NATIONAL ARCHIVES

Preserving the Past to Protect the Future

2013 Performance and Accountability Report

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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A Message from the Archivist of the United States

I am pleased to present the National Archives and Records Administration's Performance and Accountability Report for FY 2013. This report is one of the many ways we demonstrate our commitment to openness and transparency about NARA's operations—by sharing the results of our progress towards the goals in our Strategic Plan and informing you of how we used our resources during Fiscal Year 2013.

Congress established the National Archives in 1934 to centralize Federal record keeping, with the Archivist of the United States as its chief administrator. NARA is more than just the nation's record keeper and protector of collection of records. We are the stewards of America's story. The work we do every day is grounded in the belief that citizens have the right to see, examine, and learn from the records that guarantee their rights and hold the Government accountable for its actions. The records and artifacts we protect and provide access to are the keys to unlocking our nation's history. These records, representing only 2 to 3 percent of all those created by Federal departments and agencies, include billions of records both in traditional and electronic formats in 44 locations across the country. Each month, more of our holdings are available online, presenting new ways for users to interact with the records.

We are more than half-way through a five-year internal transformation process. Part reorganization and part modernization, this staff-driven effort is helping us increase efficiency and effectiveness for our customers. Six transformation goals (described in more detail on page 4) provide us a lens through which to view our strategic goals, fostering new, creative ways to approach our work. These are exciting times for the agency as we work to ensure that NARA's mission of preserving and providing access to Federal Government records created in past centuries remains relevant in the 21st century.

You will find more information about our work throughout this report. Highlighting our accomplishments during the past year:

- An important element in helping the Executive branch reform records management policies and practices for the 21st century, we developed a new records management approach, known as "Capstone," for managing Federal record emails electronically.

- We opened the George W. Bush Presidential Library, the 13th Presidential Library that NARA manages.

- With the support of grants from NARA's National Historical Publications and Records Commission, and in close cooperation with the University of Virginia, we expanded public access to more than 100,000 documents written by or to the Founding Fathers through the website, www.founders.archives.gov. *Founders On-Line* provides access to the words of the founders of our nation and provides notes to ease understanding. It rests on the hard work of scholars, archivists, and others who supported the research over the last 60 years. The materials document daily life during the founders' lifetimes as well as the crucial debates about independence, government, and freedom to which they contributed.

- We won the second annual Walter Gellhorn Innovation Award from the Administrative Conference of the United States for our Citizen Archivist Initiative.

- We reduced overall energy consumption at NARA facilities by 27 percent in one year alone, including meeting our greenhouse gas reduction targets well ahead of the 2020 target date.

We also took important steps to ensure that our resources have proper oversight and are well managed. I can provide reasonable assurance that the performance data in this report is reliable and complete. I am also able to provide a qualified statement of assurance that, with the exception of three material weaknesses—holdings protection, inventory control over artifacts in the Presidential Libraries, and archival records preservation—NARA's internal controls are achieving their intended objectives, as defined by OMB Circular A-123.

This assessment is based on the results of a more robust, risk-based internal controls program implemented across the agency over the last two years, as well as the results of audits and evaluations conducted by the Government Accountability Office, NARA's Office of Inspector General, and other audit entities. It is also based on executive leaders and managers' knowledge of the daily operations of NARA programs and systems. Finally, I have also relied upon the advice of our Inspector General concerning this statement of assurance.

To address our material weaknesses, NARA staff created and will implement individual action plans. Additional details on these action plans, as well as progress made during FY 2013, are found in our Federal Managers' Financial Integrity Act (FMFIA) report located in the appendix.

NARA looks forward to reporting further progress to the Nation and our partners as we strive to effectively achieve our mission and work to ensure that the citizens of our country are free to inspect, use, and learn from the records of the Government. As NARA staff continue their work to transform the agency, we want to further engage you in the ongoing conversation of how NARA can best serve the citizens.

David S. Ferriero
Archivist of the United States

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Winners of the National History Day competition enjoy the launch of the Founders Online *website, developed with the help of the University of Virginia Press.*

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Introduction

This Performance and Accountability Report represents the culmination of the National Archives and Records Administration's (NARA) program and financial management processes, which began with strategic and program planning, continued through the formulation and justification of NARA's budget to the President and Congress and through budget execution, and ended with this report on our program performance and use of the resources entrusted to us. This report was prepared pursuant to the requirements of the Chief Financial Officers Act, in accordance with the Reports Consolidation Act of 2000 and mandated by the Accountability of Tax Dollars Act of 2002, and covers activities from October 1, 2012, through September 30, 2013.

How to Use This Report

This report has four major sections:

- **Management's Discussion and Analysis**

  Look here for the highlights of our agency-wide performance and use of resources in FY 2013. You also will find information on the strategies we use to achieve our goals and the management challenges and external factors that affected our performance.

- **Performance Section**

  Look here for details on our performance by strategic goal and long-range performance targets in FY 2013. This section covers our targets, how and why we met or did not meet them, and explanations of how we assess our performance and ensure the reliability of our data. Information about evaluations of NARA programs and NARA's evaluation of Federal agency compliance with Federal Records Management policy is also included. In assessing our progress, we are comparing actual results against targets and goals set in our annual performance plan, which we developed to help us carry out our Strategic Plan. Our complete set of strategic planning and performance reports is available on our web site at *http://www.archives.gov/about/plans-reports/.*

- **Financial Section**

  Look here for our FY 2013 audited consolidated financial statements and notes, required supplementary information, and the reports from our independent financial auditor and our Inspector General.

- **Other Accompanying Information**

  Look here for our Inspector General's assessment of our agency's management challenges and our Financial Manager's Financial Integrity Act (FMFIA) report.

About NARA

The National Archives and Records Administration is our nation's record keeper. An independent agency created by statute in 1934, NARA safeguards the records of all three branches of the Federal Government. Our job is to ensure continuing access to essential documentation and, in doing so, we serve a broad spectrum of American society. Genealogists and family historians; veterans and their authorized representatives; academics, scholars, historians, business and occupational researchers; publication and broadcast journalists; 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; students and teachers; and the general public—all seek answers from the records we preserve.

Our Vision

As the nation's record keeper, it is our vision that all Americans will understand the vital role records play in a democracy, and their own personal stake in the National Archives. Our holdings and diverse programs will be available to more people than ever before through modern technology and dynamic partnerships. The stories of our nation and our people are told in the records and artifacts cared for in NARA facilities around the country. We want all Americans to be inspired to explore the records of their country.

Our Mission

The National Archives and Records Administration 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.

Jean Huets @JeanHuets — Follow

#preamble We're getting together to constitute a nation that's just, peaceful, strong, prosperous and free. Are you in?

11:09 PM - 13 Sep 2012

10 RETWEETS 3 FAVORITES

In honor of the 225th anniversary of the Constitution, we challenged citizens on Twitter to capture the essence of the 52-word Preamble in just 140 characters. The Archivist of the United States David Ferriero chose the winner of the "Tweet the Preamble" challenge!

Our Strategic Goals

Throughout this year, NARA leadership worked to develop a set of strategic goals and objectives that reflect our efforts to transform NARA into an agile and modern information agency. Our 2014 performance report will show progress against the new Strategic Plan.

FY 2013 is the last year we will report against our existing Strategic Plan, updated in 2009. Our six strategic goals are:

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

2:      We will preserve and process records to ensure access by the public as soon as legally possible.

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

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

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.

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

All five living Presidents pose for a picture at the April 25, 2013, dedication of the George W. Bush Presidential Library. From left, Presidents Jimmy Carter, William J. Clinton, George H.W. Bush, George W. Bush, and Barack Obama. Photo by Paul Morse, courtesy of George W. Bush Presidential Center.

The Library is the first of the Presidential Libraries to fully reflect the use of electronic records. The Library includes 70 million pages of textual records; 40,000 artifacts; 4 million photographs; and 80 terabytes of electronic information, including 200 million emails of about five pages each, or 1 billion pages.

NARA's Transformation

To meet the President's call to reorganize government to give the people "a government that's more competent and more efficient," we are working to reinvent ourselves to meet the demands of the digital age. NARA is in the middle of a major transformation, begun in FY 2011, which will take several years to complete. Part of that transformation included a

restructuring of the organization to better serve the American people and the Government, with an emphasis on living the principles of Open Government—transparency, participation, and collaboration. To effect these changes, we needed to clarify our values as an organization:

- We are a diverse staff unified by our strong commitment to protect records, help people use them, and support an open and responsive government.
- We want to do our personal best and make our agency the world's best archives.
- We believe in:

Bronze eagle medallion decorates the floor of the new Visitor Orientation Plaza at the National Archives Building in Washington, D.C.

  - **An open, inclusive work environment** —built upon respect, communications, integrity, and collaborative team work.
  - **Encouraging creativity and investing in innovation**—to build our future
  - **Pursuit of excellence through continuous learning** —becoming smarter all the time about what we know and what we do in service to others.

We commit to these values as the path to achieving NARA's six Transformational outcomes. These six transformations must be achieved in the next several years to meet the challenges of the future, improve performance and management, and better serve the American people.

