with more than 1,000 accessions ingested to date. Data from our Presidential Libraries brings the total volume in ERA to more than 92 Terabytes, which contains an information content equivalent to more than 22 billion textual pages of records. Last summer, the White House announced that ERA was one of the Office of Management and Budget's high priority IT investments. We welcome the increased attention and are making the system ready for use by CIO Act agencies beginning in March 2011, and opening the system to all Federal agencies and their components by mid-summer 2011. ERA development will end in FY 2011 and ERA will move to an operations and maintenance phase at the beginning of FY 2012. Our focus will shift to advancing user adoption in anticipation of ERA becoming mandatory by the end of 2012 for Federal agency use in transferring permanent electronic records to NARA. In addition, our current goal of transferring 10 TB per quarter from agencies will be quickly dwarfed in late 2011 when we plan to accept 488 Terabytes of 2010 Census records into a secured part of the system.

Expanding Opportunities for Access. We continually strive to make our holdings accessible to the public as soon as possible. One indication of the quality and interest in the information we provide is the number of visitors to our web sites—more than 33 million visits in FY 2010. Through partnerships and collaborative efforts, we continue to increase the number of digital records available to the public through our online catalog of NARA's nationwide holdings, the Archival Research Catalog (ARC). More than 2.8 million cubic feet of traditional holdings are described in ARC, 70 percent of our holdings. To date, we have received more than 24 million digital objects from partners. We continued with our multi-party projects digitizing the Homestead land entry files for Nebraska City and Lincoln; we partnered with Footnote to digitize and describe various Holocaust Assets Records microfilm publications, and we initiated another project with Footnote to digitize Civil War Union Service Records. A project with Ancestry.com recently culminated in a *Report of the Deaths of American Citizens Abroad*.

We welcome social media as a way to communicate and deliver timely information to the public. In FY 2010, not only did we continue with social media and networking tools such as *YouTube*, *Flickr*, *Twitter*, and *Facebook*, but we also increased our use of blogs, wikis, and *IdeaScale*. We joined *FlickrCommons*, a web site for cultural institutions to collaborate and share photograph collections with the public, and we established *Facebook* pages for several of our regional archives and Presidential Libraries. In the spring, we launched "AOTUS: Collector in Chief," the blog of the Archivist of the United States. We recently launched a ground-breaking pilot project, the Our Archives wiki, which encourages "citizen archivists" to contribute their expertise and guidance to NARA.

The OPEN Government Act of 2007 amended the Freedom of Information Act to create an Office of Government Information Services (OGIS) within NARA. This act expanded NARA's responsibilities to strengthen FOIA throughout the Executive branch, and ensure transparency of Government information to the public. The office began operations with efforts underway to provide mediation services, respond to the public about the administration of FOIA, and improve processes used by OGIS, administrative agencies, and the public.

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In response to the call for a more open and transparent government, and in celebration of the Federal Register's 75th anniversary, we launched *Federal Register 2.0*—an online newspaper edition of the *Federal Register*. Partnered with GPO and GovPulse, this effort reflects a public/private partnership and use of Web 2.0 technologies. Developed using open source code, this tool presents regulatory information in a new format that offers improved navigation and search features. And similar to a newspaper, *Federal Register 2.0* displays news sections for information related to topics of interest such as the environment, science and technology, and business and industry, to name a few. The web site integrates with *Regulations.gov* and the Unified Agenda, creating a seamless process for comment submissions into the official e-Rulemaking docket. In FY 2010, the public performed 318,004,054 online retrievals of *Federal Register* documents.

We continued to provide outstanding customer service exceeding our FY 2010 targets in almost every area. To date, we are exceeding our targets for written requests received from customers answered within 10 working days (94 percent); items requested in our research rooms provided within one hour of the request (95 percent); Freedom of Information Act (FOIA) requests for Federal records completed within 20 working days (89 percent), and online orders completed within 20 working days (96 percent).

Civic Literacy. The National Archives plays a unique and important role in the promotion of civic literacy. As the nation's record keeper, our commitment to safeguarding the documentary record of American history is of paramount importance. Our holdings are so vast and diverse that the value and amount of information available to the public is not always apparent. Therefore, we engage in a number of activities designed to advance understanding of civic literacy.

Our commitment to civic literacy has always extended beyond the walls of our archival facilities to touch the communities across the country. This year we opened a revolutionary exhibition—*Discovering the Civil War*—where an extensive display of our holdings was assembled to reveal many unknown facts about the Civil War. *Discovering the Civil War* is a two-part exhibition that combined use of our holdings with touch-screen technology incorporating social media to allow visitors to view the war using the latest tools. We presented public programs in celebration of the exhibit that included: *At the Edge of the Precipice: Henry Clay and the Compromise that Saved the Union*; *Women on the Civil War Battlefield*; and *The Civil War in 3-D*. In early FY 2011, we showcased the original Emancipation Proclamation for three days in part two of the exhibition.

DocsTeach, another highly successful open government initiative, is an education web site designed to provide instruction to teachers in the best practices of teaching with primary sources. Using documents in our holdings as teachable resources, *DocsTeach* strongly supports our goal to promote civic literacy. This tool, now in Beta testing, provides all teachers with access to primary sources, instruction in best practices, and opportunities to interact with teachers across the nation. When developing the site, we established an online community that served as a virtual meeting place for NARA's education team and colleagues from schools, institutions, and organizations across the nation to collaborate and share innovative ideas and best practices for this online web resource. Throughout development of the site, we regularly communicated our progress and requested feedback every step of the way. Teams of NARA education specialists often participate in national conferences and host sessions to

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introduce documents to educators that extend beyond school text book information. Throughout the year, and across the nation, we provided genealogy workshops, records-based historical presentations pertinent to local communities, and exhibits and document displays.

Our Presidential Libraries continue to host robust museum, education, and public program offerings. The Libraries share a common goal of educating the public about how government works and how Administration policy and programs are developed. We work collaboratively to develop new and exciting ways to reach students, teachers, and everyday visitors to the Presidential Timeline web site. To reach new audiences and disseminate timely information, several Libraries increased their online presence through social media outlets such as *Facebook* and blogs. We continue to educate the public through our exhibits held throughout our Libraries. For example, the “*America and the Cold War*” exhibit opened at the Ford Museum, traces the history of the Cold War and its effect on culture, political leadership and world politics; and at the Clinton Library, “*Leadership in a Time of Crisis: President Clinton and the Oklahoma City Bombing*,” an in-house exhibit about the Oklahoma City bombing to commemorate the 15th anniversary of that event.

In our National Historical Publications and Records Commissions program, we support a wide range of activities to preserve, publish and encourage the use of documentary sources. Our grant program funds projects that promote the preservation and use of America’s documentary heritage. Nearly 93 percent of all grants are successfully producing the results required. A grant supporting our *Founding Fathers* project, an effort to provide free, online access to authoritative transcriptions of the writings of our *Founding Fathers*, resulted in the release of 5,000 unpublished transcriptions of materials from President John Adams and James Madison to the public.

We moved forward in making NARA a great place to work for NARA staff. NARA’s Strategic Human Capital Plan provides five strategic human capital goals to recruit, develop and strengthen, and retain our human capital resources to achieve mission success. As we implement the strategies and activities to meet these goals, we are monitoring performance results and assessing our human capital programs, decisions, and actions. Using results from annual employee viewpoint surveys, we have developed plans to target identified weaknesses.

In summary, in all areas we fulfilled the promises we made that were the basis for the funding we received in FY 2010. More information about these and other efforts are available in our 2010 Performance and Accountability Report, published on November 15, 2010, and available on our website at www.archives.gov/about/plans-reports/performance-accountability/. With FY 2011 appropriations, we will maintain key programs that support the six goals in our Strategic Plan. We believe this FY 2012 request reflects the critical initiatives and basic needs that need to be funded for NARA to fulfill its mission and meet the expectations the Government and the public have for us. (Exhibit 300s and this Performance Budget are available online at www.archives.gov/about/plans-reports/.) IT Dashboard link: <http://it.usaspending.gov/?q=portfolios/agency=393>) The funds we are requesting, detailed in the following pages, will allow us to fulfill legal mandates, Administration directions, safety and security requirements, and customer service expectations.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ALL APPROPRIATIONS**

JUSTIFICATION OF FUNDING

The Strategic Overview outlined the mission and challenges confronting NARA. Here are the specific adjustments the Budget requests for FY 2012 that will allow NARA to:

- Support Operating Expenses base program operations
- Strengthen our Records Management leadership role
- Provide new underground archival storage in the Kansas City area
- Address records storage space at the new National Personnel Records Center (NPRC) facility in St. Louis
- Develop and build National Declassification Center (NDC) work processes and IT infrastructure
- Improve research room holdings protection in Washington, D.C. area
- Incorporate the Electronic Records Archives into Operating Expenses as it moves into an operations and maintenance phase
- Fund Office of Inspector General
- Support the top priority project of the Capital Improvements Plan
- Fund the National Historical Publications and Records Commission Grants Program

OPERATING EXPENSES

For FY 2012, the Budget requests \$403,742,000 in the Operating Expenses (OE) appropriation. This includes \$49,200,000 to support the Electronic Records Archives (ERA) as it transitions to an operational system and merges back into the OE account.

This request includes a net increase in OE of \$5,853,000. It also reflects a decrease of \$36,300,000 in the ERA program. For ease of review the OE and ERA account are described separately under the OE section.

OPERATING EXPENSES

For FY 2012, the Budget requests an Operating Expenses account of \$354,542,000. This reflects program decreases of \$6,277,000 and program increases of \$12,130,000. The net impact on the program is an increase of \$5,853,000 from the FY 2011 budget request.

NARA's base funding supports our unique mission within the Federal Government of identifying, accessioning, protecting, preserving, and making available for use the important documents created throughout the Government. What we do requires people with the right skills and tools, buildings, and computer systems to manage increasing accessions of electronic records.

The vast majority of NARA's operating expenses fund salaries, facility-related costs, and information technology requirements. With the FY 2012 budget, NARA proposes moving the Electronic Records Archives (ERA) back within the Operating Expenses appropriation. Since ERA will be in operations and maintenance status rather than under development, there is no longer a reason to have it set up as a separate appropriation. NARA will have sufficient ways to track the costs of this important program as the agency's tool to manage electronic records, just as we do for our other operational systems. This is a core business area that should be part of our base. For ease of review in this budget, we are showing ERA as a separate budget section.

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ALL APPROPRIATIONS**

NARA's day-to-day business continues with an ever increasing workload. Our mission is carried out in 45 owned or leased facilities. We must pay our staff, cover building operations costs (energy, rent, security, and operations and maintenance), and respond to constantly changing information technology requirements. Many of these costs are outside of our control. Our buildings all incur market-generated rates to operate or rent. The rental rates for our leased space are set by the General Services Administration. Although we know from real life experience that we can reduce rental costs when NARA manages its own leases, the termination of the lease delegation program has eliminated that opportunity for cost savings for NARA. Additionally, the Department of Homeland Security charges a per square foot security rate for GSA leased space. NARA also pays market driven rates to the contractors who support the operation of NARA's information technology systems.

Besides inflation-sensitive personnel, facility and IT costs, NARA's workload increases each year. Federal agencies create new records daily documenting actions of the Federal Government. Although Federal agencies increasingly use information technology for their operations, the Government is far from the paperless operation that has been predicted. Annually, NARA acceptions approximately 50,000 cubic feet of records in the Washington, DC, area and about 36,000 cubic feet into the regional archives to protect the rights of American citizens, hold officials accountable for their actions, and document the national experience. Additionally, the flow of electronic records is on the verge of increasing from a trickle to a flood. NARA has a dynamic work environment with new records coming in while still maintaining responsibility for our existing holdings. The records under our care must be processed, preserved, stored, and made available to the public. This takes trained archival staff to handle the materials, identify them, describe them for later retrieval, and space to store them.

With the resources requested we can pay our staff, operate our facilities, procure needed information technology support, fund ongoing operations and maintenance of our equipment, and process, preserve and store records.

OPERATING EXPENSES BASE DECREASE

To assist in balancing NARA's FY 2012 budget, \$6,277,000 in savings is being applied from the following program reductions or efficiencies to offset critical program increases. The decreases taken from NARA's Operating Expenses resources are:

- Reduce base personnel costs to reflect two year pay freeze
- Change plans for Fort Worth Regional Archives facility
- Terminate least critical programs
- Reduce legacy system tool
- Achieve process improvements
- Reduce Library offsite storage

Freeze Civilian Pay and Other Base Rate Changes: Reduction of \$2,279,000

NARA's civilian pay base included funding for the FY 2011 pay raise. With the Administration's decision to freeze civilian pay for two years, the pay raise resources are pulled so that the resources can be applied to NARA's critical program increases. Additionally, NARA's base resources included facility and rent rate changes which have been offset within the account.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ALL APPROPRIATIONS**

**Change Plans for Fort Worth Regional Archives Facility:
Reduction of \$1,500,000**

The Budget changes the plan for the Regional Archives Fort Worth facility. The Regional Archives program can be reduced \$1,500,000 by not leasing space in the Fort Worth cultural district for archival operations. For the last several years, NARA has been working with the General Services Administration to obtain leased space in the cultural district. This effort has encountered numerous problems such as: procurement difficulties in arranging a sole source contract, cost of the leased space, and a twenty year lease commitment. Additionally, it was determined that operating the regional archives in a new facility in the Fort Worth cultural district would actually cost an additional \$800,000 annually. Instead, the regional archives will be co-located with the records center staff in the new records center. Educational programs will be located in a 5,000 square foot space in downtown Fort Worth, which is more accessible to the public.

Terminate Least Critical Programs: Reduction of \$1,306,000

NARA evaluated its programs and identified several that provided a benefit to NARA staff and the public but were not critical to our mission accomplishment. By terminating these programs, we can eliminate 14 FTE and save \$1,306,000. The terminated programs are: Archives Library Information Center at Archives II, Pittsfield microfilm operations, First Responder program, and microfilm duplication operations at Archives II.

Reduce Legacy System Tool: Reduction of \$500,000

NARA is able to reduce \$500,000 from the ARC Description Tool project. The workload to describe electronic records will decline when agencies begin sending their electronic records directly to the Electronic Records Archives in FY 2012.

Achieve Process Improvements: Reduction of \$458,000

NARA is able to achieve process improvements totaling \$458,000 by canceling the COOP notification tool (OpsPlanner), eliminating a quad tape preservation contract, and stopping contracts for customer surveys. NARA has found that the OpsPlanner tool was not used up to its potential by NARA staff because of the infrequency of use. During a continuity event, staff will rely on email and phone contact to achieve mission requirements. The Presidential Library program will not preserve deposited quad WETA tapes, which were never formally accessioned, and will dispose of the tapes. NARA will stop contracting out for surveys and will use on line survey tools managed by in house staff as new surveys are required.

Reduce Library Offsite Storage: Reduction of \$234,000

The Budget can eliminate \$234,000 in offsite storage costs for the Kennedy Library. With the completion of the Kennedy library renovation and addition, there is no longer the need to store library materials offsite.

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OPERATING EXPENSES INCREASES

For FY 2012, the Budget requests \$12,130,000 and 26 FTE to:

- Strengthen our records management leadership role
- Provide new underground archival storage in the Kansas City area
- Address records storage space at the new National Personnel Records Center (NPRC) facility in St. Louis
- Develop and build National Declassification Center (NDC) work processes and IT infrastructure
- Improve research room holdings protection in Washington, DC, area

Strengthen Our Records Management Role

For FY 2012, the Budget requests \$2,400,000 and 15 FTE to improve Government-wide and internal electronic recordkeeping.

In his March 23, 2010, testimony to the Senate Subcommittee on Federal Financial Management, Government Information, Federal Services, and International Security of the Committee on Homeland Security and Government Affairs, the Archivist of the United States acknowledged government-wide deficiencies in Federal recordkeeping practices.

Two areas of deficiency compromising effective Federal records management (RM) are the lack of a comprehensive and on-going assessment and inspection program, under NARA's statutory authority, of Federal recordkeeping practices; and the unavailability of sophisticated tools that agencies can use in the identification,

storage, and appropriate management of the ever increasing volume of Federal electronic records. Indeed, we view as vital the need for NARA's own internal records management program to be a model of excellence for the Executive Branch.

This request comprises three components to:

- Build and sustain a more robust, ongoing capability to inspect Federal recordkeeping practices;
- Develop the technical expertise to monitor, evaluate, and promote technologies that can improve Federal recordkeeping; and
- Build on recent programmatic investments in NARA's own internal records management division

The first component of the program adds eight staff in FY 2012 to create dedicated teams to assess, inspect, and report on Federal agency recordkeeping practices. These staff will:

- Improve upon the new annual, government-wide agency self-assessments;
- Analyze results of annual self-assessment and produce government-wide reports that will identify agencies with 'at-risk' RM programs;
- Conduct three to five targeted inspections each year, based on self-assessments of agencies with 'at risk' programs;
- Organize and develop a repeatable, effective annual program of government-wide RM assessments, inspections, and reports; and
- Develop and publish guidance that addresses deficiencies revealed through the self-assessments and internal inspections of agency records management programs.

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The second component of the program adds five new staff in FY 2012 to create a technology team to evaluate technologies that impact Federal recordkeeping. These staff will:

- Analyze self-assessment and inspection data for common technical solutions that would address recordkeeping deficiencies;
- Monitor technology developments to identify candidate technologies with the greatest potential to improve Federal recordkeeping;
- Encourage the software development community to create solutions for Federal recordkeeping problem areas;
- Work with open standards organizations (e.g., the Object Management Group, ISO); and
- Identify and work with Federal agencies to deploy pilots of promising technical solutions.

The third component of the program adds two staff to help modernize NARA's internal records management program with processes and technologies to identify, store, and manage the ever-increasing volume of NARA's own electronic operational records: These staff will:

- Develop and implement comprehensive NARA policies and directives for electronic recordkeeping at NARA;
- Streamline NARA's records control schedule to allow for efficient management of NARA records in electronic formats;
- Partner with NARA's National Records Management Program to pilot and implement new technologies for managing NARA's internal records in electronic format; and
- Support the above initiatives with an effective training and outreach program.

Taking these actions will better position NARA to take a stronger leadership role in Federal recordkeeping that we believe is long overdue. The outcome of these efforts will include:

- More Federal agencies receiving timely assessments of their records management programs from NARA;
- Partnerships between software vendors and the Federal Government in identifying technologies that offer benefit to Federal recordkeeping;
- Federal agencies receiving practical, real-time answers when they ask NARA how it performs its own electronic records management; and
- Permanently valuable records identified and transferred to NARA for preservation and access.

Provide New Underground Archival Storage in the Kansas City Area

For FY 2012, the Budget requests \$3,700,000 to provide new underground archival storage in the Kansas City area to address records storage space needs in the Washington, DC, area.

There is insufficient NARA archival storage space available to accommodate all the records scheduled to be accessioned through FY 2012. Both the National Archives Building and the National Archives at College Park are very near capacity. In addition, there are several large records series, estimated at more than 500,000 cubic feet, that are undergoing reappraisal and will be accessioned into NARA in FY 2012. These include U.S. Civil Court Case files, U.S. District Court Bankruptcy files, U.S. Appeal Court records, and personal data series such as USCIS Alien Case files and FBI case files. Currently housed in records center storage and Federal agency space, these records must be relocated to archival storage. The

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solution planned is to relocate these archival records from the Washington, DC, area to underground storage in the Kansas City area. NARA simply has no place in the Washington, DC, area to store these records until we arrive at a permanent storage solution. Costs will include ongoing rent for storage, reference services, shelving, and the one-time cost to ship the records to the new space.

Address Records Storage Space at the New NPRC Facility in St. Louis

For FY 2012, the Budget requests \$3,030,000 to address records storage space at the new National Personnel Records Center (NPRC) in St. Louis.

A new NPRC facility is being built at Dunn Road in northeast St. Louis County to house and preserve 1.5 million cubic feet of Official Military Personnel Files (OMPFs), 350,000 cubic feet of civilian OPFs, and other related military archival records. This new facility will be a combination of records center storage and archival storage space; new public research and public program use space; and will provide offices for more than 600 NARA employees. Facility costs will be allocated between the Federal Records Center Program Revolving Fund and NARA operating expenses, based on space usage.

The new facility includes approximately 33,000 square feet of office space for archival operations, preservation labs, and the archival research room. Five bays are dedicated to storing archival records and two smaller bays house the burned files (B Files) (those rescued from the 1973 fire). By FY 2012, NPRC will have accessioned more than 600,000 cubic feet of OMPFs and OPFs, and about 72,000 cubic feet of other archival records. The new Dunn Road facility will have

higher rent and storage costs than the current facilities, which were inadequate to store archival records. Costs to store archival records at the new facility will be partly offset by current storage costs. NARA must move the archival records to the new facility and dismantle and dispose of shelving at an archival annex facility where 40,000 cubic feet of archival records have been stored, prior to vacating the lease and turning the facility back to the owner.

Develop and Build National Declassification Center (NDC) Work Processes and IT Infrastructure

For FY 2012, NARA requests \$1,900,000 to continue to build and expand the IT infrastructure to conduct the business of the National Declassification Center (NDC).

The establishment of the new National Declassification Center (NDC) in Executive Order 13526 on January 1, 2010, “reflects the ongoing challenge to balance the needs of national security and the right of citizens to have access to the records of their Government.” Expectations are high for the NDC to make significant progress against both the 418 million page backlog at NARA requiring review and processing to make it available to the public, as well as to address new methods for the textual, electronic, and special media records currently being accessioned.

Since 2008, NARA has been working with stakeholders in the Declassification community to build consensus on the value of standardized review and declassification of materials. Based on the community’s recommendations, a Business Process Reengineering (BPR) effort began in 2010 that documented and designed new, more efficient workflow processes for eliminating the backlog and addressing new accessions. Additional BPR work studied more

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efficient handling of electronic records, special media, and the Freedom of Information Act/Mandatory Review (FOIA/MDR) request backlog, facilitating the application of these new processes in 2011.

The Budget requests \$1.9M to support continued Information Technology (IT) development, upgrading, and expansion within the National Declassification Center at the National Archives College Park facility. The ability to provide forward-leaning IT support in the form of access to digitized records, both born digital and those scanned into a redaction environment, will provide the security required for these documents as well as offer the data needed to track them from accessioning to public availability. Future IT will interact with the Classified ERA system to provide for redaction review, equity referral, and as necessary, proper exemption of the millions of pages of electronic records that will be accessioned into NARA in the near future. It will provide for an expanded FOIA/MDR review and release capability as well as facilitate the automated review of special historical collections of interest to the public. Specifically, these funds will be applied to the following:

- The establishment, maintenance, upgrading, and expansion as needed of a workflow and review/redaction system. This will include: hardware, software, and software licenses.
- Development of a review, equity referral, and redaction service that interfaces with the classified instance of ERA;
- Increased processing for public access of declassified documents generated by the NDC's review efforts.

Improving the declassification process has broad support, and is of high interest to the public. The NDC has a significant mission to consolidate and coordinate declassification and referral processes

among the Federal agencies, with the ultimate goal to improve openness and access to Government records.

Improve Research Room Holdings Protection in Washington, DC, Area

For FY 2012, the Budget requests \$1,100,000 for 11 FTE to improve research room monitoring and provide better protection for our archival holdings.

Entrusted to NARA's care are the permanently valuable records of the United States Government. Our challenge is to provide continuing access to these priceless materials while maintaining effective holdings security. NARA's Inspector General has reported vulnerabilities in our research rooms. We agree with that assessment, however, additional staff and resources are needed to correct the deficiencies.

With the requested funding, we can hire a professional staff of security specialists for our research rooms in the Washington, DC, area. The security specialists will have the training and exclusive responsibility for protecting the records in use in our research room complexes. They will be on duty when the research rooms are open, currently 60 hours per week. The security teams will monitor all research room activities both in person and via surveillance cameras in the National Archives Building and the National Archives at College Park.

The addition of these new staff will improve services to researchers, improve our ability to protect our holdings from theft, damage, and loss, and increase our capability to monitor and implement the most current standards for physical security.

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Electronic Records Archives

For FY 2012, the Budget requests \$49,200,000 for the Electronic Records Archives. This includes a reduction of \$36,300,000 to reflect the change in ERA from development to an operations and maintenance program.

Operate and Maintain the Electronic Records Archives

For FY 2012, the Budget requests \$49,200,000 to operate and maintain the Electronic Records Archives. Funds will be used to support the management of the data center resources at the Allegany Ballistics Laboratory in Rocket Center, West Virginia. This request will also support renewal of hardware and software maintenance agreements, as well as support for corrective and adaptive software maintenance.

The Electronic Records Archives (ERA) program is NARA's response to the challenge of preserving and providing access to electronic records. The goal of ERA is to provide access to all types of electronic records via the Internet by anyone, anywhere, regardless of whether the software and hardware on which they were created is still available.

For the past five years, the ERA program has had separate appropriations in the NARA budget because ERA was a new Information Technology system under development and the largest IT development project ever attempted by NARA. Now that development is ending and the program is moving into an operations and maintenance (O&M) phase, there is no longer the need for separate appropriations. Development under the Lockheed Martin

contract will be ending in FY 2011 with only the wrap-up activities of validation and testing continuing into the first part of FY 2012.

ERA in its operational phase at the Allegany Ballistics Laboratory in Rocket Center, WV, will be the agency's electronic records anchor. Less staff and contract support will be needed for development contract oversight. However, sufficient staff will be needed to manage ERA day-to-day operations, provide program analysis and oversight, and to evaluate emerging technologies for incorporation into ERA. Additionally, by the end of FY 2012, the volume of users will increase significantly when the system becomes mandatory for all Federal agencies to use in scheduling their records and transferring their permanently valuable records to NARA. An increase in users is also expected as more and more electronic records become available to the public through ERA's on-line public access system.

The FY 2012 request includes support for networking, records storage, records ingest, Information Technology security, backup and recovery operations, and help desk functions. The FY 2012 request will also fund hardware renewal and additions to accommodate the growing volume of electronic records transferred to NARA, software maintenance agreements, and support for corrective and adaptive software changes.

As stated earlier, the Budget requests that our FY 2012 request for ERA, which is significantly reduced to reflect the program's changed focus to O&M, be incorporated back into NARA's Operating Expenses appropriation similar to funding for NARA's other operational IT systems.

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Electronic Records Archives: Reduction of \$36,300,000

The FY 2011, President's Budget request sought \$85,500,000 for the Electronic Records Archives. This funding level supported system development and operations and maintenance. During calendar year 2010, the decision was made to end the major system development effort by the end of FY 2011 and move to an operations and maintenance phase, effective FY 2012. By moving to an operational system, NARA is able to reduce ERA system requirements by \$36,300,000. The remaining \$49,200,000 will enable NARA to operate and maintain the system, purchase hardware and software upgrades, renew licenses, and enhance the operating system on an ongoing, as-needed basis.

REPAIRS AND RESTORATION

For FY 2012, the Budget requests \$10,000,000 in the Repairs and Restoration account base. The funding comes from \$9,659,000 in base funding and the removal of restricted language on \$341,000 for a requirements study for a facility to either permanently or temporarily replace the existing Military Personnel Records Center.

Repairs and Restoration Base Funding

Funding in the Repairs and Restoration account is prioritized based on a yearly needs assessment conducted by NARA engineers. NARA owns 16 buildings—the National Archives Building, the National Archives at College Park, 13 Presidential Libraries and Museums, and the Southeast Regional Archives outside of Atlanta. The National Archives Building and the Roosevelt Library are on the National Register of Historic Places, and all of the Presidential Libraries are considered by the State Historic Preservation Officers

to be eligible. All of these buildings house historically valuable and irreplaceable documents. Each year, approximately 3 million visitors go to these facilities to do research, attend conferences, view exhibits and participate in educational opportunities.

Starting in FY 1996, Congress provided “no year” funds to a Repairs and Restoration (R&R) account to support necessary repairs to NARA's buildings. The funds provided over the years have fallen into two categories: base funding that provides for the replacement, upgrade, and repair of building systems that can be managed within base funding (generally less than \$1.5 million per project, but usually less) or special project funding for specific projects that are identified and placed in the budget to address needed major renovations, additions, or new building construction.

Base level resources will be used to maintain NARA-owned buildings to meet archival storage requirements, to improve energy efficiency, to keep interiors and exteriors in a proper state of repair, and to make them safe and efficient buildings for use by researchers and visitors.

In FY 2012, NARA's base Repairs and Restoration account is funded at \$9,659,000. This amount reflects a decrease in base funding of \$341,000 from FY 2011. The Budget requests an offset to this decrease for FY 2012 by removing the restrictions on funding received in P.L. 108-199 for a requirements study for a facility to replace the existing Military Personnel Records Center either permanently or temporarily. The costs for the study came in lower than expected. The replacement facility at Dunn Road is under construction and NARA expects to begin moving into the new facility in May 2011. These resources are sitting unused in the no-year R&R appropriation and NARA requests to remove the restriction so that the resources can support base R&R requirements.

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Repairs and Restoration: Reduction of \$2,189,000

The FY 2011, President's Budget request for the Repairs and Restoration appropriation is \$11,848,000. For FY 2012, NARA proposes a net funding decrease of \$2,189,000. This includes a reduction of \$5,000,000 for initial funding of the National Archives Experience Phase II project, an increase of \$3,152,000 to restore the base R&R program to \$10,000,000, and a decrease of \$341,000, which is offset by removing the restriction on funding remaining from the St. Louis requirements study.

Implement Top Priority in the Capital Improvements Plan

For FY 2012, the Budget requests \$6,000,000 to implement the top priority in NARA's Capital Improvements Plan, which is the National Archives Experience Phase II. NARA proposes funding this project by rescinding \$6,000,000 from the JFK Library Construction Project.

National Archives Experience Phase II: \$6,000,000

The Budget seeks the second phase of funding to complete the National Archives Experience Phase II at the National Archives Building in Washington, DC. It is anticipated that \$5,000,000 will be enacted for this project in FY 2011. NARA requires an additional \$6,000,000 to complete the infrastructure needed to house exhibits that will be funded by the private Foundation for the National Archives (the Foundation). To ensure minimal disruption to staff and visitors at the National Archives, sequential funding will keep the phased construction project on track. The Foundation has committed to raising an additional \$10,000,000 for the project. With

the completion of the National Archives Experience Phase II, visitors will encounter the following:

Freedom Hall—a new exhibit gallery

The Charters of Freedom are our common inheritance as a people. Yet for most of our visitors the events of 1776, 1787, and 1791 were only promissory notes for freedoms that generations have struggled to claim and maintain. Our visitors include immigrants, or the descendants of immigrants, whose ancestors struggled for a full measure of liberty in this "golden" land. Many others are conscious of the fact that their race or gender entirely excluded them from these initial compacts.

The Rotunda is a terrific space to experience the awe of the Charters, and the Public Vaults are a great way to better understand personal connections to records. In Freedom Hall, we will invite visitors to connect our country's original 18th century struggle for liberty with today's world. Here is what they will find:

"The Pursuit": The pursuit of liberty has been the task of every generation. The area immediately inside Freedom Hall will feature the display of Magna Carta. This display and its accompanying computer interactives will link to later themes in the exhibit by describing not only the historical context for the Great Charter, but how it provided a precedent for the Founders when they began to write the Declaration of Independence in 1776. Magna Carta was not only a momentous achievement for the English barons, but centuries later, an inspiration for angry American colonists as they asserted their rightful liberties from King George and the English Parliament. It acknowledged that no individual—not even the King—is above the law and established important guarantees of individual rights that would be echoed in the Bill of Rights.

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As a visitor moves further into “*The Pursuit*,” he or she will find displays of original documents that tie the Declaration, Constitution, and Bill of Rights to our subsequent national history. One area will be devoted to the notion of national freedom, or sovereignty, at the heart of the Declaration of Independence. Records on display here would stretch from the Barbary Pirates to 9/11, and will encourage visitors to explore the evidence of how the American people have defended the Charters. A second area will display documents relating to the struggle to maintain a free and representative government, as outlined in the Constitution. Records here would touch on federalism, checks and balances, and the role of the three branches of Government. The third area will show documents dealing with individual liberties as reflected in our Bill of Rights. For nearly every contentious issue of personal freedom, we not only have the records of the Congress and the courts, but also petitions and letters of everyday Americans from advocates of prohibition to opponents of the income tax. In this section, as in the exhibit as a whole, visitors will not be given a "right" answer, but invited to explore the records on their own and reach their own conclusions.

A large group interactive lies at the center of this area and of the exhibit as a whole, allowing visitors to share discoveries and connections with classmates, family members or maybe a new friend from the other side of the globe.

“*Struggles for Freedom*”: The final three sections of the exhibit will allow visitors to examine in greater depth the documentary record of the fights of African Americans, women, and immigrants for full participation in our democracy. Through displays and interactives based on NARA’s enormous documentary holdings, these zones will illustrate how three groups struggled toward the rights and responsibilities of citizenship and full democratic rights. A special treatment of the Emancipation Proclamation launches the exploration

of the African-American fight for freedom. The 19th amendment is the centerpiece of the suffrage story. The Deed of Gift for the Statue of Liberty and the Chinese Exclusion Act pair as an entry point for the immigrant story.

The Foundation for the National Archives is raising private donations to fund the exhibits and permanent gallery described above, to build a new expanded gift shop, and to create the Orientation Plaza. These improvements will greatly enhance the experience of our more than 1 million visitors each year. It is anticipated that each visitor to the National Archives Building will gain a new appreciation for their heritage and their place in history.

Rescind \$6,000,000 in Kennedy Library Construction Funding

In FY 2009, NARA received \$22,000,000 to renovate and expand the Kennedy library. The project is expected to be completed in 2011. At the time construction estimates were prepared, the economy was strong and labor and material costs were based on the going market rates. As NARA moved through the construction process, the economy was struggling. Construction projects declined and so did the costs for material and labor. Additionally, through efforts to value engineer the design (look for cost cutting solutions that do not affect the quality of the project), we were able to further reduce costs. For these reasons, NARA expects to be able to remodel the Library as intended and complete the addition below original cost estimates. We are still working on some construction-related efforts but the costs for these tasks are estimated and sufficient funds are reserved to fully complete the Library renovation and addition. Therefore, NARA requests to remove the restriction on \$6,000,000 of the \$22,000,000 received in P.L. 111-08 and use the resources to complete the National Archives Experience Phase II project.

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OFFICE OF INSPECTOR GENERAL

For FY 2012, the Budget requests a \$150,000 decrease from the FY 2011 level to \$4,100,000. This will enable the Office of Inspector General to:

- *Fund staff and office operational costs*
- *Conduct audits and investigations*
- *Fund agency contribution to the Council of the Inspectors General on Integrity and Efficiency*

Office of Inspector General

For FY 2012, the Budget requests a \$150,000 decrease from its FY 2011 base level to \$4,100,000 to staff and operate the Office of Inspector General.

The mission of the Office of Inspector General (OIG) is to ensure NARA safeguards and preserves the records of our Government. The OIG accomplishes this by combating fraud, waste and abuse through high-quality, objective audits and investigations; and serving as an independent, internal advocate for the economy, efficiency, and effectiveness of NARA and its operations.

The \$4,100,000 requested will fund staff costs, office operations, training, contractual services, audits, investigative equipment, and the agency's contribution to the Council of the Inspectors General on Integrity and Efficiency (CIGIE).

NATIONAL HISTORICAL PUBLICATIONS AND RECORDS COMMISSION (NHPRC)

For FY 2012, the Budget requests a decrease of \$5,000,000 from the FY 2011 request. This request reduces the number and types of grants we will be able to award. The NHPRC will continue to support a select number of grant programs and initiatives that publish, preserve, and make accessible important historical documents.

Promote Preservation and Use of the Nation's Historical Records

For FY 2012, the Budget requests \$5,000,000 to support ongoing National Historical Publications and Records Commission initiatives.

A Heritage Preservation, Inc. study (2006) estimated that there are more than 14,000 historical record repositories in the United States. These facilities serve as the nation's memory and its archival infrastructure, spanning every state and territory. The members of this archival network serve as active stewards for approximately 44 million linear feet of historical records and 700 million historic photographs. The number grows exponentially with the addition of such special format materials as audio recordings, maps, architectural drawings, and films.

A large percentage of the materials held at these repositories require a significant investment in their preservation, cataloging, and description to facilitate their public use and to ensure their long-term viability. As the only grant-making entity, public or private, whose exclusive mission is to promote the preservation of and access to the nation's historical records, the NHPRC is well positioned to assist in meeting this critical challenge.

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Funding will enable the NHPRC to maintain essential support for a select number of grant programs and initiatives to publish, preserve, and make accessible important historical documents. With reduced funding, the NHPRC will decrease the number of grants awarded as well as the types of awards made. Grant initiatives anticipated in FY 2012 include:

- *Archives and Records Projects* to reveal "hidden collections" in archives by arranging, preserving, and cataloging them for public use.
- *Digitizing Historical Records* to provide electronic access to nationally significant historical record collections and make the digital versions freely available on the Internet.
- *Publishing Historical Records* to publish historical records of national significance, including the papers of the Founding Era.
- *Innovation in Archives and Historical Documentary Publishing* to develop new strategies and tools that can improve the preservation, public discovery, or use of historical records.