- *One NARA*—We will work as one NARA, not just as component parts.
- *Out in Front*—We will embrace the primacy of electronic information in all facets of our work and position NARA to lead accordingly.
- *An Agency of Leaders*—We will foster a culture of leadership, not just as a position but as the way we all conduct our work.
- *A Great Place to Work.*—We will transform NARA into a great place to work through trust and empowerment of all of our people, the agency's most vital resource.
- *A Customer-Focused Organization.*—We will create structures and processes to allow our staff to more effectively meet the needs of our customers.
- *An Open NARA.*—We will open our organizational boundaries to learn from others.

Our new Strategic Plan, which will be issued in 2014, will reflect the values and transformational goals we have set for NARA in the coming years. More information about that plan is available at www.archives.gov/about/plans-reports/.

Our Organizational Structure

We carry out our mission through a national network of archives and records services facilities stretching from Washington, DC, to the West Coast, including Presidential Libraries documenting administrations back to Herbert Hoover. Additionally, we publish the *Federal Register,* administer the Information Security Oversight Office (ISOO) and the Office of Government Information Services (OGIS), and make grants for historical documentation through the National Historical Publications and Records Commission (NHPRC). We preserve and make available, in response to hundreds of thousands of requests, the records on which the entitlements of citizens, the credibility of Government, and the accuracy of history depend. More and more people are using our services and gaining access to our records through the Internet, whether by requesting copies of records through *Archives.gov*, commenting on regulations at the Government-wide site *Regulations.gov*, searching online databases of records and information, interacting with us through a growing suite of social media sites, or engaging in a host of other activities through *Archives.gov*. We continue to encourage this trend, by innovating how and where we reach our customers and fully embracing open government through a wide range of initiatives.

National Archives and Records Administration

Office of Inspector General	**Archivist** Deputy Archivist	Equal Employment Opportunity
National Historical Publications and Records Commission		General Counsel
Office of Innovation		Congressional Affairs
Strategy and Communications		Human Capital Office

Chief Operating Officer

Corporate Records Management — Performance & Accountability

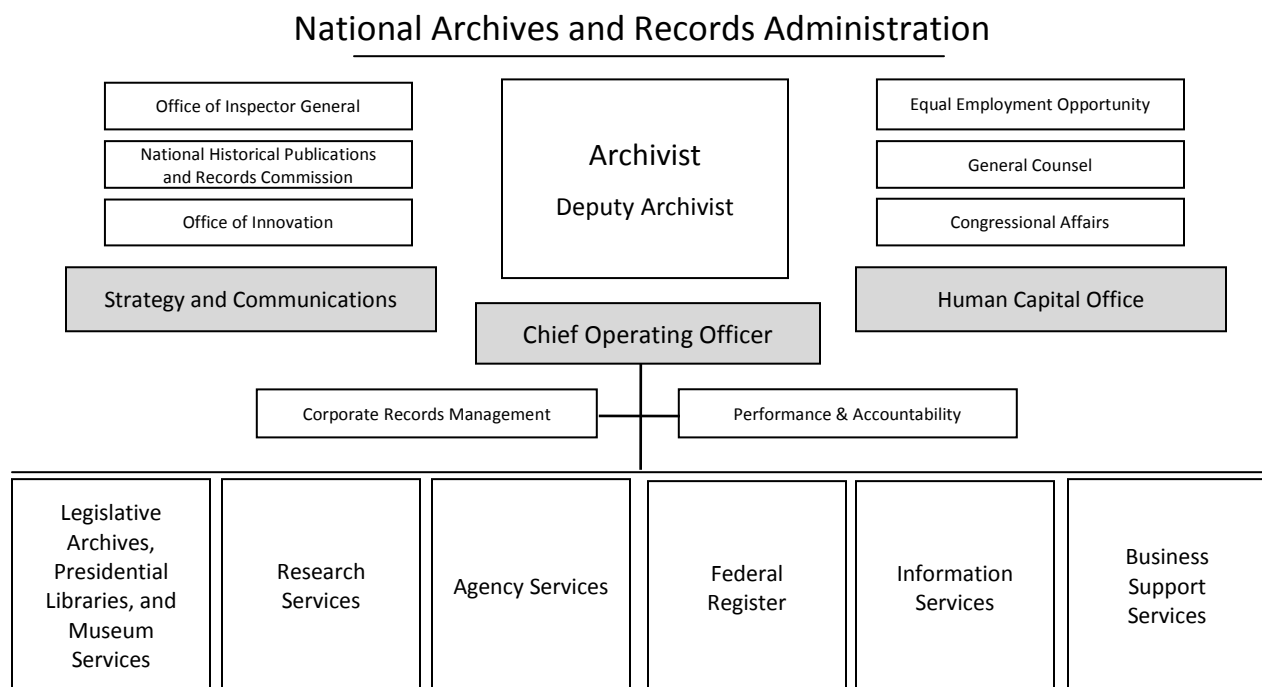| Legislative Archives, Presidential Libraries, and Museum Services | Research Services | Agency Services | Federal Register | Information Services | Business Support Services |

Figure 1. NARA's Organization Chart (as of September 30, 2013)

Personnel on Board*

All funds as of September 30, 2013	Washington, DC, Area			Other NARA Locations			Nationwide Total		
Programs	Full—Time Perm	Other	Total	Full—Time Perm	Other	Total	Full—Time Perm	Other	Total
Presidential Libraries	27	0	27	372	80	452	399	80	479
Legislative Archives, Presidential Materials, & Public Programs	86	7	93	15	0	15	101	7	108
Research Services	502	96	598	163	35	198	665	131	796
Office of Innovation	101	3	104	0	0	0	101	3	104
Agency Services	339	7	346	982	220	1,202	1,321	227	1,548
Electronic Records Archives	39	0	39	4	0	4	43	0	43
Federal Register	68	0	68	4	0	4	72	0	72
Office of Inspector General	22	0	22	0	0	0	22	0	22
Total	**1,184**	**113**	**1,297**	**1,540**	**335**	**1,875**	**2,724**	**448**	**3,172**

* Admin Staff distributed across Program Offices

Our Citizen Archivist initiative received the Walter Gelhorn Innovation Award from the Administrative Conference of the United States in December 2012. Ash Center for Democratic Governance and Innovation at Harvard named it a Top 25 program in the Innovations in American Government Award in May 2013.

The portal for NARA's crowd sourcing activities invites public participation in tagging, transcription, editing articles, uploading images, and contests.

An Overview of the Challenges Facing NARA

James Madison said, "The advancement and diffusion of knowledge is the only guardian of true liberty." That belief underscores the National Archives' relevance to the world today and is fundamental to our work and to the President's commitment to openness and transparency. To keep democracy healthy and vibrant, we believe strongly that information must be circulated and made available for use by as many people as possible.

We believe NARA's role in ensuring openness and an informed citizenry has never been more important than it is today. In meeting our mission, we wrestle with the challenges of preserving and providing access to a collection that includes roughly 12 billion sheets of paper, 42 million photographs, miles of video and film, and more than 520 Terabytes of electronic records. At the same time, we strive to make that content discoverable and bring it to where citizens are most likely to find and use it.

Shortly after celebrating the National Archives 75th birthday, we turned our attention to how to transform the agency for the next 75 years so that it is better aligned to serve the changing needs of customers today and in the future. Our largest challenge 75 years ago was in finding the records and bringing them together in one place. Today, our challenges center on the sheer volume, rapid changes in technology, and evolving expectations of the public. To put our challenges in context, consider that at the end of FY 1985 (when NARA became an independent agency), we had a staff of 3,096 and archival holdings of 1,470,224 cubic feet. Since then, our staff has increased by 76, to 3,172, and our archival holdings have increased by 3,139,004 cubic feet, to 4,619,228 cubic feet. During this period we also staffed four additional Presidential Libraries, the Information Security Oversight Office, and the Office of Government Information Services.

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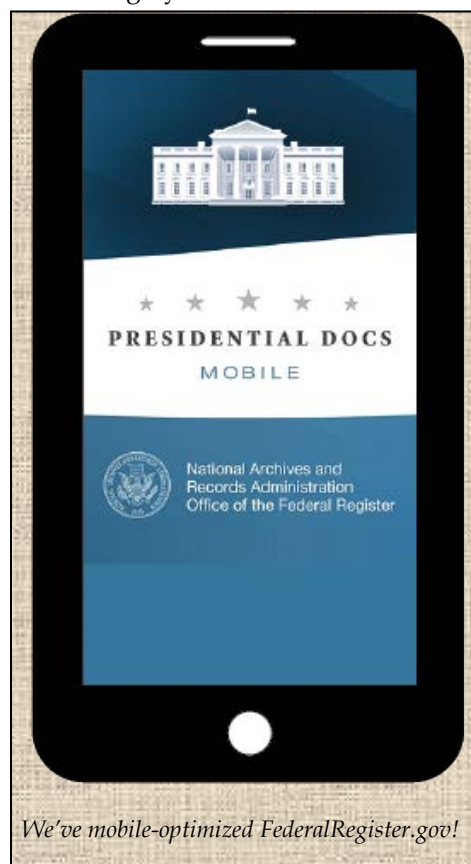
Three years ago, NARA began a multi-year process of transformation that is resulting in an organization better aligned to serve our customers. As we better understand our customers' needs through new perspectives afforded us by a realigned organization, we increasingly seek opportunities to communicate more efficiently and effectively with the public—to learn from our customers—to help us more effectively deliver information when and where they need it, and through their communications channel of choice. Government agencies also depend on NARA's records management leadership to help solve the complexities of ensuring that their permanently valuable agency records are identified and transferred to NARA's legal custody and protection.

As the volume and complexity of government data continues to grow and the electronic formats in which records are created continue to proliferate, the challenges we face to achieve our core goals increase. Below are our most pressing challenges:

- Fulfilling our leadership role in the electronic records environment, and in collaboration with the Administration through a Presidential Memorandum for Managing Government Records (November 28, 2011), a Records Management Directive (August 24, 2012), and guidance on a new approach to managing email records (NARA Bulletin 2013-02, August 29, 2013). NARA is playing a vital role in building a framework for Federal records management in the 21st century. We must continue to identify and address the deficiencies that compromise effective records management across the Federal Government, because this work is fundamental to providing access to the essential information documenting the rights of American citizens and the actions of their government.

- We must tackle storage and space issues that challenge us in housing and preserving historically valuable records transferred to our custody. Preservation challenges, which are a fact of life in an archival institution, are growing in number and
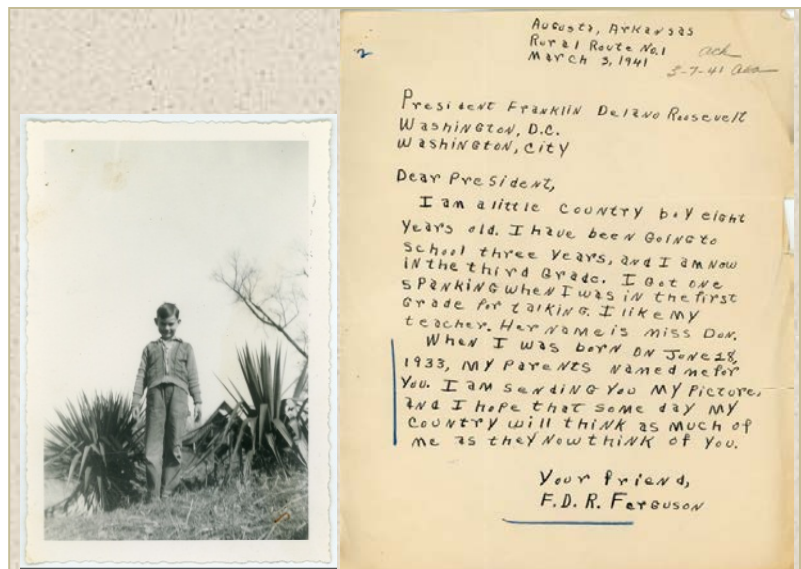
Sherri DeCoursey found a surprising piece of her father's history at the Franklin D. Roosevelt Presidential Library. Sherri's father, Forest Delano Roosevelt Ferguson, had been named after President Roosevelt. In 1941 when he was just eight years old, he wrote a letter to the President. For many years, Mr. Ferguson kept the reply he received from President Roosevelt's secretary, Missy LeHand, in a frame along with a picture of President Roosevelt.

Sherri pondered, "What would an eight-year-old write to the president?" Her father, now 80 years old, could not recall exactly what he wrote. The mystery of what was in the correspondence propelled Sherri to search for her father's original letter. Sherri emailed staff at the FDR Presidential Library to see if they could help. In less than two weeks, she received an email with a copy of her father's original letter to the President along with a copy of a picture of her father that he had enclosed with the letter to the President. Sherri surprised her father with the documents she recovered. He was flabbergasted that the FDR Library had retained his correspondence for seventy-two years.

complexity. We face new facility and technological challenges in preserving paper, electronic, special media, and artifacts.

- Storage and preservation needs must be balanced with our continuing need for vigilance in protecting our holdings, balancing the need for access to the holdings with the need to secure them. As the variety of media we protect changes, we must constantly adapt our understanding of how to best secure information, protect the integrity of the content, and ensure that any restrictions on use are met so that the records may be used promptly and easily now and in the future.

- While we strive to put more of our holdings online, we need to rapidly accelerate our innovation activities and culture, supporting innovation in public access delivery and demonstrating leadership in the archival and information access field. This challenge includes the timely processing of permanent records (regardless of format) as they are transferred to us, innovations in description and tagging so the public can find the records they need, and security solutions that protect the integrity and reliability of electronic information. Creating an information technology infrastructure that can support our vision, and boldly and smartly moving some projects to the cloud as we did with the 1940 Census are among the solutions to this challenge.

- As we transition from an institution that manages information in primarily a physical format to one that also manages large volumes of information in an electronic format, we must focus on revising our processes and redefining our work force competencies to meet the evolving expectations of all those we serve.

- The Federal Government is producing increasing volumes of "big data," and there is a growing demand for it from the public, in educational and research institutions, and in the commercial sector. "Big data," by definition, refers to data sets whose size is beyond the ability of typical software tools to capture, store, manage, and analyze. The National Archives has to move to the forefront of this issue, as Federal agencies expect us to store and preserve their "big data" sets, and the public expects us to quickly deliver that data in accessible formats, for their immediate use and re-use.

Some challenges are easily overcome and an organization can move on to the next one. Others require longer term solutions, or will remain through the life of the organization. In an appendix, NARA's Inspector General has identified ten challenges that reflect many of the themes identified by NARA management.

Arlington Cemetery

A deceased U.S. Army World War II veteran, who would have otherwise gone unrecognized, will have a burial with full military honors at Arlington Cemetery in 2014. Odis Fredrick Quick (1916-2013) died in a hospice in mid-May. Prior to his death, Odis attempted to contact his only known relatives, but was unsuccessful. His body was taken to the Cunningham Funeral Home in Alexandria, VA, and remained there from mid-May until mid-August when a neighbor voluntarily provided assistance.

Rod Ross, an archivist in the Center for Legislative Archives, lives in the same building where Odis lived prior to hospice care. Rod did not know Odis very well. However, when Rod learned that Odis was a veteran and had not received a proper burial, he took on the responsibility of finding the necessary documentation to satisfy the Veterans Administration (VA) so that Odis could have a military burial. Rod contacted fellow NARA employee Bill Seibert, Chief of Archival Operations at the National Archives in St. Louis. That same day, Bill faxed Rod the appropriate paperwork to prove to the VA that Odis was entitled to veteran's funeral benefits.

The records needed to confirm that Odis was eligible for veteran's benefits were no longer held by the National Archives. A fire in 1973 destroyed a major portion of the Army military personnel records for the period 1912 through 1959. However, through alternative records sources, the National Archives was able to provide a partial reconstruction of Odis' service record, who in 1942 was commissioned a 2nd lieutenant in the U.S. Army. In 2014, Odis will receive a 21-gun military send-off. There will be a funeral service in the chapel of nearby Fort Myer, and then the urn with Odis' ashes will be taken to Arlington's columbarium.

Performance Highlights
Using the National Archives and Records Administration in FY 2013

Every day, thousands of people use NARA's records and services in multiple ways. Among these people are educators and their students at all levels, a history-minded public, veterans and their families, family historians, the media, the archival community, Federal employees and the Congress, and a broad spectrum of professional associations and researchers in fields that include political science, law, history, library and information services, and genealogy. The following table displays some of the ways our users interacted with NARA in FY 2013.