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LINKING BUDGET INITIATIVES TO NARA'S PERFORMANCE PLAN

| Budget Initiative | Long-Range Performance Target | Outcome | Budget Request | Performance Plan Linkage |
|---|--|---|-----------------------|---------------------------------|
| Strengthen Our Records Management Leadership Role | By 2016, 50 percent of agencies achieve passing scores for compliance with Federal records management policy. | Federal agencies can economically create and manage records necessary to meet the needs of the public, records are kept long enough to protect rights and assure accountability, and records of archival value are preserved. | \$2,400,000 | Pages II-1 to 4 |
| Develop and Build the National Declassification Center Work Processes and IT Infrastructure | By 2016, NARA archival holdings of 25-year-old or older records are declassified, exempted, or referred under the provision of Executive Order 13526. | Records that <i>can</i> be declassified <i>are</i> declassified. | \$1,900,000 | Pages II-18 to 21 |
| Improve Research Room Holdings Protection in Washington, DC, Area | By 2016, 100 percent of NARA's archival holdings are stored in appropriate space. | Archival records are preserved for public use. | \$1,100,000 | Pages II-21 to 25 |
| Incorporate Electronic Records Archives into Operating Expenses as it Moves into O&M Phase | By 2016, 95 percent of archival electronic holdings have been processed to the point where researchers can have efficient access to them. By 2012, 80 percent of archival electronic records are preserved at the planned level of service. By 2016, the per-megabyte cost of managing electronic records through the Electronic Records Archives decreases each year. | Electronic records are at a point where a researcher can discover their existence and either have the records promptly or have a prompt explanation of why we must withhold them. Electronic records of archival value are effectively preserved for future generations. Electronic records of archival value are economically preserved. | \$49,200,000 | Pages II-31 to 36 |
| Address Records Storage at the New NPRC Facility in St. Louis | By 2016, 100 percent of archival holdings are stored in appropriate space. | Archival records are preserved for public use. | \$3,030,000 | Pages II-21 to 25 |
| Provide New Underground Archival Storage in the Kansas City Area | By 2016, 100 percent of archival holdings are stored in appropriate space. | Archival records are preserved for public use. | \$3,700,000 | Pages II-21 to 25 |

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| Budget Initiative | Long-Range Performance Target | Outcome | Budget Request | Performance Plan Linkage |
|---|--|---|-----------------------|---------------------------------|
| Implement the Top Priority of the Capital Improvement Plan | <p>By 2016, 100 percent of archival holdings are stored in appropriate space.</p> <p>By 2016, 90 percent of NARA's visitors are satisfied with their visit experience.</p> | <p>Archival records are preserved for public use.</p> <p>People understand their personal connection to the records of their history.</p> | \$6,000,000 | Pages II-21 to 25, 48 to 52 |
| Promote Preservation and Use of the Nation's Historical Records | By 2016, a minimum of 85 percent of all NHPRC-assisted projects produce the results required, employing standards and milestones approved by the Commission. | Public gains wider access to the entire range of records on which the understanding of American history depends. | \$5,000,000 | Pages II-52 to 53 |

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LINKING E-GOV INITIATIVES TO NARA'S PERFORMANCE BUDGET

| E-Government Initiative | Benefits | Funding by Account | |
|--|--|--|--|
| | | <i>FY 2011</i> | <i>FY 2012</i> |
| Operating Expenses (unless otherwise noted) | | | |
| E-Rulemaking | e-Rulemaking allows NARA to participate fully in the Federal Docket Management System, making it easier for the public to review and comment on our regulations. With the addition of the Records Management module in FY 2007, NARA is now able to maintain electronic dockets in a recordkeeping system. | \$45,038 service fee | \$29,178 service fee |
| Grants.gov | This initiative benefits NARA and its grant programs by providing a single location to publish grant (funding) opportunities and application packages, and providing a single site for the grants community to apply for grants using common forms, processes and systems. | \$54,088 service fee | \$54,865 service fee |
| Recruitment One-Stop | This initiative benefits NARA by providing an effective mechanism for finding qualified applicants for vacant positions. Through USAJOBS.gov, Recruitment One-Stop provides an online portal through which citizens can easily search for employment opportunities at NARA. NARA posts all of its job announcements through USAJOBS.gov. | \$9,363 service fee | \$9,363 service fee |
| | | \$7,661 service fee Revolving Fund | \$7,661 service fee Revolving Fund |
| Enterprise Human Resources Integration | EHRI replaces the OPF with an electronic file (eOPF). The eOPF provides the ability to capture and store images from paper records and to provide immediate online access and printed copies in digital form. Through this initiative, NARA is realizing savings through re-engineered business processes based around electronic folders vs. paper-based folders. This reduces the time agencies spend copying, faxing, storing, scanning, retrieving, and mailing paper folders. | \$36,947 service fee | \$38,435 service fee |
| | | \$30,229 service fee Revolving Fund | \$31,446 service fee Revolving Fund |

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

| E-Government Initiative | Benefits | Funding by Account | |
|--|--|------------------------------|------------------------------|
| | | <i>FY 2011</i> | <i>FY 2012</i> |
| Operating Expenses (unless otherwise noted) | | | |
| E-Travel | This initiative provides NARA more efficient and effective travel management services. The benefits include cost savings associated with cross-government purchasing agreements and improved functionality through streamlined travel policies and processes, strict security and privacy controls, and enhanced agency oversight and audit capabilities. NARA employees benefit through more efficient travel planning, authorization, and reimbursement processes. | \$63,672 service fee | \$63,672 service fee |
| Grants Management LoB | This initiative benefits NARA and its grant programs by improving the delivery of services to grant recipients, improving decision-making and decreasing costs associated with building and maintaining Grants Management IT systems. | \$28,460 agency contribution | \$28,460 agency contribution |
| Geospatial LoB | The Geospatial LoB results in a more coordinated approach to producing, maintaining, and using geospatial data, and ensures sustainable participation from Federal partners to establish a collaborative model for geospatial-related activities and investments. NARA collaboration will further the preservation of permanently valuable geospatial records in the National Archives of the United States. | \$15,000 agency contribution | \$0 agency contribution |
| IAE – Loans and Grants | The FPDS eliminates the necessity of manually tracking all of our awards to create SBA reports and provides data to the general public. Financial and CCR work together to facilitate vendor approval. The EPL allows us to verify if a vendor has been disbarred. Our use of these and other component IAE systems afford us the opportunity to use the most efficient, competitive and transparent process possible in contracting for goods and services to ensure we make the best business decisions. | \$12,963 service fee | \$0 service fee |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS**

CROSSWALK FROM 2010 AVAILABILITY TO 2012 BUDGET REQUEST
(dollars in thousands)

| | 2010 Enacted Level | | 2011 President's Budget | | 2012 Request | |
|--|--------------------|------------------|-------------------------|------------------|--------------|------------------|
| | FTE | Amount | FTE | Amount | FTE | Amount |
| OPERATING EXPENSES – DIRECT | 1,484 | \$327,253 | 1,607 | \$339,770 | 1,688 | \$348,689 |
| Adjustments to Direct Base Level: | | | | | | |
| Annualization of 2009 Pay Raise | - | 1,086 | - | - | - | - |
| Annualization of 2010 Pay Raise | - | 3,040 | - | 863 | - | - |
| Annualization of 2011 Pay Raise | - | - | - | 1,920 | - | -1,920 |
| One Less Compensable Workday in 2012 | - | - | - | - | - | -637 |
| Normalization of Operations (post hiring freeze) | 96 | - | 24 | - | - | - |
| Inflationary Rate Changes (non-pay) | - | - | - | 670 | - | - |
| Facility / Utility Rate Changes (NARA Facilities) | - | 2,671 | - | 1,666 | - | 665 |
| Utility Savings from Energy Conservation Efforts (NARA Facilities) | - | - | - | -1,000 | - | - |
| Rent Rate Changes (GSA Facilities) | - | 1,530 | - | -825 | - | -387 |
| Information Technology Rate Changes | - | 1,855 | - | 1,675 | - | - |
| Information Technology Reduction/Savings | - | - | - | -4,800 | - | - |
| Appropriate Storage Space for newly Accessioned Records | - | 600 | - | - | - | - |
| Adjustment for One-Time Unrequested Funding | - | -875 | - | - | - | - |
| Funding for New Archivists | 12 | 1,000 | 12 | 950 | - | - |
| Holdings Protection Team | - | - | 8 | 1,500 | - | - |
| Total Adjustments to the Base | 108 | \$10,907 | 44 | \$2,619 | 0 | -\$2,279 |
| Revised Operating Expenses – Direct – Base Level | 1,592 | \$338,160 | 1,651 | \$342,389 | 1,688 | \$346,410 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS**

CROSSWALK FROM 2010 AVAILABILITY TO 2012 BUDGET REQUEST (continued)
(dollars in thousands)

| | 2010 Enacted Level | | 2011 President's Budget | | 2012 Request | |
|--|--------------------|------------------|-------------------------|------------------|--------------|------------------|
| | FTE | Amount | FTE | Amount | FTE | Amount |
| INCREASES/DECREASES | | | | | | |
| Our Nation's Record Keeper | | | | | | |
| Records Management Leadership Role | - | - | - | - | 15 | 2,400 |
| Preserve and Process | | | | | | |
| Archival Storage Space | - | - | - | - | - | 3,700 |
| St. Louis Move and Space Needs | - | - | - | - | - | 3,030 |
| Program Decreases (see pages I-11 and I-12) | - | - | - | - | -14 | -3,998 |
| Declassification and Review of Army and CIA Records | - | -650 | - | - | - | - |
| National Declassification Center | - | - | 28 | 5,100 | - | 1,900 |
| Controlled Unclassified Information Executive Agent | 9 | 1,860 | 9 | 1,200 | - | - |
| Access | | | | | | |
| Improve Research Room Holdings Protection | - | - | - | - | 11 | 1,100 |
| Office of Government Information Services (One-time) | - | -1,000 | - | - | - | - |
| Office of Government Information Services | 6 | 1,400 | - | - | - | - |
| Total Program Increases/Decreases | 15 | \$1,610 | 37 | \$6,300 | 12 | \$8,132 |
| GRAND TOTAL – Operating Expenses – Direct | 1,607 | \$339,770 | 1,688 | \$348,689 | 1,700 | \$354,542 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS**

CROSSWALK FROM 2010 AVAILABILITY TO 2012 BUDGET REQUEST (continued)
(dollars in thousands)

| | 2010 Enacted Level | | 2011 President's Budget | | 2012 Request | |
|--|--------------------|----------------|-------------------------|----------------|--------------|----------------|
| | FTE | Amount | FTE | Amount | FTE | Amount |
| OFFICE OF INSPECTOR GENERAL | 18 | \$3,055 | 23 | \$4,100 | 24 | \$4,250 |
| Pay raises and vacancies | 2 | 545 | - | - | - | -150 |
| Criminal Investigative and Audit Staff Supplement | 3 | 500 | - | - | - | - |
| Audit Staff Supplement | - | - | 1 | 150 | - | - |
| Total Office of Inspector General Increases/Decreases | 5 | \$1,045 | 1 | \$150 | 0 | -\$150 |
| GRAND TOTAL – Office of Inspector General | 23 | \$4,100 | 24 | \$4,250 | 24 | \$4,100 |

| | 2010 Enacted Level | | 2011 President's Budget | | 2012 Request | |
|---|--------------------|-----------------|-------------------------|-----------------|--------------|------------------|
| | FTE | Amount | FTE | Amount | FTE | Amount |
| ELECTRONIC RECORDS ARCHIVES | 49 | \$67,008 | 49 | \$85,500 | 49 | \$85,500 |
| Meet Electronic Records Challenges | | | | | | |
| Develop the capability for providing online public access to NARA's electronic holdings, expand preservation capabilities, increase system capacity, and provide backup and restore functions | - | 18,492 | - | - | - | - |
| System Development (Funding Decrease) | - | - | - | - | -14 | -36,300 |
| Total Electronic Records Archives Increases/Decreases | 0 | \$18,492 | 0 | \$0 | -14 | -\$36,300 |
| GRAND TOTAL – Electronic Records Archives | 49 | \$85,500 | 49 | \$85,500 | 35 | \$49,200 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS**

CROSSWALK FROM 2010 AVAILABILITY TO 2012 BUDGET REQUEST (continued)
(dollars in thousands)

| | 2010 Enacted Level | | 2011 President's Budget | | 2012 Request | |
|---|--------------------|------------------|-------------------------|------------------|--------------|------------------|
| | FTE | Amount | FTE | Amount | FTE | Amount |
| REPAIRS AND RESTORATION | | \$50,711 | | \$27,500 | | \$11,848 |
| Meet Storage and Preservation Needs | | | | | | |
| Buildings Square Footage and Rate Increase* | - | 789 | - | - | - | - |
| Base Reduction (offset by Alaska Regional Archives balance) | - | - | - | -3,152 | - | 3,152 |
| Base Reduction (offset by St. Louis MPRC balance) | - | - | - | - | - | -341 |
| National Archives Experience Renovation | - | - | - | 5,000 | - | -5,000 |
| National Archives Experience Renovation | - | - | - | - | - | 6,000 |
| Johnson Library Plaza Repairs | - | -2,000 | - | - | - | - |
| Roosevelt Library—Design and Renovations | - | -17,500 | - | - | - | - |
| Roosevelt Library—Design and Renovations | - | 17,500 | - | -17,500 | - | - |
| Kennedy Library—Construction | - | -22,000 | - | - | - | - |
| Kennedy Library—Construction | - | - | - | - | - | -6,000 |
| Total Repairs and Restoration Increases | 0 | \$18,289 | 0 | \$5,000 | 0 | \$9,152 |
| Total Repairs and Restoration Decreases | 0 | -\$41,500 | 0 | -\$20,652 | 0 | -\$11,341 |
| GRAND TOTAL – Repairs and Restoration | 0 | \$27,500 | 0 | \$11,848 | 0 | \$9,659 |

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

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS**

CROSSWALK FROM 2010 AVAILABILITY TO 2012 BUDGET REQUEST (continued)
(dollars in thousands)

| | 2010 Enacted Level | | 2011 President's Budget | | 2012 Request | |
|--------------------------------------|--------------------|-----------------|-------------------------|-----------------|--------------|-----------------|
| | FTE | Amount | FTE | Amount | FTE | Amount |
| NHPRC Grants: | 0 | \$11,250 | 0 | \$13,000 | 0 | \$10,000 |
| NHPRC National Direct-Grants Program | - | 1,750 | - | -3,000 | - | -5,000 |
| GRAND TOTAL – NHPRC Grants | 0 | \$13,000 | 0 | \$10,000 | 0 | \$5,000 |

SUMMARY OF TOTAL BUDGET AUTHORITY
(dollars in thousands)

| | 2010 Enacted Level | | 2011 President's Budget | | 2012 Request | |
|---------------------------------------|--------------------|------------------|-------------------------|------------------|--------------|------------------|
| | FTE | Amount | FTE | Amount | FTE | Amount |
| Operating Expenses – Direct | 1,607 | \$339,770 | 1,688 | \$348,689 | 1,700 | \$354,542 |
| Office of Inspector General | 23 | 4,100 | 24 | 4,250 | 24 | 4,100 |
| Electronic Records Archives | 49 | 85,500 | 49 | 85,500 | 35 | 49,200 |
| Repairs and Restoration | 0 | 27,500 | 0 | 11,848 | 0 | 9,659 |
| NHPRC Grants | 0 | 13,000 | 0 | 10,000 | 0 | 5,000 |
| Advances and Reimbursements | 46 | 0 | 46 | 0 | 46 | 0 |
| Revolving Fund | 1,397 | 0 | 1,452 | 0 | 1,452 | 0 |
| Trust Fund | 111 | 0 | 121 | 0 | 121 | 0 |
| TOTAL APPROPRIATIONS | 3,233 | \$469,870 | 3,380 | \$460,287 | 3,378 | \$422,501 |
| Less Redemption of Debt | | -\$12,870 | | -\$13,987 | | -\$15,201 |
| GRAND TOTAL – BUDGET AUTHORITY | 3,233 | \$457,000 | 3,380 | \$446,300 | 3,378 | \$407,300 |

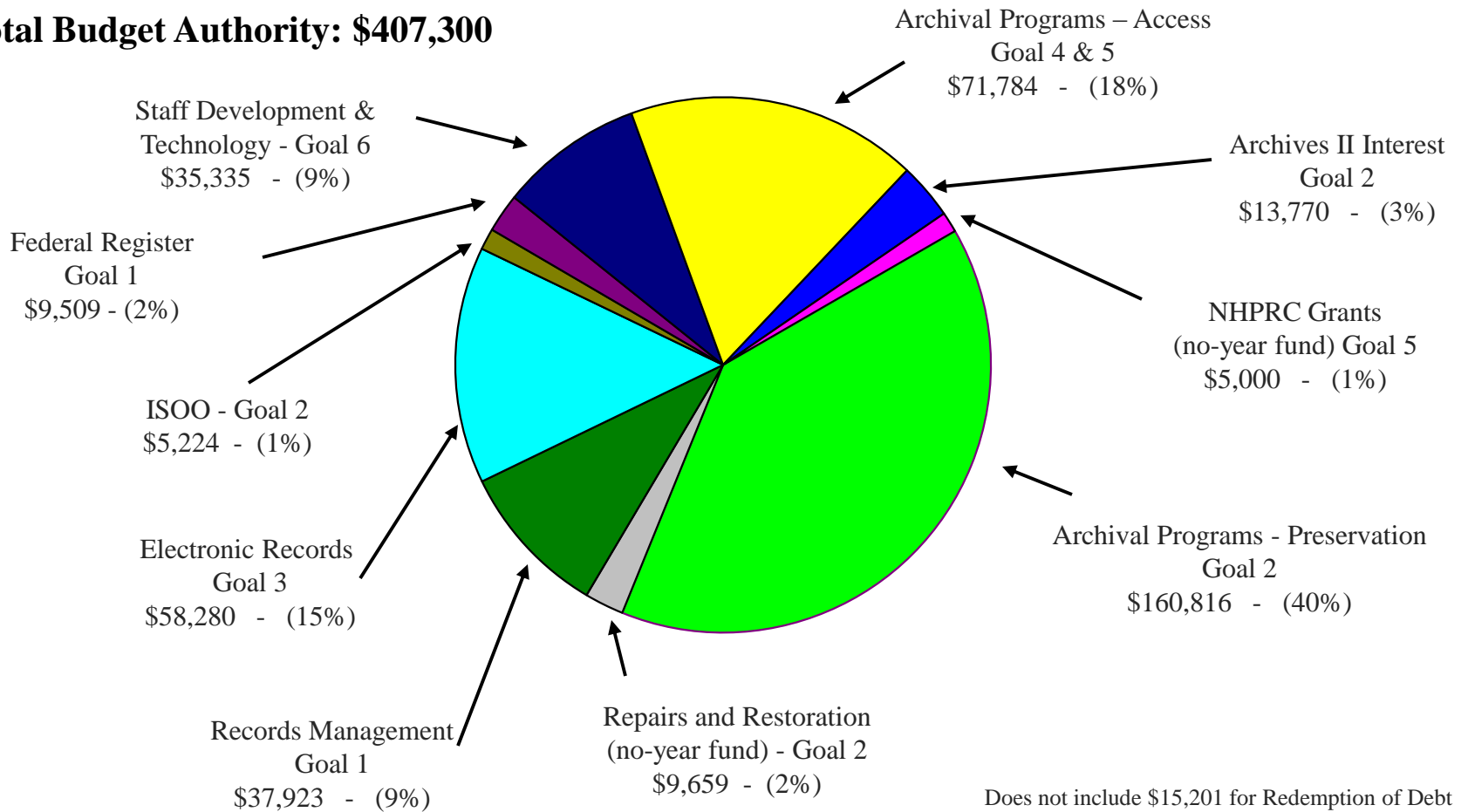
NOTE: Archives II principal for redemption of debt is excluded from Budget Authority amounts in accordance with OMB guidelines.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

FY 2012 Performance Budget Request by Function

(dollars in thousands)

Total Budget Authority: \$407,300



**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS**

PERFORMANCE COSTS - FISCAL YEAR 2010

(dollars in thousands)

| ACTIVITIES | Operating Expenses | | Electronic Records Archives | | Office of Inspector General | | R & R | NHPRC | Advances & Reimbursements | | Trust Fund | | Revolving Fund | | Total | |
|--|--------------------|------------|-----------------------------|-----------|-----------------------------|----------|-----------------|------------|---------------------------|-----------|--------------|----------|------------------|--------------|------------------|--------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | \$ | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| Goal 1: As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records. | | | | | | | | | | | | | | | | |
| Records Services | \$31,328 | 201 | - | - | - | - | - | - | - | - | - | - | \$177,194 | 1,389 | \$208,522 | 1,590 |
| Archives Related Services | \$9,536 | 66 | - | - | - | - | - | - | - | - | - | - | - | - | \$9,536 | 66 |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Total Goal 1 | \$40,864 | 267 | \$0 | 0 | \$0 | 0 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$177,194 | 1,389 | \$218,058 | 1,656 |
| Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible. | | | | | | | | | | | | | | | | |
| Records Services | \$153,247 | 769 | - | - | - | - | \$45,081 | - | - | - | - | - | - | - | \$198,328 | 769 |
| Archives Related Services | \$150 | - | - | - | - | - | - | - | - | - | - | - | - | - | \$150 | 0 |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Archives II Facility | \$16,101 | - | - | - | - | - | - | - | - | - | - | - | - | - | \$16,101 | 0 |
| Total Goal 2 | \$169,498 | 769 | \$0 | 0 | \$0 | 0 | \$45,081 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$214,579 | 769 |
| Goal 3: We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era. | | | | | | | | | | | | | | | | |
| Records Services | \$10,669 | 45 | - | - | - | - | - | - | - | - | - | - | - | - | \$10,669 | 45 |
| Archives Related Services | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Electronic Records Archives | - | - | \$67,162 | 51 | - | - | - | - | - | - | - | - | - | - | \$67,162 | 51 |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Total Goal 3 | \$10,669 | 45 | \$67,162 | 51 | \$0 | 0 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$77,831 | 96 |
| Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime. | | | | | | | | | | | | | | | | |
| Records Services | \$56,374 | 274 | - | - | - | - | - | - | \$2,161 | 39 | \$200 | 1 | - | - | \$58,735 | 314 |
| Archives Related Services | \$498 | - | - | - | - | - | - | - | - | - | - | - | - | - | \$498 | 0 |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Total Goal 4 | \$56,872 | 274 | \$0 | 0 | \$0 | 0 | \$0 | \$0 | \$2,161 | 39 | \$200 | 1 | \$0 | 0 | \$59,233 | 314 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS**

PERFORMANCE COSTS - FISCAL YEAR 2010

(dollars in thousands)

| ACTIVITIES | Operating Expenses | | Electronic Records Archives | | Office of Inspector General | | R & R | NHPRC | Advances & Reimbursements | | Trust Fund | | Revolving Fund | | Total | |
|--|--------------------|--------------|-----------------------------|-----------|-----------------------------|-----------|-----------------|----------------|---------------------------|-----------|-----------------|------------|------------------|--------------|------------------|--------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | \$ | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| Goal 5: We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs. | | | | | | | | | | | | | | | | |
| Records Services | \$14,336 | 74 | - | - | - | - | - | - | - | - | \$18,354 | 109 | - | - | \$32,690 | 183 |
| Archives Related Services | \$2,114 | 10 | - | - | - | - | - | \$9,711 | - | - | - | - | - | - | \$11,825 | 10 |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Total Goal 5 | \$16,450 | 84 | \$0 | 0 | \$0 | 0 | \$0 | \$9,711 | \$0 | 0 | \$18,354 | 109 | \$0 | 0 | \$44,515 | 193 |
| Goal 6: We will equip NARA to meet the changing needs of our customers. | | | | | | | | | | | | | | | | |
| Records Services | \$31,539 | 167 | - | - | - | - | - | - | - | - | \$300 | 1 | - | - | \$31,839 | 168 |
| Archives Related Services | \$1,298 | - | - | - | - | - | - | - | - | - | - | - | - | - | \$1,298 | 0 |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Office of Inspector General | - | - | - | - | \$3,717 | 20 | - | - | - | - | - | - | - | - | \$3,717 | 20 |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Total Goal 6 | \$32,837 | 167 | \$0 | 0 | \$3,717 | 20 | \$0 | \$0 | \$0 | 0 | \$300 | 1 | \$0 | 0 | \$36,854 | 188 |
| Summary of Goals 1 through 6 | | | | | | | | | | | | | | | | |
| Records Services | \$297,493 | 1,530 | \$0 | 0 | \$0 | 0 | \$45,081 | \$0 | \$2,161 | 39 | \$18,854 | 111 | \$177,194 | 1,389 | \$540,783 | 3,069 |
| Archives Related Services | \$13,596 | 76 | \$0 | 0 | \$0 | 0 | \$0 | \$9,711 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$23,307 | 76 |
| Electronic Records Archives | \$0 | 0 | \$67,162 | 51 | \$0 | 0 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$67,162 | 51 |
| Office of Inspector General | \$0 | 0 | \$0 | 0 | \$3,717 | 20 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$3,717 | 20 |
| Archives II Facility | \$16,101 | 0 | \$0 | 0 | \$0 | 0 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$16,101 | 0 |
| GRAND TOTAL | \$327,190 | 1,606 | \$67,162 | 51 | \$3,717 | 20 | \$45,081 | \$9,711 | \$2,161 | 39 | \$18,854 | 111 | \$177,194 | 1,389 | \$651,070 | 3,216 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS**

PERFORMANCE COSTS - FISCAL YEAR 2011

(dollars in thousands)

| ACTIVITIES | Operating Expenses | | Electronic Records Archives | | Office of Inspector General | | R & R | NHPRC | Advances & Reimbursements | | Trust Fund | | Revolving Fund | | Total | |
|--|--------------------|------------|-----------------------------|-----------|-----------------------------|----------|-----------------|------------|---------------------------|-----------|--------------|----------|------------------|--------------|------------------|--------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | \$ | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| Goal 1: As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records. | | | | | | | | | | | | | | | | |
| Records Services | \$37,495 | 236 | - | - | - | - | - | - | - | - | - | - | \$176,063 | 1,452 | \$213,558 | 1,688 |
| Archives Related Services | \$9,811 | 67 | - | - | - | - | - | - | - | - | - | - | - | - | \$9,811 | 67 |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Total Goal 1 | \$47,306 | 303 | \$0 | 0 | \$0 | 0 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$176,063 | 1,452 | \$223,369 | 1,755 |
| Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible. | | | | | | | | | | | | | | | | |
| Records Services | \$157,199 | 790 | - | - | - | - | \$11,848 | - | - | - | - | - | - | - | \$169,047 | 790 |
| Archives Related Services | \$137 | - | - | - | - | - | - | - | - | - | - | - | - | - | \$137 | 0 |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Archives II Facility | \$14,984 | - | - | - | - | - | - | - | - | - | - | - | - | - | \$14,984 | 0 |
| Total Goal 2 | \$172,320 | 790 | \$0 | 0 | \$0 | 0 | \$11,848 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$184,168 | 790 |
| Goal 3: We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era. | | | | | | | | | | | | | | | | |
| Records Services | \$9,989 | 48 | - | - | - | - | - | - | - | - | - | - | - | - | \$9,989 | 48 |
| Archives Related Services | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Electronic Records Archives | - | - | \$85,500 | 49 | - | - | - | - | - | - | - | - | - | - | \$85,500 | 49 |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Total Goal 3 | \$9,989 | 48 | \$85,500 | 49 | \$0 | 0 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$95,489 | 97 |
| Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime. | | | | | | | | | | | | | | | | |
| Records Services | \$56,469 | 287 | - | - | - | - | - | - | \$2,138 | 46 | \$200 | 1 | - | - | \$58,807 | 334 |
| Archives Related Services | \$527 | - | - | - | - | - | - | - | - | - | - | - | - | - | \$527 | 0 |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Total Goal 4 | \$56,996 | 287 | \$0 | 0 | \$0 | 0 | \$0 | \$0 | \$2,138 | 46 | \$200 | 1 | \$0 | 0 | \$59,334 | 334 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS**

PERFORMANCE COSTS - FISCAL YEAR 2011

(dollars in thousands)

| ACTIVITIES | Operating Expenses | | Electronic Records Archives | | Office of Inspector General | | R & R | NHPRC | Advances & Reimbursements | | Trust Fund | | Revolving Fund | | Total | | |
|--|--------------------|--------------|-----------------------------|-----------|-----------------------------|-----------|-----------------|-----------------|---------------------------|-----------|-----------------|------------|------------------|--------------|------------------|--------------|--|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | \$ | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE | |
| Goal 5: We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs. | | | | | | | | | | | | | | | | | |
| Records Services | \$14,600 | 73 | - | - | - | - | - | - | - | - | \$16,062 | 119 | - | - | \$30,662 | 192 | |
| Archives Related Services | \$2,237 | 12 | - | - | - | - | - | \$10,000 | - | - | - | - | - | - | \$12,237 | 12 | |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 | |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 | |
| Total Goal 5 | \$16,837 | 85 | \$0 | 0 | \$0 | 0 | \$0 | \$10,000 | \$0 | 0 | \$16,062 | 119 | \$0 | 0 | \$42,899 | 204 | |
| Goal 6: We will equip NARA to meet the changing needs of our customers. | | | | | | | | | | | | | | | | | |
| Records Services | \$30,058 | 175 | - | - | - | - | - | - | - | - | \$300 | 1 | - | - | \$30,358 | 176 | |
| Archives Related Services | \$1,196 | - | - | - | - | - | - | - | - | - | - | - | - | - | \$1,196 | 0 | |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 | |
| Office of Inspector General | - | - | - | - | \$4,250 | 24 | - | - | - | - | - | - | - | - | \$4,250 | 24 | |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 | |
| Total Goal 6 | \$31,254 | 175 | \$0 | 0 | \$4,250 | 24 | \$0 | \$0 | \$0 | 0 | \$300 | 1 | \$0 | 0 | \$35,804 | 200 | |
| Summary of Goals 1 through 6 | | | | | | | | | | | | | | | | | |
| Records Services | \$305,810 | 1,609 | \$0 | 0 | \$0 | 0 | \$11,848 | \$0 | \$2,138 | 46 | \$16,562 | 121 | \$176,063 | 1,452 | \$512,421 | 3,228 | |
| Archives Related Services | \$13,908 | 79 | \$0 | 0 | \$0 | 0 | \$0 | \$10,000 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$23,908 | 79 | |
| Electronic Records Archives | - | 0 | \$85,500 | 49 | \$0 | 0 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$85,500 | 49 | |
| Office of Inspector General | \$0 | 0 | \$0 | 0 | \$4,250 | 24 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$4,250 | 24 | |
| Archives II Facility | \$14,984 | 0 | \$0 | 0 | \$0 | 0 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$14,984 | 0 | |
| GRAND TOTAL | \$334,702 | 1,688 | \$85,500 | 49 | \$4,250 | 24 | \$11,848 | \$10,000 | \$2,138 | 46 | \$16,562 | 121 | \$176,063 | 1,452 | \$641,063 | 3,380 | |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS**

PERFORMANCE COSTS - FISCAL YEAR 2012

(dollars in thousands)

| ACTIVITIES | Operating Expenses | | Electronic Records Archives | | Office of Inspector General | | R & R | NHPRC | Advances & Reimbursements | | Trust Fund | | Revolving Fund | | Total | |
|--|--------------------|------------|-----------------------------|-----------|-----------------------------|----------|----------------|------------|---------------------------|-----------|--------------|----------|------------------|--------------|------------------|--------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | \$ | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| Goal 1: As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records. | | | | | | | | | | | | | | | | |
| Records Services | \$37,923 | 236 | - | - | - | - | - | - | - | - | - | - | \$182,612 | 1,452 | \$220,535 | 1,688 |
| Archives Related Services | \$9,509 | 67 | - | - | - | - | - | - | - | - | - | - | - | - | \$9,509 | 67 |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Total Goal 1 | \$47,432 | 303 | \$0 | 0 | \$0 | 0 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$182,612 | 1,452 | \$230,044 | 1,755 |
| Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible. | | | | | | | | | | | | | | | | |
| Records Services | \$165,899 | 802 | - | - | - | - | \$9,659 | - | - | - | - | - | - | - | \$175,558 | 802 |
| Archives Related Services | \$141 | - | - | - | - | - | - | - | - | - | - | - | - | - | \$141 | 0 |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Archives II Facility | \$13,770 | - | - | - | - | - | - | - | - | - | - | - | - | - | \$13,770 | 0 |
| Total Goal 2 | \$179,810 | 802 | \$0 | 0 | \$0 | 0 | \$9,659 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$189,469 | 802 |
| Goal 3: We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era. | | | | | | | | | | | | | | | | |
| Records Services | \$9,080 | 48 | - | - | - | - | - | - | - | - | - | - | - | - | \$9,080 | 48 |
| Archives Related Services | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Electronic Records Archives | - | - | \$49,200 | 35 | - | - | - | - | - | - | - | - | - | - | \$49,200 | 35 |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Total Goal 3 | \$9,080 | 48 | \$49,200 | 35 | \$0 | 0 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$58,280 | 83 |
| Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime. | | | | | | | | | | | | | | | | |
| Records Services | \$55,388 | 287 | - | - | - | - | - | - | \$2,213 | 46 | \$200 | 1 | - | - | \$57,801 | 334 |
| Archives Related Services | \$540 | - | - | - | - | - | - | - | - | - | - | - | - | - | \$540 | 0 |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Total Goal 4 | \$55,928 | 287 | \$0 | 0 | \$0 | 0 | \$0 | \$0 | \$2,213 | 46 | \$200 | 1 | \$0 | 0 | \$58,341 | 334 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS**

PERFORMANCE COSTS - FISCAL YEAR 2012

(dollars in thousands)

| ACTIVITIES | Operating Expenses | | Electronic Records Archives | | Office of Inspector General | | R & R | NHPRC | Advances & Reimbursements | | Trust Fund | | Revolving Fund | | Total | |
|--|--------------------|--------------|-----------------------------|-----------|-----------------------------|-----------|----------------|----------------|---------------------------|-----------|-----------------|------------|------------------|--------------|------------------|--------------|
| | \$ | FTE | \$ | FTE | \$ | FTE | \$ | \$ | \$ | FTE | \$ | FTE | \$ | FTE | \$ | FTE |
| Goal 5: We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs. | | | | | | | | | | | | | | | | |
| Records Services | \$13,649 | 73 | - | - | - | - | - | - | - | - | \$16,260 | 119 | - | - | \$29,909 | 192 |
| Archives Related Services | \$2,207 | 12 | - | - | - | - | - | \$5,000 | - | - | - | - | - | - | \$7,207 | 12 |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Total Goal 5 | \$15,856 | 85 | \$0 | 0 | \$0 | 0 | \$0 | \$5,000 | \$0 | 0 | \$16,260 | 119 | \$0 | 0 | \$37,116 | 204 |
| Goal 6: We will equip NARA to meet the changing needs of our customers. | | | | | | | | | | | | | | | | |
| Records Services | \$30,027 | 175 | - | - | - | - | - | - | - | - | \$300 | 1 | - | - | \$30,327 | 176 |
| Archives Related Services | \$1,208 | - | - | - | - | - | - | - | - | - | - | - | - | - | \$1,208 | 0 |
| Electronic Records Archives | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Office of Inspector General | - | - | - | - | \$4,100 | 24 | - | - | - | - | - | - | - | - | \$4,100 | 24 |
| Archives II Facility | - | - | - | - | - | - | - | - | - | - | - | - | - | - | \$0 | 0 |
| Total Goal 6 | \$31,235 | 175 | \$0 | 0 | \$4,100 | 24 | \$0 | \$0 | \$0 | 0 | \$300 | 1 | \$0 | 0 | \$35,635 | 200 |
| Summary of Goals 1 through 6 | | | | | | | | | | | | | | | | |
| Records Services | \$311,966 | 1,621 | \$0 | 0 | \$0 | 0 | \$9,659 | \$0 | \$2,213 | 46 | \$16,760 | 121 | \$182,612 | 1,452 | \$523,210 | 3,240 |
| Archives Related Services | \$13,605 | 79 | \$0 | 0 | \$0 | 0 | \$0 | \$5,000 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$18,605 | 79 |
| Electronic Records Archives | \$0 | 0 | \$49,200 | 35 | \$0 | 0 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$49,200 | 35 |
| Office of Inspector General | \$0 | 0 | \$0 | 0 | \$4,100 | 24 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$4,100 | 24 |
| Archives II Facility | \$13,770 | 0 | \$0 | 0 | \$0 | 0 | \$0 | \$0 | \$0 | 0 | \$0 | 0 | \$0 | 0 | \$13,770 | 0 |
| GRAND TOTAL | \$339,341 | 1,700 | \$49,200 | 35 | \$4,100 | 24 | \$9,659 | \$5,000 | \$2,213 | 46 | \$16,760 | 121 | \$182,612 | 1,452 | \$608,885 | 3,378 |

FISCAL YEAR 2012

ANNUAL PERFORMANCE PLAN



**Submitted to Congress
February 14, 2011**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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PREFACE

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

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

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

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

Our Mission:

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

Our Strategic Goals:

- *One:* As the nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records
- *Two:* We will preserve and process records to ensure access by the public as soon as legally possible
- *Three:* We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era
- *Four:* We will provide prompt, easy, and secure access to our holdings anywhere, anytime
- *Five:* We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs
- *Six:* We will equip NARA to meet the changing needs of our customers

These goals and the strategies to achieve them are detailed in *Preserving the Past to Protect the Future: The Strategic Plan of the National Archives and Records Administration, 2006-2016*, re-issued in September 2009. This annual performance plan is based on the goals, strategies, and long-range performance targets in our Strategic Plan, and builds on expected performance in FY 2011. It details the actions and outcomes that must occur in FY 2012 for us to move forward on meeting the goals and targets in our Strategic Plan. In addition to listing performance goals and measures for evaluating our performance, the plan describes the processes, skills, and technologies, and the human, capital, and informational resources needed to meet the year's performance goals. We received no aid from non-Federal parties in preparing this plan.