	Researcher Visits	Written Requests	Public & Education Program Attendees	Exhibit/ Museum Visitors	Online Visits
Federal Register	–	1,153	232	–	293,609,316
Legislative Archives	–	803	–	–	–
National Personnel Records Center	–	1,010,083	–	–	–
Nationwide Records Mgmt Training	–	–	2,582	–	–
National Archives at Anchorage	551	300	299	0	–
National Archives at Atlanta	3,513	1,883	5,309	7,836	–
National Archives at Boston	4,492	2,630	2,827	1,578	–
National Archives at Chicago	2,785	2,743	892	155	–
National Archives at College Park	49,188	21,761	5,988	0	–
National Archives at Denver	1,956	380	898	0	–
National Archives at Fort Worth	3,359	2,293	9,790	0	–
National Archives at Kansas City	2,847	3,328	6,908	2,987	–
National Archives at New York	3,484	2,487	7,676	1,801	–
National Archives at Philadelphia	1,918	1,246	2,640	0	–
National Archives at Riverside	1,763	2,167	468	0	–
National Archives at St. Louis	2,853	99,845	1,308	0	–
National Archives at San Bruno	2,274	2,787	181	150	–
National Archives at Seattle	1,983	1,226	1,684	146	–
National Archives Building (DC)	20,682	6,923	**43,410	823,634	–
Totals	**103,648**	**1,164,038**	**93,092**	**838,287**	**–**
Presidential Libraries					
Hoover	391	1,093	20,792	46,023	311,910
Roosevelt	1,067	1,933	23,574	123,087	579,632
Truman	684	2,226	45,143	64,413	2,791,590
Eisenhower	1,396	3,004	40,978	175,947	784,025
Kennedy	1,250	5,111	25,394	254,622	3,481,987
Johnson	1,609	3,282	30,499	126,508	1,832,179
Nixon	1,444	1,404	17,630	67,895	1,049,527
Ford	512	1,054	22,548	320,930	1,179,954
Carter	617	659	16,335	53,048	611,420
Reagan	942	550	55,881	426,344	1,596,677
Bush 41	507	1,083	201,017	142,412	1,007,358
Clinton	130	1,355	221,002	321,225	795,723
Bush 43	41	856	9,778	232,856	1,596,469
Presidential Library Other***	–	149	–	–	883
Presidential Libraries Total	**10,590**	**23,759**	**730,571**	**2,355,310**	**17,619,334**
Archives.gov	–	–	–	–	29,351,833
Our Documents.gov	–	–	–	–	2,631,466
GRAND TOTAL	**114,238**	**1,187,797**	**823,663**	**3,193,597**	**49,602,633**

* Measurement methodology for counting *Online Visits* for *Federal Register* documents differs from other *Online Visits* counts. *Federal Register* Online Visits are not included in table totals.

** *Public Programs Attendees* for the National Archives Building in Washington, DC, includes all Washington, DC, area programs.

*** *Presidential Library Other* covers general requests to the Office of Presidential Libraries and Presidential Materials Staff, and visits to Clinton websites hosted centrally.

Performance Overview

We break down our strategic goals into long-range performance objectives and set annual targets and goals in our Annual Performance Plan each year. The following chart provides a synopsis of our FY 2013 performance. Highlights of some of this year's major accomplishments under each strategic goal follow the chart.

Snapshot of 2013 Performance

Strategic Goal 1: Managing the Government's Records
Results: We met 1 out of 2 performance measures (1.1 and 1.2 data not yet available)

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.

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.

Performance Indicator	2008 Actual	2009 Actual	2010 Actual	2011 Actual	2012 Actual	2013 *Target*	2013 Actual
Percent of agencies achieving a passing score for compliance with Federal records management policy	–	22	6	10	20	–	–
Percent of Federal agency customers that are highly satisfied with NARA records management services	–	81	–	–	–	–	–
Percentage point growth in records management transactions in the Federal Records Centers	–	–	2.3	1.6	1.1	*1*	1.9
High Priority Measure: Percent of requests for military personnel records answered in 10 working days or less (target 85 percent by 2012)	72	70	70	77	73	*85*	68

We are working diligently to meet the goals set in Managing Government Records Directive, issued by OMB and NARA last year to modernize the management of Government Records and reform records management policies and practices in the Federal Government, with an emphasis on managing electronic records. An important element in helping the Executive branch reform records management policies and practices for the 21st century, we developed a new records management approach, known as "Capstone," to provide agencies with a practical solution for electronically managing their Federal record emails. The Capstone approach provides agencies with a method for managing both permanent and temporary email records that would capture as permanent records the emails of those in an agency most likely to create or receive permanent records, for example, officials at a high level in an agency. All other email accounts would be assessed as temporary records. This is one approach that allows agencies to comply with the requirement to manage all email in an accessible format by December 31, 2016.

We continued our program for agency self-assessments of Federal records management programs, targeted inspections by NARA staff, and reporting standards for making public our findings. To allow agencies more time to incorporate the results of their mandatory self-assessments, we have moved to a bi-annual self-assessment process. The next self-assessment will be conducted in FY 2014. We recently released the results of the fourth annual self-assessment for FY 2012, which was conducted June through October 2012. The 2012 report *Records Management Self-Assessment 2012: An Assessment of Records Management Programs in the Federal Government* can be found at *http://www.archives.gov/records-mgmt/resources/self-assessment-2012.pdf*. The results of each year's assessment are used to identify key areas to target for inspection.

In 1973, a massive fire destroyed millions of records in the National Personnel Records Center in St. Louis, MO. Staffer Donna Judd spends each day carefully searching for valuable information for veterans in the documents left burned and brittle. Veterans need these records—often urgently—to claim health benefits, receive medals, or secure a military burial. About 250 records arrive in her office every week. Judd and another staff member, Jeannette Crowder, and three part-time staff members Wanda Dalton-Devore, Quintin Braggs, and Carol Berry processed more than 11,000 records last year.

Judd's careful work has rewards. One single request for a record once yielded documents for 12 separate soldiers. These veterans, who may have been told in the past that their files were lost in the fire, can now request successfully their valuable service records. For Judd, the importance of her work each day goes beyond the challenge of carefully handling a crumbling document. "You have to have people who care about the records," says Judd, "but you also have to have people who care that the vets who served this country get what they deserve."

Key findings from the 2012 are that many agency records management staff are participating in the design and development of electronic systems, working on issues related to electronic records, a positive sign that records management issues, particularly as they relate to electronic records, are being addressed early in the process of system development. However, many agencies still lack a clear understanding of internal controls and the need to test them regularly to assess effectiveness. NARA recommendations, which are part of the report, are targeted at executive actions to improve records and information management in Federal agencies.

Timely responses to requests from our customers are important to NARA. Our Federal Records Centers fulfilled agency reference request on time 95 percent of the time. 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 has been an agency high priority goal for us for several years. Despite our best efforts, and the upgrade of our case management system, we failed to achieve our target of 85 percent of military personnel records responded to within 10 working days. Instead, we responded to 68 percent within 10 working days and experienced a slight drop in customer satisfaction. A continuing challenge is reconstructing service records from World War II and Korean War records that were lost or damaged in a 1973 fire in St. Louis. We rebuild these records from other sources upon request, but it is a time-intensive effort, often taking months to reconstruct a single record. We took some steps to improve the timeliness of our internal processes for non-fire related holdings. If we look at only at our responsiveness to military separation requests (DD-214s), we answered 95 percent in 10 working days or less.

Strategic Goal 2: Preserve and Process the Nation's Records
Results: We met 6 out of 7 performance measures.

Goal 2: *We will preserve and process records to ensure access by the public as soon as legally possible*

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 2016, 90 percent of agency declassification programs earn high scores as assessed by 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.

Performance Indicator	2008 Actual	2009 Actual	2010 Actual	2011 Actual	2012 Actual	*2013 Target*	2013 Actual
Percent of transfers of targeted archival records received on time (electronic only for FY 2012)	40	21	27	20	37	*35*	25
Percent of archival holdings that have been processed to the point where researchers can have efficient access to them	30	41	47	53	60	*65*	65
Percent of agency declassification reviews that receive high scores as assessed by ISOO	36	53	67	81	94	*90*	100
Number of pages completing quality assurance for declassification processing (in millions) since January 1, 2010	–	–	–	108	202	*300*	302
High Priority Measure: Percent of NARA archival holdings in appropriate space (target 85 percent by 2012)	73	70	71	78	94	*83*	95
High Priority Measure: Percent of NARA records center holdings in appropriate space (target 85 percent by 2012)	–	–	59	65	80	*90*	97
Number of cubic feet of holdings treated this fiscal year (in thousands)	125	116	110	79	107	*65*	98

Our commitment to ensuring access to the records of our nation depends heavily on getting the records transferred from agencies to NARA on schedule. In FY 2013, we shifted to fully integrating our Electronic Records Archives (ERA) into our business processes for transferring records to NARA. This transition promotes a more controlled environment over transfer requests and makes it possible for agencies and NARA to follow each step of the accessioning process in ERA. To accommodate this business process shift, NARA staff assisted agencies in preparing transfer documentation for direct offers of permanent electronic records.

We continue to aggressively address our backlog of unprocessed records and met our target again this year. 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 records has improved from 30 percent in FY 2008 to 65 percent in FY 2013, the processing backlog of textual and audiovisual records has grown over the decades, and is an ongoing problem for all archival institutions. One of the methods we are using to process the backlog more quickly is to perform only enough description of the holdings that their physical location and basic information about their content is captured, enabling researchers to efficiently locate the holdings. The processing of Presidential records differs from processing Federal records because of requirements in *Deeds of Gift,* the *Presidential Recordings and Materials Preservation Act*, and the *Presidential Records Act*. These legal authorities require 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 continue to make steady but slow progress in the processing of our backlog of Presidential records.

Inside NARA's electronic records data center.

Since the issuance of Executive Order 13526, which directed NARA to establish and lead a National Declassification Center (NDC), we have been working diligently to promote collaboration among agencies to expedite the review and declassification of 25-year old and older classified records. We have improved our metrics and data analysis and continue to hone our January 1, 2010, backlog from an initially estimated 400 million pages to about 354 million pages. We performed end-to-end tracking on the new backlog, with more than 302 million pages completing the quality assurance process since January 1, 2010. Our biggest challenge continues to be our work with agency partners and the Department of Energy to address the page-level review mandated for all documents lacking Kyl-Lott certification for the identification of Restricted Data/Formerly Restricted Data. The lack of proper documentation affects nearly half of the remaining backlog. We continue to identify collaborative approaches to address this problem.

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 National Archives at Atlanta. 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.

NARA Staffers Courtney Egan and Deon Hankins discuss the challenges of preserving audio and video collections with a visitor at the second annual Preservation EXPOsed, held March 14, 2013, at the National Archives Building in Washington, DC.

The renovation of the aging Franklin D. Roosevelt Library was completed this year without interruption to researchers and visitors. The completed renovations provide environmentally appropriate, safe, and secure space for the long-term care of archival and artifact collections. The renovation also improves conditions for the staff, researchers, and visitors and helps to increase productivity and satisfaction of the facility as a place for work and research.

The National Archives Experience Phase II is needed to improve visitor flow and access to the exhibits and create space for a new exhibit gallery, *Freedom Hall* (David M. Rubenstein Gallery), at the National Archives in Washington, DC. This gallery will create the opportunity for visitors to connect our country's 18th century struggle for liberty with our world today. This year we made substantial progress toward the completion of the David M. Rubenstein Gallery and the Visitor Orientation Plaza infrastructure to support the installation of exhibits managed by the Foundation for the National Archives. We expect to open the gallery in early FY 2014.

NARA's mission is rooted in preserving and providing access to the permanent records of the Federal Government—now, and in the future. About 53 percent of NARA's textual and non-textual records need some type of preservation action, ranging from conservation to re-foldering or reboxing. We regularly examine our holdings to assess their preservation needs, provide storage conditions that retard deterioration, and treat, duplicate, or reformat records that need immediate action. As noted earlier, storing records in appropriate space is the most fundamental step we can take to preserve records. In FY 2013, we treated nearly 98,000 cubic feet of holdings needing preservation action, exceeding our target of 65,000 cubic feet.

Despite the energy-intensive mission of preserving America's documentary heritage within strict temperature and humidity parameters, we consistently exceed all goals to decrease energy use per square foot, decrease potable water use per square foot, establish inventories of direct and indirect GHG emissions, and increase renewable energy use. Our FY 2013 scorecard on sustainability and energy performance reflects this commitment. We have

already met our scopes 1 and 2 greenhouse gas reduction goals well ahead of the 2020 target date. We achieved a 27.3 percent energy reduction this year alone.

Strategic Goal 3: Managing Electronic Records

Results: We met 2 out of 2 performance measures (1 measure under development).

Goal 3: We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.
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 2016, 80 percent of archival electronic records are preserved according to plan *(measure under development)*. 3.3: By 2016, the per-megabyte cost of managing archival electronic records through Electronic Records Archives (ERA) continues to decrease each year.

Performance Indicator	2008 Actual	2009 Actual	2010 Actual	2011 Actual	2012 Actual	*2013 Target*	2013 Actual
Percent of archival electronic accessions processed	86	88	88	83	87	*88*	89
Per megabyte cost of managing electronic records decreases each year	$0.39	$0.36	$0.15	$0.12	$0.03	<$0.03	$0.03

We must guarantee the continuing accessibility of permanent electronic records of all three branches of our Government despite the fact that the volume, variety, and complexity of records coming to the National Archives is increasing. Our Electronic Records Archives (ERA) was created to help address this changing environment.   We understand that the public expects government information and services to be available online and delivered through their channel of choice. To meet these expectations, our holdings must be preserved, available, and accessible by the public online.

ERA, now in an operations and maintenance phase, became mandatory for Federal agency use in scheduling records and transferring permanent records to NARA on October 1, 2012. Throughout the year, we continued improving the operational performance of ERA and reduced the footprint of some of our production systems by moving them to the cloud. We are using customer feedback to improve the user experience.
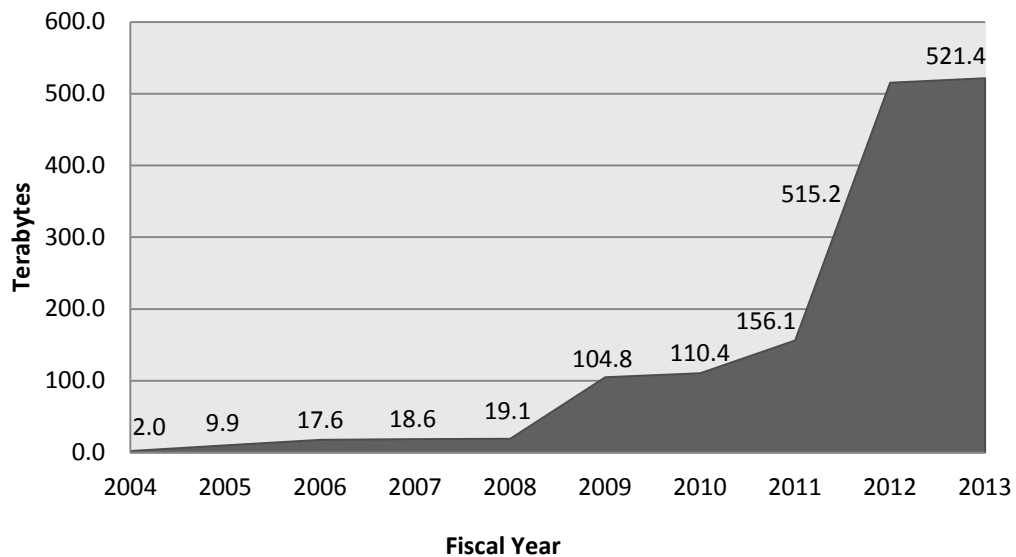
NARA's Electronic Holdings

Figure 2. Growth in Total Electronic Holdings Managed by NARA

Strategic Goal 4: Providing Access to Records

Results: We met 6 out of 8 performance measures

Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime.
4.1: By 2016, NARA customer service standards for researchers are met or exceeded (4 measures). 4.2: By 2016, 1.4 percent of archival holdings are available online (1 measure). 4.3: By 2016, 95 percent of archival holdings are described in an online catalog (3 measures). 4.4: By 2012, our web sites score at or above the benchmark for excellence as defined for Federal Government web sites (expired).

Performance Indicator	2008 Actual	2009 Actual	2010 Actual	2011 Actual	2012 Actual	2013 Target	2013 Actual
Percent of written requests answered within 10 working days.	94	95	93	95	97	*94*	97
Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	93	93	96	97	98	*95*	98
Percent of Freedom of Information Act requests for Federal records completed within 20 working days.	89	86	89	89	83	*90*	83
Percent of online archival fixed-fee reproduction orders completed in 20 working days or less	68	90	96	96	95	*93*	93
Percent of traditional archival holdings available online	0.04	0.04	0.6	0.8	1.2	*1.2*	1.2
Percent traditional holdings in an online catalog	71	73	72	74	81	*85*	83

Percent artifact holdings in an online catalog	65	80	74	78	88	*85*	95
Percent electronic holdings in an online catalog	98	95	96	96	87	*85*	93
NARA web sites scores as percent of benchmarked score for other Federal web sites (expired in 2012)	66	69	74	72	71	*N/A*	N/A

Through a variety of means we work to make the information we manage discoverable by the public as soon as possible. That means the public can at least find a description about our holdings in an online catalog. It may also mean that records are available online. One indication of the quality and interest in the information we provide is the number of visits to our web sites—nearly 50 million visits in FY 2013. Through partnerships and collaborative efforts, we continue to increase the number of digital records available to the public through our online public access portal of NARA's nationwide holdings. The portal delivers the descriptions of 83 percent of our traditional holdings, representing nearly 3.7 million cubic feet of archival records. To date, we have received more than 90 million digital objects from partners.

Isabel Van Dyke @IsabelVanDyke — 18 Sep
@USNatArchives What document do you have that you can't believe is really there? Like, "Am I seriously holding this?" #AskACurator
Details

US National Archives @USNatArchives
.@isabelvandyke I had that moment with the Articles of Confederation, our first constitution. I held it briefly in the conservation lab!
Reply   Delete   Favorite   More
2:19 PM - 18 Sep 13

The National Archives joined hundreds of museums across the world on September 18 for #AskACurator on Twitter. Alice Kamps and Jen Johnson represented the curatorial staff in Washington, DC, and answered all kinds of questions from the oddest object they had ever found to their career paths.

New social media venues continue to serve as excellent tools for making the information we manage discoverable by the public in online places they frequent. These tools also provide ways to communicate and deliver timely information to the public and find out what the public is interested in; we see these efforts as a way to be responsive to the call for open government.   In FY 2013, we welcomed back our Wikipedian-in-Residence in a new permanent position to help us make NARA information and records discoverable in Wikipedia, a place many people look for answers or to start research. Since the beginning of that collaboration in 2010, we have added nearly 130,000 digital copies of our holdings to Wikimedia Commons. Wikipedia pages that contain NARA images have been viewed more than 1.2 billion times in FY 2013 alone.