Following is a summary of the resources, by budget authority, we are requesting to meet our FY 2012 objectives. Our budget is linked to the performance goals in this plan.

| | |
|------------------------------------|------------------------|
| Operating Expenses | \$388,541 |
| Office of Inspector General | \$4,100 |
| Repairs/Restorations | \$9,659 |
| Grants | <u>\$5,000</u> |
| Total Budget Authority | \$407,300 |
| | |
| Redemption of Debt | <u>\$15,201</u> |
| Total Appropriation | \$422,501 |
| | |
| Total FTE | 3,378 |

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

We continue using four mechanisms to measure actual performance: (1) periodic management reviews, (2) formal audits of operations, (3) expansion and refinement of our performance measurement system,

and (4) systematic sampling of measurement system effectiveness. In FY 1999 we deployed our agency-wide Performance Measurement and Reporting System (PMRS). This system allows us to define and consistently measure data critical to the analysis of our performance objectives. Every year we integrate and expand the system further so that our strategic performance is measured using a balanced scorecard approach for tracking cycle times, quality, productivity, cost, and customer satisfaction for our products and services.

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

Our program management system (PROMT) is used to control costs and schedules on a variety of programs including the Electronic Records Archives (ERA) program. PROMT integrates several commercial-off-the-shelf program management tools in a Windows-based web environment to help us schedule and link project activities, assign resources, collect and report costs, calculate earned value, and analyze impacts and risks to the ERA program. PROMT incorporates an EIA-748 compliant tool that meets OMB and GAO requirements for calculating earned value.

We must succeed in reaching our goals because the National Archives and Records Administration is not an ordinary Federal agency. Our mission is to ensure that Government officials and the American public have continuing access to essential documentation, and this mission puts us at the very heart of continuity of government, public trust, and the national morale. Whether publishing the emergency *Federal Register*, protecting the critical records assets of Federal agencies nationwide, serving American's veterans, solving the challenge of preserving electronic information so it is readily accessible in the future or displaying our nation's Charters of Freedom—the Declaration of Independence, the Constitution, and the Bill of Rights—to inspire the American public, NARA plays a critical role in keeping America's history and democratic ideals safe and secure. This performance plan is our FY 2012 road map for meeting the great expectations of our nation.

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

Long Range Performance Targets

1.1 By 2016, 50 percent of agencies achieve passing scores for compliance with Federal records management policy.

1.2 By 2016, 90 percent of customers are highly satisfied with NARA records management services.

1.3 By 2016, records management transactions serviced by the Federal Records Centers Program grow by 6 percent.

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.

FY 2011 Resources Requested to Meet This Goal: \$47,306,000; 1,755 FTE

FY 2012 Resources Requested to Meet This Goal: \$47,432,000; 1,755 FTE

| FY 2012 Budget Linkage | Records Services | Archives Related Services | Archives II Facility | Revolving Fund | Trust Fund | NHPRC | Repairs & Restoration |
|--|------------------|---------------------------|----------------------|----------------|------------|-------|-----------------------|
| 1.1 By 2016, 50 percent of agencies achieve passing scores for compliance with Federal records management policy. | ✓ | | | | | | |
| 1.2 By 2016, 90 percent of customers are highly satisfied with NARA records management services. | ✓ | | | | | | |
| 1.3 By 2016, records management transactions serviced by the Federal Records Center Program grow by 6 percent. | | | | ✓ | | | |
| 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. | ✓ | | | | | | |

Long Range Performance Target 1.1 By 2016, 50 percent of agencies achieve passing scores for compliance with Federal records management policy.

FY 11 Estimated Performance

- Agency self-assessment responses meet or exceed 93 percent.
- 15 percent of agencies achieve a passing score for compliance in targeted areas of Federal records management.
- Conduct one records management inspection based on evaluation of agency self-assessment results.

FY 12 Projected Performance

- Agency self-assessment responses meet or exceed the response rate in FY 2011.
- 20 percent of agencies achieve a passing score for compliance in targeted areas of Federal records management.
- Conduct 2 records management inspections based on evaluation of agency self-assessment results.

Outcome Our work is based on the principles of open government. Our mission is uniquely aligned with the ideals found in the OPEN Government Directive, issued by the Obama Administration in December 2009. This Directive outlined the need for transformation in Government, where transparency, participation, and collaboration are the principles by which Government operates. We recognize that records management is key to the success of open government. We continue to work with agencies to ensure that they understand the effectiveness of their records management plans and programs. Our work with agencies directly supports our mission to ensure that important Federal Government records are available, accessible, and meet the needs of the agency, government, and citizens. Through oversight activities, we will identify agencies effectiveness in meeting statutory and regulatory requirements and identify the level of risk when these requirements are not met.

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

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

Means and Strategies The backbone of a transparent and open government is good records management. NARA's *Strategic Directions for Federal Records Management* is our plan for creating relationships with agencies that advance records management as a part of the Government's mission. Our *Open Government Plan* outlines opportunities that now exist to operate more efficiently and effectively as we communicate and interact with our stakeholders, customers, and the public to gather information and seek input to solve records management issues. We are demonstrating that effective records management adds value to agency business processes, and our guidance, training, and assistance to agencies focuses on using records management as an important tool for supporting agency business processes.

In FY 2008, GAO recommended in its report entitled "Federal Records – National Archives and Selected Agencies Need to Strengthen E-Mail Management," that NARA exercise its statutory authority as defined in the Federal Records Act and implement oversight mechanisms to ensure that Federal records are not lost or destroyed. Since then, we developed a methodology and process for conducting records

management oversight activities of Federal agencies and established mechanisms for reporting the results to Congress and OMB. Part of this methodology included annual agency self-assessments and surveys on specific records management areas. We provide Federal records officers with self-assessment tools to understand the risks in their agencies' records management programs. With our initial survey issued in FY 2009, we learned what continues to present challenges for agencies (e.g. e-mail) and identified areas of records management that need improvement. The following year we reduced the number of open-ended questions to produce more consistent agency responses and reduce the amount of subjectivity in the scoring. In addition, we increased the number of questions, included questions related to agency size and records management staffing levels, and added a section to focus more closely on training. Annually, we will refine our survey and build upon lessons learned in the prior year. Our goal is to continue to address ways to decrease the risks to Federal records and improve agency records management practices through inspections and agency self-assessments.

In response to recommendations from OMB and the Federal CIO, we reviewed our statutory authority to manage electronic records under the Federal Records Act. In December 2010, we produced an analysis and report of this effort, specifically addressing any areas that may require revision.

Key external factors Federal agencies must devote resources to perform records management. Federal agency managers must see records management as an asset for their business operations. Federal agencies must assign resources to perform regular self-assessment of records management compliance. Records management professionals must be trained in Federal records management policy.

Verification and Validation

| <i>Performance Data</i> | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|---|----------------|----------------|----------------|----------------|
| <i>Performance target for percent of agencies who submit records management self-assessments to NARA.</i> | | 50 | 93 | 93 |
| Percent of agencies who submit records management self-assessments to NARA. | 91 | 93 | | |
| <i>Performance target for percent of agencies with passing scores for compliance in targeted areas of Federal records management.</i> | — | — | 15 | 20 |
| Percent of agencies achieving passing scores for compliance with Federal Records management policy. | 22 | 5 | | |

Milestones

FY 2007

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

FY 2008

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

FY 2009

- Survey results analyzed and additional advocacy and training strategies discussed.
- Methodology and process for conducting and reporting records management oversight activities developed.

FY 2010

- NARA's *Open Government Plan* issued.
- Agency self-assessment of their records management program conducted.
- One agency inspection conducted.
- Results of government-wide agency self-assessment analyzed.
- NARA Bulletin on *Developing Flexible Schedules* issued.
- *NARA's Electronic Records Project Summary Report for FY 2005 – FY 2009* issued.

- *FAQs About Managing Federal Records in Cloud Computing Environments* issued.
- Records Management study on Federal web 2.0 and social media use conducted.

FY 2011 Estimated

- One inspection conducted.
- Agency self-assessment of their records management program conducted.
- Results of Government-wide agency self-assessment analyzed.
- Sufficiency of NARA’s statutory authority to manage electronic records examined.

FY 2012 Projected

- Agency self-assessment of their records management program conducted.
- Two agency inspections conducted.

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

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

FY 11 Estimated Performance

- Increase by 5 percent the number of distance learning course offerings.
- Establish baseline for records schedules submitted using ERA.

FY 12 Projected Performance

- 90 percent of Federal agency customers are highly satisfied with NARA records management services.
- Increase by 25 percent the number of distance learning course offerings.

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

NARA will improve and increase the guidance that it provides to Federal agencies to support meeting their records management responsibilities and challenges. NARA will also increase the Government’s records management capability through studying records management challenges particular to Government and through training and certifying new records managers in every Federal agency. In this digital era, NARA will expand the way it tackles key records management challenges by implementing the tenets of open government as we work collaboratively with our customers and partners to improve communication and transparency in the Federal Government.

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

Means and Strategies NARA’s success in providing agencies with the records management tools they need is the basis for evaluating its service to the Federal Government. Records managers are the most

important audience for NARA's records management services, and they are best able to judge our success. We value their input and request feedback on their satisfaction with NARA's records management services, including scheduling and appraisal services, electronic records guidance, and records management training services.

NARA uses the survey results to identify ways to improve our services to agency records management programs and government-wide records management. In FY 2010, we scanned and provided access to approved agency records schedules on the NARA public web site. This service provided agencies with a repository of information to facilitate rapid records schedule development, enabled cross records management program comparisons for effectiveness, and provided an active list of all approved schedules for ongoing inventory development. In addition, we developed guidance for agencies on technology solutions, such as cloud computing, to inform agencies of records management implications when considering these types of products. By providing guidance, training, and assistance throughout the Government, we will continue to support agencies' business needs and embed records management in the agencies' business processes and systems. As we push agency adoption of NARA's Electronic Records Archives (ERA) in FY 2011, we will postpone our survey until FY 2012, allowing time for agencies to use ERA and provide feedback on that system. We will continue to use the results from surveys, agencies' annual mandatory self-assessments of their records management programs, and NARA-led agency inspections to determine ways to improve our services.

The NARA National Records Management Training Program provides a curriculum designed to enhance and improve the knowledge and skills of Federal records managers. We recognize that ongoing records management training is an integral part of effective records management. However, face-to-face classroom instruction presents logistical challenges. To address this issue, we increased our offerings of distance learning training classes, including those offered through webinars. In FY 2011, we have begun work on a 5-year revision schedule that will overhaul existing courses, improving their content, delivery, interactivity, and reusability. In addition, we initiated efforts to develop wholly online training content, while we continue development of webinars. Our goal is to create three-standalone classes as well as brief FAQ-style online training items. Presented as a brief audio-clip synchronized with a Powerpoint presentation, each FAQ will answer commonly-asked records management questions. We envision more of our regional offices offering webinars of both formal content and informal sessions. In FY 2012 we will begin transitioning our current face-to-face course-load to an internet-based approach, using a blended approach to learning that will incorporate both self-paced and scheduled elements.

A critical tactic for improving customer satisfaction is the redesign of the processes by which Federal records overall are identified, appraised, scheduled, and tracked while in agency custody. Part of the strategy for carrying out this plan is the continued development of the Electronic Records Archives, an application that supports the scheduling and accessioning of Federal records. We successfully achieved initial operating capability of ERA in FY 2008 and have released several major enhancements since that time. Other planned improvements will make it easier for agencies to develop records schedules that comply with all applicable rules, submit them to NARA for approval online, and then for NARA to accession the records covered by those schedules, ensuring that essential documentation of the Federal Government is not lost.

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

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Percent of Federal agency customers that are satisfied with NARA records management services.</i> | 79 | — | 85 | — | — | 90 |
| Percent of Federal agency customers that are satisfied with NARA records management services. | 80 | 81 | 81 | — | — | TBD |
| Percent of records management training participants taking a NARA records management course for the first time. | 43 | 39 | 63 | 36 | | |
| Number of records management training participants who are taking a NARA records management course for the first time. | 2,162 | 2,524 | 7,625 | 2,619 | | |
| <i>Performance target for percent increase in the number of distance learning course offerings.</i> | — | — | — | 5 | 5 | 25 |
| Percent increase in the number of distance learning course offerings. | — | — | — | 133 | | |
| Number of Federal agency staff receiving NARA training in records management and electronic records management. | 5,047 | 6,422 | 12,114 | 7,233 | | |
| Number of records management training participants that NARA certified this year. | 269 | 310 | 242 | 282 | | |
| Median time for records schedule items completed (in calendar days). | 284 | 315 | 302 | 330 | | |
| Average age of schedule items completed (in calendar days). | 452 | 443 | 416 | 495 | | |
| Number of schedule items completed. | 2,983 | 3,282 | 3,221 | 2,629 | | |
| Number of open schedules in the backlog. | 414 | 561 | 1,038 | 1,032 | | |

Milestones

FY 2007

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

FY 2008

- Effectiveness of flexible schedules for agencies and NARA assessed.

FY 2009

- Customer Satisfaction Survey issued.
- Distance learning techniques to expand customer base selected.

FY 2010

- Approved agency records schedules from 1973 to present digitized and posted.

FY 2011 Estimated

- At least three courses revised to reflect new NARA initiatives (e.g. ARCIS, ERA).
- Pilot of wholly online training module tested.

FY 2012 Projected

- Customer Satisfaction Survey issued and results analyzed.

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

Long Range Performance Target 1.3 By 2016, records management transactions serviced by the Federal Records Centers Program grows by 6 percent.

FY 11 Estimated Performance

- Increase number of records management transactions serviced by FRCP by 1 percentage point.

- Make ready 98 percent of Federal agency reference requests within the promised time.
- Answer 80 percent of written requests to the National Personnel Records Center within 10 working days.
- Achieve 88 percent customer satisfaction at NPRC.
- Answer 85 percent of requests for military personnel records in 10 working days or less (OMB High Priority Goal).
- Implement Increment 4 of ARCIS at Federal Records Centers.

FY 12 Projected Performance

- Increase number of records management transactions serviced by FRCP by 1 percentage point.
- Make ready 98 percent of Federal agency reference requests within the promised time.
- Answer 80 percent of written requests to the National Personnel Records Center within 10 working days.
- Achieve 88 percent customer satisfaction at NPRC.
- Answer 85 percent of requests for military personnel records in 10 working days or less.
- Implement Increment 5 of ARCIS at Federal Records Centers.

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

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

Means and Strategies Since FY 2000, NARA's Federal Records Center Program (FRCP) has been fully reimbursable, allowing us to be more flexible in responding to agency records needs, and requiring us to meet those needs in a cost-effective and efficient way. Our ability to satisfy and retain our customers is dependent on our ability to meet their needs and to anticipate the kinds of services that will be most useful to them. Over the last several years, we have piloted and tested a variety of electronic records services. We will continue to test the delivery of new services for electronic records, including digitizing records into electronic formats, storage of agencies' electronic records on media, and remote servicing of electronic records, for example, electronic Official Military Personnel Files (OMPF). The

FRCP completed a project to analyze the business case and options for launching electronic Federal Records Center services in 2010. The FRCP will continue to assess customer demand and options for providing online storage for temporary electronic records.

In FY 2010, we completed deployment of the Archives and Records Center Information System (ARCIS) throughout NARA’s regional facilities. This system replaced mainframe-based systems that had been operational for more than 20 years. Most importantly, these systems no longer supported the new FRCP reimbursable financial environment. ARCIS provides robust inventory and space management for more than 25 million cubic feet of records through a web-based application for all FRCP business transactions. ARCIS enables Federal agencies to better manage records throughout the records lifecycle, enables the FRCP to better measure all facets of FRCP performance, and will provide asset management and billing functionality. Increment 3 of ARCIS, developed during FY 2010, provided customers with web-enabled access to information about their holdings, created web service interfaces to NARA systems as well as to external agencies, provided functionality for agencies to control user access privileges to ARCIS, and an enhanced customer portal. Increment 4, scheduled for FY 2011, will include workflow engineering, support for local billing arrangements, business intelligence functionality, continued enhancements to the customer portal, and mechanisms in place to export and import data between ARCIS, ERA and HMS. In FY 2012, Increment 5 will address enhancements to workflow engineering, integration with billing, and integration of retrieval tools for military and civilian personnel and medical records in the National Personnel Records Center in St. Louis.

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

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|---|----------------|----------------|---------------------------|----------------|----------------|----------------|
| <i>Performance target for percentage point of records management transactions growth in the Federal Records Centers.</i> | — | — | — | 1 | 1 | 1 |
| Percent of records management transactions growth in the Federal Records Centers. | — | — | — | 2.3 | | |
| <i>Performance target for percent of customers satisfied with NPRC services.</i> | — | — | <i>Establish baseline</i> | 87 | 88 | 88 |
| Percent of customers satisfied with NPRC services. | — | — | 85 | 86 | | |
| <i>Performance target for percent of Federal agency reference requests ready within the promised time.</i> | 95 | 96 | 97 | 97 | 98 | 98 |
| Percent of Federal agency reference requests ready within the promised time. | 97 | 98 | 97 | 98 | | |
| <i>Performance target for customers with appointments for whom records are waiting at the appointed time.</i> | 99 | 99 | 99 | 99 | 99 | |
| Percent of customers with appointments for whom records are waiting at the appointed time. | 99.9 | 99.9 | 99.9 | 99.8 | | |
| <i>Performance target for percent of written requests to the National Personnel Records Center answered within 10 working days.</i> | 75 | 75 | 80 | 80 | 80 | 80 |
| Percent of written requests to the NPRC answered within 10 working days. | 65 | 74 | 69 | 69 | | |
| Number of written requests to the NPRC answered within 10 working days (in thousands). | 740 | 854 | 845 | 908 | | |

| | | | | | | |
|--|---------|---------|---------|---------|----|----|
| Number of written requests for civilian records to the NPRC answered within 10 working days (in thousands). | 174 | 167 | 94 | 76 | | |
| Number of written requests for military records to the NPRC answered within 10 working days (in thousands). | 566 | 687 | 751 | 833 | | |
| Number of written requests to the NPRC answered (in thousands). | 1,136 | 1,149 | 1,221 | 1,319 | | |
| <i>Performance target for percent of requests for military personnel records answered in 10 working days or less (High Priority Goal).</i> | | | | — | 85 | |
| Percent of requests for military personnel records answered in 10 working days or less. | 59 | 72 | 70 | 70 | | |
| <i>Performance target for (average) number of working days to respond to requests for military personnel records.</i> | — | — | — | 15 | 10 | 10 |
| (Average) Number of working days to respond to request for military personnel records. | 15.4 | 11.8 | 17.5 | 17.4 | | |
| (Average) Number of working days to respond to request for civilian personnel records. | 5.9 | 7.5 | 9.9 | 10.5 | | |
| <i>Performance target for requests for military service separation records at the NPRC answered within 10 working days.</i> | 95 | — | — | — | — | — |
| Percent of requests for military service separation records at the NPRC answered within 10 working days. | 90 | 95 | 95 | 94 | | |
| Number of military service separation records (DD-214) requests answered (in thousands). | 475 | 506 | 574 | 556 | | |
| Average price per request for military service separation records. | \$29.70 | \$30.10 | \$31.70 | \$31.70 | | |

Milestones

FY 2007

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

FY 2009

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

FY 2010

- ARCIS Reporting capabilities improved and customer portal enhanced.
- eFRC Business Case completed and deployment decision reached.

FY 2011 Estimated

- Use of barcoding, full-text searching, and customer portal in ARCIS expanded.

FY 2012 Projected

- *Case Management and Reporting System (CMRS)* upgraded.
- NPRC's registry files migrated into ARCIS and integrated with CMRS.

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

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

FY 11 Estimated Performance • Reference Long Range Performance Target 2.2 for future milestones.

FY 12 Projected Performance • Reference Long Range Performance Target 2.2 for future milestones.

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

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

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

In FY 2009, we successfully executed the move of the Bush Administration Presidential and Vice Presidential material to NARA. The Bush Administration transferred to NARA more than 60 million pages of textual records and exponentially more electronic Presidential and Vice Presidential records than any earlier Administration. To ensure the preservation of these records for historical, informational, administrative, and evidentiary purposes and to prepare for the transfer of Presidential and Vice Presidential records to our custody, we worked with White House and Vice Presidential staffs to account for Presidential records, in all formats, held in Presidential, First Lady, and Vice Presidential staff offices and other file locations. We provided support to the White House Offices managing records and artifacts, including the White House Office of Records Management (WHORM), the White House Office Gift Unit, the White House Communications Agency, the Office of the Vice President, and the National Security Council Access and Records Management Staff.

Early staffing is key to success because of the advanced training the staff need to perform this work. Staff must be trained to accomplish the exacting reviews required under the PRA and FOIA to ensure that the

Presidential records are available in accordance with the Act. Staff must become familiar with the Administration's holdings, including the artifacts.

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

Verification and Validation

Milestones

FY 2007

- Five staff (4 archivists and 1 registrar) hired for George W. Bush Presidential Library.

FY 2008

- Additional staff to support preparation and move of George W. Bush Administration records hired.
- Leased space for temporary storage of George W. Bush Administration records procured.
- Inventories or other information about Presidential and Vice Presidential traditional and electronic records and artifacts gathered to aid in preparation for their relocation from Washington, DC, to the project site or ingestion into NARA's electronic records system.

FY 2009

- Temporary facility for George W. Bush Administration records occupied.
- 100 percent of George W. Bush Administration Presidential and Vice Presidential records and artifacts transferred to NARA.
- Additional staff and 1 Director hired for George W. Bush Library.

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

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

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

Long Range Performance Targets

- 2.1 By 2016, 85 percent of scheduled transfers of archival records are received at the scheduled time.
- 2.2 By 2016, 95 percent of archival holdings have been processed to the point where researchers can have efficient access to them.
- 2.3 By 2012, 90 percent of agency declassification programs earn high scores from ISOO.
- 2.4 By 2016, NARA archival holdings of 25-years-old or older records are declassified, exempted, or referred under the provisions of Executive Order 13526.
- 2.5 By 2016, 100 percent of archival holdings are stored in appropriate space.
- 2.6 By 2014, 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 2011 Resources Requested to Meet This Goal: \$184,168,000; 790 FTE

FY 2012 Resources Requested to Meet This Goal: \$189,469,000; 802 FTE

| FY 2012 Budget Linkage | Records Services | Archives Related Services | Archives II Facility | Revolving Fund | Trust Fund | NHPRC | Repairs & Restoration |
|--|------------------|---------------------------|----------------------|----------------|------------|-------|-----------------------|
| 2.1 By 2016, 85 percent of scheduled transfers of archival records are received at the scheduled time. | ✓ | | | | | | |
| 2.2 By 2016, 95 percent of archival holdings have been processed to the point where researchers can have efficient access to them. | ✓ | | | | | | |
| 2.3 By 2012, 90 percent of agency declassification programs earn high scores from 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 13526. | ✓ | | | | | | |
| 2.5 By 2016, 100 percent of archival holdings are stored in appropriate space. | ✓ | | | | | | ✓ |
| 2.6 By 2014, 100 percent of NARA records center holdings are stored in appropriate space. | | | | ✓ | | | |

| FY 2012 Budget Linkage | Records Services | Archives Related Services | Archives II Facility | Revolving Fund | Trust Fund | NHPRC | Repairs & Restoration |
|---|------------------|---------------------------|----------------------|----------------|------------|-------|-----------------------|
| 2.7 By 2016, less than 50 percent of archival holdings require preservation action. | ✓ | | | | | | |

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

- FY 11 Estimated Performance**
- 40 percent of targeted archival records transfers arrive at NARA on time.
 - Identify and schedule 10 percent more Federal agency electronic records and systems than were scheduled in FY 2010.

- FY 12 Projected Performance**
- 45 percent of targeted archival records transfers arrive at NARA on time.
 - Identify and schedule 10 percent more Federal agency electronic records and systems than were scheduled in FY 2011.

Outcome Records of archival value are preserved for future generations.

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

Means and Strategies NARA delivered a summary report titled “NARA’s Electronic Records Project covering FY 2005 – FY 2009.” This report documented the strategies and results of NARA’s concerted effort to assist agencies in scheduling and transferring permanent electronic records to NARA. The report highlighted the continued need to focus resources on exploring new strategies, techniques, and partnerships to further agency compliance with the requirements of the E-Government Act of 2002. We will pursue alternate ways to influence the scheduling and transfer of electronic records as we continue to offer training and look for opportunities to use social media to reach a broader audience.

As we work with Federal agencies to improve records management, we establish priorities based on the functional areas within the Government that contain the greatest records management challenges. We focus our attention on records that are at greatest risk of not being managed effectively, records that document citizens' rights and Government accountability, and records of archival value. With the volume of these records increasing every year, we will continue this practice while also working to improve the timeliness of records transfers to NARA. Throughout FY 2011 and FY 2012, we will work with agencies to increase the volume of electronic records scheduled while also developing new strategies and approaches for promoting awareness of scheduling in agencies. With approaches such as the pre-accessioning of electronic records into NARA, we can achieve earlier processing, description, and preservation, avoiding the loss of records that may occur with lengthy agency retention.

Key external factors Federal agencies must schedule their records. Agencies must agree to transfer their permanently valuable records to NARA. Federal agencies must implement Federal electronic records management standards issued by NARA.

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for percent of targeted archival records transfers arriving at NARA on time..</i> | 5 | 10 | 20 | 30 | 40 | 45 |
| Percent of targeted transfers of archival records arriving at NARA on time. | | | 21 | 27 | | |
| Percent of targeted transfers of traditional archival records arriving at NARA on time. | | | 6 | 24 | | |
| Percent of targeted transfers of electronic archival records arriving at NARA on time. | — | 40 | 44 | 35 | | |
| <i>Performance target for percent increase in number of Federal agency electronic records series or systems scheduled than prior year.</i> | — | — | 10 | 10 | 10 | 10 |
| Percent increase in number of Federal agency electronic records series or systems scheduled than prior year.* | — | — | 60 | 3 | | |
| Number of Federal agency electronic records series or systems scheduled. | — | 496 | 794 | 820 | | |

**The methodology for calculating agency electronic records series or systems changed during FY 2008 based on the issuance of Media Neutral guidance and the use of General Records Schedule (GRS) 20 to cover associated inputs, outputs and documentation related to agency electronic records series or systems.*

Milestones

FY 2007

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

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

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

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

FY 11 Estimated Performance

- Increase by 8 points the percent of archival holdings that have been processed to the point where researchers can have efficient access to them.

FY 12 Projected Performance

- Increase by 8 points the percent of archival holdings that have been processed to the point where researchers can have efficient access to them.

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

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

Means and Strategies *Archival processing* involves all the steps needed to open a record to the public. It includes establishing basic intellectual and physical control, and flagging records that have privacy issues, national security classification, or other restrictions or exemptions. It also includes providing descriptions of the records content, if necessary to understand the context in which the records were created, evaluating and recording condition (i.e. risk assessment), and performing essential preservation actions so that the records may be served to the public. New technology has created increased opportunities for easier and faster access to our holdings. However, the same technology has led to more records being created. The result is that new records have been *accessioned* (transferred to the legal custody of the National Archives) faster than they could be processed. This has created a backlog of holdings that has been growing for decades. To reduce this backlog and increase public access to holdings, we re-engineered our business process to increase processing efficiency, we reassigned staff to processing, and we implemented 5-year processing plans customized to some archives locations, to ensure that we eliminate our backlog while continuing to process incoming records.

We recognize that the increase of accessioned records has placed stress on NARA's archival workforce. NARA must develop an archival staff able to handle the increasingly complex workload ranging from traditional paper documents more than 100 years old to state-of-the-art electronic records. In FY 2010, we hired new archivists with the technical skills, organizational competencies, and knowledge needed to address our increasing workload. We assigned them to NARA's archival development program (ADP) where, based on policy from the Office of Personnel Management (OPM), archivists are required to have 160 hours of training over the two year period of their program. We designed training that introduces the archivists to each program office and its work, explains administrative issues and procedures, introduces them to partners and outside stakeholders and gives them opportunities to work on generic competencies, i.e. problem solving, decision making, communication and strategic thinking. Each archivist is working actively with a mentor to help them transition into NARA more easily, and to help them develop and work toward their future career options. Finally, each archivist must engage in a certain number of days of rotational assignments to fulfill the training and development requirements.

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

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|---|---------------------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for percent of archival holdings that have been processed to the point where researchers can have efficient access to them.</i> | <i>Establish baseline</i> | 30 | 40 | 50 | 55 | 63 |
| Percent of archival holdings that have been processed to the point where researchers can have efficient access to them. | 21* | 30 | 41 | 47 | | |

*Data reported in 2007 reflects only Washington, DC, area work. Data beginning in 2008 reflects results for the agency.

Milestones

FY 2007

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

FY 2008

- Processing efficiencies in Presidential Libraries and regional archives studied.

FY 2009

- Additional staff in Presidential Libraries dedicated to processing hired.
- Processing backlog elimination plans in regional archives implemented.

FY 2010

- New archival staff for processing Presidential records trained.
- Additional archival staff hired.

FY 2011 Estimated

- Additional archival staff hired.

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

Long Range Performance Target 2.3 By 2012, 90 percent of agency declassification programs earn high scores from ISOO.

FY 11 Estimated Performance

- Achieve 80 percent or higher rate of agency declassification programs receiving high scores as assessed by ISOO.

FY 12 Projected Performance

- Achieve 90 percent or higher rate of agency declassification programs receiving high scores as assessed by ISOO.

Outcome Records are properly exempted, referred, or declassified under the automatic declassification provisions of the Executive Order 13526, entitled “Classified National Security Information.”

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

Means and Strategies Through collaborative exchanges with agencies, policy clarification, education and training, and increased oversight, ISOO will seek to enhance the efficiency and effectiveness of the declassification program.

Increased oversight will, in part, take place through assessments of agency declassification programs, which will examine the declassification aspects of an executive branch agency’s security classification

program to determine whether an agency has met the requirements established by the President. The review will include the appropriateness of agency declassification actions, the quality of agency actions to identify classified equities of other agencies, and the appropriateness of agency action to exempt records from automatic declassification based upon application of declassification guidance approved by the Interagency Security Classification Appeals Panel or the application of file series exemptions. The specific results of a review, along with any appropriate recommendations for improvement, will be reported to the agency's senior agency official and will be reported generally in our reports to the President.

Our additional efforts to interact with agencies on declassification issues, clarify declassification policy, support declassification education and training and other oversight efforts concerning declassification in FY 2011 and FY 2012 will be determined in large measure by the findings of our FY 2010 and FY 2011 annual declassification assessments. In FY 2010, agencies began and will continue focusing their efforts and limited resources for declassification on the significant implementation requirements of Executive Order 13526 and 32 CFR Part 2001, and in meeting the 2013 deadline concerning more than 400 million pages at NARA requiring action.

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

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|---------------------------|----------------|----------------|----------------|----------------|
| <i>Performance target for percent of agency declassification reviews that receive high scores as assessed by ISOO.</i> | — | <i>Establish baseline</i> | 51 | 69 | 80 | 90 |
| Percent of agency declassification reviews that receive high scores as assessed by ISOO. | — | 36 | 53 | 67 | | |
| Number of agency declassification reviews that receive high scores as assessed by ISOO. | — | 8 | 10 | 10 | | |
| Number of agency declassification reviews assessed by ISOO. | — | 22 | 19 | 15 | | |

Milestones

FY 2007

- Scoring method to evaluate agency declassification programs developed.
- Referral standard streamlined and revised.
- Baseline scores of agency declassification reviews assessed by ISOO established.
- 12 Executive branch declassification reviews conducted.
- Strategy for dealing with classified special media established.

FY 2008

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

FY 2009

- Agencies with substantial declassification review programs assessed.
- Recommendations for declassification programs to improve the quality of their reviews issued.
- Results of assessments reported in Annual Report to President.

FY 2010

- Issuance of new declassification policy through E.O. 13526 and revision of 32 CFR Part 2001.

- Declassification reviews of all agencies with substantial declassification review programs assessed.
- Recommendations for declassifications programs to improve the quality of their reviews issued.
- Results of assessments reported in Annual Report to President.

FY 2011 Estimated

- Declassification reviews of all agencies with substantial declassification review programs assessed.
- Recommendations for declassifications programs to improve the quality of their reviews issued.
- Results of assessments reported in Annual Report to President.

FY 2012 Projected

- Declassification reviews of all agencies with substantial declassification review programs assessed.
- Recommendations for declassifications programs to improve the quality of their reviews issued.
- Results of assessments reported in Annual Report to President.

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

Long Range Performance Target 2.4 By 2016, archival holdings of 25-years-old or older records are declassified, exempted, or referred under the provisions of Executive Order 13526.

FY 11 Estimated Performance

- Complete declassification processing in the NDC on 100 million pages of classified documents 25 years old or older and accessioned into NARA.
- Scan 500,000 pages of Presidential records eligible for declassification review as part of the Remote Archives Capture project.

FY 12 Projected Performance

- Complete declassification processing in the NDC on 150 million pages of classified documents 25 years old or older and accessioned into NARA.
- Scan 500,000 pages of Presidential records eligible for declassification review as part of the Remote Archives Capture project.

Outcome More archival records are declassified and made available for public use while maintaining national security.

Significance Executive Order 13526, signed on December 29, 2009, requires the declassification of material 25 years old unless specifically exempt. The Government protects millions of classified documents at great expense, including a backlog of 418 million pages of Federal records in our Washington, DC, area facilities. In addition, we have 38 million pages of classified records in our holdings in the Presidential Libraries. The majority of these documents, more than 25 years old, no longer require classified protection and can and should be accessible to citizens.

With the issuance of E.O. 13526, NARA was given a leadership role in promoting collaboration, standardization of data, bringing together disparate declassification processes and systems within the declassification community through the establishment of the National Declassification Center. In addition, the Presidential Libraries has a major ongoing project to review classified documents in its holdings under its Remotes Archives Capture (RAC) project.

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

The Presidential Memorandum associated with this Executive Order established a December 31, 2013, deadline for the treatment of all 418 million pages reported in the NARA backlog as of January 2010. This backlog consists of the following: documents that have had one or more reviews by the original or equity-holding agencies, whose reviewers may not have had the training or experience necessary to accurately identify other government agency information; documents that may not have been reviewed for Restricted or Formerly Restricted Data (RD/FRD) required under the Kyl-Lott amendment; or collections without the proper documentation ensuring they were reviewed for RD/FRD. Kyl-Lott allows the Department of Energy to audit records to ensure that highly sensitive RD/FRD is properly protected.

To ensure that records released to the public have been properly declassified, the NDC has established Evaluation Teams and Interagency Quality Assurance Teams consisting of representatives from the major classifying agencies. These teams assess the quality of past reviews and the potential sensitivity of the records. The teams will pass records to the interagency referral center (IRC) if satisfied with the quality, schedule records for re-sampling, send the records to a remediation team if there are too many problems, or send records to final declassification processing for public release.

The results of the quality assurance program indicate that the quality of initial agency reviews severely impacts the processing of records for the IRC. NARA is working with the agencies to develop standard equity recognition training and a certification program for declassification reviewers. NARA has also developed, in cooperation with the agencies, a web site for sharing agency declassification guidance.

In FY 2011, we will continue Information Technology (IT) development, upgrades and expansion within the NDC at the National Archives in College Park facility. The ability to provide IT support that will enable access to digitized records, both born digital and those scanned into a redaction environment, will provide the security required for these documents as well as offer the data needed to track them from accessioning to public availability. Future IT will allow interaction with the classified instance of ERA in order to provide redaction review, equity referral, and as necessary, proper exemption of the millions of pages of electronic records that will be accessioned to NARA in the near future.

For classified materials in the Presidential Library system for which we have no delegated declassification authority, we have established a partnership with the Central Intelligence Agency (CIA) called the Remote Archives Capture project (RAC). The RAC project prepares and optically scans all classified twenty-five-year-old documents that cannot be systematically reviewed by the Presidential Libraries. The purpose of this program is to put all classified Presidential materials in a digital format, which can then be transferred back to Washington, D.C. Once in Washington, the digital images are made available to the

primary classifying agency for review and declassification of its equities. The equity declassification review is transmitted to a CIA center, which then returns the declassification decisions to the Library.

Meeting the requirements of Executive Order 13526 will be a significant challenge at the Reagan Library, where we will need to refer approximately 8 million pages of textual classified Presidential records prior to 2014. This represents more classified pages than all of the previous Presidential Libraries combined. In addition to scanning the Presidential records of the Reagan administration, the RAC project will need to scan approximately 500,000 pages of classified Vice Presidential records at the George H.W. Bush Library prior to 2014.

Key external factors National security concerns may divert resources from declassification efforts or lead to the withholding of additional records.

We continue to devote resources to assist the Department of Energy (DOE) in surveying and auditing records to ensure that no RD/FRD is inadvertently released. Lack of consistent data, that is, issues with locating records and developing a consistent error-free inventory of all the records, impacts the availability of the records for declassification processing and continuing proper exemption or ultimate release. In addition, we are reliant upon affected agencies to adequately support all the review processes. Finally, we must have sufficient secure space available for all referral review.

Technical support by the CIA is imperative if we are to enable the review of Presidential Library documents by other agencies. Agencies must conduct reviews of their equities in the scanned documents before the Libraries can process the records for release.

New employees hired for the declassification program cannot start work with classified records for many months until their security clearances are approved.