The Digital Public Library of America (DLPA) officially launched in April 2013. This collaboration with state and regional digital libraries and several large cultural institutions, including the National Archives, the Smithsonian, the New York Public Library, and Harvard University, provides online access to millions of digital images. To date, we have contributed more than 1.9 million digital objects to the DPLA platform.

We continued to provide outstanding customer service exceeding our FY 2013 targets in each area. To date, we met or exceeded our targets for written requests received from customers answered within 10 working days (97 percent); items requested in our research rooms provided within one hour of the request (98 percent); and online orders completed within 20 working days (93 percent). We fell short of meeting our target of Freedom of Information Act (FOIA) requests for Federal records completed within 20 working days (83 percent), due to a larger than usual number of FOIAs against some newly accessioned records.

Strategic Goal 5: Increasing Civic Literacy
Results: We met 2 out of 2 performance measures.

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.

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.

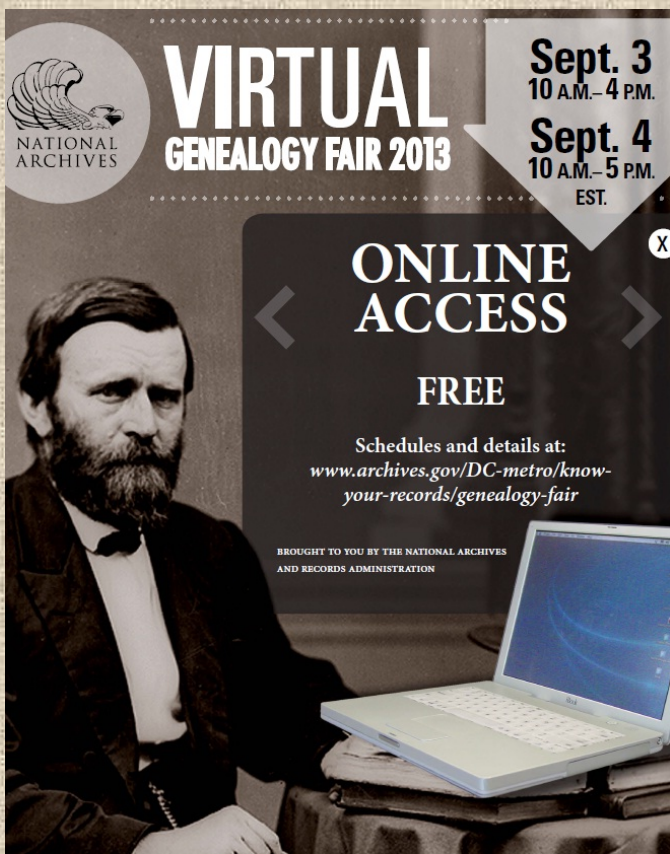| Performance Indicator	2008 Actual	2009 Actual	2010 Actual	2011 Actual	2012 Actual	*2013 Target*	2013 Actual
Percent of NARA public program visitors satisfied with their visit experience	100	99	99	99	100	*88*	98
Percent of NARA education program visitors satisfied with their visit experience	–	–	–	–	–	*88*	100
Percent of NHPRC-assisted grants produce the results required	81	82	92	84	89	*85*	91

The National Archives plays a unique and important role in the promotion of civic literacy. As the nation's recordkeeper, 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. 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 through our websites. To reach new audiences and disseminate timely information, Libraries continue to increase 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.

DocsTeach, one of our highly successful open government initiatives, is an award-winning 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 provides all teachers with access to primary sources, instruction in best practices, and opportunities to interact with teachers across the nation. In addition, teams of NARA education specialists often participate in national conferences and host sessions to 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.

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. In FY 2013, we exceeded our target with 91 percent of all grants successfully producing the results required.

Founders Online, a multi-year undertaking to place online more than 170,000 historical documents from the nation's Founding Era, successfully launched in FY 2013. When completed in FY 2015, the

In September, NARA held its ninth annual genealogy fair, but with a new twist. Due to severe budget cutbacks, NARA was challenged with figuring out how to host a popular event for the genealogy community despite limited resources. As a result, this year's fair was hosted online instead of onsite. During the 2013 fair, attendees were able to remotely interact with live presenters using the website UStream, submit questions through a chat function, contact Archives staffers by phone, and communicate using Twitter. Also, recorded sessions are available online for repeat viewing (http://www.archives.gov/dc-metro/know-your-records/genealogy-fair/).

The 2013 online fair, held for two days, drew virtual attendants of approximately 5,500 total daily views and more than 3,000 unique viewers. The 2012 onsite fair drew approximately 850 in-person one-day attendants to tents outside the National Archives building in Washington. The decision to host a virtual fair confirmed that austerity can sometimes breed innovation. It also saved the agency and the National Archives' Foundation a significant amount of money. The cost to host the online conference was about $3,000, compared to $60,000 to host the fair onsite. NARA is considering expanding this online fair into a larger genealogy training program.

public will be able to access the full, annotated transcriptions of the papers of John Adams, Benjamin Franklin, Alexander Hamilton, Thomas Jefferson, James Madison, and George Washington. Our principal partner, the University of Virginia, launched a public website at www.founders.archives.gov to make available the first of those papers.

Strategic Goal 6: Developing our Infrastructure
Results: We met 4 out of 5 performance measures

Goal 6. *We will equip NARA to meet the changing needs of our customers.*							
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 applications are available 99 percent of the time.							

Performance Indicator	**2008 Actual**	**2009 Actual**	**2010 Actual**	**2011 Actual**	**2012 Actual**	*2013 Target*	**2013 Actual**
Percent of NARA positions with competency models	–	–	–	–	42	*85*	87
Number of underrepresented groups matching targets for respective availability levels in the CLF (out of 8)	3	3	3	4	3	*8*	3
Percent of NARA's positions filled within 80 days	–	–	12	10	27	*40*	40
Percent of NARA's eligible staff participating in the telework program	–	–	16	23	32	*30*	32
Percent of public applications availability	99.5	99.5	99.7	99.5	99.1	*98.88*	99.8

FY 2013 proved to be a challenging year for our staff, as it was in most agencies, as we reprioritized activities and spending to meet reduced resource targets. Staff continued to transform the agency, using the set of six transformation goals as guideposts. Minor adjustments were made to the complete restructuring of the organization, which took place in FY 2011. Most notably, we stood up an Office of Innovation, to lead NARA's efforts to create innovative ways to serve its customers and to increase access to and delivery of records through all forms of media. 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.

Linking Our Budget to Our Objectives

The chart links the major budget functions to each of our long-term objectives.

NARA Goals and Long-Term Objectives	Leg Arch, Pres Libs, & Mus Servs	Research Services	Agency & Related Services	Facility Operations	NHPRC	Repairs & Restoration	Revolving Fund	Trust Fund
Strategic Goal 1: Our Nation's Record Keeper								
1.1: By 2016, 50 percent of agencies' records management self-assessments received by NARA.			✓					
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.	✓							
Strategic Goal 2: Preserve & Process								
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 2016, 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 2016, 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.	✓	✓						
Strategic Goal 3: Electronic Records Challenges								
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 2016, 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.	✓	✓	✓					
Strategic Goal 4: Access								
4.1. By 2016, NARA customer service standards for researchers are met or exceeded.	✓	✓	✓					
4.2. By 2016, 1 percent of archival holdings are available online.	✓	✓	✓					
4.3. By 2016, 95 percent of archival holdings are described in an online catalog.	✓	✓	✓					
Strategic Goal 5: Civic Literacy								
5.1. By 2016, 90 percent of NARA's visitors are satisfied with their visit experience.	✓	✓						✓

NARA Goals and Long-Term Objectives	Leg Arch, Pres Libs, & Mus Servs	Research Services	Agency & Related Services	Facility Operations	NHPRC	Repairs & Restoration	Revolving Fund	Trust Fund
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.					✔			
Strategic Goal 6: Infrastructure								
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.			✔				✔	

Financial Highlights

The financial statements presented in this report have been prepared from NARA accounting records in accordance with the generally accepted accounting standards prescribed for Federal entities by the Federal Accounting Standards Board (FASAB) and with the Office of Management and Budget (OMB) Circular A-136, *Financial Reporting Requirements*.

Sources of Funds

NARA operations are funded through annual, multi-year and no-year appropriations, revenues collected through the Records Center Revolving Fund and the National Archives Trust Fund, and gifts received through the National Archives Gift Fund.

In total, NARA received $695 million in budgetary resources in FY 2013, of which 57 percent were appropriations for Archives and Records Management Activities and 32 percent were revenues from Revolving Fund Records Center and Storage Services (see Figure 3). Total budgetary resources include current year funding, spending authority from offsetting collections, recoveries of prior year unpaid obligations, and unobligated balances carried forward.