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|---|----------------|----------------|----------------|----------------|----------------|----------------|
| Backlog of pages of Federal records eligible for declassification review at start of year (in thousands of pages).* | — | 420,050 | 417,098 | 417,917* | 430,595 | |
| Backlog of pages of Presidential materials at start of year (in thousands of pages). | 218 | 218 | 127 | 127 | 5,848 | |
| <i>Performance target for the number of pages of classified documents 25 years old and older and accessioned into NARA completing declassification processing in the National Declassification Center (NDC) (in thousands).</i> | — | — | 11,000 | 12,100 | 100,000 | 150,000 |
| Annual number of Federal pages declassified and released to open shelves (in thousands). | 374 | 260 | 12,986 | 20,996 | | |
| Annual number of Presidential pages declassified (in thousands). | 194 | 80 | 198 | 305 | | |
| <i>Performance target for annual number of Presidential pages scanned (in thousands).</i> | 500 | 500 | 500 | 500 | 500 | 500 |
| Annual number of Presidential pages scanned (in thousands). | 512 | 519 | 545 | 531 | | |

* For FY 2010 data and beyond, the start of year backlog is based on the backlog beginning January 1, 2010, in response to Executive Order 13526, issued December 29, 2009. It excludes additional classified records received since then.

Milestones

FY 2007

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

FY 2008

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

FY 2010

- The National Declassification Center established by Executive Order 13526.
- Prioritization Plan that established priorities for declassification and interagency referral review disseminated to public and historical community for input.
- NDC website and blog to provide timely information to the public established.
- NDC Open Forum hosted by the Archivist of the United States.

FY 2011 Estimated

- Approximately 500,000 pages of classified Reagan Presidential records for declassification review by equity holding agencies scanned.
- National Declassification Center in operation at National Archives in College Park.
- Declassification processing of 100 million pages of 25 year old or older classified Federal records accessioned into NARA completed.
- Study to define NDC's IT needs (i.e. whether classified instance of HMS, ADDRRES, or ERA) conducted.

FY 2012 Projected

- Approximately 500,000 pages of classified Reagan Presidential records for declassification review by equity holding agencies scanned.
- Declassification processing of 150 million pages of 25 year old or older classified Federal records accessioned into NARA completed.

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

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

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

FY 11 Estimated Performance

- Complete award of construction contract for second phase of Roosevelt Library renovation.
- Open National Personnel Records Center Dunn Road facility for occupancy.
- Complete move of Nixon Library holdings into new space.
- 85 percent of archival holdings are in NARA 1571 compliant space. (High Priority Goal).

FY 12 Projected Performance

- Complete first phase of Roosevelt Library renovation.
- Complete construction of Kennedy Library addition and renovation.
- Complete move of records from St. Louis-area facilities to National Personnel Records Center facility.
- 88 percent of archival holdings are in NARA 1571 compliant space. (High Priority Goal)

Outcome Archival records are preserved for public use.

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

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

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

The National Archives Experience Phase II, a project to create space for a new exhibit gallery at the National Archives Building in Washington, DC, will greatly enhance the experience of our more than one million visitors each year. In FY 2012, we will complete the infrastructure needed to house exhibits in this new exhibit gallery, *Freedom Hall*. This gallery will create the opportunity for visitors to connect our country's 18th century struggle for liberty with our world today. Visitors will travel through "*The Pursuit*" and encounter displays such as the *Magna Carta*, with accompanying computer interactives; and original documents that tie the Declaration, Constitution and Bill of Rights to our subsequent national history. The gallery will also feature a "*Struggles for Freedom*" exhibit that provides a documentary record of struggles fought for full participation in our democracy.

Our state-of-the-art facility in College Park, Maryland, the renovated National Archives Building in Washington, DC, and the archives facility in Atlanta provide appropriate storage conditions for the archival headquarters records of most Federal agencies. However, many of our other facilities require environmental and storage improvements. Several of our twelve leased regional facilities have severe quality problems, including backlogs of needed repairs and renovations and, in some cases, removal of records from their current location to better space is required. Existing Presidential Libraries need

upgrades in environmental conditions, several need additional storage space, and many require improvements in information technology and telecommunications capabilities.

In FY 2010, we moved archival operations and records storage out of non-compliant space in Laguna Niguel, CA, and into appropriate space in the records center facility in Riverside County, CA. In FY 2011 and 2012, we plan to move archival operations and records storage out of non-compliant space in New York City, NY. Under this plan, the archives' public functions and a small amount of archival records storage will move into the renovated Customs House facility in lower Manhattan. The majority of the archival records will move to a new archival storage bay being built at the Mid-Atlantic Regional Records Center in Philadelphia, PA. This new archival bay will also store the majority of archival records currently stored in non-compliant space in the Mid-Atlantic regional archives in downtown Philadelphia.

The National Personnel Records Center (NPRC), the largest NARA operation outside the Washington, DC, area with more than 4 million cubic feet of records, needs to replace current facilities that do not meet our storage standards for temporary and archival records. The National Personnel Records Center, which houses both military personnel records and civilian personnel records, and the Dielman Archival Annex contain numerous facility problems and cannot be made to meet storage standards in a cost effective manner. The problems include inadequate temperature and humidity controls and particulate and gaseous filtration, and antiquated designs that are not conducive to efficient storage or retrieval of records. Two new facilities designed to meet the records' particular storage requirements will replace the existing facilities. The new facility for temporary records, the National Personnel Records Center Annex, was completed in FY 2009. NARA is working with GSA on a new leased facility to house NPRC's archival and permanent holdings. The new facility is located in St. Louis County and has been under construction since November 2009, with occupancy scheduled for May 2011.

The renovation of the aging Franklin D. Roosevelt Library will provide environmentally appropriate, safe and secure space for the long-term care of archival and artifact collections. The renovation will also improve conditions for the staff, researchers, and visitors and help maximize productivity and enjoyment of the facility as a place for work and research. In FY 2009, NARA completed the design of the first phase of the renovation project. In FY 2010 NARA began general site work to support new mechanical and electrical equipment. NARA also began renovating holdings storage rooms and the research room to enhance security and productivity. We plan to award the construction contract for the second phase in FY 2011. Completion of the first phase of renovation will occur in FY 2012.

We have reached the limits of storage capacity at our John F. Kennedy Library. Large volumes of accessioned materials over the years have created overcrowded conditions. In addition, the present storage conditions are not in compliance with NARA's current standards for proper storage of archival materials (NARA Directive 1571). Several years ago we were able to arrange for offsite storage for some of the materials, however, this was only a temporary solution. We addressed this problem with the renovation and addition to the Kennedy Library. Construction will be completed in FY 2012.

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

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>(High Priority Goal): Performance target for percent of NARA archival holdings in appropriate space. Target 85% by FY 2012)</i> | — | — | — | — | — | 85 |

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| Percent of NARA archival holdings in appropriate space. | 80 | 81 | 82 | 82 | | |
| Number of archival traditional holdings (in thousands of cubic feet). | 3,346 | 3,729 | 3,937 | 4,043 | | |
| Percent of artifact holdings in appropriate space. | 42 | 40 | 37 | 40 | | |
| Number of artifact holdings (in thousands). | 544 | 582 | 628 | 600 | | |
| Percent of electronic holdings in appropriate space. | 100 | 100 | 100 | 100 | | |
| Number of electronic holdings in appropriate space (in millions of logical data records). | 4,737 | 5,523 | 6,704 | 6,908 | | |
| Number of electronic holdings in appropriate space (in terabytes).* | — | — | — | 110 | | |
| <i>Performance target for cost of compliant archival storage space per cubic foot of traditional holdings stored (adjusted for inflation).</i> | \$5.78 | \$5.84 | \$6.06 | \$5.84 | \$5.90 | TBD |
| Cost of archival storage space per cubic feet of traditional holdings stored. | \$6.20 | \$5.85 | \$5.83 | \$6.16 | | |

*Volume is being reported in tebibytes (TiB), the traditional IT industry meaning for “terabyte” that includes 1024⁴ bytes.

Milestones

FY 2007

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

FY 2008

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

FY 2009

- Design for phase I of Roosevelt Library renovation completed.
- Site work contract for Kennedy Library expansion awarded.
- Sprinkler upgrades completed and construction contract for mechanical improvements at Eisenhower Library awarded.
- Construction contract for Carter Library awarded and mechanical improvements completed.
- Design of 1571 improvements for Waltham and San Bruno completed.

FY 2010

- National Archives Building flood prevention measures completed.
- Portion of construction work for first phase of Roosevelt Library renovation completed.
- Design for phase II of Roosevelt Library renovation completed.
- Mechanical improvements at the Eisenhower Library completed.
- Construction for Nixon Library expansion completed.
- Design for Bush 43 Library completed.
- Ground breaking for new National Personnel Records Center completed.
- Design of 1571 improvements for Chicago and Seattle completed.
- Construction of 1571 improvements for Waltham completed.
- Design for archival storage space at Philadelphia FRC completed.

FY 2011 Estimated

- Construction contract for phase II of Roosevelt Library renovation awarded.
- Move of classified holdings to expanded Nixon Library completed.
- Construction of Bush 43 Library monitored and in progress.
- National Personnel Records Center facility opened for occupancy.
- Construction of 1571 compliant archival storage space at Market Street in Philadelphia completed.
- Design for renovation of space in the Alexander Hamilton U.S. Custom House completed.
- Holdings Protection Program implemented.

FY 2012 Projected

- Construction for first phase of Roosevelt Library renovation completed.
- Construction of 1571 improvements for Chicago, San Bruno, and Seattle completed.
- Construction of Bush 43 Library monitored.
- Move of archival holdings from the St. Louis-area facilities to National Personnel Records Center facility completed.
- Move of archival holdings from Washington, DC to underground storage in Kansas City area.
- Construction of archival storage space for Philadelphia FRC completed.
- Construction of the Kennedy Library addition and renovation completed.

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

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

Long Range Performance Target 2.6 By 2014, 100 percent of NARA records center holdings are stored in appropriate space.

FY 11 Estimated Performance

- Complete design for new Denver Federal Records Center facility.
- Achieve initial occupancy of National Personnel Records Center (NPRC).
- 85 percent of NARA’s non-archival holdings are in appropriate space. (High Priority Goal)

FY 12 Projected Performance

- Achieve initial occupancy of Denver records storage facility.
- 85 percent of NARA’s non-archival holdings are in appropriate space. (High Priority Goal)

Outcome Agency records are preserved for as long as needed.

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

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

We assist other Federal agencies to bring their facilities under regulatory storage compliance with advice and, if necessary, by inspecting the storage facilities. Examples include Department of Veteran’s Affairs, Department of Energy, U.S. Customs and Border Protection, Central Intelligence Agency, Library of Congress, and the Copyright Office.

NARA’s system of records centers is supplemented by centers operated by other Federal agencies and private interests. Federal agencies’ certify that the storage facilities they plan to use are in compliance with the Facility Standards for Records Storage Facilities (36 CFR 1234). The standards were initially

issued in 1999 and revised in September 2005. The new standards, effective October 1, 2009, placed more stringent compliance requirements on existing facilities. We have assisted agencies by communicating compliance requirements at our annual NARA-sponsored Records Administration Conference (RACO) and we have issued a Records Storage Facility Standards Toolkit, available both in hard copy and on the web. This toolkit provides agencies with the information needed by Records Officers to verify that a facility meets the required storage standards.

We have also made extensive efforts to upgrade and, if necessary, replace our inventory of records center storage facilities. We have leased four new storage facilities to replace aging ones. The most recent lease is for the new underground facility in Valmeyer, Illinois for the storage of temporary records from the Civilian Personnel Records facility and the Military Personnel Records facility in St. Louis.

In FY 2010 we continued to monitor agency certification for records center compliance with 36 CFR 1234 to ensure that our complete inventory of records center holdings are stored in compliant space. Initial occupancy of the new leased records storage facility in Denver is scheduled for FY 2012.

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

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>(Priority Goal): Performance target for percent of NARA records center holdings stored in appropriate space (target 85% by 2012).</i> | — | — | 100 | — | 85 | 85 |
| Percent of NARA records center holdings stored in appropriate space. | — | — | — | 60 | | |
| Percent of NARA records center facilities certified as meeting the 2009 regulatory storage standards | 29 | 33 | 48 | 48 | | |
| Volume of records center holdings (cubic feet in millions). | 25.7 | 26.6 | 27.2 | 27.6 | | |
| Storage price per cubic foot for records center holdings. | \$2.28 | \$2.40 | \$2.40 | \$2.52 | | |

Milestones

FY 2007

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

FY 2008

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

FY 2009

- Two records center facilities certified.
- Construction of National Personnel Records Center Annex completed.
- Move of more than 80 percent of holdings slated for National Personnel Records Center Annex completed.

FY 2010

- Lease agreement to construct a records center storage facility in Denver completed.
- Measurement methodology revised to track cubic feet of holdings.
- Lease and occupancy of two-bay expansion at National Personnel Records Center Annex completed.

- FY 2011 Estimated**
- Move of remaining MPR and CPR holdings into new bays at the National Personnel Records Center Annex completed.
 - Initial occupancy of the new National Personnel Records Center completed.

- FY 2012 Projected**
- Initial occupancy of Denver records storage facility completed.
 - Move of records center holdings into newly leased Denver facility completed.
 - Move of holdings slated for the National Personnel Records Center completed.
 - Lease for Washington National Records Center Annex awarded.

Data source Quarterly performance reports to the Archivist.

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

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

- FY 11 Estimated Performance**
- Appropriately treat and remove 90,000 cubic feet of NARA's at-risk archival holdings from preservation backlog.
 - Deploy Holdings Management System (HMS) in three additional regional archives.
 - Conduct preservation reviews at six NARA locations.

- FY 12 Projected Performance**
- Appropriately treat and remove 90,000 cubic feet of NARA's at-risk archival holdings from preservation backlog.
 - Deploy Holdings Management System (HMS) in three additional regional archives.
 - Conduct preservation reviews at six NARA locations.

Outcome Permanent records are preserved for generations to come.

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

Means and Strategies NARA's mission focuses on preserving and providing access to the permanent records of the Federal Government today and for future generations. Our non-electronic records are counted as 8 billion records and continue to grow each year as new records are accessioned. The permanent records include a wide range of materials and subjects documenting the rights and obligations of citizens, most notably, the service of America's veterans, and documenting the actions of our Government and nation to provide transparency and the foundation of a democratic society. Approximately two-thirds of NARA's textual and non-textual records are at risk of not being preserved and available for use by future generations. We must address now the needs of a wide variety of formats and media in our holdings—paper records, including maps and designs, audio and video tape recordings, motion pictures, aerial and still photography, acetate, microfilm and other microforms, maps, and artifacts, including gifts to the nation, most significantly in the Presidential Libraries. NARA's first

priorities for preservation include audio and video records, high use records, acetate and color film requiring cold storage, brittle, fragile and damaged paper records, and fragile artifacts. We take the necessary preservation actions by providing the appropriate storage environment, housing records according to their needs, reformatting fragile records for preservation and use, and performing conservation treatment on damaged records.

To target Federal records with the greatest need for preservation action, NARA is using the Holdings Management System (HMS) to document risk, enhance security by tracking location and use, track preservation actions completed, and other critical information about all of NARA's non-electronic archival holdings. The HMS will also ultimately provide documentation and the requirements for additional space needs and preservation actions. In FY 2009, HMS was launched at the National Archives in College Park for textual units. In FY 2010 it was successfully launched at the National Archives Building in Washington, DC and in the Boston and Philadelphia regional archive facilities. The initial implementation includes space management, circulation of records to staff, preservation risk assessment, and work requests for preservation and other activities. Later functions will include capture of data about circulation to researchers. In FY 2011 and FY 2012, we plan to continue deployment to our archives locations nationwide at the rate of three regional archives per year.

We face a challenge to preserve a large quantity of significant holdings of America's audio and visual heritage from the 19th and 20th-century in danger of being lost. Digital work processes and materials have been replacing analog processes, equipment, and materials for audio and video recordings. NARA made a significant transition to using digital formats for preservation and access during the last several years. The remaining format to transition will be motion picture film. The challenge for NARA will be to provide more active monitoring as technological changes are frequent and rapid for digital work processes. NARA is currently working under a five-year plan (FY 2007 – 2012) to address the preservation and access needs of the special media formats including dynamic media and other nontextual formats. The digitized and preserved holdings will be migrated to the Electronic Records Archives (ERA).

One major group of records is at the National Personnel Records Center (NPRC) in St. Louis. There are more than 6 billion pages in the records of 57 million military veterans who have served since 1885 housed in approximately 1.5 million cubic feet of space. The Official Military Personnel Files (OMPFs) and related holdings from NPRC will be moved to a new GSA-leased facility in St. Louis County in FY 2011. Relocating them to a controlled environment is an essential, cost-effective first step in stabilizing their condition. Over the next 60 years, Official Military Personnel Files (OMPFs) will be accessioned to a point where all 1.5 million cubic feet (57 million records) will be opened to the public.

A comprehensive physical needs assessment demonstrated that 85 percent of all the OMPFs contain more than 30 types of media and information formats including rapidly deteriorating paper, metal dog tags, hair samples, blood strips, rifle targets, and plastic ID cards and that most of the files already are brittle and have damage from handling, creases, fire, and mold. Access is currently provided by taking the necessary preservation actions and reformatting these records; this work remains a continuing challenge. At this time, preservation action on the OMPFs addresses the accessibility and archival storage needs of the oldest, most fragile records, representing slightly more than one percent of the files.

In FY 2009, the Official Personnel Folders (OPFs) of civilian Federal Government employees dating from the 1850s to 1952 were accessioned into the NPRC; the volume of these series was approximately 200,000 cubic feet. These records, scheduled to be moved to the new NPRC facility, will require replacement of the 200,000 boxes containing the records, which may not begin until after the move is complete.

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

Key external factors Unusually large increases of new at-risk records, such as the recent accessioning of Official Military Personnel Folders (OMPF) and civilian Official Personnel Folders (OPF), increases in the cost of leasing cold storage space, and growing or shifting public demands for the use of at-risk records could delay achievement of performance objectives. Limitations on the availability of appropriate cold storage facilities and commercial treatment laboratories affect our ability to address the preservation requirements of audiovisual holdings.

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|---|---------------------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for percent of archival holdings that require preservation action.</i> | <i>Establish Baseline</i> | ≤ 65 | ≤ 64 | ≤ 63 | ≤ 61 | ≤ 60 |
| Percent of archival holdings that require preservation action. | 65 | 65 | 65 | 64 | | |
| Backlog of holdings requiring preservation action (in thousands of cubic feet). | 2,163 | 2,425 | 2,571 | 2,578 | | |
| At-risk archival holdings that received preservation treatment this year (thousands of cubic feet). | 56 | 125 | 116 | 110 | | |
| Archival holdings treated and removed from the backlog this year (thousands of cubic feet) | 55 | 91 | 46 | 56 | | |
| Cumulative volume of at-risk archival holdings in cold storage (thousands of cubic feet). | 90 | 91 | 93 | 94 | | |

Milestones

FY 2007

- Capability to measure baseline of archival holdings requiring preservation action created.
- New baseline of archival holdings requiring preservation action established.
- Business process reengineering to examine functional requirements for tracking location, space, circulation, and preservation needs and actions for developing HMS completed.

FY 2008

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

FY 2009

- Measures for quantity of dynamic media record holdings that can be preserved digitally established.
- Plan for conversion of dynamic media records holdings to digital format developed.
- Additional storage capacity for digital products reformatted for preservation purposes acquired.
- IOC of HMS deployed in Archives II Textual units and staff trained

FY 2010

- Dynamic media records preserved in digital format.
- HMS deployed at Archives I and in archives facilities in Philadelphia and Boston.
- Reviews of preservation needs at six NARA locations.

FY 2011 Estimated

- HMS deployment in at least three additional regions completed.
- Dynamic media records preserved in digital format.
- Reviews of preservation needs at six NARA locations.

FY 2012 Projected

- HMS deployment in up to three additional regions completed.
- Reviews of preservation needs at six NARA locations.

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

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

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

- Long Range Performance Targets**
- 3.1 By 2016, 95 percent of archival electronic holdings have been processed to the point where researchers can have efficient access to them.
 - 3.2 By 2012, 80 percent of archival electronic records are preserved at the planned level of service.
 - 3.3 By 2016, the per-megabyte cost of managing archival electronic records through the Electronic Records Archives (ERA) decreases each year.

FY 2011 Resources Requested to Meet This Goal: \$95,489,000; 97 FTE
FY 2012 Resources Requested to Meet This Goal: \$58,280,000; 83 FTE

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

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

- FY 11 Estimated Performance**
- Sustain 83 percent of archival electronic holdings processed to the point where researchers can have efficient access to them.
 - Migrate legacy holdings to ERA system for Federal records.
- FY 12 Projected Performance**
- Sustain 85 percent of archival electronic holdings processed to the point where researchers can have efficient access to them.
 - Migrate legacy holdings to ERA system for Federal records.

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

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

experience will be diminished substantially. Moreover, as the business of government shifts more and more to electronic government and reliance on information technology, activities such as collecting taxes, providing veteran's benefits, and protecting our environment will suffer in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records and transfer the permanent ones to NARA.

Means and Strategies The volume, variety, and complexity of electronic records transferred to NARA are growing. At the end of the Clinton Administration, the White House transferred several terabytes of electronic records to NARA for storage and preservation. When the Bush Administration ended in January 2009, NARA received approximately 77 terabytes of email, office automation records, digital photographs, and other multi-media electronic formats. By the end of FY 2010, we had more than 100 terabytes of electronic holdings, 83 of them managed by ERA. During FY 2011, the Census Bureau will be transferring electronic images comprising more than 488 terabytes of data from the 2010 Census. Digital Military Personnel Files represent estimated transfers of a billion files over 10 years.

Our ability to process archival electronic records will be enhanced by ERA. In FY 2008, after successfully implementing the initial operating capability of ERA, we successfully began the process of migrating accessions from our existing holdings into ERA. Since then, we continue to run dual operations—both ERA and portions of our legacy systems—as we migrate the remaining legacy holdings to ERA.

Key external factors Progress in processing Presidential electronic records may be hindered by an unusually large number of special access requests or PRA/FOIA requests and the need to review records page by page.

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|---|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for percent of archival electronic accessions processed to the point where researchers can have efficient access to them.</i> | 95 | 80 | 80 | 80 | 83 | 85 |
| Percent of archival electronic accessions processed. | 81 | 86 | 88 | 88 | | |
| Number of accessions received. | 2,153 | 2,328 | 2,467 | 2,674 | | |
| Number of accessions processed. | 1,638 | 2,004 | 2,188 | 2,349 | | |
| Unprocessed accessioning backlog (in accessions). | 415 | 324 | 288 | 325 | | |
| Median time (in calendar days) from the transfer of archival electronic records to NARA until they are available for access. | 467 | 2,127* | 1,842* | 2,209* | | |

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

Milestones

- FY 2007**
 - Data cleanup and data migration planning from legacy systems migrating to the initial ERA system progressed.
- FY 2008**
 - Legacy data migration testing and data cleanup completed.
 - Data migration of electronic records on legacy media for transfer to ERA initiated.
- FY 2009**
 - Capability for ERA pilot users to perform basic records management functions and transfer records into ERA completed.
- FY 2011 Estimated**
 - Legacy holdings migrated to ERA.

FY 2012 Projected

- Remaining legacy holdings migrated to ERA.

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

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

FY 11 Estimated Performance

- Define and implement criteria and policy for planned levels of service to preserve and make available archival electronic records.
- Preserve 50 percent of archival electronic records at the planned level of service.
- Implement criteria and policy for transforming plain EBCDIC files to ASCII.

FY 12 Projected Performance

- Establish baseline of the number of most vulnerable records in ERA.
- Preserve 80 percent of archival electronic records at the planned level of service.
- Assess need for additional levels of preservation services.

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

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

Means and Strategies In the long term, ERA will allow the National Archives to preserve and maintain at the planned level of service any electronic records series. The ERA system will enable NARA and the Presidential Libraries to preserve permanent holdings to maximize the number of records available to researchers. We will preserve and maintain permanent electronic records in any format and transform these records to the most appropriate format needed, or to a persistent format or state when possible. This work will be carried out based on the technological characteristics of the records, expected customer demands or interests, the needs of the records' originators, the laws and regulations requiring differing levels of control, and NARA's business strategies and priorities.

Our Transformation Framework and Model include the principles NARA will use to transform records from one format to another. We prepared a draft of our Transformation and Significant Properties principles, outlining the significant properties of records that must be preserved over time to ensure the continued accessibility, usability, and meaning of the records. It also includes the practical steps NARA needs to take to implement the framework principles during the lifecycle management of records.

In FY 2010, we created a prototype of ERA preservation functionality based on drafts of our Transformation Framework and Model. The prototype incorporated the principles we will use to determine when to transform records and the appropriate significant properties to transform. In FY 2011, we will implement preservation functionality for our records most at risk of obsolescence. We plan to implement this capability for all archival electronic holdings in FY 2012.

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

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|---|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target of percent of NARA’s electronic holdings accessioned and preserved at the planned level of service.</i> | — | — | — | — | 50 | 80 |
| Percent of NARA’s electronic holdings that are accessioned and preserved at the planned level of service. | — | — | — | — | | |
| Number of archival holdings accessioned (in terabytes).* | — | — | — | 100 | | |

*Volume is being reported in tebibytes (TiB), the traditional IT industry meaning for “terabyte” that includes 1024⁴ bytes.

Milestones

- FY 2007**
 - Lifecycle management plan pilot for select electronic records using criteria established for levels of service developed.
- FY 2008**
 - Draft methodology for capability to measure preservation of electronic records in a persistent format developed.
- FY 2010**
 - Criteria and policy for establishing planned levels of service to preserve and make available archival electronic records defined.
- FY 2011 Estimated**
 - Technical solution for transforming plain EBCDIC files to ASCII implemented.
- FY 2012 Projected**
 - Baseline of most vulnerable records in ERA established.

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

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

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

- FY 11 Estimated Performance**
 - Complete ERA Base architecture realignment.
 - Identify requirements and conduct software design for meeting FOIA requests in the EOP instance of ERA.
 - Implement initial phase of transformation framework.

- Conduct analysis for handling restricted information in ERA.
- Deploy Online Public Access.
- Award ERA Operations and Maintenance contract.

FY 12 Projected Performance

- Mandate ERA use by Federal agencies in transferring electronic records to NARA.

Outcome Electronic records of archival value are economically preserved.

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

Means and Strategies Through the Electronic Records Archives (ERA), we are creating a digital archive that will enable NARA and other Federal agencies to maintain electronic records as long as needed to meet legal, business, and archival requirements.

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

ERA operates from a primary site in West Virginia and uses a backup site in Maryland for media storage. The primary site provides for the transfer, verification, and storage of unclassified and Sensitive But Unclassified (SBU) records from NARA's existing holdings. Following the initial operating capability, ERA was available to four pilot agencies. NARA staff acted as proxies for them in entering new records schedules, transfer plans and transfer requests for all types of records, and for transfer of electronic records.

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

Following deployment of a prototype of the Online Public Access (OPA) capability to NARA staff, we deployed to the public in early FY 2011. We also plan to implement key features required to ensure adequacy of the system to the intended users and establish the capability to record decisions about the release of Presidential records. Advances in technology have created an opportunity for NARA to refine the ERA architecture deployed at initial operating capability. These advancements allow ERA to make better use of commercial off-the-shelf products and rely less on custom software.

ERA development will end in FY 2011 and ERA will move to an operations and maintenance phase at

the beginning of FY 2012. At that time, we will transition ERA to a fully operational mode and require that agencies use ERA to transfer their electronic records to NARA. To prepare for this transition and with the current contract reaching its expiration, we will award a new operations and maintenance contract in FY 2011. To advance user adoption in anticipation of ERA becoming mandatory by the end of 2012, we have shifted our focus and implemented an aggressive communication schedule to push Federal agency adoption and use of ERA. In addition, our current goal of transferring 10 TB per quarter from agencies will be quickly dwarfed in late 2011 when we plan to accept 488 Terabytes of 2010 Census records into a secured part of the system.

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

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|---|----------------|----------------|---------------------------|----------------|----------------|----------------|
| <i>Performance target for megabyte cost to manage archival electronic records decreases each year.</i> | — | — | <i>Establish baseline</i> | \$0.36 | \$0.14 | \$0.13 |
| Per megabyte cost to manage archival electronic records decreases each year. | \$0.37 | \$0.39 | \$0.36 | \$0.15 | | |
| Number of terabytes of archival electronic records managed by NARA (includes pre-accessioned electronic records). | 17.8 | 18.2 | 96.2 | 100.4 | | |
| Number of terabytes of archival electronic records managed by ERA (includes pre-accessioned electronic records).* | — | — | 77 | 83 | | |

*Volume is being reported in tebibytes (TiB), the traditional IT industry meaning for “terabyte” that includes 1024⁴ bytes.

Milestones

FY 2007

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

FY 2008

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

FY 2009

- Initial operating capability of the systems for Presidential electronic records achieved.
- Requirements for public access and long-term preservation developed.
- ERA infrastructure and architecture enhanced.

FY 2010

- System capacity increased to accommodate extension of system to additional agencies.
- Backup system to restore ERA infrastructure in case of system failure procured and deployed.
- ERA Online Public Access (OPA) prototype deployed to NARA staff.

FY 2011 Estimated

- Base architecture realignment activities completed.
- Alternatives analysis for handling restricted information in ERA conducted.
- ERA Online Public Access (OPA) prototype deployed to public.
- Capability to record decisions about the release of Presidential records designed and implemented in ERA.
- New ERA Operations and Maintenance contract awarded.

FY 2012 Projected

- Use of ERA by Federal agencies to transfer electronic records to NARA mandated.

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

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

- Long Range Performance Targets**
- 4.1 By 2016, NARA customer service standards for researchers are met or exceeded.
 - 4.2 By 2012, 1 percent of archival holdings are available online.
 - 4.3 By 2016, 95 percent of archival holdings are described 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 2011 Resources Requested to Meet This Goal: \$56,996,000; 334 FTE

FY 2012 Resources Requested to Meet This Goal: \$55,928,000; 334 FTE

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

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

- FY 11 Estimated Performance**
- Meet or exceed NARA’s published standards for access to records and services and customer satisfaction levels:
 - 94 percent of written archival requests are answered within 10 working days;
 - 94 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
 - 88 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
 - 91 percent of online archival fixed-fee reproduction orders are completed in 20 working days or less
 - Recommend improvements to government-wide FOIA administration process through OGIS.

- Establish mediation program to resolve FOIA disputes.

FY 12 Projected Performance

- Meet or exceed NARA’s published standards for access to records and services and customer satisfaction levels:
 - 94 percent of written archival requests are answered within 10 working days;
 - 95 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
 - 89 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
 - 92 percent of online archival fixed-fee reproduction orders are completed in 20 working days or less.
- Conduct six dispute resolution skills training courses as well as other networking activities for agency FOIA professionals.
- Successfully resolve 80 percent of all OGIS cases within six months.

Outcome Our customers are satisfied with NARA’s service.

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

Means and Strategies Serving our customers is one of our primary areas of focus, and we are continually making process improvements in our research rooms, training staff in customer service principles, employing customer service teams, modernizing and upgrading research room equipment, adding research room staff, and adjusting hours of service to make it easier for more people to use our services. We added public computer terminals with Internet access in all of our research rooms nationwide. In the National Archives buildings in Washington, DC, and College Park, MD, we have successfully implemented wireless service in the public areas.

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

Throughout National Archives facilities around the country, visitors may search for historical family information among citizenship and nationalization, census, bankruptcy, and Federal court documents, and may use online and microfilm resources including free access to genealogy subscription services. Our staff experts are available to guide our customers in their exploration and research.

NARA has established partnerships nationwide and is exploring new partnership opportunities that would digitize many of our holdings (see related target 4.2), thereby greatly increasing public access to these records. These partnerships will help us find cost-effective and efficient ways to bring high-interest and

representative documents to our users over the Internet. We also strive to provide timely Internet access to high-interest documents such as 9/11 Commission records and materials relating to nominees for appointment to key government positions and the Supreme Court.

The OPEN Government Act of 2007 amended the Freedom of Information Act (5 U.S.C. 552) to create an Office of Government Information Services (OGIS) within NARA to strengthen FOIA throughout the Executive branch, ensure transparency of Government information to the public, and offer mediation services to resolve disputes between FOIA requesters and agencies as a non-exclusive alternative to litigation. In FY 2010, we worked with the administrative agencies, utilized input from private sector stakeholders to assist in the implementation of this office, and began offering mediation services. In FY 2011, OGIS will submit a report on its activities and make recommendations of policy changes to Congress and the President. We will implement a comprehensive plan for reviewing agency compliance with FOIA and for recommending improvements to FOIA administration in FY 2012. OGIS will expand its offering of dispute resolution skills training for FOIA professionals, including with targeted agency training.

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

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|---------|---------|---------|---------|---------|---------|
| <i>Performance target for written requests answered within 10 working days.</i> | 90 | 91 | 92 | 93 | 94 | 95 |
| Percent of written requests answered within 10 working days. | 95 | 94 | 95 | 93 | | |
| <i>Performance target for Freedom of Information Act requests for Federal records completed within 20 working days.</i> | 85 | 86 | 87 | 87 | 88 | 89 |
| Percent of Freedom of Information Act requests for Federal records completed within 20 working days. | 88 | 89 | 86 | 89 | | |
| Number of FOIAs processed. | 12,406 | 13,483 | 17,512 | 15,771 | | |
| Annual cost to process FOIAs (in millions). | \$2.72 | \$2.34 | \$2.76 | \$2.97 | | |
| Annual per FOIA cost. | \$220 | \$173 | \$158 | \$189 | | |
| <i>Performance target for items requested in our research rooms furnished within 1 hour of request or scheduled pull time.</i> | 95 | 90 | 93 | 94 | 94 | 95 |
| Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time. | 86 | 93 | 93 | 96 | | |
| Number of researcher visits to our research rooms (in thousands). | 136 | 140 | 129 | 137 | | |
| Number of items furnished in our research rooms (in thousands). | 520 | 576 | 553 | 563 | | |
| Number of items furnished on time in our research rooms (in thousands). | 449 | 537 | 515 | 538 | | |
| <i>Performance target for archival fixed-fee reproduction orders through OFAS are completed in 20 (35 pre-2007) working days or less.</i> | 85 | 85 | 90 | 90 | 91 | 92 |
| Percent of archival fixed-fee reproduction orders through OFAS are completed in 20 working days or less (Note: Previous reports based on 35 working days for pre-2007 data). | 72 | 68 | 90 | 96 | | |
| Average per order cost to operate fixed-fee ordering. | \$26.67 | \$30.59 | \$38.06 | \$40.49 | | |

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|----------------|----------------|---------------------------|----------------|----------------|
| Average order completion time (days). | 17 | 22 | 18 | 13 | | |
| <i>Performance target for percent of researcher satisfaction with NARA experience.</i> | — | — | — | <i>Establish baseline</i> | <i>TBD</i> | <i>TBD</i> |
| Percent of researcher satisfaction with NARA experience. | — | — | — | — | | |

Milestones

- FY 2007**
 - NARA’s published standards for access to records and services exceeded.
- FY 2008**
 - NARA’s published standards for access to records and services exceeded.
- FY 2009**
 - NARA’s published standards for access to records and services and customer satisfaction levels exceeded.
- FY 2010**
 - Office of Government Information Services operational.
 - Infrastructure to support wireless capability in Headquarters and College Park facilities installed.
- FY 2011 Estimated**
 - Recommendations to improve government-wide FOIA administration process identified.
 - Dispute resolution skills training for agency FOIA professionals provided.
 - Mediation program to resolve FOIA disputes established.
 - Enterprise Management Infrastructure (EMI) to support wireless capability in regional archives nationwide installed.
- FY 2012 Projected**
 - Hardware requirements for wireless capability in regional archives nationwide surveyed.
 - Dispute resolution skills training for agency FOIA professionals expanded.
 - Comprehensive plan for reviewing agency compliance with FOIA and recommending improvements to FOIA administration developed.

Data source Performance Measurement and Reporting System and quarterly performance reports to the Archivist. Request price for military service separation agreements from *FY 2010 Records Center Program Rate Schedule*, which is provided annually to agencies in an attachment to their interagency agreement.

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

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

- FY 11 Estimated Performance**
 - Meet 65 percent of the 2012 target for archival holdings accessible online.
- FY 12 Projected Performance**
 - Meet 100 percent of the 2012 target for archival holdings accessible online.
 - Complete metadata for digitized version of 1940 Census.
 - Open 1940 Census records to the public.

Outcome Archival materials are available online for public use.

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

Means and Strategies To increase the amount of archival material that we make available online, we are engaging in four major strategies:

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

First, our plan includes the identification and publication of online material that has already been digitized by NARA, but for one reason or another is not available online. For example, NARA has digitized a large number of high interest documents for exhibits. Many of these materials have been described and placed online in our online catalog.

Second, we continue to explore a variety of new partnership opportunities that would digitize many of our holdings, thereby greatly increasing public access to these records. These partnerships allow us to find cost-effective and efficient ways to bring high-interest and representative documents to our users over the Internet. NARA seeks to partner with organizations from a variety of sectors (private, public, non-profit, educational, government) to digitize and make available traditional holdings. NARA currently is working with several partners and, to date, more than 60 million records are available online through our partners.

Third, we continue to explore innovative ways to increase our own capacity to digitize selections of our holdings. We will look for sources of funding and support for specific high-interest projects. We continue to strive to provide timely Internet access to high-interest documents. For example, we are preparing for the opening of the 1940 Census records on April 1, 2012. Since 1790, the Federal Government has collected census information on its residents every ten years. Under a special agreement between the Archivist of the United States and the Director of the Bureau of the Census, census information on individuals is released to the public 72 years after it is collected. Although the records are on more than 4,600 rolls of 35 mm microfilm, we will complete the digitization of the entire 1940 Census in FY 2011 and make them digitally available in 2012. With the assistance of volunteers authorized by the Bureau of the Census, we are ensuring that the digitized Census schedules can be browsed at the enumeration district level on the day they are released. Preparing the metadata for the digitized version of these records will occur throughout FY 2011, and be completed in FY 2012. We continue to explore innovative ways to increase timely Internet access and provide the level of indexing requested by researchers.