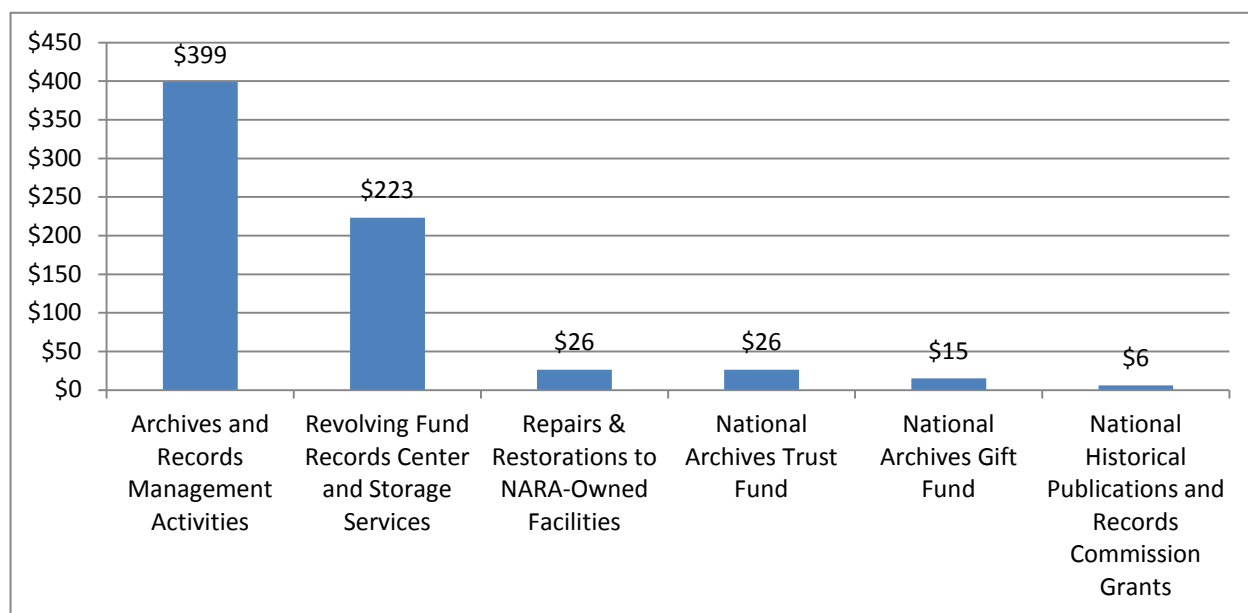**FY 2013 Total Budgetary Resources by Program**

(in millions)

Figure 3. Total Budgetary Resources, FY 2013

Archives and Records Management Activities, *NARA Operating Expenses appropriation,* provides for the costs of records services, the Electronic Records Archives (ERA) services and operations of the information system, archives-related services, and payments of principal and interest for the financing of the National Archives building at College Park. Records services activities include describing, preserving, and making publicly available the historical records of the Federal Government, including Presidential records, and helping other Federal agencies to fulfill their records management responsibilities. Archives-related services

provide for the publication of the daily **Federal Register** and the **Code of Federal Regulations,** and satisfy other statutory requirements.

Revolving Fund, Records Center and Storage Services, generates revenue by storing and servicing temporary Federal records on behalf of other Federal agencies, on a cost-reimbursable basis. The Federal Records Center program stores, references, and ultimately disposes of temporary Federal records for a standard fee. In FY 2013, the Revolving Fund earned revenue of $178 million, after intra-entity eliminations.

Repairs and Restoration appropriation provides for repair and improvements for NARA-owned facilities and Presidential Libraries nationwide.

National Archives Trust Fund generates revenues through the sale of publications and reproductions of historical documents, museum shop sales, admissions to Presidential libraries, training events, and interest income (44 U.S.C. 2116). Expenditures support inventory replacement, personnel, information systems, and reproduction equipment and supplies. The National Archives Trust Fund earned revenue of $21 million in FY 2013.

National Archives Gift Fund administers conditional and unconditional gifts and bequests to NARA (44 U.S.C. 2305). Expenditures provide for historical research, archival and cultural events, and other programs which support the archival and records management activities of the National Archives. In FY 2013, the Gift Fund received donations of $11 million, including an endowment of $10 million for the George W. Bush library.

National Historical Publications and Records Commission administers grants to preserve and publish historical records of State and local governments and private institutions.

Audit Results

NARA FY 2013 financial statements were audited by Cotton and Co. under contract to the NARA Office of the Inspector General. NARA received an unqualified audit opinion on its FY 2013 and FY 2012 financial statements with no material weaknesses noted.

Limitations of the Financial Statements

The principal statements have been prepared to report the financial position and results of operations of NARA, pursuant to the requirements of 31 U.S.C. 3515 (b). The statements have been prepared from NARA's books and records in accordance with generally accepted accounting principles (GAAP) for Federal entities and the formats prescribed by the Office of Management and Budget; however, the statements are additional to the financial reports used to monitor and control budgetary resources, which are prepared from the same books and records. The statements should be read with the realization that they are for a component of the U.S. Government, a sovereign entity.

Financial Statement Highlights

NARA's financial statements summarize the financial activity and financial position of the agency. The financial statements, footnotes, supplementary information, and supplementary stewardship information appear in Section III - Financial Section. An analysis of the principal statements follows.

	FY 2013	FY 2012	Increase/ (Decrease)	% Change
Balance Sheet				
Fund Balance with Treasury and cash	$ 189	$ 218	$ (29)	-13%
General property, plant and equipment, net	305	378	(73)	-19%
Investments	58	46	12	26%
Accounts receivable, net	20	15	5	33%
Inventory and Other assets	2	2	0	0%
Total Assets	$ 574	$ 659	$ (85)	-13%
Debt held by the public	135	152	(17)	-11%
Accounts payable	34	47	(13)	-28%
Federal employees benefits	12	11	1	9%
Environmental and disposal costs	6	0	6	100%
Other	25	25	0	0%
Total Liabilities	$ 212	$ 235	$ (23)	-10%
Unexpended appropriations	126	158	(32)	-20%
Cumulative results of operations	236	266	(30)	-11%
Total Net Position	$ 362	$ 424	$ (62)	-15%
Total Liabilities and Net Position	$ 574	$ 659	$ (85)	-13%
Net Cost of Operations				
Archives and Records Management Activities	$ 414	$ 437	$ (23)	-5%
Trust and gift funds	(5)	(2)	(3)	-150%
National Historical Publications and Records Commission grants	8	10	(2)	-20%
Archives facilities and presidential libraries repairs and restoration	23	20	3	15%
Records center storage and services	11	13	(2)	-15%
Net Cost of Operations	$ 451	$ 478	$ (27)	-6%

Analysis of the Balance Sheet

ASSETS: NARA's assets were $574 million as of September 30, 2013.   The reduction of $85 million resulted from a decrease in general property, plant and equipment net balance due to a drop off in capital expenditures in FY 2013, coupled with a year's worth of accumulated depreciation. The decrease in the Fund balance with Treasury is due to reduced funding and sequestration in FY 2013.

The fund balance with Treasury and cash represents approximately 33 percent of total assets. Property, plant, and equipment constitute 53 percent of total assets, with the National Archives Facility at College Park representing the greater part of the balance.

LIABILITIES: NARA's liabilities as of September 30, 2013, amounted to $212 million. A decrease of $23 million is due to the $17 million annual principal payment on the Debt held by the public and a significantly reduced base of expenditures due to the sequestration.

Debt held by the public accounts for approximately 64 percent of total liabilities and represents certificates of participation issued to the public through a trustee to cover the construction costs of the National Archives Facility at College Park.

Of the total liabilities, the amount of $158 million, or 75 percent, is unfunded, i.e., budgetary resources are not yet available as of September 30, 2013. For most unfunded liabilities, budgetary resources will be made available in the years balances are due, in accordance with OMB funding guidelines. The major elements of unfunded liabilities are $135 million for debt held by the public, $12 million for actuarial portion of Federal employee benefits, and $11 million for unfunded annual leave.

NET POSITION: The difference between total assets and total liabilities represents net position of $362 million as of September 30, 2013.

Net position is affected by changes in its two components—Cumulative Results of Operations and Unexpended Appropriations. Unexpended appropriations amount is the authority granted by Congress that has not been expended. Cumulative results of operations line reflects funding of capital needs of the agency since NARA's inception and net results of the revolving fund operations. The decrease in net position of $62 million is due mainly to the reduced budget authority due to the sequestration in FY 2013.

Analysis of the Statement of Net Cost

The statement of net cost presents the net cost of operations for NARA's five major programs, totaling $451 million for the year ended September 30, 2013. The decrease of $27 million since prior year is due largely to the reduced spending levels resulting from the sequestration in FY 2013.