Fourth, we maintain our Access to Archival Databases (AAD) system, which makes select “born digital” database records available online. Launched in 2003, AAD met an immediate need to provide online access to high-volume and high-demand electronic records from the Department of State and other agencies. We are continuing to increase the number of records available to the public through this tool, however, a selection of AAD records are now available through ERA’s Online Public Access (OPA) prototype.

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

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for percent of traditional records available online.</i> | — | 0.2 | 0.2 | 0.3 | 0.65 | 1.00 |
| Percent of traditional records available online. | — | 0.04 | 0.04 | 0.6 | | |
| Percent of accessioned electronic records available online. | 1.6 | 1.4 | 1.3 | 1.4 | | |

Milestones

FY 2007

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

FY 2008

- Measurement methodology for number of archival holdings accessible online developed.
- More than 18,000 existing digital copies harvested and added to the Archival Research Catalog (ARC).
- Agency business requirements for digital storage needs identified.
- RFI to explore Census partnership potential published.

FY 2009

- ARC upload tool for uploading descriptions with digital objects enhanced.
- Working group to explore strategies for NARA-led digitizing of 1940 Census records chartered.

FY 2010

- New description tool to provide access to millions of item descriptions with links to digital partners under development.
- NARA Digitization Working Group to identify improvements to digitization at NARA established.
- Suite of 1940 Census products identified and evaluated.

FY 2011 Estimated

- Digitization of 1940 Census completed.

FY 2012 Projected

- Metadata for digitized version of the 1940 Census completed.
- 1940 Census records opened to the public.

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

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

FY 11 Estimated Performance

- Describe 75 percent of NARA traditional holdings in our online catalog.
- Describe 75 percent of NARA artifact holdings in our online catalog.
- Describe 75 percent of NARA electronic holdings in our online catalog.

FY 12 Projected Performance

- Describe 80 percent of NARA traditional holdings in our online catalog.
- Describe 80 percent of NARA artifact holdings in our online catalog.
- Describe 80 percent of NARA electronic holdings in our online catalog.

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

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

Means and Strategies The online catalog provides the researcher with comprehensive, self-service, descriptions of our nationwide holdings. In the past, researchers had to search through various published and unpublished catalogs, indexes, and lists, many of which were out of date, out of print, or available in one location only. Our catalog ensures that anyone, anywhere with an Internet connection can browse descriptions of our holdings, including electronic records, in our Washington, DC, area archives, regional archives, and Presidential Libraries. ARC contains descriptions of more than 2.9 million cubic feet of our textual holdings, more than 465,000 artifacts, and 6.7 billion born-digital records. ARC also contains links to more than 157,000 digital objects of some of our most popular and interesting holdings. The available online historical documents include many of the holdings highlighted in NARA's permanent Public Vaults exhibit.

In developing ARC, we built two systems—a read-only web version of the system for use by staff and the public, and a data entry system in which archivists enter and edit records descriptions. Fully launched in 2004, we have worked steadily since that time to get more descriptions of our holdings in ARC. We began our description effort with describing large series, however, as we move forward, we progressively move to smaller series thereby impacting the number of series being described. Today, ARC contains more than 5 million descriptions. But with 65 years worth of existing descriptive information to place into ARC, we have a multi-year challenge ahead.

We are completing a major effort to put the data from existing finding aids into ARC. This project includes folder and item lists, and a wide variety of indexes. This effort has already yielded millions of additional detailed descriptions in ARC, and has enhanced ARC as a valuable tool for researchers. In early FY 2011, the public online version of our catalog was replaced with the Online Public Access (OPA) prototype, part of the Electronic Records Archives. The new public access system allows researchers to search the current catalog; selected series from NARA's Access to Archival Databases (AAD); and our web site, *archives.gov*.

During FY 2009, our Online Public Access Product team developed requirements for ERA's online public access interface to include centralized search and a clear display that will allow our customers to search all of our online holdings in one place. We piloted this functionality with staff in FY 2010 with

public access expected in early FY 2011. This system will provide public access to the holdings from legacy systems that were stovepiped and required separate searches, including ARC and AAD. As we continue to improve the search and user interface, we will federate the search to our holdings available elsewhere on the web. We will also employ the use of social media tools to enhance the public's experience and interaction with our holdings on the web. In addition, NARA will be replacing the data entry side of our current catalog with a new description tool in FY 2012.

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for traditional holdings in an online catalog.</i> | 55 | 60 | 65 | 70 | 75 | 80 |
| Percent of traditional holdings in an online catalog. | 56 | 64 | 69 | 70 | | |
| Number of traditional holdings described in an online catalog (millions of cubic feet). | 1.9 | 2.4 | 2.7 | 2.8 | | |
| Number of traditional holdings in NARA (millions of cubic feet). | 3.3 | 3.7 | 3.9 | 4.0 | | |
| <i>Performance target for artifact holdings in an online catalog.</i> | 55 | 60 | 65 | 70 | 75 | 80 |
| Percent of artifact holdings in an online catalog. | 57 | 61 | 74 | 78 | | |
| Number of artifact holdings described in an online catalog (thousands of items). | 309 | 353 | 465 | 466 | | |
| Number of artifact holdings in NARA (thousands of items). | 544 | 582 | 628 | 600 | | |
| <i>Performance target for electronic holdings in an online catalog.</i> | 55 | 60 | 65 | 70 | 75 | 80 |
| Percent of electronic holdings in an online catalog. | 99 | 98 | 95 | 96 | | |
| Number of electronic holdings described in an online catalog (billions of logical data records). | 4.7 | 5.4 | 6.4 | 6.7 | | |
| Number of electronic holdings in NARA (billions of logical data records). | 4.7 | 5.5 | 6.7 | 6.9 | | |
| Number of series described in ARC (cumulative). | 49,691 | 74,544 | 102,250 | 128,782 | | |
| Number of ARC visits (in thousands of visits). | 291 | 671 | 631 | 603 | | |

Milestones

FY 2007

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

FY 2008

- Redesigned ARC web system launched.

FY 2010

- Work required to subsume ARC web into ERA conducted.
- Online Public Access system prototype deployed to staff.

FY 2011 Estimated

- Prototype Online Public Access user interface released to public.

FY 2012 Projected

- New description tool available to staff.

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

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

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

- FY 11 Estimated Performance**
- Improve NARA’s score against the benchmark for excellence by 3 percent.
 - Implement Archives.gov in new content management system.
- FY 12 Projected Performance**
- Improve NARA’s score against the benchmark for excellence by 3 percent.
 - Redesign NARA’s staff web site.

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

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

Means and Strategies The National Archives reaches millions of people each year through its web presence, consisting of archives.gov, Presidential Library web sites, and web sites supporting unique initiatives, such as *OurDocuments.gov*. We have established a presence on social media platforms such as *Facebook*, *Flickr*, *Twitter*, and *NARAtions* and *AOTUS* blogs, where we are able to reach customers, stakeholders and the public to encourage collaboration, participation and create a transparent environment. In FY 2011, we expect to have a mature social media program in place.

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

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

We continue to collect public feedback about application interfaces, such as our Archival Research Catalog (ARC) and Access to Archival Databases (AAD) systems. The American Customer Satisfaction Index (ACSI) helps us to measure satisfaction by customer group (Genealogists, Veterans, Educators, etc.) which enables us to design strategies to develop, modify, enhance or remove online web content in response to customer feedback about our web sites. Data from ACSI indicates that increased user

satisfaction with our site search engine would impact our overall score. In FY 2008 we implemented several improvements to our search capabilities which resulted in increased user satisfaction according to survey responses. Foresee Results, an online customer satisfaction measurement company, tested several questions on the ACSI about transparency and trust and determined that there is a correlation between user perception of web site transparency, their trust of the web site or agency, and their satisfaction with the web site or agency. In FY 2010, while soliciting agency staff for input on a redesign of *archives.gov*, we piloted the transparency questions to understand if a relationship exists and what changes we should consider to influence a more positive experience for our customers. Feedback from NARA staff, agencies, and the public greatly influenced our redesign of the *archives.gov* web site, launched in FY 2011.

In addition, we evaluated and tested new content management systems (CMS) using our agency internal web site. We chose Drupal, an open source CMS to implement our intranet, *NARA@work*, in early FY 2011. Next, we will implement *archives.gov* in the new content management system. This tool will allow us to improve workflow as well as free up our resources to implement social media sites and other web-based applications. In FY 2012, we will focus on redesigning *NARA@work* to reflect the agency transformation results and to make the site more task focused for staff and contractors.

The Presidential Libraries consistently outperform the overall ACSI e-Government satisfaction score and other benchmarks. We plan to continue to respond to customer expectations by following this successful model and building upon the success of the collective Presidential Library web sites.

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|---|----------------|---------------------------|----------------|----------------|----------------|----------------|
| Online visits to NARA’s web sites (in thousands). | 34,871 | 37,807 | 37,470 | 39,036 | | |
| <i>Performance target in percent improvement in web sites score at or above the benchmark for excellence as defined for Federal Government web sites.</i> | — | <i>Establish baseline</i> | 1 | 3 | 3 | 3 |
| Percentage point improvement in web sites score. | | — | 3 | 5 | | |
| Web sites score at or above the benchmark for excellence as defined for Federal Government web sites. | 67 | 66 | 69 | 74 | | |
| Presidential Libraries score at or above the benchmark for excellence as defined for Federal Government web sites. | 77 | 75 | 78 | 80 | | |

Milestones

FY 2007

- Online store for museum merchandise operational.
- Methodology for assessing NARA’s score against the benchmark for excellence as defined for Federal Government web sites developed.

FY 2008

- NARA’s baseline score against the benchmark for excellence as defined for Federal Government web sites established.
- Inventory of all web-based access capabilities currently provided to our online customers to identify gaps and overlaps completed.

FY 2009

- Projects on different social media web sites (e.g. You Tube, Flickr, Twitter, Facebook, etc.) piloted.
- Comprehensive and strategic concept of operations for web-based access to our online assets developed.

FY 2010

- *Archives.gov* home page redesigned.
- Additional projects on selected social media web sites implemented.
- Online Public Access piloted to staff.
- Content management system to implement our intranet implemented.

FY 2011 Estimated

- Established social media program in place.
- Federated search for online public access system expanded.
- Online Public Access available to the public.
- *Archives.gov* redesigned.

FY 2012 Projected

- Redesign of *NARA@work* to reflect transformed agency structure implemented.

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

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

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

Long Range Performance Targets 5.1 By 2016, 90 percent of NARA’s visitors are satisfied with their visit experience.

5.2 By 2016, a minimum of 85 percent of all NHPRC-assisted projects produce the results required, employing rigorous standards and milestones approved by the Commission.

FY 2011 Resources Requested to Meet This Goal: \$26,837,000; 204 FTE

FY 2012 Resources Requested to Meet This Goal: \$20,856,000; 204 FTE

| FY 2012 Budget Linkage | Records Services | Archives Related Services | Archives II Facility | Revolving Fund | Trust Fund | NHPRC | Repairs & Restoration |
|---|-------------------------|----------------------------------|-----------------------------|-----------------------|-------------------|--------------|----------------------------------|
| 5.1 By 2016, 90 percent of NARA’s visitors are satisfied with their visit experience. | ✓ | | | | ✓ | | |
| 5.2 By 2016, a minimum of 85 percent of all NHPRC-assisted projects produce the results required, employing rigorous standards and milestones approved by the Commission. | ✓ | | | | | ✓ | |

Long Range Performance Target 5.1 By 2016, 90 percent of NARA’s visitors are satisfied with their visit experience.

- FY 11 Estimated Performance**
- 86 percent of NARA education program visitors are satisfied with their visit.
 - 86 percent of NARA exhibit visitors are satisfied with their visit experience.
 - 86 percent of public outreach visitors are highly satisfied with their visit experience.
 - Identify and establish priorities on recommendations from FY 2010 AASLH study results.
 - Identify and establish priorities on recommendations from longitudinal study of the Public Vaults.

FY 12 Projected Performance

- 87 percent of NARA education program visitors are satisfied with their visit.
- 87 percent of NARA exhibit visitors are satisfied with their visit experience.
- 87 percent of public outreach visitors are highly satisfied with their visit experience.
- Implement prioritized recommendations from FY 2010 AASLH study results.
- Implement prioritized recommendations from longitudinal study of the Public Vaults.

Outcome Our public outreach efforts effectively increase access to and knowledge of government in ways that further civic literacy.

Significance In the promotion of civic literacy, the National Archives has always played a unique and important role. As the keeper of the records for 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. Furthermore, we manage the *Federal Register* system, an important civic process. Therefore, we continually educate the public about the treasure trove of information and services we offer to enable access to our holdings and encourage civic participation. Museum programs are an inspiring way for people to understand their own personal connection to the records in the National Archives. Our efforts are intended to help families see how their own stories fit into our national mosaic, and to thrill young people with the real-life drama of the American experience.

Means and Strategies The National Archives Experience, which includes the Public Vaults, the McGowan Theater, and O'Brien Traveling Exhibits Gallery, continues to grow in scope and impact. The Public Vaults has helped us make a connection between the average visitor and Federal records, illustrating how such records illuminate our understanding of the events that shaped our nation, our communities and our families. We expanded offerings in the McGowan Theater, including conferences, symposia, film series, and notable free public programs with speakers who have participated in and/or analyzed the events documented in our records. The O'Brien Gallery has featured topical exhibits intended to engage visitors in the stories that define our common heritage, from eyewitness reports of the great events of our times to the school boy experiences of the youngsters who grew up to be President. The new online Digital Vaults exhibit has captured the spirit of our Public Vaults and made inquiry-based learning about NARA records available to millions of people around the globe.

Our Boeing Learning Center provides resources to teachers and parents, allowing them to more effectively use our records to achieve national standards for history and civics. One million visitors a year annually visit the National Archives Experience, with another 1.8 million visitors to NARA's Presidential Libraries and Museums, providing the National Archives with an exceptional opportunity to promote lifelong civic learning among people of different ages and backgrounds who come from all parts of the country.

At National Archives regional locations in 13 metropolitan areas, we offer additional opportunities to encourage civic awareness and learning. Through expert, personal assistance with genealogy research, visitors learn how they can use records to explore family history and often discover the connection to our national story. We offer exhibits at two of our regional locations—Atlanta and Kansas City—that, for example, expose visitors to records that highlight civil and human rights struggles, and records that showcase legislation that initiated profound changes in the history of our country.

NARA's archival centers located throughout the country provide educational programs that present our national story in local settings. We continue to partner with agencies and organizations external to NARA to deliver programs and teach educators how to use Federal records as primary sources in the classroom. Our public programs and archival services raise awareness of NARA's availability and services to the public.

Presidential Libraries and Museums play a vital role in promoting an understanding not only of the Presidency, but also American history and democracy. From Hoover through Clinton, the museums offer thought-provoking and entertaining permanent exhibits that combine documents and artifacts, photographs and film to immerse visitors in the sights and sounds of the past. Each year, Presidential Libraries also host temporary exhibits that supplement and elaborate on themes presented in the permanent exhibitions. These temporary exhibits have examined topics central to civic literacy in America: leadership, citizenship, and the American experience.

Conferences, symposia, and public forums sponsored by the Libraries are another means of educating and informing the public about our shared democratic values. Conferences supported in partnership by all Presidential Libraries allow the public to learn about pivotal historical events from those who experienced the events first-hand. Presidential Libraries have explored ways to develop programs that can be utilized by a variety of audiences. The addition of the Reagan Library's Discovery Center in 2008 contributed to the growing host of Presidential Libraries' experiential learning programs. These programs, designed to allow participants to develop decision-making skills and gain a newfound understanding of government roles, are used by students and teacher groups, as well as government and corporate staffs for training. At the Federal Register, we teach a monthly class on the Federal regulatory process and the role of the *Federal Register*.

We want to gain insight of the degree to which our exhibits and programs have had a meaningful impact on visitors and participants. In FY 2008, we obtained OMB approval to use a measurement instrument program offered by the American Association of State and Local History Museums (AASLH). This allowed us to survey customers for feedback on our museum in Washington, DC, but it also provided us with a benchmark comparison with other similar museums. The results showed high levels of overall satisfaction; however, we learned that we could make improvements to the logistics and content in the Rotunda to enhance the experience of our customers. Since then we have implemented several changes to improve the experience for visitors waiting in line outside the building or waiting in line to see the Charters of Freedom. We surveyed our customers again to assess the impact of our changes. With feedback from the report available in FY 2011, we will use that information to analyze further changes needed in FY 2012. We will repeat this cycle of analyzing customer feedback with identifying and establishing priorities on recommendations again in FY 2012.

We will distribute a longitudinal survey of the Public Vaults in the spring of FY 2011 to compare the feedback with the previous study completed five years earlier. This feedback will be used to analyze whether changes are needed in FY 2012 or beyond.

Our Presidential Libraries are conducting a review of their museum programs, and will use the customer feedback gathered to improve museum offerings and services. The results from the survey will help us better understand the current state of the programs as well as develop recommendations on the future direction of the museums. We received our final set of full analytical reports at the end of FY 2010. The Libraries are currently reviewing the survey data and will work in FY 2011 and FY 2012 to incorporate report recommendations as appropriate.

Throughout the National Archives system, we deliver a wide variety of experiences for visitors. These experiences are realized through physical visits, online and offline publications, video conferences, webcasts, and other methods. As technology expands to include new delivery mechanisms, such as Web 2.0 technologies, we will look for new opportunities for delivering our programs and communicating and interacting with visitors. Through NARA blogs such as *AOTUS*, *NARAtions*, and *The Hoover Blackboard*, we provide a variety of unique content to share information with the public. Working with councils of the National Council of History Educators and with Teaching American History grant recipients, we will continue to conduct outreach to teachers, school librarians, and home schooling parents to provide free materials and content-based development training. We will continue to assess the needs of our visitors and evaluate methods to improve our customer interactions.

Key external factors Our success depends on the support of the private foundations that are fundamental to our exhibit programs. To better understand our customers' interests, we will need to expand our customer survey program.

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| Number of visitors to NARA museums and exhibits (in millions) | 3.2 | 3.2 | 3.9 | 2.1 | | |
| <i>Performance target for percent of visitors satisfied with their visit experience.</i> | — | — | — | 85 | 86 | 87 |
| Percent of visitors satisfied with their visit experience. | — | — | — | 97 | | |
| Number of rated education programs, workshops, and training courses. | 595 | 632 | 628 | 625 | | |
| Number of attendees at rated education programs, workshops, and training courses. | 10,230 | 11,362 | 11,688 | 14,327 | | |

Milestones

FY 2008

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

FY 2009

- NARA's 75th anniversary celebrated.
- Report on alternative models for Presidential Libraries issued.
- Data from the AASLH study analyzed.

FY 2010

- Comparative data for the National Archives Experience in Washington using the AASLH survey instrument collected.
- Longitudinal study of visitor response to Public Vaults and National Archives Experience implemented and evaluated.
- Expand use of social media to increase collaboration, participation, and the growth of online communities.
- Industry measures based on peer review of Presidential Libraries identified.
- Measures for meeting industry standards by 2016 established.

FY 2011 Estimated

- Recommendations from FY 2010 AASLH study results prioritized.

- Recommendations from longitudinal study of the Public Vaults prioritized.
- Number of online exhibits on Presidential Libraries partnership web site increased.

FY 2012 Projected

- Prioritized results from AASLH survey implemented.
- Prioritized results from longitudinal study of the Public Vaults implemented.

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

Long Range Performance Target 5.2 By 2016, a minimum of 85 percent of all NHPRC-assisted projects produce the results required, employing rigorous standards and milestones approved by the Commission.

FY 11 Estimated Performance

- 85 percent of all NHPRC-assisted grants produce the results required.

FY 12 Projected Performance

- 86 percent of all NHPRC-assisted grants produce the results required.

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

Significance Projects supported by the National Historical Publications Records Commission produce the desired outcomes of the awards through careful development and monitoring of their goals and objectives. Ultimately, these projects support the publication, preservation, and availability of the nation’s vast network of archival materials, thereby facilitating citizen access to our shared documentary heritage.

Means and Strategies The NHPRC, established by Congress in 1934, supports a host of activities to collect, preserve, publish, and promote the use of documentary sources relating to the history of the United States. The NHPRC oversees a highly competitive federal awards program and provides assistance to prospective grantees to cultivate high quality proposals. Projects supported by the NHPRC include digitizing and/or publishing historical records of national significance, tackling electronic records preservation and access issues, making hidden archival collections known and readily available, and preparing professionals in the archival and historical publishing communities for the challenges associated with these enterprises.

In FY 2009, we initiated our Founding Fathers Online pilot project, *Transcribing and Encoding the Founders Papers for Online Access*. This activity began in response to a Congressional committee report addressing concerns that the papers of America’s Founding Fathers were not freely available online. The 2009 pilot project tested new approaches to significant portions of the editorial work associated with publishing the Founders’ papers. These new approaches focused on transcribing the handwritten texts and preparing, or encoding, them for online presentation. The pilot project included the papers of John Adams, Benjamin Franklin, Thomas Jefferson, James Madison, and George Washington. In FY 2010, we released 5,000 preliminary transcriptions of materials from Presidents John Adams and James Madison online to the public for the first time as a result of the Founding Fathers Online pilot project. These materials are available at: <http://rotunda.upress.virginia.edu/founders/FOEA.html>.

In FY 2011, we plan to have completed a beta test site of the “Founders Online” web resource through a cooperative agreement with the University of Virginia Press. In FY 2012, we anticipate a a more robust site available to the public that will include all the published papers of John Adams, Alexander Hamilton, Thomas Jefferson, James Madison, and George Washington.

In FY 2011, we will determine methods for making publicly available the preliminary transcriptions of the historical documents of the Founders that have not yet been formally published. An analysis of the five Founders' editorial projects has revealed a diversity of approaches to managing these transcriptions, and early public access to these documents may require several approaches. Still, we anticipate being able to develop cooperative agreements with one or more appropriate partners in FY 2011 and to add a minimum of 20,000 preliminary transcriptions in FY 2012 to the Founders Online web site.

Key external factors The NHPRC rigorously evaluates grant applications on the basis of the relevance of projects to NHPRC's strategic objectives and the ability of applicants to produce promised results.

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for the percentage of closed grants achieving desired results.</i> | — | — | 82 | 82 | 85 | 86 |
| The percentage of closed grants achieving desired results. | 86 | 81 | 82 | 92 | | |

Milestones

FY 2010

- Online access to 5,000 unpublished transcriptions of the papers of James Madison and John Adams available.
- Report on status of remaining work on the Founding Fathers papers issued.
- Cooperative agreement for providing free online access to the published papers of the Founders — Adams, Franklin, Hamilton, Jefferson, Madison, and Washington — issued.

FY 2011 Estimated

- Beta test version of web site providing public with free, online access to published volumes of John Adams, Thomas Jefferson, James Madison, and George Washington completed.
- Cooperative agreement(s) to convert remaining unpublished transcriptions of Founders papers to a verified, encoded state issued.

FY 2012 Projected

- Web site providing free public access to published volumes of the papers of John Adams, Alexander Hamilton, Thomas Jefferson, James Madison, and George Washington available.
- Online access to 20,000 additional unpublished transcriptions of the papers of John Adams, Thomas Jefferson, James Madison, and George Washington.

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

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

- Long Range Performance Targets**
- 6.1 By 2016, 95 percent of employees possess the core competencies that were identified for their jobs.
 - 6.2 By 2016, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force (CLF).
 - 6.3 By 2016, 60 percent of NARA’s positions are filled within 80 days.
 - 6.4 By 2016, NARA’s telework rate is 100 percent of the Federal Government average rate.
 - 6.5 By 2016, public network applications are available 99 percent of the time.

FY 2011 Resources Requested to Meet This Goal: \$35,504,000; 200 FTE

FY 2012 Resources Requested to Meet This Goal: \$35,335,000; 200 FTE

| FY 2012 Budget Linkage | Records Services | Archives Related Services | Archives II Facility | Revolving Fund | Trust Fund | NHPRC | Repairs & Restoration |
|---|-------------------------|----------------------------------|-----------------------------|-----------------------|-------------------|--------------|----------------------------------|
| 6.1 By 2016, 95 percent of employees possess the core competencies that were identified for their jobs. | ✓ | ✓ | | ✓ | | | |
| 6.2 By 2016, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force (CLF). | ✓ | ✓ | | ✓ | | | |
| 6.3 By 2016, 60 percent of NARA’s positions are filled within 80 days. | ✓ | ✓ | | ✓ | | | |
| 6.4 By 2016, NARA’s telework rate is 100 percent of the Federal Government average rate. | ✓ | ✓ | | ✓ | ✓ | | |
| 6.5 By 2016, public network applications are available 99 percent of the time. | ✓ | ✓ | | ✓ | | | |

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

- FY 11 Estimated Performance**
- Maintain 95 percent of staff development plans linked to strategic outcomes.
 - Maintain 95 percent of employee performance plans linked to strategic outcomes.

- Identify core competencies for 60 percent of NARA’s occupations.
- FY 12 Projected Performance**
- Maintain 95 percent of staff development plans linked to strategic outcomes.
 - Maintain 95 percent of employee performance plans linked to strategic outcomes.
 - Identify core competencies for 80 percent of NARA’s occupations.

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

Significance To ensure we can achieve our mission and strategic goals we must ensure that staff have the skills and competencies they need to optimize individual and organizational performance.

Means and Strategies Having the internal staff capabilities to carry out the strategies in this Strategic Plan is vital to the success of the plan and the achievement of our mission. To ensure that we have the staff capacity that we need both now and in the future, we are systematically examining NARA’s major occupations to identify competency requirements at all levels. As these competency requirements are identified, we will use them as the basis for recruitment, selection, performance management, training, succession planning, and development of NARA staff. Specifically, we will use the results of our competency development work to:

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

Our initial focus was on developing core competencies for our mission critical occupations – Archivists in the GS-1420 series and Archives Specialists and Technicians in the GS-1421 series. We then expanded our competency development work to other critical and important occupations and piloted our competency approach in several offices. The results and lessons learned from this pilot project will be applied to future competency development efforts across other mission critical occupations in the years to come.

We have also made significant progress toward creating an agency-wide leadership competency model. We created a leadership competency model applicable to all NARA leadership positions. Efforts are underway to develop a physical ability test for the records centers while we also explore options for implementing a writing sample assessment to be used agency-wide in the selection process. Core

competency development work will continue throughout FY 2012.

In accordance with the Chief Human Capital Officers (CHCO) Act of 2002, NARA developed a Strategic Human Capital Plan (SHCP) for FY 2009 – 2014. The plan provides direction for addressing NARA’s most significant workforce management challenges and opportunities. It outlines our mission, infrastructure, goals, objectives, and strategies. In particular, the SHCP establishes a systematic, data-driven, agency-wide approach to human capital management, aligned with the Agency’s mission and vision. The plan is based on guidance provided by the U.S. Office of Personnel Management (OPM) and its foundation is rooted in the five human capital systems outlined in OPM’s Human Capital Accountability and Assessment Framework (HCAAF). This SHCP serves as the basis to further engage all NARA offices in the management of their most important resources, their employees.

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for percent of permanent staff having staff development plans that link to strategic outcomes.</i> | 95 | 95 | 95 | 95 | 95 | 95 |
| Percent of permanent staff having staff development plans that link to strategic outcomes. | 96 | 88 | 67 | 71 | | |
| Number of permanent staff having staff development plans that link to strategic outcomes. | 2,373 | 2,223 | 1,748 | 1,920 | | |
| Number of permanent staff. | 2,521 | 2,573 | 2,667 | 2,793 | | |
| Average time (in calendar days) to fill a leadership position | 39 | 55 | 65 | 39 | | |
| <i>Performance target for percent of staff having performance plans that link to strategic outcomes</i> | 95 | 95 | 95 | 95 | 95 | 95 |
| Percent of staff having performance plans that link to strategic outcomes. | 97 | 98 | 96 | 97 | | |
| Number of staff having performance plans that link to strategic outcomes. | 2,480 | 2,510 | 2,570 | 2,734 | | |

Milestones

FY 2007

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

FY 2008

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

FY 2009

- Competency development work expanded to cover all positions in ISOO, our Modern Records Program office, and the Federal Records Center Director in our Office of Regional Records Services.
- NARA’s Strategic Human Capital Plan developed.

FY 2010

- Competency models for Office of Regional Records Services and Office of Information Services developed (excluding clerical positions).
- Competency development work for Access Programs office and at least one additional area completed.
- Structured interview question bank developed.
- Physical ability test and writing sample assessment developed.

FY 2011 Estimated

- Competency modeling for MCOs in remaining program offices expanded.
- Competency modeling for clerical positions developed.
- Competency work for use with performance appraisals expanded.
- Writing sample assessment developed.

- Leadership competency model expanded to cover all NARA leadership positions.

FY 2012 Projected

- Competency work for Education/Museum/Outreach positions developed.
- Competency work for remaining positions developed.

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

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

FY 11 Estimated Performance

- Increase the number of employees in underrepresented groups relative to their representation in the CLF.
- Increase by 5 percentage points the number of positive responses to Annual Employee Survey (AES) questions referencing workforce diversity.

FY 12 Projected Performance

- Increase the number of employees in underrepresented groups relative to their representation in the CLF.
- Increase by 5 percentage points the number of positive responses to Annual Employee Survey (AES) questions referencing workforce diversity.

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

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

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

Our efforts in this area are guided by our annual Federal Equal Opportunity Recruitment Program (FEORP) Plan. Our FEORP Plan contains four multi-year strategic goals that together form the foundation of our recruitment strategy for women and minorities. These goals are:

- Ensure that FEORP goals are aligned with NARA’s Strategic Plan and Strategic Human Capital Plan and integrated with workforce planning efforts;
- Expand the pipeline of women and minorities available for employment with NARA;
- Maintain a diverse high-performing workforce by effectively recruiting and retaining top talent; and

- Enhance staff development opportunities that prepare staff for upper level positions.

Each year, NARA identifies specific strategies that we will undertake to support our multi-year FEORP goals. Our strategies focus on expanding partnerships with minority-serving universities, education associations, and professional organizations; attending and networking at minority conferences and job fairs; encouraging the use of developmental assignments that provide on-the-job training opportunities for women and minorities; and ensuring that our FEORP goals and strategies are fully aligned with NARA's Strategic Human Capital Plan and, by extension, NARA's Strategic Plan. Progress against our FEORP goals and strategies is assessed each year as part of our human capital accountability efforts and the U.S. Office of Personnel Management's annual FEORP reporting requirement. In addition, our FEORP plan is revised each year to reflect our latest workforce demographics; specific strategies are updated as necessary to address any under-representation at NARA.

We noticed a slight downturn in several of our underrepresented groups in FY 2010, despite our efforts to enhance the representation of women and minorities. We did not experience a decline in the rate of Hispanics and Hawaiian/Pacific Islanders, which we attribute to our extensive outreach and recruitment of these groups. Other contributing factors to the decline may be attributed to reported information from the Department of Education that indicates low numbers of degrees conferred to minorities in fields most applicable to positions at NARA. We will continue to monitor the trends in FY 2011 and FY 2012 and adjust our annual strategies if we continue to experience unexpected results.

Key external factors Success here depends on qualified people in underrepresented groups applying for positions at NARA in response to our recruitment efforts.

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|---|----------------|----------------|----------------|----------------|----------------|----------------|
| Number of applicants. | 4,690 | 5,559 | 6,362 | TBD | | |
| Number of applicants in underrepresented groups. | 1,744 | 2,515 | 2,811 | 830 | | |
| Percent of applicants in underrepresented groups. | 37 | 45 | 44 | 16 | | |
| Number of qualified applicants. | 2,857 | 3,099 | 3,735 | 3,033 | | |
| Percent of qualified applicants in underrepresented groups. | 42 | 52 | 48 | 19 | | |
| Number of best qualified applicants. | 1,001 | 1,533 | 1,643 | 1,378 | | |
| Percent of best qualified applicants in underrepresented groups. | 51 | 52 | 48 | 19 | | |
| Number of new hires. | 236 | 334 | 309 | 176 | | |
| Percent of new hires in underrepresented groups. | 50 | 49 | 57 | 41 | | |
| Summary of 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 | ✓ | ✓ | ✓ | ✓ | | |
| <i>Performance target for percentage of women relative to the CLF.</i> | — | — | — | 89 | 91 | 93 |
| Employment percentage of women relative to the CLF. | 87 | 88 | 87 | 87 | | |

| | | | | | | |
|---|-----|-----|-----|-----|----|----|
| <i>Performance target for percentage of black employees relative to the CLF.</i> | — | — | — | — | — | — |
| Employment percentage of black employees relative to the CLF. | 297 | 289 | 279 | 276 | | |
| <i>Performance target for percentage of Latino-Hispanic employees relative to the CLF.</i> | — | — | — | 18 | 20 | 22 |
| Employment percentage of Latino-Hispanic employees relative to the CLF. | 18 | 17 | 16 | 16 | | |
| <i>Performance target for percentage of Asian American employees relative to the CLF.</i> | — | — | — | 74 | 78 | 80 |
| Employment percentage of Asian American employees relative to the CLF. | 63 | 61 | 59 | 62 | | |
| <i>Performance target for percentage of Pacific Islander employees relative to the CLF.</i> | — | — | — | — | 68 | 70 |
| Employment percentage of Pacific Islander employees relative to the CLF. | 36 | 0 | 0 | 66 | | |
| <i>Performance target for percentage of American Indian/Alaskan Native employees relative to the CLF.</i> | — | — | — | — | 89 | 91 |
| Employment percentage of American Indian/Alaskan Native employees relative to the CLF. | 62 | 80 | 97 | 87 | | |
| Percentage of NARA employees with a targeted disability. | 1.6 | 1.6 | 1.7 | 1.6 | | |

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

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

Milestones

FY 2010

- Annual Federal Equal Opportunity Recruitment Program (FEORP) and Federal Hispanic Employment Program plans finalized.
- NARA’s Summer Diversity Internship Program conducted.

FY 2011 Estimated

- Annual Federal Equal Opportunity Recruitment Program (FEORP) and Federal Hispanic Employment Program plans finalized.
- NARA’s Summer Diversity Internship Program conducted.
- Awareness of NARA internship and employment opportunities increased, especially at events applicable to women and minorities.

FY 2012 Projected

- Annual Federal Equal Opportunity Recruitment Program (FEORP) and Federal Hispanic Employment Program plans finalized.
- NARA’s Summer Diversity Internship Program conducted.
- Awareness of NARA internship and employment opportunities increased, especially at events applicable to women and minorities.

Long Range Performance Target 6.3 By 2016, 60 percent of NARA’s positions are filled within 80 days.

FY 11 Estimated Performance

- 40 percent of NARA’s positions are filled within 80 days.
- Fully implement an automated hiring solution.

- Implement NARA hiring reform action plan.

FY 12 Projected Performance

- 50 percent of NARA’s positions are filled within 80 days.

Outcome NARA workforce is properly staffed to accomplish agency mission.

Significance An effective hiring process enhances NARA’s ability to reach the best talent in a competitive market in a timely manner. Proper workforce planning will decrease the lag time experienced when agency program offices need to commence, resume, or properly staff work vital to accomplish the agency’s strategic mission and goals. Instituting hiring processes that simplify, facilitate, and support both manager and job applicant reduces the risk of losing potential NARA job seekers to positions external to the agency.

Means and Strategies In FY 2009, we developed NARA’s Strategic Human Capital Plan, an instrument we use to document our goals and objectives for addressing the human capital challenges and opportunities we face. This plan defines how we will strategically manage our workforce both now and in the future to achieve NARA’s strategic goals and objectives. We must focus on improving our performance in workforce planning to proactively identify and understand both short and long term organizational requirements. Knowledge of the strategic priorities of program offices assists in early identification of staffing requirements.

Effective recruitment and hiring practices directly impact our ability to reach the best talent in a competitive market. In FY 2010, as part of the Administration’s overall agenda to reform recruitment and hiring, a Presidential Memorandum was issued —*Improving the Federal Recruitment and Hiring Process*—directing agencies to overhaul the way the Federal Government recruits and hires the civilian workforce. We initiated efforts in FY 2010 to reduce the “time to fill” vacancies, with the process workflow starting with the hiring manager’s initial request to fill a vacancy and ending with the employee’s start date. In FY 2011 and FY 2012, we will remain committed to implementing process efficiencies to reduce this time and enhance the experience for hiring managers and applicants alike.

NARA’s leading challenge in the hiring process is our lack of an automated tool. We established a Human Resources (HR) Transformation Team in FY 2009 to oversee the upgrade of NARA’s HR automation infrastructure and the implementation of specific actions to improve overall HR services including the timeliness to complete hiring actions in NARA. These changes are needed to improve basic HR services and to transform from a manual, labor-intensive personnel office to a strategic human capital organization. To achieve this transformation, we must deploy improved technology and support streamlined processes. Our transformation will allow us to be more productive and deliver better services to NARA’s customers.

We piloted an automated hiring solution using the Office of Personnel Management’s (OPM) USA Staffing tool. This tool automates the hiring process, significantly reduces the time to fill positions, and allows organizations to reduce the number of vacancies. In FY 2012, we will conduct a comprehensive time to fill analysis to identify any continuing barriers with remedial action plans and established timeframes set for resolution.

Verification and Validation

| <i>Performance Data</i> | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|-----------------------------|----------------|----------------|----------------|----------------|
| Number of applicants. | 6,353 | TBD | | |
| Number of applicants hired. | 309 | 176 | | |

| <i>Performance Data</i> | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|----------------|----------------|----------------|
| Average number of days to fill position. | — | 152.5 | | |
| <i>Performance target for percent of NARA's positions filled in 80 days.</i> | — | 30 | 40 | 50 |
| Percent of NARA's positions filled in 80 days. | — | 12 | | |

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

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

Milestones

- FY 2009**
 - NARA's Strategic Human Capital Plan developed.
- FY 2010**
 - NARA's workforce planning process documented.
 - Current hiring process mapped, job opportunity announcements streamlined, and applicant notification process in place.
 - Action plan to mitigate the "time to fill" barriers implemented.
 - Staffing manager to manage the implementation and oversee operation of NARA's USA Staffing system hired.
 - Backlog of hiring actions reduced.
 - Automated hiring pilot expanded.
- FY 2011 Estimated**
 - NARA hiring reform action plan implemented.
- FY 2012 Projected**
 - Comprehensive time to fill analysis to identify any continuing barriers with remedial action plans and established timeframes set for resolution.
 - Systems migration from the General Services Administration's (GSA's) CHRIS/PAR/ETAMS personnel/payroll/timekeeping systems to the Department of Interior National Business Center's (NBC's) FPPS and Quicktime integrated personnel/payroll and timekeeping system completed.

Long Range Performance Target 6.4 By 2016, NARA's telework rate is 100 percent of the Federal Government average rate.

- FY 11 Estimated Performance**
 - 15 percent of NARA's eligible staff participates in the telework program.
- FY 12 Projected Performance**
 - 20 percent of NARA's eligible staff participates in the telework program.

Outcome Non-traditional work arrangements enhance employee quality of life, impact recruitment and retention and supports emergency situations.

Significance We recognize the importance of non-traditional work arrangements as a way to enhance the quality of employee work life. In addition, telework is a tool we can use to help recruit and retain the best workforce, improve the productivity of our workforce, decrease impediments to the productivity of our workforce, and prepare for and cope with emergency situations.

Means and Strategies In accordance with Public Law 106-346 § 359, each Executive agency shall establish a policy under which eligible employees of the agency may participate in telecommuting to the maximum extent possible without diminished employee performance. Further legislation followed this

mandate with specific direction to certain agencies to increase telework participation by specified amounts.

NARA established its telework program in August 2006. We recognize this non-traditional work arrangement as a way to not only enhance the quality of work life, but also as a recruitment and retention tool. We continue to support the integration of telework into agency operations, however more than 70 percent of NARA’s positions have been identified as ineligible for telework due to the nature of the duties and functions. Office of Personnel and Management (OPM) telework guidance specifically outlines restrictions that define positions that are not eligible to telework. For example, barriers identified range from positions that require working with classified materials to working with IT security issues to responsibilities requiring face-to-face personal contact.

In FY 2010 we initiated the hiring process to bring a Work-life Wellness coordinator onboard who will serve as the telework program manager. We improved communications and developed a marketing strategy to increase the visibility of the telework program and help illustrate the business case for supporting telework. In FY 2011 and FY 2012, we will review telework activities, provide assistance to timekeepers to improve data accuracy, and provide support to program areas to increase telework opportunities.

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| Percent of eligible Federal Government workers who could telework. | 8 | — | — | 28 | | |
| <i>Performance target for percent of eligible NARA employees who telework.</i> | | — | — | 15 | 15 | 20 |
| Percent of eligible NARA employees who telework. | 12 | — | — | 4 | | |
| Number of telework hours worked by eligible NARA employees. | — | — | — | 63,755 | | |

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

Long Range Performance Target 6.5 By 2016, public network applications are available 99 percent of the time.

- FY 11 Estimated Performance**
- Public network applications are available 98.86 percent of the time.
 - Conduct the Local Area Network (LAN) services review and implement upgrades as necessary.
 - Conduct cloud-based pilot e-mail solution with GSA and OMB.

- FY 12 Projected Performance**
- Public network applications are available 98.87 percent of the time.
 - Analyze results and feasibility of cloud-based pilot e-mail solution for possible implementation.

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

Significance Dramatic increases in computer interconnectivity, especially in the use of the Internet, continue to revolutionize the way our Government, our Nation, and much of the world communicate and conduct business. Our customers expect information and services to be available when they need them. However, this widespread interconnectivity poses significant risks to the Government's computer systems and the critical operations they support. The speed and accessibility, as well as the other enormous benefits of the computer age, if not properly controlled, allow individuals and organizations to interfere with critical operations for mischievous or malicious purposes. Reliable performance and security of our public network applications is essential to ensuring that customer expectations for access to our information and services can be met.

Means and Strategies NARA's fundamental strategic business goal as the national record keeper is to preserve and provide access to the records that document the work of the government. NARA's Enterprise Architecture (EA) is an information technology blueprint that specifies how NARA will use information technology (IT) to support its strategic business goals. It is the EA that will allow NARA to hold IT projects accountable for EA compliance and alignment with the Federal Enterprise Architecture. Over the past several years we have focused on EA process improvement and worked to resolve some gaps that had been identified through GAO and OMB assessments and the agency-wide review of the EA work products. As a result, NARA's EA has consistently received an overall score of "green" from OMB based on scores in the Completion, Use, and Results categories.

The authenticity and reliability of our electronic records and information technology systems are only as good as our IT security infrastructure. We must ensure the security of our data and our systems or we risk undermining our agency's credibility and ability to carry out our mission. Also, we risk the Government's ability to document the results of and accountability for its programs. IT security becomes even more critical as we increase our visibility through the implementation of Web 2.0 and of electronic government initiatives that expand online services to the public. The more we increase electronic access to our services and records, the more vulnerable we potentially are to intrusions, viruses, privacy violations, fraud, and other abuses of our systems. With the introduction of new technologies, we must remain steadfast in our efforts to maintain the integrity and security of our systems and data.

In FY 2010, the Federal CIO recommended that agencies consider cloud-based solutions when making technology-related decisions. Cloud computing offers benefits such as shared computing services, shared access and use of data by a variety of user groups, cost savings designed service plans, and accessibility from any networked computer, to name a few. We began working with GSA and OMB to conduct a cloud-based pilot e-mail solution in FY 2010 and in 2011, NARA will continue this work with GSA in evaluating cloud-based e-mail solutions from FISMA-compliance vendors for possible implementation. NARA, with its GSA partner, will lead the cloud-based pilot e-mail solution and will use lessons learned from the pilot program and develop models for implementation across the Federal Government.

In addition to supporting public network applications and ensuring their security, successful implementation and deployment of many NARA initiatives, including ERA, is dependent upon a robust, reliable, stable, scalable, and high performance technology infrastructure. NARA's infrastructure consists of the following components and services: servers, the wide area and local area networks, desktop and laptop computers, e-mail, Internet access, Intranet platforms, mobile devices, and storage. The NARA IT infrastructure is the foundation for secure and reliable computing. The current infrastructure includes support of 44 sites, nearly 5,000 workstations and telephone sets, more than 260 servers in addition to the network, email, security, and operation and system management tools. We need to ensure the continuous improvement in the performance of the infrastructure to meet business requirements. As part of this, we

need to upgrade our Local Area Network (LAN) services and desktop capabilities. In 2011, as part of the IT Infrastructure Segment Program plan, we will review the current state of technology and business services against current and future requirements, based on requirements, technology maturity and commercial availability. The review will include e-mail, network operations and desktop operating systems, and productivity tools as well as technology for social media, collaborative groupware, and smart phones. In addition, NARA will review the implementation of its wireless network to see how it can better meet the needs of its researchers and staff. These services will be upgraded as appropriate.

As we modernize our network and make available our historic records, we must also develop an enterprise storage infrastructure solution to support both operational and strategic requirements. This improved storage infrastructure will be capable of supporting current and future digitization efforts. It will also provide redundancy for improved continuity of NARA’s business services.

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

Verification and Validation

| <i>Performance Data</i> | FY 2007 | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| Percent of public network availability. | 100 | 100 | 100 | 100 | | |
| <i>Performance target for percent availability of public applications.</i> | 98.80 | 98.83 | 98.84 | 98.85 | 98.86 | 98.87 |
| Percent of public applications availability. | 99.4 | 99.5 | 99.5 | 99.7 | | |
| Number of total hours that any public network application was unavailable. | 504 | 424 | 414 | 305 | | |
| Number of network users for public applications (in millions). | 6.5* | 8.8 | 6.6 | 2.3 | | |
| Cost per visit to public applications. | \$0.63 | \$0.40 | \$0.45 | TBD | | |
| Percent of customer’s highly satisfied with NARA helpdesk services (average for year). | 65 | 83 | 87 | 87 | | |

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

Milestones

- FY 2007**
 - Network operating system and agency e-mail system upgrade across NARA completed.
- FY 2008**
 - Re-compete of Information Technology Support Services contract initiated.
 - Possible IT solutions for work-at-home to support Federal telework initiatives tested.
- FY 2009**
 - NARA Information Technology and Telecommunications Support Services contract awarded.
 - Strategy and Concept of Operations for integration and management of remote access for mobile users developed.
 - Network bandwidth and capabilities for digitized voice services increased.
 - Telephone infrastructure upgraded.
- FY 2010**
 - Service level agreements under the NITTSS contract across the enterprise implemented.
 - Agency wide data dictionary with metadata from major mission-related systems updated.
- FY 2011 Estimated**
 - Enterprise Storage Network Infrastructure implemented.
 - Local Area Network (LAN) services solution implemented.

FY 2012 Projected

- Results and feasibility of cloud-based pilot e-mail solution determined for possible implementation.

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

Definitions NARANET: a collection of local area networks installed in 44 NARA facilities that are connected to a Multi-Protocol Label Switching (MPLS)-enabled network and with access to the Internet. NARANET includes personal computers with a standardized suite of software. NARANET was designed to be modular and scalable using standard hardware and software components.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION 2012 PERFORMANCE BUDGET — CONGRESSIONAL JUSTIFICATION

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CAPITAL IMPROVEMENTS PLAN

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

ANALYSIS OF REQUESTED LEVEL FOR 2012
(dollars in thousands)

| | FTE | Amount |
|-------------------------------------|-----------|-----------------|
| Fiscal Year 2011 CR Level | 1,594 | \$339,770 |
| Fiscal Year 2011 President's Budget | 1,688 | \$348,689 |
| Estimates for Fiscal Year 2012 | 1,735 | \$403,742 |
| Total Change, 2011 to 2012 | 47 | \$55,053 |

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2012
(dollars in thousands)

| Activity | Obligations | | | | | | | | Increases or Decreases for 2012 | |
|---|--------------|------------------|---------------|------------------|-------------------------|------------------|--------------|------------------|---------------------------------|-----------------|
| | 2010 Actual | | 2011 CR Level | | 2011 President's Budget | | 2012 Request | | FTE | Amount |
| | FTE | Amount | FTE | Amount | FTE | Amount | FTE | Amount | | |
| Records Services: | | | | | | | | | | |
| Records Services - Washington, DC | 791 | \$138,406 | 787 | \$137,535 | 835 | \$141,041 | 849 | \$147,141 | 14 | \$6,100 |
| Regional Records Services | 289 | 55,130 | 277 | 56,139 | 299 | 56,467 | 297 | 57,225 | -2 | 758 |
| Presidential Libraries | 415 | 96,432 | 419 | 95,924 | 431 | 99,443 | 431 | 98,846 | 0 | -597 |
| Information Security Oversight Office | 35 | 7,525 | 34 | 7,669 | 44 | 8,859 | 44 | 8,754 | 0 | -105 |
| Subtotal, Records Services | 1,530 | \$297,493 | 1,517 | \$297,267 | 1,609 | \$305,810 | 1,621 | \$311,966 | 12 | \$6,156 |
| Archives Related Services: | | | | | | | | | | |
| Federal Register | 66 | 11,103 | 66 | 11,023 | 67 | 11,320 | 67 | 11,048 | 0 | -272 |
| National Historical Publications and Records Commission | 10 | 2,493 | 11 | 2,509 | 12 | 2,588 | 12 | 2,557 | 0 | -31 |
| Subtotal, Archives Related Services | 76 | \$13,596 | 77 | \$13,532 | 79 | \$13,908 | 79 | \$13,605 | 0 | -\$303 |
| Electronic Records Archives [2] | - | - | - | - | - | - | 35 | \$49,200 | 35 | \$49,200 |
| Archives II Facility Interest Payments [1] | - | 16,101 | - | 14,984 | - | 14,984 | - | 13,770 | - | -1,214 |
| Total Obligations | 1,606 | \$327,190 | 1,594 | \$325,783 | 1,688 | \$334,702 | 1,735 | \$388,541 | 47 | \$53,839 |
| Archives II / Redemption of Debt [1] | - | 12,870 | - | 13,987 | - | 13,987 | - | 15,201 | - | 1,214 |
| Total Request | 1,606 | \$340,060 | 1,594 | \$339,770 | 1,688 | \$348,689 | 1,735 | \$403,742 | 47 | \$55,053 |

[1] See explanation of Archives II financing on page III-12.

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

[2] For FY 2012, the separate ERA appropriation will end, and ERA will be combined with Operating Expenses.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

SUMMARY EXPLANATION OF CHANGES REQUESTED FOR 2012
(dollars in thousands)

| Activity | Records Services | | Archives Related Services | | Total | |
|---|------------------|-----------------|---------------------------|---------------|-----------|-----------------|
| | FTE | Amount | FTE | Amount | FTE | Amount |
| Program Changes: | | | | | | |
| Records Management Leadership Role | 15 | \$2,400 | - | \$0 | 15 | \$2,400 |
| Archival Storage Space | - | 3,700 | - | - | - | 3,700 |
| St. Louis Move and Space Needs | - | 3,030 | - | - | - | 3,030 |
| National Declassification Center | - | 1,900 | - | - | - | 1,900 |
| Improve Research Room Holdings Protection | 11 | 1,100 | - | - | 11 | 1,100 |
| Regional Archives Program Reduction | - | -1,500 | - | - | - | -1,500 |
| Least Critical Program Terminations | -14 | -1,306 | - | - | -14 | -1,306 |
| Reduce Legacy System Tool Funding | - | -478 | - | -22 | - | -500 |
| Process Improvements | - | -443 | - | -15 | - | -458 |
| Leased Space Reduction | - | -234 | - | - | - | -234 |
| Total Program Changes | 12 | \$8,169 | - | -\$37 | 12 | \$8,132 |
| Other Changes: | | | | | | |
| January 2011 Pay Freeze | - | -\$1,816 | - | -\$104 | - | -\$1,920 |
| One Less Compensable Day in 2012 | - | -603 | - | -34 | - | -637 |
| Facility Rate Changes (NARA Facilities) | - | 665 | - | - | - | 665 |
| Rent Rate Changes (GSA Facilities) | - | -259 | - | -128 | - | -387 |
| Total Other Changes | - | -\$2,013 | - | -\$266 | - | -\$2,279 |
| Total Changes Compared to 2011 | 12 | \$6,156 | - | -\$303 | 12 | \$5,853 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

RECORDS SERVICES

Analysis of Resources

(dollars in thousands)

| Activity | Obligations | | | | | | | | Increases or Decreases for 2012 | |
|---------------------------------------|--------------|------------------|---------------|------------------|-------------------------|------------------|--------------|------------------|---------------------------------|----------------|
| | 2010 Actual | | 2011 CR Level | | 2011 President's Budget | | 2012 Request | | FTE | Amount |
| | FTE | Amount | FTE | Amount | FTE | Amount | FTE | Amount | | |
| Records Services - Washington, DC | 689 | \$106,479 | 725 | \$105,785 | 725 | \$108,611 | 739 | \$115,309 | 14 | \$6,698 |
| Regional Records Services | 248 | 42,388 | 256 | 43,468 | 256 | 43,525 | 254 | 44,522 | -2 | 997 |
| Presidential Libraries | 343 | 73,810 | 354 | 73,427 | 354 | 76,464 | 354 | 76,292 | 0 | -172 |
| Information Security Oversight Office | 29 | 5,674 | 38 | 5,828 | 38 | 6,979 | 38 | 6,908 | 0 | -71 |
| Subtotal | 1,309 | 228,351 | 1,373 | 228,508 | 1,373 | 235,579 | 1,385 | 243,031 | 12 | 7,452 |
| Program Direction | 221 | 69,142 | 236 | 68,759 | 236 | 70,231 | 236 | 68,935 | 0 | -1,296 |
| Total | 1,530 | \$297,493 | 1,609 | \$297,267 | 1,609 | \$305,810 | 1,621 | \$311,966 | 12 | \$6,156 |

BACKGROUND

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

Records Services; Office of Presidential Libraries; and the Information Security Oversight Office.

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

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

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

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

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

| <u>Activity</u> | 2010 <u>Actual</u> | 2011 <u>Estimate</u> | 2012 <u>Request</u> | Change <u>from 2011</u> |
|---------------------------|-----------------------|-------------------------|------------------------|----------------------------|
| Reference Services/Access | \$27,166 | \$27,990 | \$27,937 | -\$53 |
| Preservation | 11,088 | 11,307 | 10,927 | -380 |
| Records Life Cycle System | 20,698 | 21,269 | 27,102 | 5,833 |
| Records Declassification | 10,608 | 14,074 | 15,771 | 1,697 |
| Public Programs | 4,362 | 4,427 | 4,301 | -126 |
| Rent | 51 | 51 | 51 | 0 |
| O&M - NARA Buildings | 24,323 | 23,337 | 23,337 | 0 |
| Common Distributable | 8,183 | 6,156 | 5,883 | -273 |
| Total Program Costs | \$106,479 | \$108,611 | \$115,309 | \$6,698 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

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

Regional records services facilities provide reference services on over 1,227 million cubic feet of records, which includes retrieving records for the agency of origin, preparing authenticated reproductions of documents, and furnishing information from records. The facilities also dispose of records of transitory value and transfer into archival custody those that have enduring value. The facilities also offer to Federal agencies in the regions technical assistance workshops and advice on records creation and management.

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

Selected library holdings at the close of 2010 were as follows:

| | |
|--------------------------------------|---------|
| Traditional Textual (cubic feet) | 252,445 |
| Traditional Non-Textual (cubic feet) | 34,723 |
| Artifacts (number of items) | 597,453 |

Exhibits in Presidential Libraries were viewed by 1,758,845 visitors in 2010.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

Presidential Libraries Program Costs
(dollars in thousands)

| <u>Activity</u> | 2010 <u>Actual</u> | 2011 <u>Estimate</u> | 2012 <u>Request</u> | Change <u>from 2011</u> |
|------------------------------|-----------------------|-------------------------|------------------------|----------------------------|
| Hoover | \$1,371 | \$1,444 | \$1,426 | -\$18 |
| Roosevelt | 1,883 | 1,982 | 1,957 | -\$25 |
| Truman | 1,988 | 2,093 | 2,067 | -\$26 |
| Eisenhower | 2,063 | 2,171 | 2,144 | -\$27 |
| Kennedy | 2,407 | 2,533 | 2,268 | -\$265 |
| Johnson | 2,559 | 2,694 | 2,661 | -\$33 |
| Nixon | 3,859 | 4,061 | 3,881 | -\$180 |
| Ford | 2,259 | 2,378 | 2,349 | -\$29 |
| Carter | 2,550 | 2,684 | 2,651 | -\$33 |
| Reagan | 2,562 | 2,696 | 2,663 | -\$33 |
| Bush | 2,361 | 2,485 | 2,454 | -\$31 |
| Clinton | 2,737 | 2,881 | 2,846 | -\$35 |
| G.W. Bush | 4,691 | 4,691 | 4,633 | -\$58 |
| Presidential Materials Staff | 1,957 | 2,060 | 2,034 | -\$26 |
| Planning and Direction | 4,846 | 5,098 | 5,036 | -\$62 |
| Rent | 7 | 7 | 7 | \$0 |
| O&M - NARA Buildings | 1,716 | 1,631 | 1,631 | \$0 |
| O&M - Libraries | 28,762 | 29,613 | 30,278 | \$665 |
| Common Distributable | 3,232 | 3,262 | 3,306 | \$44 |
| Total Program Costs | \$73,810 | \$76,464 | \$76,292 | -\$172 |

4. Information Security Oversight Office (ISOO) — The Information Security Oversight Office ensures the development and application and preserves the integrity of risk-based frameworks in government and industry, which balance the disclosure, sharing and protection of information related to the national security. Under Executive Order 13526 and Executive Order 12829, as amended, ISOO oversees the security classification programs in both Government and industry and reports annually to the President on their status. We monitor approximately 65 executive branch departments, independent agencies and offices, and their major components.

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

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

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

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

NARA uses the services of the Bureau of the Public Debt (BPD) to provide detailed financial data. The data is used in the development of budget estimates as well as in the performance of program and administrative responsibilities.

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

The Facilities and Personal Property Management Division, NAF, employs a nationwide property inventory and management information system that manages NARA's assets. The property management system currently is Integrated Property Management (IPM), but the agency is in the process of migrating to MAXIMO. The IPM system maintains accurate information regarding the funding used, the date of purchase, and capitalization and depreciation of all real property assets that the value exceeds \$3,000. The IPM system also maintains information on sensitive items such as computers, weapons and audio/visual equipment. The IPM system provides information on the personal property's location, size, whether the item is purchased or leased, and warranty information. The IPM system provides reports on past audit/inventories and maintains schedules for future audit/inventories. IPM also has a disposal/surplus module that creates the surplus forms, pulls the asset from an open active inventory file to an inactive surplus file. The inactive surplus file becomes a history file for audit purposes. This IPM system is operated and maintained by a trained property management staff within NAF. This staff works daily with the property officers nationwide to keep the information accurate and up to date.

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

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

EXPLANATION OF CHANGES, 2011 VERSUS 2012

The budget requests \$6,156,000 and 12 FTE.

Program changes. An overall increase totaling \$8,169,000 and 12 FTE include the following increases: \$2,400,000 and 15 FTE for the Records Management leadership role; \$3,700,000 for archival storage space; \$3,030,000 for the St Louis move and space needs; \$1,900,000 for the National Declassification Center; and \$1,100,000 and 11 FTE for improving research room holdings protection.

These increases are offset by the following decreases: \$1,500,000 for regional archives program reduction; \$1,306,000 and 14 FTE for least critical program terminations; \$478,000 to reduce legacy system tool funding; \$443,000 for process improvements; and \$234,000 for leased space reduction.

Other changes. An overall decrease of \$2,013,000 includes an increase of \$665,000 for facility rate changes (NARA facilities); offset by the following decreases: \$1,816,000 for the January 2011 pay freeze; \$603,000 for one less compensable day in 2012; and \$259,000 for rent rate changes (GSA facilities).

Records Services Performance Costs

(dollars in thousands)

| <u>Goals and Activities</u> | <u>2010 Actual</u> | <u>2011 Estimate</u> | <u>2012 Request</u> | <u>Change from 2011</u> |
|--|------------------------|--------------------------|-------------------------|-----------------------------|
| 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. | \$31,328 | \$37,495 | \$37,923 | \$428 |
| We will preserve and process records to ensure access by the public as soon as legally possible. | \$153,247 | \$157,199 | \$165,899 | \$8,700 |
| We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era. | \$10,669 | \$9,989 | \$9,080 | -\$909 |
| We will provide prompt, easy, and secure access to our holding anywhere, anytime. | \$56,374 | \$56,469 | \$55,388 | -\$1,081 |
| We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs. | \$14,336 | \$14,600 | \$13,649 | -\$951 |
| We will equip NARA to meet the changing needs of our customers. | \$31,539 | \$30,058 | \$30,027 | -\$31 |
| Total Performance Costs | \$297,493 | \$305,810 | \$311,966 | \$6,156 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

ARCHIVES RELATED SERVICES

Analysis of Resources

(dollars in thousands)

| Activity | Obligations | | | | | | | | Increases or Decreases for 2012 | |
|---|-------------|-----------------|---------------|-----------------|-------------------------|-----------------|--------------|-----------------|---------------------------------|---------------|
| | 2010 Actual | | 2011 CR Level | | 2011 President's Budget | | 2012 Request | | FTE | Amount |
| | FTE | Amount | FTE | Amount | FTE | Amount | FTE | Amount | | |
| Federal Register | 58 | \$8,527 | 58 | \$8,462 | 58 | \$8,704 | 58 | \$8,480 | 0 | -\$224 |
| National Historical Publications and Records Commission | 8 | 1,915 | 10 | 1,934 | 10 | 2,001 | 10 | 1,981 | 0 | -20 |
| Subtotal | 66 | 10,442 | 68 | 10,396 | 68 | 10,705 | 68 | 10,461 | 0 | -244 |
| Program Direction | 10 | 3,154 | 11 | 3,136 | 11 | 3,203 | 11 | 3,144 | 0 | -59 |
| Total | 76 | \$13,596 | 79 | \$13,532 | 79 | \$13,908 | 79 | \$13,605 | 0 | -\$303 |

BACKGROUND

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

1. Federal Register — This program provides for the editing, compilation, and publication of Federal regulations in the *Federal Register* and the *Code of Federal Regulations*; laws in slip form and

the *U.S. Statutes at Large*; Presidential documents in the *Weekly Compilation of Presidential Documents* and *Public Papers of the Presidents*; a compilation of Privacy Act issuances; and statements of Federal agency organization and functions in the *United States Government Manual*.

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

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

2. National Historical Publications and Records Commission (NHPRC) — The NHPRC makes grants nationwide to preserve and publish records that document American history. Administered within the National Archives and Records Administration, which preserves Federal records, the NHPRC helps state and local governments and private non-profit institutions preserve non-Federal records, helps historians publish the papers of major figures in American history from George Washington to Martin Luther King, Jr., and helps archivists, records managers, and documentary editors improve their techniques, training, and ability to serve a wide range of information users—teachers, students, lawyers, judges, legislators, journalists, documentary film and TV producers, genealogists, and government officials as well as historians and other scholars.

The Commission is a statutory body chaired by the Archivist of the U.S. Its 15 members represent the President, the Congress, the Supreme Court, the Departments of State and Defense, the Library of Congress, and six national associations of archivists and historians. The Commission uses grants to leverage funding contributions from state legislatures, local governments, private donors, universities and other institutions, which provide on the average more than 50 percent of the costs of projects assisted by the NHPRC.

The Commission's grant appropriation will advance the progress the NHPRC is making in carrying out its strategic plan, which currently gives priority to funding publication of the papers of the Founding Fathers, helping archivists develop techniques for preserving, appraising, and providing access to electronic records, and helping to strengthen the nation's archival infrastructure by supporting state historical records advisory boards in developing statewide programs for historical documentary preservation.

The administrative costs of the Commission's small staff are covered here, within the administrative budget of the National Archives and Records Administration.

3. Program Direction — The description for this activity can be found on pages III-6 and III-7 of the Records Services section.

EXPLANATION OF CHANGES, 2011 VERSUS 2012

The budget reflects a decrease of \$303,000.

Program changes. A decrease of \$22,000 in legacy system tool funding and a decrease of \$15,000 from process improvements.

Other changes. A decrease of \$104,000 for the January 2011 pay freeze; a decrease of \$34,000 for one less compensable day in 2012; and a decrease of \$128,000 for rent rate changes (GSA facilities).

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

Archives Related Services Performance Costs

(dollars in thousands)

| <u>Goals and Activities</u> | <u>2010 Actual</u> | <u>2011 Estimate</u> | <u>2012 Request</u> | <u>Change from 2011</u> |
|--|------------------------|--------------------------|-------------------------|-----------------------------|
| 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. | \$9,536 | \$9,811 | \$9,509 | -\$302 |
| We will preserve and process records to ensure access by the public as soon as legally possible. | \$150 | \$137 | \$141 | \$4 |
| We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era. | - | - | - | - |
| We will provide prompt, easy, and secure access to our holding anywhere, anytime. | \$498 | \$527 | \$540 | \$13 |
| We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs. | \$2,114 | \$2,237 | \$2,207 | -\$30 |
| We will equip NARA to meet the changing needs of our customers. | <u>\$1,298</u> | <u>\$1,196</u> | <u>\$1,208</u> | <u>\$12</u> |
| Total Performance Costs | \$13,596 | \$13,908 | \$13,605 | -\$303 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

ARCHIVES II FINANCING

BACKGROUND

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

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

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

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

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

2012 BUDGET DISPLAY
(dollars in thousands)

| | 2010 <u>Actual</u> | 2011 <u>Estimate</u> | 2012 <u>Request</u> |
|--------------------------------------|-----------------------|-------------------------|------------------------|
| Appropriation for Redemption of Debt | \$12,870 | \$13,987 | \$15,201 |
| Budget Authority | \$16,101 | \$14,984 | \$13,770 |
| Obligations | \$16,101 | \$14,984 | \$13,770 |

FISCAL YEAR 2012 (and beyond) REQUIREMENT:

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

Total funding in 2012 includes \$13,770,000 in budget authority for the payment of interest to certificate holders and \$15,201,000 for the redemption of debt.

Archives II Performance Costs

(dollars in thousands)

| <u>Goals and Activities</u> | <u>2010 Actual</u> | <u>2011 Estimate</u> | <u>2012 Request</u> | <u>Change from 2011</u> |
|---|------------------------|--------------------------|-------------------------|-----------------------------|
| As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records | - | - | - | - |
| We will preserve and process records to ensure, access by the public as soon as legally possible. | | | | |
| Budget Authority | \$16,101 | \$14,984 | \$13,770 | -\$1,214 |
| Redemption of Debt | \$12,870 | \$13,987 | \$15,201 | \$1,214 |
| We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era. | - | - | - | - |
| We will provide prompt, easy, and secure access to our holding anywhere, anytime. | - | - | - | - |
| We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs | - | - | - | - |
| We will equip NARA to meet the changing needs of our customers | - | - | - | - |
| Total Performance Costs | \$28,971 | \$28,971 | \$28,971 | \$0 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

| Object Classification | 2010 Actual | 2011 CR Level | 2011 President's Budget | 2012 Request |
|---|------------------|------------------|----------------------------|------------------|
| 11.1 Full-Time Permanent | \$112,724 | \$116,843 | \$119,303 | \$120,957 |
| 11.3 Other than Full-Time Permanent | 7,190 | 7,453 | 7,622 | 7,405 |
| 11.5 Other Personnel Compensation | 2,993 | 3,102 | 3,362 | 3,310 |
| 11.8 Special Personal Services Payments | 38 | 39 | 40 | 39 |
| 11.9 Total Personnel Compensation | 122,945 | 127,437 | 130,327 | 131,711 |
| 12.1 Personnel Benefits | 32,859 | 34,578 | 36,238 | 36,498 |
| 13.0 Benefits for Former Personnel | 30 | 31 | 31 | 31 |
| 21.0 Travel and Transportation of Persons | 2,298 | 2,452 | 2,448 | 2,506 |
| 22.0 Transportation of Things | 1,143 | 450 | 567 | 567 |
| 23.1 Rental Payments to GSA | 6,143 | 5,896 | 5,896 | 5,712 |
| 23.2 Rental Payments to Others | 3,479 | 3,478 | 3,478 | 3,415 |
| 23.3 Communications, Utilities and Misc. Charges | 14,950 | 16,351 | 16,663 | 16,113 |
| 24.0 Printing and Reproduction | 595 | 600 | 542 | 533 |
| 25.1 Advisory and Assistance Services | 8,232 | 8,300 | 7,658 | 7,882 |
| 25.2 Other Services | 23,247 | 23,251 | 22,461 | 22,508 |
| 25.3 Purchases of Goods & Services from Government Accounts | 18,978 | 19,000 | 19,828 | 23,770 |
| 25.3 Security Payments to DHS for Rental Space | 752 | 662 | 662 | 585 |
| 25.4 Operation & Maintenance of Facilities | 35,243 | 35,500 | 38,398 | 37,535 |
| 25.7 Operation & Maintenance of Equipment | 20,054 | 20,235 | 21,085 | 21,435 |
| 26.0 Supplies and Materials | 3,310 | 3,450 | 3,530 | 3,472 |
| 31.0 Equipment | 15,266 | 8,635 | 9,413 | 10,813 |
| 32.0 Land and Structures | 1,565 | 493 | 493 | 485 |
| Subtotal Obligations | 311,089 | 310,799 | 319,718 | 325,571 |
| 43.0 Interest and Dividends - Archives II | 16,101 | 14,984 | 14,984 | 13,770 |
| 99.0 Total Obligations Related to B.A. | 327,190 | 325,783 | 334,702 | 339,341 |
| 43.0 Archives II/Redemption of Debt | 12,870 | 13,987 | 13,987 | 15,201 |
| Total Request | \$340,060 | \$339,770 | \$348,689 | \$354,542 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

- 11.0 Personnel Compensation** - \$131,711,000. For 1,700 FTE. Includes a net increase of \$1,384,000 and 12 FTE.
- 12.0 Personnel Benefits** - \$36,498,000. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; FICA and Medicare hospital insurance; accident compensation; and moving allowances. Includes a net increase of \$260,000.
- 13.0 Benefits for Former Personnel** - \$31,000. Provides for unemployment compensation payments to former Federal employees.
- 21.0 Travel and Transportation of Persons** - \$2,506,000. Provides for travel required to conduct activities of NARA, including inspection and oversight of field activities. Also, includes \$75,000 for the Records Management Leadership Role; offset by a reduction of \$17,000 in program travel.
- 22.0 Transportation of Things** - \$567,000. Provides for accessioning and transfer of records, supplies and equipment by commercial carrier.
- 23.1 Rental Payments to GSA** - \$5,712,000. For payment to the Federal Buildings Fund for space rental.
- 23.2 Rental Payments to Others** - \$3,415,000. Payments to a non-Federal source for rental of space, land, and structures.
- 23.3 Communications, Utilities and Miscellaneous Charges** - \$16,113,000. Communications services, including local and long distance telephone charges, postage, and overnight delivery service costs, and utilities to operate the National Archives building, Presidential Libraries, the Archives II facility, and the Southeast Regional Archives.
- 24.0 Printing and Reproduction** - \$533,000. Provides for printing *Federal Register* publications by GPO, document containers' labels, archival inventories, finding aids, and administrative instructional materials.
- 25.1 Advisory and Assistance Services** - \$7,882,000. Provides analytical and technical support for the quality control and administration of the Archives II facility support contract. Also provides management and professional support services, including acquisition support, that advise, assist, and train staff to achieve efficient and effective management and operation of their responsibilities to carry out the mission of the agency.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

- 25.2 Other Services - \$22,508,000.** Various contractual services with non-Federal sources. Includes security (guard service) for the Presidential Libraries and Archives I and II, buildings operation and maintenance. The building supplies for the Presidential Libraries and Archives I and II through commercial contractors and the Federal Buildings Fund for recurring reimbursable services. Also, includes \$125,000 for the Records Management Leadership Role and \$2,000,000 for Archival Storage Space; offset by \$1,958,000 from program reductions and process improvements.
- 25.3 Purchases of Goods and Services from Government Accounts - \$23,770,000.** Includes payments to GSA for accounting and payroll services, to OPM for security checks and clearances, and the U.S. Public Health Service for basic occupational health center services. Other interagency agreements are also included. Also includes \$1,700,000 for additional Archival Storage Space and \$3,030,000 for St. Louis move and space needs.
- 25.3 Security Payments to DHS for Rental Space - \$585,000.** Provides for security payments to the Department of Homeland Security for rental space.
- 25.4 Operation and Maintenance of Facilities - \$37,535,000.** Provides facility program management, building systems operations and maintenance, housekeeping, supply support, transportation services, physical fitness centers as well as cafeteria operations at Archives I and II.
- 25.7 Operation and Maintenance of Equipment - \$21,435,000.** Provides for a contractor to operate the Government Owned Contractor Operated (GOCO) Data Center. The data center will provide operation and maintenance of data communications and administrative processing to support all NARA organizations. Provides for the operation and maintenance of other information technology systems and for the hire of passenger motor vehicles.
- 26.0 Supplies and Materials - \$3,472,000.** Provides program supplies, including cardboard document containers, records repair and encapsulation supplies, and exhibit supplies, administrative supplies and materials.
- 31.0 Equipment - \$10,813,000.** Provides for purchases of personal property of a durable nature, such as furniture and information technology hardware and software. Includes \$1,900,000 for the National Declassification Center; offset by a \$500,000 reduction for legacy system tool funding.
- 32.0 Land and Structures - \$485,000.** Provides for purchase and improvement of land and structures.
- 43.0 Interest and Dividends - \$28,971,000.** \$13,770,000 for interest payments to certificate holders and \$15,201,000 for the redemption of debt on the Archives II facility.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)**

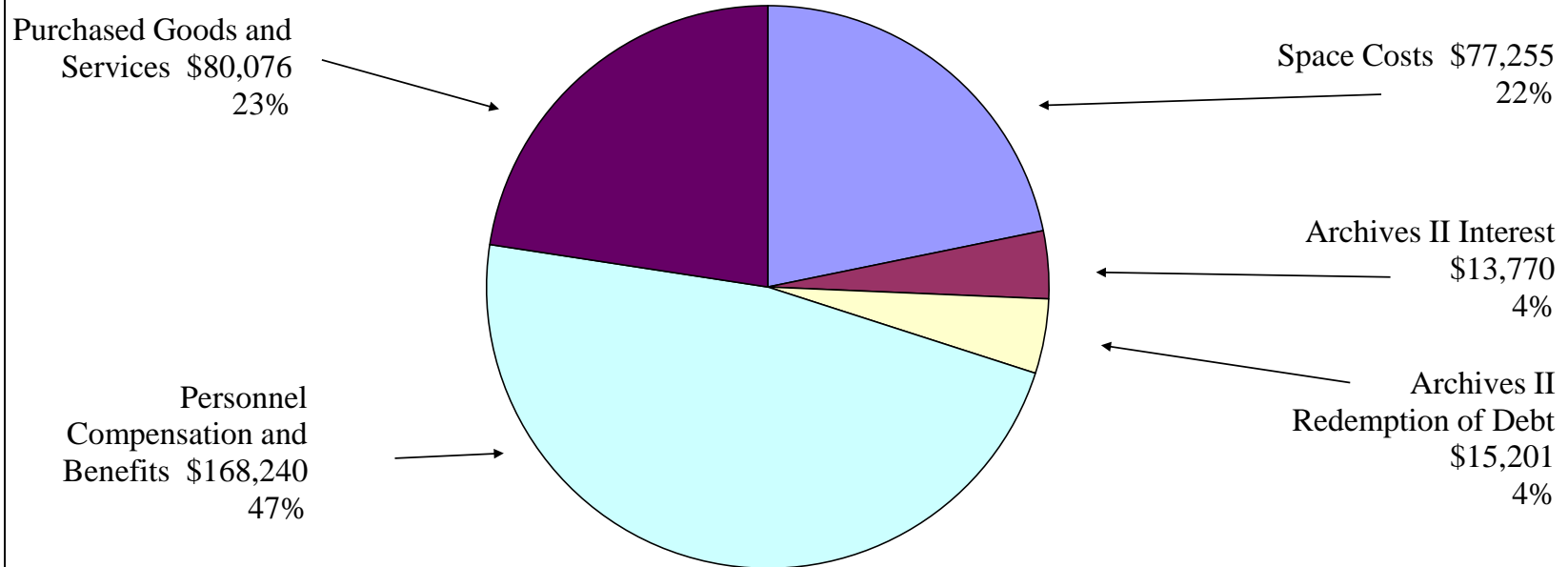
APPROPRIATION LANGUAGE

For necessary expenses in connection with the administration of the National Archives and Records Administration (including the Information Security Oversight Office) and archived Federal records and related activities, as provided by law, and for expenses necessary for the review and declassification of documents and the activities of the Public Interest Declassification Board, and for necessary expenses in connection with the operations and maintenance of the electronic records archives to include all direct project costs associated with research, program management, and corrective and adaptive software maintenance, and for the hire of passenger motor vehicles, and for uniforms or allowances therefor, as authorized by law (5 U.S.C. 5901 et seq.), including maintenance, repairs, and cleaning, \$403,742,000: Provided, That all remaining balances appropriated in prior fiscal years under the heading "Electronic Records Archives" shall be transferred to this account.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Space Costs as a Proportion of Direct Budget -- Operating Expenses
(dollars in thousands)

2012 Request \$354,542



| | 2010 Actual | 2011 Estimate | 2012 Request |
|--|-----------------|------------------|-----------------|
| Rental payments to GSA * | \$6,143 | \$5,896 | \$5,712 |
| Rental payments to Others | 3,479 | 3,478 | 3,415 |
| Security Payments to DHS for Rental Space ** | 752 | 662 | 585 |
| Operation and Maintenance Costs | 67,223 | 66,332 | 66,997 |
| Recurring Reimbursable | 546 | 546 | 546 |
| Total | \$78,143 | \$76,914 | \$77,255 |

* Excludes Rent Costs Paid from the Revolving Fund: 2010 - \$47.3 million, 2011 - \$51 million, 2012 - \$56.6 million

** Excludes Security Payments to DHS for Rental Space paid from the Revolving Fund: 2010 - \$6.2 million, 2011 - \$6.4 million, 2012 - \$6.6 million

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OFFICE OF INSPECTOR GENERAL**

ANALYSIS OF REQUESTED LEVEL FOR 2012
(dollars in thousands)

| | Amount |
|-------------------------------------|---------------|
| Fiscal Year 2011 CR Level | \$4,100 |
| Fiscal Year 2011 President's Budget | \$4,250 |
| Request for Fiscal Year 2012 | \$4,100 |
| Total Change, 2011 to 2012 | -\$150 |

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2012
(dollars in thousands)

| Activity | Obligations | | | | | | | | Increases or Decreases for 2012 | |
|-----------------------------|-------------|----------------|---------------|----------------|----------------------------|----------------|--------------|----------------|------------------------------------|---------------|
| | 2010 Actual | | 2011 CR Level | | 2011 President's Budget | | 2012 Request | | | |
| | FTE | Amount | FTE | Amount | FTE | Amount | FTE | Amount | FTE | Amount |
| Office of Inspector General | 20 | \$3,717 | 23 | \$4,100 | 24 | \$4,250 | 24 | \$4,100 | 0 | -\$150 |
| Total | 20 | \$3,717 | 23 | \$4,100 | 24 | \$4,250 | 24 | \$4,100 | 0 | -\$150 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OFFICE OF INSPECTOR GENERAL**

BACKGROUND

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

Mission

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

The Inspector General reports to both the Archivist of the United States and the Congress. This reporting system, as well as the OIG's independent role and general responsibilities, was established by the Inspector General Act of 1978, as amended. Recently the Inspector

General Reform Act of 2008 further defined the responsibilities and operations of the OIG. OIG funding supports the salary and benefits of staff and provides for necessary travel, training, contractual services, investigative equipment and supplies to support the OIG's mission.

Our investigations cover all aspects of agency operations at 45 facilities nationwide. Aside from traditional agency issues, NARA holds millions of cubic feet and an ever growing electronic repository of classified and highly sensitive records, including those of the 9/11 and Warren Commissions, our nation's military veterans' records, and Presidential records. NARA also holds the historic records of our democracy, as well as troves of priceless artifacts and Presidential gifts. Criminal investigations routinely encompass a broad range of criminal activity including theft of holdings and assets, embezzlement, espionage, release of classified information, ethics violations, the loss of personally identifiable information (PII), compromise of our IT network, sensitive compartmental information facility (SCIF) violations, and procurement fraud and inappropriate conduct of rank-and-file staff, as well as senior NARA officials.

OIG auditors must review and evaluate the programs of an agency with approximately 3,000 FTE with multi-million dollar programs and operations. Currently, our capacity to provide the necessary coverage is limited by our staffing constraints. Because of this, programs which could demand an entire team of auditors in other federal entities are routinely left in the hands of a single auditor at NARA. Responsible NARA stewardship over records from creation throughout the entire life-cycle brings economy and efficiency to government and supports transparency and accountability for our democracy.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OFFICE OF INSPECTOR GENERAL**

Training

The OIG plans to spend approximately \$60,000 for staff training in FY 2012. Of this amount \$30,000 will be spent on auditor training. The GAO recommends all auditors receive at least 80 hours of training every two years. Auditors will engage in the following training: contract and grant auditing, performance management, fraud auditing, and information technology training such as Information Technology security, project management and network and applications management. Additionally, the remaining approximately 50 percent of the total training funds will be spent on investigator training and training for the remaining staff. Like our auditors, our special agents receive annual law enforcement training as recommended by best practices of the Inspector General Community. Special agents will engage in the following training: firearms and self-defense, legal training, forensics for investigations, and procurement and white collar fraud training. The management, legal and administrative staffs, also requires periodic training to remain proficient and effective at their jobs.

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

Under the Inspector General Reform Act of 2008, agencies are expected to provide support to the newly formed Council of the Inspectors General on Integrity and Efficiency (CIGIE). It is anticipated that NARA's CIGIE contribution will be approximately \$6,000.

Justification of Program Decrease

In FY 2012, the Budget request for \$4,100,000 includes a \$150,000 reduction from FY 2011 budget level. These resources will not provide for inflationary increases, but will enable the OIG to continue its mission to conduct audits and criminal investigations of NARA programs.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OFFICE OF INSPECTOR GENERAL**

OIG Performance Costs

(dollars in thousands)

| <u>Goals and Activities</u> | <u>2010 Actual</u> | <u>2011 Estimate</u> | <u>2012 Request</u> | <u>Change from 2011</u> |
|--|------------------------|--------------------------|-------------------------|-----------------------------|
| As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records. | | | | |
| We will preserve and process records to ensure access by the public as soon as legally possible. | | | | |
| We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era. | | | | |
| We will provide prompt, easy, and secure access to our holding anywhere, anytime. | | | | |
| We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs. | | | | |
| We will equip NARA to meet the changing needs of our customers. | \$3,717 | \$4,250 | \$4,100 | -\$150 |
| Total Performance Costs | \$3,717 | \$4,250 | \$4,100 | -\$150 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OFFICE OF INSPECTOR GENERAL**

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

| Object Classification | 2010 Actual | 2011 CR Level | 2011 President's Budget | 2012 Request |
|---|----------------|------------------|-------------------------------|-----------------|
| 11.1 Full-Time Permanent | \$2,353 | \$2,622 | \$2,729 | \$2,622 |
| 11.5 Other Personnel Compensation | 163 | 188 | 196 | 188 |
| 11.9 Total Personnel Compensation | 2,516 | 2,810 | 2,925 | 2,810 |
| 12.1 Personnel Benefits | 763 | 850 | 885 | 850 |
| 21.0 Travel and Transportation of Persons | 34 | 40 | 40 | 40 |
| 23.3 Communications, Utilities, & Miscellaneous Charges | 8 | 8 | 8 | 8 |
| 24.0 Printing and Reproduction | 2 | 2 | 2 | 2 |
| 25.1 Advisory and Assistance Services | 47 | 50 | 50 | 50 |
| 25.2 Other Services | 212 | 225 | 225 | 225 |
| 25.3 Purchases of Goods and Services from Government Accounts | 37 | 40 | 40 | 40 |
| 25.7 Operation and Maintenance of Equipment | 15 | 20 | 20 | 20 |
| 26.0 Supplies and Materials | 12 | 20 | 20 | 20 |
| 31.0 Equipment | 71 | 35 | 35 | 35 |
| Total Request | \$3,717 | \$4,100 | \$4,250 | \$4,100 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OFFICE OF INSPECTOR GENERAL**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

- | | |
|---|--|
| <p>11.0 Personnel Compensation - \$2,810,000. For 24 FTE and reflects a \$115,000 decrease.</p> <p>12.0 Personnel Benefits - \$850,000. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; FICA and Medicare hospital insurance. Reflects a \$35,000 decrease.</p> <p>21.0 Travel and Transportation of Persons - \$40,000. Provides for travel required to conduct activities of the OIG, including inspection and oversight of field activities.</p> <p>23.3 Communications, Utilities, & Miscellaneous Charges - \$8,000. Provides for copier lease.</p> <p>24.0 Printing and Reproduction - \$2,000. Provides for printing by GPO for reports, administrative and investigative material.</p> <p>25.1 Advisory and Assistance Services - \$50,000. Provides management and professional support services that advise, assist, and train staff to achieve efficient and effective management and operation of their responsibilities to carryout the mission of the agency.</p> | <p>25.2 Other Services - \$225,000. Provides for various contractual services, including training, with non-Federal sources.</p> <p>25.3 Purchases of Goods and Services from Government Accounts - \$40,000. Includes payments to OPM for security checks and clearances, training, and other interagency agreement costs.</p> <p>25.7 Operation and Maintenance of Equipment - \$20,000. Includes costs associated with the operations and maintenance of vehicles.</p> <p>26.0 Supplies and Materials - \$20,000. Provides program and administrative supplies and materials.</p> <p>31.0 Equipment - \$35,000. Provides for software licensing and other personal property of a durable nature.</p> |
|---|--|

APPROPRIATION LANGUAGE

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

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ELECTRONIC RECORDS ARCHIVES**

ANALYSIS OF REQUESTED LEVEL FOR 2012
(dollars in thousands)

| | FTE | Amount |
|-------------------------------------|------------|------------------|
| Fiscal Year 2011 CR Level | 49 | \$85,500 |
| Fiscal Year 2011 President's Budget | 49 | \$85,500 |
| Request for Fiscal Year 2012 | 35 | \$49,200 |
| Total Change, 2011 to 2012 | -14 | -\$36,300 |

DIGEST OF BUDGET ESTIMATES FOR 2012
(dollars in thousands)

| Activity | Obligations | | | | | | | | Increases or Decreases for 2012 | |
|-----------------------------|-------------|-----------------|---------------|-----------------|-------------------------|-----------------|--------------|-----------------|---------------------------------|------------------|
| | 2010 Actual | | 2011 CR Level | | 2011 President's Budget | | 2012 Request | | | |
| | FTE | Amount | FTE | Amount | FTE | Amount | FTE | Amount | FTE | Amount |
| Electronic Records Archives | 51 | \$67,162 | 49 | \$85,500 | 49 | \$85,500 | 35 | \$49,200 | -14 | -\$36,300 |
| Total | 51 | \$67,162 | 49 | \$85,500 | 49 | \$85,500 | 35 | \$49,200 | -14 | -\$36,300 |

Note: For FY 2012, the separate ERA appropriation will end, and ERA will be combined with Operating Expenses. It is shown here for ease of review purposes only.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ELECTRONIC RECORDS ARCHIVES**

BACKGROUND

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

1. Operations and Maintenance of the Electronic Records Archives System – The Electronic Records Archives system provides the technological infrastructure necessary to automate NARA's processes for government-wide management of records, and enable NARA to preserve and provide sustained access to electronic records of the Federal Government in the National Archives and Presidential Libraries. The ERA system manages the lifecycle of electronic records from their ingestion into the system through preservation and dissemination to customers. The ERA system facilitates the transfer of permanent electronic records to NARA from Federal agencies, Congress, and the Executive Office of the President. The system supports access to those records by the originating organizations and the public in formats suited to their needs. The ERA system is a change agent, enabling the transformation of NARA. It is the major means through which NARA implements its target Enterprise Architecture.

The FY 2012 request will be used to support the management of the data center resources at Allegany Ballistics Laboratory in Rocket Center, West Virginia, support renewal of hardware and software maintenance agreements, and provide support for corrective and adaptive software maintenance. This request includes support for networking, storage, records ingest, IT security, backup and recovery and help desk functions of ERA.

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

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ELECTRONIC RECORDS ARCHIVES**

Electronic Records Archives Performance Costs

(dollars in thousands)

| <u>Goals and Activities</u> | <u>2010 Actual</u> | <u>2011 Estimate</u> | <u>2012 Request</u> | <u>Change from 2011</u> |
|--|------------------------|--------------------------|-------------------------|-----------------------------|
| As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records. | - | - | - | \$0 |
| We will preserve and process records to ensure access by the public as soon as legally possible. | - | - | - | \$0 |
| We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era. | \$67,162 | \$85,500 | \$49,200 | -\$36,300 |
| We will provide prompt, easy, and secure access to our holding anywhere, anytime. | - | - | - | \$0 |
| We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs. | - | - | - | \$0 |
| We will equip NARA to meet the changing needs of our customers. | - | - | - | \$0 |
| Total Performance Costs | \$67,162 | \$85,500 | \$49,200 | -\$36,300 |

EXPLANATION OF CHANGES, 2011 VERSUS 2012

Program Changes. The budget request for FY 2012 is significantly reduced to reflect the program's changed focus to Operations and Maintenance (O&M). ERA will be incorporated back into NARA's Operating Expenses appropriation.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ELECTRONIC RECORDS ARCHIVES**

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

| Object Classification | | 2010 Actual | 2011 CR Level | 2011 President's Budget | 2012 Request |
|-----------------------|--|-----------------|-----------------|-------------------------|-----------------|
| 11.1 | Full-Time Permanent | \$5,159 | \$6,173 | \$6,173 | \$4,477 |
| 11.3 | Other than Full-Time Permanent | 241 | 179 | 179 | 69 |
| 11.5 | Other Personnel Compensation | 150 | 237 | 237 | 217 |
| 11.9 | Total Personnel Compensation | 5,550 | 6,589 | 6,589 | 4,763 |
| 12.1 | Personnel Benefits | 1,406 | 1,728 | 1,728 | 1,254 |
| 21.0 | Travel and Transportation of Persons | 114 | 150 | 150 | 150 |
| 22.0 | Transportation of Things | 3 | 3 | 3 | 3 |
| 23.3 | Communications, Utilities and Misc. Charges | 18 | 7 | 7 | 7 |
| 24.0 | Printing and Reproduction | 1 | 1 | 1 | 1 |
| 25.1 | Advisory and Assistance Services | 1,961 | 1,924 | 1,924 | 90 |
| 25.2 | Other Services | 292 | 531 | 531 | 340 |
| 25.3 | Purchases of Goods & Services from Government Accounts | 31 | 335 | 335 | 45 |
| 25.4 | Operation & Maintenance of Facilities | 1,325 | 1,486 | 1,486 | 1,530 |
| 25.5 | Research and Development Contracts | 4,544 | 4,500 | 4,500 | 2,500 |
| 25.7 | Operation & Maintenance of Equipment | 4,439 | 8,417 | 8,417 | 8,692 |
| 26.0 | Supplies and Materials | 52 | 80 | 80 | 86 |
| 31.0 | Equipment | 46,315 | 59,749 | 59,749 | 29,739 |
| 32.0 | Land and Structures | 1,111 | - | - | - |
| Total Request | | \$67,162 | \$85,500 | \$85,500 | \$49,200 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ELECTRONIC RECORDS ARCHIVES**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

- 11.0 Personnel Compensation** - \$4,763,000. For 35 FTE.
- 12.0 Personnel Benefits** - \$1,254,000. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; FICA and Medicare hospital insurance; accident compensation; and moving allowances.
- 21.0 Travel and Transportation of Persons** - \$150,000. Provides for travel required to conduct activities of ERA, including oversight of field activities.
- 22.0 Transportation of Things** - \$3,000. Provides for postage charges for shipment of tapes.
- 23.3 Communications, Utilities and Miscellaneous Charges** - \$7,000. Includes equipment rental and data, voice, and wireless communication services.
- 24.0 Printing and Reproduction** - \$1,000. Provides for printing of ERA materials, administrative materials, and reports.
- 25.1 Advisory and Assistance Services** - \$90,000. Provides for contractual services associated with program management support, engineering studies, and technical support during the major acquisition of the ERA system.
- 25.2 Other Services** - \$340,000. Provides for various contractual services associated with program management support, with non-Federal sources.
- 25.3 Purchases of Goods and Services from Government Accounts** - \$45,000. Includes payments to OPM for security checks and clearances, as well as other interagency agreement costs.
- 25.4 Operation and Maintenance of Facilities** - \$1,530,000. Provides facility program management, building systems operations and maintenance, housekeeping, and security for the ERA operational facilities.
- 25.1 Research and Development Contracts** - \$2,500,000. Includes contract funding to conduct basic and applied research focused on the interfacing with systems for the transfer of electronic records and transformation of electronic records into formats that protect their authenticity and reliability.
- 25.7 Operation and Maintenance of Equipment** - \$8,692,000. Includes costs associated with the operations and maintenance of other IT systems.
- 26.0 Supplies and Materials** - \$86,000. Provides program and administrative supplies and materials.
- 31.0 Equipment** - \$29,739,000. Provides for the contract funding for the deployment of the ERA system, including testing, hardware, software, and related services and licenses.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REPAIRS AND RESTORATION**

ANALYSIS OF REQUESTED LEVEL FOR 2012
(dollars in thousands)

| | Amount |
|-------------------------------------|-----------------|
| Fiscal Year 2011 CR Level | \$27,500 |
| Fiscal Year 2011 President's Budget | \$11,848 |
| Request for Fiscal Year 2012 | \$9,659 |
| Total Change, 2011 to 2012 | -\$2,189 |

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2012
(dollars in thousands)

| Activity | 2010 Actual | 2011 CR Level | 2011 President's Budget | 2012 Request | Increases or Decreases for 2012 |
|---|-----------------|-----------------|-------------------------|----------------|---------------------------------|
| | Amount | Amount | Amount | Amount | Amount |
| REPAIRS AND RESTORATION FUND: Archives Facilities and Presidential Libraries | \$45,081 | \$27,500 | \$11,848 | \$9,659 | -\$2,189 |
| Total Repairs and Restoration | \$45,081 | \$27,500 | \$11,848 | \$9,659 | -\$2,189 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REPAIRS AND RESTORATION**

BACKGROUND

In the fiscal year 1996 Treasury, Postal Service, and General Government Appropriations Act, Congress provided a separate account for the repairs and restoration of Archives facilities and Presidential Libraries, which will remain available until expended. The purpose of this account is to provide ongoing funds specifically for the repairs, alteration, and improvement of Archives facilities and Presidential Libraries nationwide. It will better enable the National Archives and Records Administration (NARA) to maintain its facilities in proper condition for public visitors, researchers, and employees in NARA facilities, and also maintain the structural integrity of the buildings.

JUSTIFICATION OF REQUESTED INCREASES

For FY 2012, the Budget requests \$10,000,000 in the Repairs and Restoration account base. The funding comes from \$9,659,000 in base funding and the removal of restricted language on \$341,000 for a requirements study for a facility to either permanently or temporarily replace the existing Military Personnel Records Center.

The ongoing repairs and restoration program allows NARA to plan effectively for the systematic repair and restoration of the Presidential Libraries, the National Archives Building, Archives II, and the Southeast Regional Archives, buildings that NARA is responsible for operating and maintaining.

For FY 2012, the Budget requests \$6,000,000 to implement the top priority in NARA's Capital Improvements Plan, which is the National Archives Experience Phase II. NARA proposes funding this project by rescinding \$6,000,000 from the JFK Library Construction Project.

A more detailed justification is contained in the Justification of Requested Increases section of this budget, pages I-18 through I-20.

APPROPRIATION LANGUAGE

For the repair, alteration, and improvement of archives facilities, and to provide adequate storage for holdings, \$9,659,000, to remain available until expended: Provided, That from amounts made available for the Military Personnel Records Center requirement study under this heading in Public Law 108-199, the remaining unobligated balances shall be available to implement the National Archives and Records Administration Capital Improvement Plan: Provided further, That from amounts made available under this heading in Public Law 111-8 for construction costs and related services for building the addition to the John F. Kennedy Presidential Library and Museum and other necessary expenses, including renovating the Library as needed in constructing the addition, the remaining unobligated balances shall be available to implement the National Archives and Records Administration Capital Improvement Plan.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REPAIRS AND RESTORATION**

Repairs and Restoration Performance Costs

(dollars in thousands)

EXPLANATION OF CHANGES, 2011 VERSUS 2012

The budget request reflects a net decrease of \$2,189,000 from the FY 2011 President's Budget. This includes a reduction of \$5,000,000 for initial funding of the National Archives Experience Phase II project, an increase of \$3,152,000 to restore the base R&R program to \$10,000,000, and a decrease of \$341,000, which is offset by removing the restriction on funding remaining from the St. Louis requirements study. For FY 2012, the Budget requests \$6,000,000 to implement the top priority in NARA's Capital Improvements Plan, which is the National Archives Experience Phase II. NARA proposes funding this project by rescinding \$6,000,000 from the JFK Library Construction Project.

| <u>Goals and Activities</u> | <u>2010 Actual</u> | <u>2011 Estimate</u> | <u>2012 Request</u> | <u>Change from 2011</u> |
|--|------------------------|--------------------------|-------------------------|-----------------------------|
| As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records. | - | - | - | \$0 |
| We will preserve and process records to ensure access by the public as soon as legally possible. | \$45,081 | \$11,848 | \$9,659 | -\$2,189 |
| We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era. | - | - | - | \$0 |
| We will provide prompt, easy, and secure access to our holding anywhere, anytime. | - | - | - | \$0 |
| We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs. | - | - | - | \$0 |
| We will equip NARA to meet the changing needs of our customers. | - | - | - | \$0 |
| Total Performance Costs | \$45,081 | \$11,848 | \$9,659 | -\$2,189 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REPAIRS AND RESTORATION**

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

| Object Classification | 2010 Actual | 2011 CR Level | 2011 President's Budget | 2012 Request |
|--|-----------------|------------------|-------------------------------|-----------------|
| 24.0 Printing and Reproduction | \$59 | - | - | - |
| 25.1 Advisory and Assistance Services | 295 | - | - | - |
| 25.2 Other Services | 164 | - | - | - |
| 25.4 Operation & Maintenance of Facilities | 1,584 | - | - | - |
| 26.0 Supplies | 20 | - | - | - |
| 31.0 Equipment | 1,324 | - | - | - |
| 32.0 Land and Structures | 41,635 | \$27,500 | \$11,848 | \$9,659 |
| Total | \$45,081 | \$27,500 | \$11,848 | \$9,659 |

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

32.0 Land and Structures - \$9,659,000. Provides for the ongoing repairs and restoration program.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GRANTS**

ANALYSIS OF REQUESTED LEVEL FOR 2012
(dollars in thousands)

| | Amount |
|-------------------------------------|-----------------|
| Fiscal Year 2011 CR Level | \$13,000 |
| Fiscal Year 2011 President's Budget | \$10,000 |
| Request for Fiscal Year 2012 | \$5,000 |
| Total Change, 2011 to 2012 | -\$5,000 |

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2012
(dollars in thousands)

| Activity | 2010 Actual | 2011 CR Level | 2011 President's Budget | 2012 Request | Increases or Decreases for 2012 |
|--|----------------|-----------------|-------------------------------|----------------|---------------------------------------|
| | Amount | Amount | Amount | Amount | Amount |
| National Historical Publications and Records Commission: | | | | | |
| Grants | \$9,711 | \$13,000 | \$10,000 | \$5,000 | -\$5,000 |
| Total Grants | \$9,711 | \$13,000 | \$10,000 | \$5,000 | -\$5,000 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GRANTS**

BACKGROUND

Mission

The mission of the National Historical Publications and Records Commission (NHPRC), as outlined in 44 U.S.C. 2504, is to encourage the collection, preservation, editing, and publication of the papers of “outstanding citizens of the United States, and other documents as may be important for an understanding and appreciation of the history of the United States.”

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

Authorization

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

Current Request

Promote Preservation and Use of the Nation’s Historical Records

For FY 2012, the Budget requests \$5,000,000 to support ongoing National Historical Publications and Records Commission initiatives.

A Heritage Preservation, Inc. study (2006) estimated that there are more than 14,000 historical record repositories in the United States. These facilities serve as the nation’s memory and its archival infrastructure, spanning every state and territory. The members of this archival network serve as active stewards for approximately 44 million linear feet of historical records and 700 million historic photographs. The number grows exponentially with the addition of such special format materials as audio recordings, maps, architectural drawings, and films.

A large percentage of the materials held at these repositories require a significant investment in their preservation, cataloging, and description to facilitate their public use and to ensure their long-term viability. As the only grant-making entity, public or private, whose exclusive mission is to promote the preservation of and access to the nation’s historical records, the NHPRC is well positioned to assist in meeting this critical challenge.

Funding will enable the NHPRC to maintain essential support for a select number of grant programs and initiatives to publish, preserve, and make accessible important historical documents. With reduced funding, the NHPRC will decrease the number of grants awarded as well as the types of awards made.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GRANTS**

APPROPRIATION LANGUAGE

For necessary expenses for allocations and grants for historical publications and records as authorized by 44 U.S.C. 2504, \$5,000,000, to remain available until expended.

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

| Object Classification | 2010 Actual | 2011 CR Level | 2011 President's Budget | 2012 Request |
|--|----------------|-----------------|-------------------------------|----------------|
| 41.0 Grants, Subsidies and Contributions | \$9,711 | \$13,000 | \$10,000 | \$5,000 |
| Total | \$9,711 | \$13,000 | \$10,000 | \$5,000 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GRANTS**

NHPRC Grants Performance Costs

(dollars in thousands)

| <u>Goals and Activities</u> | <u>2010 Actual</u> | <u>2011 Estimate</u> | <u>2012 Request</u> | <u>Change from 2011</u> |
|--|------------------------|--------------------------|-------------------------|-----------------------------|
| As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records. | - | - | - | \$0 |
| We will preserve and process records to ensure access by the public as soon as legally possible. | - | - | - | \$0 |
| We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era. | - | - | - | \$0 |
| We will provide prompt, easy, and secure access to our holding anywhere, anytime. | - | - | - | \$0 |
| We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs. | \$9,711 | \$10,000 | \$5,000 | -\$5,000 |
| We will equip NARA to meet the changing needs of our customers. | - | - | - | \$0 |
| Total Performance Costs | \$9,711 | \$10,000 | \$5,000 | -\$5,000 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ADVANCES AND REIMBURSEMENTS**

ANALYSIS OF REQUESTED LEVEL FOR 2012
(dollars in thousands)

| | <u>FTE</u> | <u>Amount</u> |
|-------------------------------------|------------|---------------|
| 2011 Level of Reimbursable Services | 46 | \$2,138 |
| 2012 Level of Reimbursable Services | 46 | \$2,213 |
| Change from 2011 to 2012 | 0 | \$75 |

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2012
(dollars in thousands)

| Activity | Summary | | | | | | Increase/Decrease for 2012 | |
|---------------------------|-------------|----------------|---------------|----------------|---------------|----------------|-------------------------------|-------------|
| | 2010 Actual | | 2011 Estimate | | 2012 Estimate | | | |
| | FTE | Amount | FTE | Amount | FTE | Amount | FTE | Amount |
| Records Services | 39 | \$2,159 | 46 | \$2,138 | 46 | \$2,213 | 0 | \$75 |
| Archives Related Services | - | 2 | - | 0 | - | 0 | - | 0 |
| Total Obligations | 39 | \$2,161 | 46 | \$2,138 | 46 | \$2,213 | 0 | \$75 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ADVANCES AND REIMBURSEMENTS**

OVERVIEW OF NARA REIMBURSABLE PROGRAMS

Beginning in 2000, the National Archives and Records Administration (NARA) established a working capital fund. The working capital fund is available for the expenses and equipment necessary to provide for accessioning, reference, refiling, storage, servicing, preservation, disposal, and related services for all temporary and pre-archival Federal records to be stored or currently stored at Federal national and regional records services centers by Federal agencies and other instrumentalities of the Federal Government. (See the Revolving Fund section of this overall Agency budget request.)

Records Services includes the reimbursable activity at thirteen (13) regional archives facilities, NARA's Central Office archives facilities, and select participating Presidential Libraries. Services provided include specialized training and workshops on archiving potentially permanent Federal records, and reimbursable services provided to agencies for special projects. Also, declassification services are offered, providing records review prior to their accessioning into NARA.

Advances and Reimbursements Performance Costs

(dollars in thousands)

| <u>Goals and Activities</u> | <u>2010 Actual</u> | <u>2011 Estimate</u> | <u>2012 Estimate</u> | <u>Change from 2011</u> |
|--|------------------------|--------------------------|--------------------------|-----------------------------|
| As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records. | - | - | - | \$0 |
| We will preserve and process records to ensure access by the public as soon as legally possible. | - | - | - | \$0 |
| We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era. | - | - | - | \$0 |
| We will provide prompt, easy, and secure access to our holding anywhere, anytime. | \$2,161 | \$2,138 | \$2,213 | \$75 |
| We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs. | - | - | - | \$0 |
| We will equip NARA to meet the changing needs of our customers. | - | - | - | \$0 |
| Total Performance Costs | \$2,161 | \$2,138 | \$2,213 | \$75 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ADVANCES AND REIMBURSEMENTS**

SUMMARY EXPLANATION OF CHANGES FROM 2011 TO 2012
(dollars in thousands)

| Activity | Records Services | | Archives Related | | Total | |
|--------------------------------------|------------------|-------------|------------------|------------|----------|-------------|
| | FTE | Amount | FTE | Amount | FTE | Amount |
| Increased Cost of Goods and Services | - | \$10 | - | \$0 | - | \$10 |
| Increased Personnel Costs | - | 65 | - | 0 | - | 65 |
| Total Changes, 2011 to 2012 | 0 | \$75 | 0 | \$0 | 0 | \$75 |

EXPLANATION OF CHANGES, 2011 VERSUS 2012

The reimbursable program for 2012 is estimated at \$2,213,000, an increase of \$75,000 from the 2011 reimbursable program. Changes include an increase of \$65,000 for personnel and benefits costs and an increase of \$10,000 in the cost of other goods and services.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ADVANCES AND REIMBURSEMENTS**

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

| Object Classification | 2010 Actual | 2011 Estimate | 2012 Estimate |
|--|----------------|----------------|----------------|
| 11.1 Full-time Permanent | \$1,428 | \$1,289 | \$1,329 |
| 11.3 Other than Full-time Permanent | 307 | 332 | 343 |
| 11.9 Total Personnel Compensation | 1,735 | 1,621 | 1,672 |
| 12.1 Personnel Benefits | 351 | 438 | 452 |
| 21.0 Travel / Transportation of Persons | 2 | 7 | 9 |
| 26.0 Supplies and Materials | 73 | 72 | 80 |
| 99.0 Total Obligations | \$2,161 | \$2,138 | \$2,213 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ADVANCES AND REIMBURSEMENTS**

EXPLANATION OF DISTRIBUTION OF OBJECT CLASS

11.0 Personnel Compensation - \$1,672,000. For 46 FTE.

12.0 Personnel Benefits - \$452,000. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; and FICA and Medicare hospital insurance.

21.0 Travel and Transportation of Persons - \$9,000. Provides for travel required for administration of reimbursable programs and technical assistance projects.

26.0 Supplies and Materials - \$80,000. Includes program and administrative supplies and materials.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REVOLVING FUND**

INCOME/COST COMPARISON SUMMARY FOR 2012
(dollars in thousands)

| | 2010 Actual | 2011 Estimate | 2012 Estimate |
|--|----------------|---------------|---------------|
| Income/Cost Comparison - Summary: | | | |
| Operating Income | \$170,836 | \$181,300 | \$184,000 |
| Operating Expense | 165,370 | 180,800 | 183,500 |
| Net Profit or Loss (-) | \$5,466 | \$500 | \$500 |

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2012
(dollars in thousands)

| Activity | Summary | | | | | | Increases or Decreases for 2012 | |
|--|--------------|------------------|---------------|------------------|---------------|------------------|---------------------------------|----------------|
| | 2010 Actual | | 2011 Estimate | | 2012 Estimate | | FTE | Amount |
| | FTE | Amount | FTE | Amount | FTE | Amount | | |
| Accession, Reference, Refile, and Disposal Service | 1,374 | \$111,472 | 1,437 | \$110,760 | 1,437 | \$115,871 | 0 | \$5,111 |
| Storage Services | 15 | 65,722 | 15 | 65,303 | 15 | 66,741 | 0 | 1,438 |
| Total Obligations | 1,389 | \$177,194 | 1,452 | \$176,063 | 1,452 | \$182,612 | 0 | \$6,549 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REVOLVING FUND**

OVERVIEW OF NARA REVOLVING FUND PROGRAMS

NARA takes care of some two million cubic feet of *archival* records in our legal and physical custody. Funding for these records comes from the direct operating expenses appropriation. But in our Federal Records Center Program facilities, we store more than ten times as many temporary and pre-archival records that belong to other Federal agencies. NARA's Federal Records Center Program operates as a revolving fund.

The revolving fund allows NARA to utilize in its operations any receipts that are generated by the activities of the fund. In addition, costs are distributed fairly and at savings to the government. It also improves services to individual agencies by providing more space to meet agency demands, providing better quality space where appropriate, and improving transfer, reference, refile, disposal, and other services for records stored in records service centers.

Regional records services facilities maintain low cost storage to which Federal agencies retire certain noncurrent records for specified periods. For such records, the regional records services facilities provide reference services on nearly 27.5 million cubic feet of records in NARA's custody. These services include loan or return of records to the agency of origin; preparation of authenticated

reproductions of documents; and provision of information from records. The National Personnel Records Center alone provides for the maintenance and reference service on over 140 million military and civilian personnel records. The facilities also dispose of records of transitory value and transfer into archival custody those that of enduring value. The facilities also offer to Federal agencies in the regions technical assistance workshops and advice on records creation, maintenance, storage, disposition, and vital records.

AUTHORIZING LANGUAGE

Under the provisions of 44 USC § 2901 note (Public Law 106-58), the National Archives and Records Administration implemented a Revolving Fund for the storage and servicing of Federal records at all NARA records centers. As of October 1, 1999, the NARA records center program operates on a full cost recovery basis by charging user fees to other agencies.

The NARA Records Center Revolving Fund utilizes operations effectively by providing services on a fee for service basis to Federal agency customers by maintaining low cost, quality storage and transfer, reference, refile, and disposal services for records stored in service centers.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REVOLVING FUND**

Revolving Fund Performance Costs

(dollars in thousands)

EXPLANATION OF CHANGES, 2011 VERSUS 2012

Total obligations for FY 2012 are estimated at \$182,612,000. This represents an increase of \$6,549,000 from FY 2011. This includes increases of \$376,000 associated with personnel and benefits; \$5,818,000 for rent and security rate changes at federal and non-federal facilities and \$355,000 for the cost of other goods and services.

| <u>Goals and Activities</u> | <u>2010 Actual</u> | <u>2011 Estimate</u> | <u>2012 Estimate</u> | <u>Change from 2011</u> |
|--|------------------------|--------------------------|--------------------------|-----------------------------|
| 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. | \$177,194 | \$176,063 | \$182,612 | \$6,549 |
| We will preserve and process records to ensure access by the public as soon as legally possible. | - | - | - | \$0 |
| We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era. | - | - | - | \$0 |
| We will provide prompt, easy, and secure access to our holding anywhere, anytime. | - | - | - | \$0 |
| We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education and grants programs. | - | - | - | \$0 |
| We will equip NARA to meet the changing needs of our customers. | - | - | - | \$0 |
| Total Performance Costs | <u>\$177,194</u> | <u>\$176,063</u> | <u>\$182,612</u> | <u>\$6,549</u> |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REVOLVING FUND**

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS

(dollars in thousands)

| Object Classification | 2010 Actual | 2011 Estimate | 2012 Estimate |
|---|------------------|------------------|------------------|
| 11.1 Full-time Permanent | \$50,256 | \$47,521 | \$47,758 |
| 11.3 Other than Full-time Permanent | 9,019 | 8,891 | 8,935 |
| 11.5 Other Personnel Compensation | 3,852 | 3,065 | 3,081 |
| 11.8 Reemployed Annuitants | 13 | 13 | 13 |
| 11.9 Total Personnel Compensation | 63,140 | 59,490 | 59,787 |
| 12.1 Civilian Personnel Benefits | 16,698 | 15,759 | 15,838 |
| 13.0 Benefits for Former Personnel | 224 | 167 | 167 |
| 21.0 Travel and Transportation of Persons | 815 | 938 | 943 |
| 22.0 Transportation of Things | 1,379 | 1,180 | 1,186 |
| 23.1 Rental Payments to GSA | 37,078 | 40,737 | 46,319 |
| 23.2 Rental Payments to Other | 10,220 | 10,294 | 10,294 |
| 23.3 Communications, Utilities, and Misc. Charges | 4,844 | 3,934 | 3,954 |
| 24.0 Printing and Reproduction | 55 | 74 | 74 |
| 25.1 Advisory and Assistance Services | 3,891 | 3,765 | 3,784 |
| 25.2 Other Services | 2,378 | 1,647 | 1,656 |
| 25.3 Purchases of Goods and Services from Government Accounts | 6,747 | 7,685 | 7,724 |
| 25.3 Security Payments to DHS for Rental Space | 6,207 | 6,362 | 6,598 |
| 25.4 Operations and Maintenance of Facilities | 545 | 470 | 510 |
| 25.7 Operations and Maintenance of Equipment | 8,734 | 10,046 | 10,097 |
| 26.0 Supplies and Materials | 1,655 | 1,551 | 1,559 |
| 31.0 Equipment | 10,880 | 9,323 | 9,470 |
| 32.0 Land and Structures | 1,704 | 2,551 | 2,562 |
| 43.0 Interest and Dividends | 0 | 90 | 90 |
| 99.0 Total Obligations | \$177,194 | \$176,063 | \$182,612 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REVOLVING FUND**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

- 11.0 Personnel Compensation** - \$59,787,000. For 1,452 FTE.
- 12.0 Personnel Benefits** - \$15,838,000. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; and FICA and Medicare hospital insurance.
- 13.0 Benefits for Former Personnel** - \$167,000. Provides for unemployment compensation payments to former Federal employees.
- 21.0 Travel and Transportation of Persons** - \$943,000. Provides for travel required for administration of revolving fund programs and technical assistance projects.
- 22.0 Transportation of Things** - \$1,186,000. Accessioning and transfer of records, supplies, and equipment by commercial carrier.
- 23.1 Rental Payments to GSA** - \$46,319,000. Provides for payments to the General Services Administration, Federal Building Fund for rental space.
- 23.2 Rental Payments to Other** - \$10,294,000. Provides for payments to a non-Federal source for rental space.
- 23.3 Communications, Utilities, and Misc. Charges** - \$3,954,000. Provides for equipment rental, overnight delivery charges, and utility costs.
- 24.0 Printing and Reproduction** - \$74,000. Includes reproduction of records, printing costs for technical assistance reports, and electrostatic copying.
- 25.1 Advisory and Assistance Services** - \$3,784,000. Provides for commercial contractual services, such as management and professional support services, and engineering and technical services.
- 25.2 Other Services** - \$1,656,000. Provides for commercial contractual services, such as training and ADP equipment maintenance.
- 25.3 Purchases of Goods and Services from Government Accounts** - \$7,724,000. Includes payments to GSA for accounting and payroll services, to OPM for security checks and clearances, and the U.S. Public Health Service for basic occupational health center services.
- 25.3 Security Payments to DHS for Rental Space** - \$6,598,000. Provides for security payments to the Department of Homeland Security for rental space.
- 25.4 Operation and Maintenance of Facilities** - \$510,000. Provides facility program management, buildings systems operations and maintenance, and housekeeping.
- 25.7 Operation and Maintenance of Equipment** - \$10,097,000. Includes funding for contractors to provide operation and maintenance of data communications and administrative processing to support the organizations. Also includes maintenance and fuel costs for motor vehicles managed through GSA.
- 26.0 Supplies and Materials** - \$1,559,000. Includes program and administrative supplies and materials.
- 31.0 Equipment** - \$9,470,000. Includes information technology equipment in records services centers applicable to the revolving fund program.
- 32.0 Land and Structures** - \$2,562,000. Includes purchase of shelving applicable to the revolving fund program.
- 43.0 Interest and Dividends** - \$90,000. Includes interest on payroll adjustments applicable to the revolving fund program.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GIFT FUND**

ANALYSIS OF ESTIMATED LEVEL FOR 2012
(dollars in thousands)

| | 2010 Actual | 2011 Estimate | 2012 Estimate |
|---|----------------|----------------|----------------|
| Financing: | | | |
| Prior Year Carry Forward | \$2,837 | \$2,610 | \$1,579 |
| Permanent Indefinite Budget Authority [1] | 3,150 | 1,577 | 1,581 |
| Recovery of Prior Year Obligations | 3 | 10 | 10 |
| Total Availability | \$5,990 | \$4,197 | \$3,170 |
| Obligations | 3,380 | 2,618 | 2,018 |
| Unobligated Balance | \$2,610 | \$1,579 | \$1,152 |

[1] Includes donations, interest received and reinvested on investments, divestments of non-federal investments, and additional non-federal investments.

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2012
(dollars in thousands)

| Activity | Summary | | | Increases or Decreases for 2012 |
|--|----------------|----------------|----------------|---------------------------------------|
| | 2010 Actual | 2011 Estimate | 2012 Estimate | |
| | Amount | Amount | Amount | Amount |
| Historical Research, Conferences, Archival and Cultural Events, and Publications | \$583 | \$262 | \$225 | -\$37 |
| Presidential Libraries | 2,797 | 2,356 | 1,793 | -563 |
| Total Obligations | \$3,380 | \$2,618 | \$2,018 | -\$600 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GIFT FUND**

SUMMARY JUSTIFICATION OF 2012 BUDGET ESTIMATE

The National Archives Gift Fund was established to administer incoming gifts and bequests. Expenditures are made for various programs, including historical research, conferences, archival and cultural events, and publications.

Gifts of money and property are made by individuals and organizations for the benefit of archival and records activities and are expended from the Gift Fund as authorized by the Archivist or in accordance with donor restrictions, if any. Permanent indefinite budget authority is provided from donated funds and interest earned on investments.

In accordance with 44 U.S.C. 2112, the Bush Presidential Library received a \$4,477,233 endowment from the Bush Library Foundation. The money was deposited in the Gift Fund and invested

in accordance with established National Archives Trust and Gift Fund procedures. Income earned on the investment, which is estimated to be \$239,000 annually, will be used to offset a portion of the Library's operation and maintenance costs. NARA has also received an endowment of \$7,200,000 from the Clinton Library Foundation to offset operation and maintenance costs of the Clinton Presidential Library. Income earned on this investment is estimated to be \$369,000 annually.

Total obligations for FY 2012 are estimated at \$2,018,000, a decrease of \$600,000 compared to FY 2011 estimated obligations of \$2,618,000. The decrease is primarily attributed to the remaining undelivered orders of \$455,000 for the Nixon Library addition in FY 2011. The contract is scheduled for completion in FY 2011.

AUTHORIZING LANGUAGE

The National Archives Trust Fund Board may solicit and accept gifts or bequests of money, securities, or other personal property, for the benefit of or in connection with the national archival and records activities administered by the National Archives and Records Administration (44 U.S.C. 2305).

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GIFT FUND**

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

| Object Classification | 2010 Actual | 2011 Estimate | 2012 Estimate |
|--|----------------|----------------|----------------|
| 21.0 Travel/Transportation of Persons | \$71 | \$93 | \$99 |
| 22.0 Transportation of Things | 3 | 7 | 7 |
| 23.2 Rental Payments to Others | 3 | 0 | 0 |
| 24.0 Printing and Reproduction | 14 | 25 | 15 |
| 25.2 Other Services | 608 | 608 | 608 |
| 25.4 Operation & Maintenance of Facilities | 618 | 603 | 523 |
| 26.0 Supplies and Materials | 60 | 88 | 90 |
| 31.0 Equipment | 215 | 76 | 3 |
| 32.0 Land and Structures | 1,012 | 445 | 0 |
| 33.0 Equity Investments | 776 | 673 | 673 |
| 99.0 Total Obligations | \$3,380 | \$2,618 | \$2,018 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GIFT FUND**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

- | | |
|---|---|
| <p>21.0 Travel and Transportation of Persons - \$99,000. Provides for travel to participate in archival activities.</p> <p>22.0 Transportation of Things - \$7,000. Provides for transportation of artifacts.</p> <p>24.0 Printing and Reproduction - \$15,000. Provides for printing of brochures, publications, and reproductions.</p> <p>25.2 Other Services - \$608,000. Provides for commercial contractual services.</p> <p>25.4 Operation and Maintenance of Facilities - \$523,000. Provides for operation and maintenance costs at the Bush and Clinton Libraries from income earned on the invested donations from the Bush and Clinton Library Foundations.</p> | <p>26.0 Supplies and Materials - \$90,000. Provides for administrative supplies and materials.</p> <p>31.0 Equipment - \$3,000. Purchase equipment.</p> <p>33.0 Equity Investments - \$673,000. Budgetary outlays as a result of non-Federal interest reinvestments.</p> |
|---|---|

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
TRUST FUND**

ANALYSIS OF ESTIMATED LEVEL FOR 2012
(dollars in thousands)

| | 2010 Actual | 2011 Estimate | 2012 Estimate |
|--|--------------|---------------|---------------|
| Income/Cost Comparison - Summary: | | | |
| Operating Income | \$15,431 | \$16,078 | \$15,621 |
| Operating Expense before depreciation | 15,226 | 16,722 | 15,885 |
| Net Operating Income or Loss before depreciation | \$205 | -\$644 | -\$264 |
| Depreciation | 11 | 0 | 0 |
| Net Operating Income or Loss (-) | \$194 | -\$644 | -\$264 |
| Non-Operating Income or Loss (-) | 284 | 326 | 366 |
| Net Profit or Loss (-) | \$478 | -\$318 | \$102 |

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2012
(dollars in thousands)

| Activity | Summary | | | | | | Increases or Decreases for 2012 | |
|--------------------------|-------------|-----------------|---------------|-----------------|---------------|-----------------|---------------------------------|--------------|
| | 2010 Actual | | 2011 Estimate | | 2012 Estimate | | FTE | Amount |
| | FTE | Amount | FTE | Amount | FTE | Amount | | |
| Sales | 18 | \$8,627 | 21 | \$7,549 | 21 | \$7,643 | 0 | \$94 |
| Presidential Libraries | 93 | 9,727 | 100 | 8,513 | 100 | 8,617 | 0 | 104 |
| Total Obligations | 111 | \$18,354 | 121 | \$16,062 | 121 | \$16,260 | 0 | \$198 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
TRUST FUND**

OVERVIEW OF NARA TRUST FUND PROGRAMS

The Trust Fund receives, holds, and disburses monies collected from sales of reproductions of records (including microform), sales of publications and merchandise (through its eCommerce sites and through over-the-counter sales), sales of Prologue magazine, royalties from partnership agreements, investment income, and admission fees to the Presidential Libraries' museums. Additionally, the Trust Fund supports the Modern Archives Institute, records management training and various conferences and workshops presented by the National Archives.

Reproduction of Records. Reproductions of all varieties of records, including documents, photographs, maps, motion pictures, and ADP tapes are made upon request and sold to the public, to scholars, and to Federal agencies.

Sales of Publications and Merchandise. The fund supports numerous eCommerce sites for the Trust Fund and the Presidential Libraries. The Trust Fund also funds operation of several museum stores and over-the-counter sales operations in Archives facilities across the country.

Sales of Prologue Magazine. The Trust Fund supports the printing, distribution, and money collection for Prologue subscriptions. Prologue presents stories based on the rich holdings and programs of the National Archives across the nation. Articles can also be downloaded.

Royalties from Partnership Agreements. The Trust Fund enters into agreements with third party vendors to develop and sell products based upon the holdings of the National Archives. The fund then retains a royalty percentage when the products sell.

Investment Income. Monies from sales and gift donations are invested in accordance with the established National Archives Trust and Gift Fund (NATGF) procedures. The income earned on investments is used to support National Archives programs.

Fees for Archival and Records Management Training. The fund supports efforts to offer archival and genealogical training to the public and records management training to Federal employees and contractors supporting Federal records management programs.

Admission Fees. Fees are charged for admission to the exhibits at most of the Presidential Libraries and for educational workshops and conferences at the Libraries and other NARA locations.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
TRUST FUND**

Trust Fund Performance Costs

(dollars in thousands)

| <u>Goals and Activities</u> | <u>2010 Actual</u> | <u>2011 Estimate</u> | <u>2012 Estimate</u> | <u>Change from 2011</u> |
|--|------------------------|--------------------------|--------------------------|-----------------------------|
| As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records. | - | - | - | \$0 |
| We will preserve and process records to ensure access by the public as soon as legally possible. | - | - | - | \$0 |
| We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era. | - | - | - | \$0 |
| We will provide prompt, easy, and secure access to our holding anywhere, anytime. | \$200 | \$200 | \$200 | \$0 |
| We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs. | \$17,854 | \$15,562 | \$15,760 | \$198 |
| We will equip NARA to meet the changing needs of our customers. | <u>\$300</u> | <u>\$300</u> | <u>\$300</u> | <u>\$0</u> |
| Total Performance Costs | \$18,354 | \$16,062 | \$16,260 | \$198 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
TRUST FUND**

AUTHORIZING LANGUAGE

The Archivist of the United States furnishes, for a fee, copies of unrestricted records in the custody of the National Archives (44 U.S.C. 2116). Proceeds from the sale of copies of microfilm publications, reproductions, special works, and other publications, and admission fees to Presidential Library museum rooms are deposited to this fund (44 U.S.C. 2112, 2307).

SUMMARY EXPLANATION OF CHANGES FROM 2011 TO 2012

(dollars in thousands)

| Activity | Sales | | Presidential Libraries | | Total | |
|--|----------|-------------|------------------------|--------------|----------|--------------|
| | FTE | Amount | FTE | Amount | FTE | Amount |
| Program Changes: | | | | | | |
| Increased Cost of Sales / Reproductions and Library Activities | - | \$84 | - | \$114 | - | \$198 |
| Other Changes: | | | | | | |
| One-time Equipment Purchases | - | -30 | - | -21 | - | -\$51 |
| Change in Cost of Other Goods and Services | - | 40 | - | 11 | - | \$51 |
| Total Changes, 2011 to 2012 | 0 | \$94 | 0 | \$104 | 0 | \$198 |

EXPLANATION OF CHANGES, 2011 VERSUS 2012

Total obligations for 2012 are estimated at \$16,260,000, an increase of \$198,000 from 2011 estimated obligations of \$16,062,000. Program changes include \$198,000 for the increased cost of sales and reproductions and library museum activities; other changes include a decrease of \$51,000 for one-time equipment purchases, and an increase of \$51,000 in the cost of other goods and services.

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
TRUST FUND**

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS
(dollars in thousands)

| Object Classification | 2010 Actual | 2011 Estimate | 2012 Estimate |
|---|-----------------|-----------------|-----------------|
| 11.1 Full-time Permanent | \$4,146 | \$4,211 | \$4,319 |
| 11.3 Other than Full-time Permanent | 1,087 | 1,066 | 1,094 |
| 11.5 Other Personnel Compensation | 246 | 336 | 346 |
| 11.9 Total Personnel Compensation | 5,479 | 5,613 | 5,759 |
| 12.1 Civilian Personnel Benefits | 1,599 | 1,648 | 1,711 |
| 21.0 Travel and Transportation of Persons | 405 | 390 | 390 |
| 22.0 Transportation of Things | 136 | 126 | 129 |
| 23.2 Rental Payment to Others | 139 | 148 | 150 |
| 23.3 Communications, Utilities, and Misc. Charges | 309 | 386 | 381 |
| 24.0 Printing and Reproduction | 380 | 431 | 432 |
| 25.1 Advisory and Assistance Services | 88 | 88 | 90 |
| 25.2 Other Services | 1,927 | 862 | 868 |
| 25.3 Purchases of Goods and Services from Government Accounts | 3,423 | 3,513 | 3,480 |
| 25.4 Operation and Maintenance of Facilities | 23 | 17 | 18 |
| 25.7 Operation and Maintenance of Equipment | 274 | 281 | 283 |
| 26.0 Supplies and Materials | 1,852 | 1,572 | 1,623 |
| 31.0 Equipment | 92 | 185 | 134 |
| 32.0 Land and Structures | 113 | 112 | 112 |
| 33.0 Investments | 2,115 | 690 | 700 |
| 99.0 Total Obligations | \$18,354 | \$16,062 | \$16,260 |

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
TRUST FUND**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS FOR 2012

- 11.9 Total Personnel Compensation** - \$5,759,000. For 121 FTE.
- 12.1 Civilian Personnel Benefits** - \$1,711,000. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; and FICA and Medicare hospital insurance.
- 21.0 Travel and Transportation of Persons** - \$390,000. Provides for travel associated with the National Archives Trust Fund activities.
- 22.0 Transportation of Things** - \$129,000. Provides for postage used in parcel post and commercial transportation charges.
- 23.2 Rental Payments to Others** - \$150,000. Provides for rental space to third parties.
- 23.3 Communications, Utilities, and Miscellaneous Charges** - \$381,000. Provides for local and long distance phone communications charges, postage, and overnight delivery service.
- 24.0 Printing and Reproduction** - \$432,000. Provides for reproducing reports and microfilm, and printing of forms and publications.
- 25.1 Advisory and Assistance Services** - \$90,000. Provides for professional support services.
- 25.2 Other Services** - \$868,000. Provides for contractual services including reproduction services and library museum renovations.
- 25.3 Purchases of Goods and Services from Government Accounts** - \$3,480,000. Provides for payments to operating expenses for services performed for the Trust Fund.
- 25.4 Operation and Maintenance of Facilities**- \$18,000. Provides for repairs for machinery not covered under maintenance agreements.
- 25.7 Operation and Maintenance of Equipment** - \$283,000. Provides for maintenance of public use machinery.
- 26.0 Supplies and Materials** - \$1,623,000. Provides for program and administrative equipment and office supplies.
- 31.0 Equipment** - \$134,000. Provides for electrostatic and copying machines, and laboratory and other equipment.
- 32.0 Land and Structures** - \$112,000. Provides for the purchase of non-capitalized structures.
- 33.0 Investments** - \$700,000. Provides for Outside Investments.

**NATIONAL ARCHIVES AND
RECORDS ADMINISTRATION**

CAPITAL IMPROVEMENTS PLAN

TO ACCOMPANY THE
FISCAL YEAR 2012 PERFORMANCE BUDGET

INDEX

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Introduction

The Capital Improvements Plan (CIP) has been developed by the National Archives and Records Administration (NARA) as our plan for capital expenditures/projects over the upcoming ten (10) years. NARA has defined capital expenditures/projects, in general, as the purchase, construction or repairs to NARA owned or operated facilities including designs or studies associated with these projects that exceed \$1,500,000. Projects that cost \$1,500,000 or less, NARA intends to fund from our Base Repairs and Restoration (R&R) appropriated funds.

A project's inclusion in the CIP does not, in and of itself, commit NARA to funding and accomplishing the project. As stated above, the CIP allows NARA to plan for projects over the long-term. Lack of available funds, emergencies and changes in priorities may require that some projects ultimately be deferred beyond the years in which they are initially programmed for accomplishment in the CIP. Even so, the CIP will have served its purpose as a planning tool to track required projects.

Several abbreviations are used throughout this plan that needs to be explained. They are as follows:

ADSPL: Architectural Design Standards for Presidential Libraries — refers to the architectural design standards for Presidential Libraries that were developed by the National Archives and Records Administration in 1997.

ADA-AG: Americans with Disabilities Act – Architectural Guidelines — these guidelines were developed and issued in the early 1990s. Older buildings should be in basic compliance with the standard, provided that they were designed for conformance with the Uniform Federal Accessibility Standards (the Federal Government's predecessor to the ADA-AG). When older buildings are renovated, they are expected to be brought into compliance with the more current ADA-AG.

BCR: Building Condition Report — Reports compiled by NARA over a five-year cycle on the condition of facilities. Findings are categorized as: Category 1 represents high priority repairs that must be implemented in order to keep the building functional; Category 2 deficiencies should be completed within the next 5 years to maintain building operations; and Category 3 findings are minor repairs that can be planned beyond 5 years. Category 4 recommended repairs/improvements are, in general, enhancements to improve the functionality of a facility.

Purpose of the Capital Improvements Plan

The National Archives and Records Administration (NARA) receives annual appropriated funding for normal repairs and renovations of NARA owned and operated facilities (referred to as the base Repairs and Restoration or R&R funding). The Capital Improvements Plan (CIP) is a dynamic document that prioritizes major repairs, renovations, improvements, expansions and major studies (those in excess of \$1,500,000 that are not covered by the base R&R funding) of NARA's facilities that are required to carry out the mission of the agency. The CIP is intended as a planning tool that is to be reviewed and updated on an annual basis as needs, priorities, and resources change.

The annual CIP update starts with input from the program offices that manage the NARA owned facilities (the National Archives Building, the National Archives at College Park, the Atlanta Regional Archives, and 13 Presidential Libraries). Their input is supplemented by information from the most recent Building Condition Report for each facility. NARA staff compile the data and update the project list. Projects estimated to cost in excess of \$1,500,000 are identified as major projects and are included in a "Capital Plan Strategic Budget Initiative" that is submitted with the annual NARA Budget request. If the major project can be phased the budget submissions may be spread across two or more fiscal years.

A separate proposed project list of minor projects (those costing \$1,500,000 or less) is prepared for the upcoming fiscal year. This list becomes the NARA Repair and Restoration Spending Plan (R&R Plan) for the year. The plan lists the project, its estimated cost and its priority level. After review by the Assistant Archivist for Administration, the R&R Spending Plan is forwarded to the Archivist of the United States for project approval and authorization to fund from NARA's base R&R appropriation. Throughout the year, the R&R Spending Plan is constantly reviewed and adjusted based on actual costs of projects and the changes in agency needs.

Methodology for Developing the Plan

The Capital Improvements Plan (CIP) is divided into two sections. Part I, is a summary of funding needs showing the required new appropriations.

Part II, provides more detailed information on proposed capital improvements over the next ten years. Included are descriptions of the proposed projects with information on the desired improvements as well as the priority of the need, and a brief scope of work of the proposed project. If the repair is based on a BCR recommendation(s), the recommendation number(s) from the BCR are also listed with the project description for further reference. Efforts are made to bundle together recommendations from the BCRs so as to take advantage of the economy of doing similar work at the same time under the same contract.

In developing the CIP, consideration was given to future long term needs of the agency as they relate to special projects, expansions of existing facilities, replacements of existing facilities and major renovations of existing facilities.

As mentioned in the section describing the purpose of the CIP, in addition to performing minor projects, the base R&R funds are used to fund the Building Condition Reports (BCRs). NARA performs BCRs on our facilities on a five year cycle (every facility is reviewed every five years). From these reports, NARA develops a prioritized listing of required repair and restoration projects. In preparing this list, consideration is given to completing the highest priority projects (those projects identified in building condition reports as Category 1 or high priority repairs that must be implemented immediately to keep the building functional) as early as possible in the planning process. Category 2 deficiencies (those identified as being repairs that should be completed within a 1 to 5 year time period to continue the normal operation of the building) are considered next for placement on the prioritized projects list. In some cases a category 2 repair will be programmed to be performed in connection with category 1 repairs of a similar nature to take advantage of bundling the work into a larger project to attempt to get a better cost for the repairs. The Category 3 deficiencies (those repairs that can be planned to be completed more than five years out) are, for the purposes of the CIP, generally deferred pending a review in a subsequent building condition report within the next five years. The exception would be if the Category 3 repair closely relates to a Category 1 or Category 2 repair.

In programming the Category 1 and 2 repairs using the base R&R funds, a small reserve is maintained to allow for adjustments to individual project funding if the actual cost varies from the original estimate. It is also used to cover emergencies or special needs that develop during the year; for example, a boiler failure at the Eisenhower library during the winter or an unexpected roof leak. Mid-way through the budget year a formal review is conducted to determine the status of projects and of this reserve. It may be possible at that time to fund a project that had been deferred to the following year because of insufficient funding. Finally, in programming building projects, we give consideration to energy savings initiatives that are expected to yield out-year savings in utility costs.

Executive Summary of Planned Major Projects

Tier One Projects

Archives I – National Archives Experience, Phase II (increment 2)

Tier Two Projects

Eisenhower Library Renovations and Visitor Center Expansion (Design & Construction)

Johnson Library Space Alteration (Design & Construction)

Hoover Library Mechanical Renovations (Design & Construction)

Tier Three Projects

Ford Library Roof Replacement – **Planned to be funded from Base R&R funds**

Tier Four Projects

Ford Library Electrical, HVAC and Elevator Repairs, and Building Renovation (Design & Construction)

Carter Library Renovation (Design & Construction)

Ford Library Parking Lot Expansion

Hoover Library Flood Control Work – **Planned to be funded from Base R&R funds**

Archives II Roof Replacement

Tier Five Projects

Truman Library Renovation (Design & Construction)

Reagan Library Renovation (Design & Construction)

Archives II Replace Interior P/A System

Archives II HVAC Renovations

Tier Six Projects

Clinton Library Desiccant Drier Replacement

Archives II Chiller Plant Retrofit

Archives I Replace Exterior Windows and Doors

Nixon Library Renovation (Design & Construction)

Kennedy Library Seawall Repairs

GHW Bush Library Renovation (Design & Construction)

Clinton Library Renovation (Design & Construction)

Proposed Capital Improvement Projects

Tier One Projects

Archives I – National Archives Experience, Phase II (increment 2) – The National Archives Experience Phase II renovation is needed to improve visitor flow and access to the popular exhibits and create space for a new exhibit gallery at the National Archives Building in Washington, DC. The current visitor entrance was designed before September 11th, 2001. When security and screening check points were added, it created “choke” points in the visitor flow patterns. This creates lines with one-to-two hour waits for visitors to see the Charters of Freedom. By making improvements to existing space we can redesign the current orientation lobby, improve visitor flow to exhibits, and create additional exhibit space to highlight freedom documents such as the Emancipation Proclamation, the constitutional amendments expanding suffrage and the records of the Civil Rights movement. The Foundation for the National Archives committed at its December 2008 meeting to raise private donations to fund the exhibit for the new permanent gallery, to build a new expanded gift shop, and to create the Orientation Plaza. These improvements will greatly enhance the experience of our more than 1 million visitors each year.

The Budget requests \$6,000,000 in FY 2012 to proceed with the National Archives Experience (NAE) Phase II project. This request is being funded in increments (increment 1 in the amount of \$5,000,000 was requested in FY 2011) of a phased approach to the project. The phased construction approach will enable NARA to create the infrastructure needed for the improvements funded by our Foundation partner. We will also be able to improve our ability to engage visitors through a further understanding of our government and its records. The proposed changes in NAE Phase II will make our exhibits more inclusive, clarify where visitors need to go to explore our holdings and reduce the barriers to direct participation by visitors in the research process. These changes are in consonant with the administration’s service initiative to ‘promote sustained civic engagement.’

The first increment of funding was requested in fiscal year 2011. This represents the second and final increment of funding required for this project.

Tier Two Projects

Eisenhower Library Renovations and Visitor Center Expansion (Design & Construction) – In FY 2006, NARA performed an updated BCR on the buildings at the Eisenhower Center in Abilene, Kansas. While the complex was found to be well constructed and maintained, it has never had a major renovation (only partial renovations) since it opened in the mid 1960s. Additionally, preservation requirements have changed since the time of the original construction. The Eisenhower Library complex needs a major renovation to bring each of the buildings up to the current standards of ADSPL (in particular relative to proper storage of archival materials), ADA-AG and to correct noted fire safety deficiencies. Most of the major building systems have reached the end of their service life and, using base R&R funds, NARA is currently in the process of replacing the systems that are in the most need of replacement and cannot wait for the larger renovation. Our plans are to take advantage of the

fact that there are multiple buildings and phase the renovation work building by building over two fiscal years. In preparation for this planned effort, NARA is preparing an updated BCR to identify any additional repairs required since the previous (2006) BCR. The draft updated BCR report (received in July 2010) indicates \$24,100 of Category 1 repairs that NARA will fund from base R&R funds in FY 2011. The Category 2 and 3 repairs total \$9.3M plus additional Category 4 repairs in the amount of \$6.1M. This project would be designed to correct all Category 2 and Category 3 deficiencies and any Category 1 deficiencies that have not already been accomplished.

Johnson Library Space Alteration (Design & Construction) – In 2010, NARA performed an updated comprehensive space planning study for the Johnson Library which documented that substantial changes could be made to the building to improve the space utilization and efficiency of the facility (the facility layout is essentially unchanged from the original 1971 layout). Additionally, an updated 2009 BCR has provided a clearer picture of the extent of repairs necessary to the building. The library has not had a major renovation, other than recent repairs to the plaza and replacement of some of the building air handling units (under a 2006 DOE ESPC energy savings project), since its dedication in May 1971. Given the age of the facility coupled with the building condition reports and space studies it is clear that a major renovation is needed. The costs for the Category 1 repairs total \$232K but are integral to the Category 2 and 3 repairs. The costs of the Category 2 and 3 repairs total \$11.6M and there are \$12.8M of Category 4 repairs identified.

Hoover Library Mechanical Renovations (Design & Construction) – In 2007, NARA performed an updated BCR for the Hoover Library. The BCR indicated that many of the current building systems, while well maintained were reaching the end of their anticipated service life and that the systems were incapable of providing the current archival storage conditions required by ADSPL. NARA plans to perform an updated BCR in FY 2011 (one year earlier than originally programmed) and to schedule the replacement of the building systems following receipt of the results of the BCR (when we can best define the scope of the necessary renovations).

Tier Three Projects

Ford Library Roof Replacement (Planned to be funded from Base R&R funds) – The current roof is a single ply membrane roof that was installed in 1995. By FY 2012, the existing roof will be seventeen years old and nearing the end of its anticipated service life. NARA plans to replace the roof before it develops leaks that might cause damage to interior finishes and holdings. Based on the current BCR, NARA has made some minor roof repairs that were required as Category 1 type repairs to insure that damage will not occur while funding for the replacement is programmed. The BCR also indicated that the skylights require approximately \$30,000 worth of Category 2 repairs. NARA believes that by FY 2012, the roof will need a total replacement even with the anticipated repairs noted in the BCR. Similar to the Ford Museum roof which is currently being replaced starting in FY 2011, NARA will use base R&R funds to replace the Ford Library roof.

Tier Four Projects

Ford Library Electrical, HVAC and Elevator Repairs, and Building Renovation (Design & Construction) – The BCR that was completed in August 2007 indicated several category 2 repairs – repairs that require attention within 5 years of the report. While some minor repairs have been made, the 2007 estimate of costs for electrical, HVAC and elevator repairs exceeds what can be funded from base R&R funds. Recent information from the Library staff is that the repairs to the elevators at the Library are urgently required and may have to be funded from the base R&R funds. The scope of this project would then be adjusted to only cover the HVAC and other building renovation items.

Carter Library Renovation (Design & Construction) – The Carter Library was built in 1986. NARA recently replaced many of the mechanical items in connection with the Foundation funded renovation of the museum exhibit (to take advantage of the fact that the museum space would be temporarily closed). This effort helped to bring some areas of the facility into compliance with current archival standards required by ADSPL (NARA Directive 1571) and to provide for more energy efficient equipment. Unfortunately, we were not able to do all of the necessary renovations from our base R&R appropriation and still be able to provide the necessary repairs to the other NARA facilities. As a tier 4 project, we plan to continue the replacement of mechanical and electrical equipment and to perform all remaining Category 2 and Category 3 BCR repairs.

Ford Library Parking Lot Expansion – Currently the Ford Library parking lot is very small and, when there are large events, parking capacity is exceeded. This project would increase the available parking for the facility. Logically this effort could be included with the project to perform the building renovation if funding was available.

Hoover Library Flood Control Work (Planned to be funded from Base R&R funds) – Adjacent to the library building is a stream that overflows when the West Branch, Iowa area experiences heavy rains. While there has never been a situation where flooding has occurred that affected the library, NARA is concerned that there is the potential for damaging flooding since the 100 year flood level is approximately one foot above the main floor elevation of the Library. And, the current Presidential Library ADSPL standards require that a library be 100 feet from and 5 feet above a flood plain. Since this cannot be achieved without rerouting the stream, NARA studied ways to provide some other form of physical barrier to prevent the possibility of flooding when the area is subject to heavy rains. Since several of the options developed in the study require work on National Park Service land, this project is being coordinated with the NPS and NARA hopes to be able to fund this project from base R&R funds.

Archives II Roof Replacement – The original roof on the Archives II building was installed in 1992 during the building construction. Most roofing systems have an anticipated service life of 15 to 20 years. NARA has already done several repairs to the building roof. In FY 2010, using base R&R funds, a section of the administrative wing roof that was leaking causing water damage and mold development was replaced. We are currently looking to repair another section of roof as the building nears 20 years in age.

Tier Five Projects

Truman Library Renovation (Design & Construction) – In the late 1990s, NARA with the help of GSA renovated a portion of the Truman Library. At that time, there were areas that were not included in the renovations. Since that time, many additional repairs have been made based on BCR recommendations (mostly related to the fire protection and fire alarm systems and an elevator replacement project). The areas that have not been renovated still need a renovation. Further, the previous renovation was performed prior to the issuance of the current archival standards (2002). Under the proposed renovation design, NARA would work to bring the entire building into compliance with current archival standards (NARA Directive 1571).

Reagan Library Renovation (Design & Construction) – The Reagan Library was constructed in 1991. While NARA added to the building in 2003 with the construction of the Presidential Learning Center, many systems within the remainder of the building will reach the end of their service life after 25 years and will require a major renovation. Currently, NARA is working to replace some of these systems in connection with a Foundation funded renovation of the museum space. NARA is funding the replacement of some of the HVAC equipment from base R&R funds but only to the extent that is necessary to replace the equipment in areas disturbed by the renovation of the museum. At the end of the current project, there will still be several areas of the building requiring renovations.

Archives II Replace Interior P/A System – The interior paging system is the means by which NARA can immediately contact all employees in case of an emergency. The system was installed when the building was new in the early 1990s and was repaired in the early 2000s. The anticipated service life of the system is 20 years and through routine testing it is apparent that the system will need replacing.

Archives II HVAC Renovations – Most major mechanical equipment has an anticipated service life of between twenty and thirty years. The HVAC system was installed in 1991. NARA needs to start planning for replacement of many of the Archives II HVAC systems.

Tier Six Projects

Clinton Library Desiccant Drier Replacement – In order to achieve the necessary preservation standards for temperature and relative humidity, the Clinton Library design incorporated several desiccant driers (used to reduce humidity levels in storage areas). Desiccant driers normally have a service life of between ten and fifteen years before they need a major retrofit. The driers were installed in 2004 and will need to be replaced.

Archives II Chiller Plant Retrofit – Most mechanical equipment has an anticipated service life of twenty to thirty years depending on factors such as the original installation, the quality of maintenance, and the amount of use the equipment has had, etc. The larger building systems, chillers, cooling towers, boilers, etc. generally are towards the higher end of the service life. Most of the mechanical systems were installed in the early 1990s and, to meet archival storage conditions, require constant use. It is anticipated that the major systems can be replaced in a project separate from the replacement of the air handling units (see tier five).

Archives I Replace Exterior Windows and Doors – The Archives I building is a historic building. As such, replacing the windows and doors for energy efficiency would be an extensive, but necessary, project.

Nixon Library Renovation (Design & Construction) – In 2007, NARA accepted the Nixon Library in Yorba Linda, California from the Nixon Foundation. Prior to accepting the building, the Foundation performed a partial renovation of the facility to bring the artifact storage area up to the current archival storage conditions. The museum area of the facility was not included in this renovation. At the time of the transfer, the building was approximately 17 years old. A BCR was performed prior to acceptance to identify the potential repair costs and plans were made to take care of some of the more immediate needs of the facility. Since the facility was too small to house all of the textual and artifact holdings stored in College Park, Maryland and Laguna Niguel, California, plans were developed for an approximate 15,000 square foot archival storage addition to the library. That addition was completed in 2009. In FY 2010, using base R&R funds, NARA replaced the museum air handling units and several other major HVAC components (chillers and pumps) since these replacements could not wait for future renovations. Using an updated BCR, NARA will determine the future needs for the design of the building renovation for the remaining areas of the building.

Kennedy Library Seawall Repairs – Repairs were made in 2002 to the existing seawall. The seawall requires continual maintenance and NARA estimates renovation on the seawall will be required approximately every fifteen years.

GHW Bush Library Renovation (Design & Construction) – By FY 2017, the GHW Bush Library will be twenty years old and, while the building is currently in good condition (especially with the recent replacement of the roof to stop water leaks), we need to anticipate and plan for a renovation to the building.

Clinton Library Renovation (Design & Construction) – The Clinton Library was opened in 2004. By FY 2019, the building will be sixteen years old and it is anticipated that some renovation work will be needed to the building.