Analysis of the Statement of Budgetary Resources

The statement of budgetary resources presents the sources and the status of the budgetary resources at the end of the period, as well as demonstrates the relationship of obligations to outlays. For FY 2013, NARA had budgetary resources available of $695 million, with a decrease of 3 percent over $717 million in FY 2012 due to the sequestration.
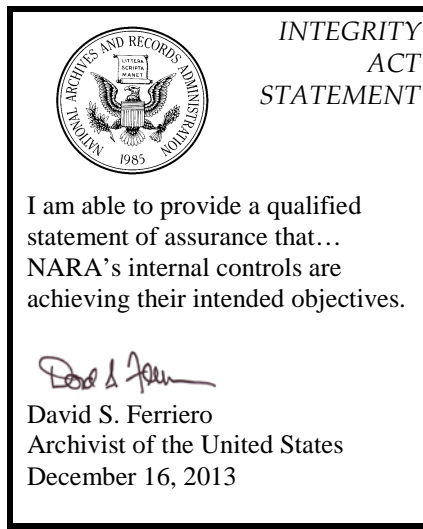
Systems, Controls, and Legal Compliance

This section provides information about NARA's compliance with the

- ▪ Federal Manager's Financial Integrity Act
- ▪ Federal Information Security Management Act
- ▪ Federal Financial Management Improvement Act
- ▪ Prompt Payment Act
- ▪ Inspector General Act

Federal Managers' Financial Integrity Act

The Federal Managers' Financial Integrity Act mandates that agencies establish controls that reasonably ensure that (i) obligations and costs comply with applicable law; (ii) assets are safeguarded against waste, loss, unauthorized use, or misappropriation; and (iii) revenues and expenditures are properly recorded and accounted for. This act encompasses operational, program, and administrative areas, as well as accounting and financial management. It requires the Archivist to provide an assurance statement to the President on the adequacy of internal controls. (*See appendix for NARA's FY 2013 FMFIA Report*.)

*INTEGRITY
ACT
STATEMENT*

I am able to provide a qualified statement of assurance that… NARA's internal controls are achieving their intended objectives.

David S. Ferriero
Archivist of the United States
December 16, 2013

Internal Controls Program

We have been working on developing and putting in place a more robust, comprehensive, and systematic internal control program for the agency. In FY 2013 we implemented this program for the majority of NARA offices and supplemented it with automation to support tracking and reporting on internal controls. The results are promising, and we expect the agency's internal control and risk management capabilities to mature as the program matures. The new approach to internal controls for FY 2013 has provided management with a greater level of assurance than we have had in the past.

NARA's evaluation of its internal controls for the year ended September 30, 2013, provides reasonable assurance that, except for three material weaknesses, the agency's internal controls achieved their intended objectives.

Pursuant to Section 2 of the Integrity Act, we did not identify any new material weaknesses in FY 2013. The three material weaknesses remaining at the end of FY 2013 are:

- ▪ *Holdings Protection.* Predicated upon the need to improve our security posture and controls over our holdings, this weakness was first identified in FY 2001. NARA has made significant progress in addressing this weakness through the coordinated efforts of our Holdings Protection Team and Security Division, including implementation of exit screening procedures at several facilities. We will continue to

take a risk-based approach to implement holdings protection measures outside the Washington, DC area, as well as further testing and monitoring controls put in place.

▪ *Presidential Libraries Artifact Inventory Controls.* First reported in FY 2008, the major weaknesses were identified as a need to improve our initial and re-inventory processes and cycle times and institute improved controls over our collections management IT system. Since then, almost all major actions identified by management have been completed. Remaining in FY 2014 is implementation of our new collections management database at all libraries, testing of the audit trail function within the database, and testing of our process for resolving inventory anomalies.

▪ *Archival Records Preservation.* Identified in FY 2007, the weakness was predicated on risk to our ability to maintain and manage our holdings in an appropriate physical state. We have effective programs for treating these endangered records in our conservation and special media labs and for digitizing records in all media. But, our capacity is overwhelmed by the volume of work needed. Therefore, we need renewed attention, new approaches, and possibly more resources directed to identify and then treat the collection/series or the specific items within them that are in imminent danger. In FY 2013 we began a fundamental reassessment of this area, taking into consideration a recently issued OIG follow up audit of preservation. We anticipate developing a FMFIA action plan in FY 2014, overlapping the audit report action plan where feasible, developing a realistic definition of success in this area, and then monitoring progress against the action plan until the weakness has been sufficiently managed.

During FY 2013, NARA took corrective action and downgraded one material weakness related to risks posed by the need to improve controls over resolving, responding to, tracking, and closing recommendations in a systematic, consistent, and timely manner in the area of Information Systems and Technology Security:

▪ This area was reassessed in FY 2011 and declared a Material Weakness. Since that time, we have revamped the processes associated with addressing recommendations, including application of a risk ranking methodology, and instituted metrics and measures to monitor progress. These improvements have resulted in an approach that is systematic, consistent, and timely; we closed 29 percent of open recommendations during FY 2013.

▪ While no new actions are planned for FY 2014, Information Services will establish more aggressive targets for the metrics they have put in place   As a result of these accomplishments, NARA's Management Controls Oversight Council (MCOC) voted to downgrade Information Security and Technology from a material weakness to a reportable condition. We will continue oversight and tracking of this area at the appropriate management level within NARA in accordance with OMB A-123.

Details on the three material weaknesses are found in our Federal Managers' Financial Integrity Act Report located in the Other Accompanying Information section of this report.

Federal Information Security Management Act

The Federal Information Security Management Act (FISMA) requires Federal agencies to conduct an annual self-assessment review of their information technology security program, to develop and implement remediation efforts for identified security weaknesses and vulnerabilities, and to report to OMB on the agency's compliance.

Federal Financial Management Improvement Act

As an agency subject to the Accountability for Tax Dollars Act (ATDA), NARA is not subject to the requirements of FFMIA, per OMB bulletin #14-02, *Audit Requirements for Federal Financial Statements*, and as such is not required to report separately on its compliance with FFMIA in its FMFIA reports.

Debt Management

The Bureau of Public Debt (BPD) and the US Department of the Interior's Interior Business Center assist NARA with the management of employee debts. NARA contracts with Interior Business Center for payroll services. Under this cross-servicing agreement, Interior Business Center tracks employee debts and pursues delinquent debts from NARA employees through salary offset and administrative wage garnishment.

NARA has a cross-servicing agreement with BPD for accounting services. In compliance with the Debt Collection Improvement Act of 1996, NARA actively pursues delinquent non-Federal claims, and upon request by NARA, BPD transmits delinquent claims to the US Department of the Treasury Financial Management Service (FMS) for collection cross-servicing.

Improper Payments Management

To comply with Improper Payments Elimination and Recovery Act of 2010 (IPERA), NARA completed a full program inventory and performed the risk assessment required by FY 2011 OMB Circular A-123, APPENDIX C - Improper Payments Information Act of 2002 (IPIA), as amended by IPERA, for submission to OMB. NARA did not identify any programs or activities that may be susceptible to significant improper payments and has determined that payment recapture audits would not be cost-effective at this time.

Prompt Payment Act

As our financial service provider, the Bureau of the Public Debt processes payments for NARA in accordance with the Prompt Payment Act and submits quarterly prompt pay statistics on our behalf.

Inspector General Act

We are committed to resolving and implementing open audit recommendations presented in OIG reports. Section 5(b) of the Inspector General Act requires agencies to report on final actions taken on OIG audit recommendations. This information is included in the Archivist's transmittal of the OIG semi-annual report to Congress.

NARA Facilities Span the Country

The National Archives and Records Administration administer a nationwide network of facilities, serving both the public and Federal agencies.

- Denver, CO

- Anchorage, AK
- Seattle, WA

- Laguna Niguel, CA
- Riverside, CA
- San Francisco (San Bruno), CA

- Kansas City, MO
- Lee's Summit, MO
- Lenexa, KS
- St. Louis, MO
- Valmeyer, IL

- Fort Worth, TX

- Chicago, IL
- Dayton, OH
- Fairfield, OH
- Great Lakes, IL

- Pittsfield, MA
- Boston (Waltham), MA
- New York, NY

- Philadelphia, PA
- Suitland, MD

- College Park, MD
- Washington, DC

- Ellenwood, GA
- Morrow, GA

Presidential Libraries & Museums
○ Herbert Hoover Library, West Branch, IA
○ Franklin D. Roosevelt Library, Hyde Park, NY
○ Harry S. Truman Library, Independence, MO
○ Dwight D. Eisenhower Library, Abilene, KS
○ John F. Kennedy Library, Boston, MA
○ Lyndon B. Johnson Library, Austin, TX
○ Richard Nixon Library, Yorba Linda, CA

○ Gerald R. Ford Library, Ann Arbor, MI
○ Gerald R. Ford Museum, Grand Rapids, MI
○ Jimmy Carter Library, Atlanta, GA
○ Ronald Reagan Library, Simi Valley, CA
○ George Bush Library, College Station, TX
○ William J. Clinton Library, Little Rock, AR
○ George W. Bush Library, Dallas, TX

National Personnel Records Center
Scott Levins, *Director*

National Personnel Records Center (Military and Civilian Records)
1 Archives Drive
St. Louis, MO 63138
314-801-0800

National Personnel Records Center (Civilian Records)
1411 Boulder Boulevard
Valmeyer, IL 62295
618-935-3062

National Archives at St. Louis
1 Archives Drive
St. Louis, MO 63138
314-801-0800

Office of the Federal Register
Suite 700
800 North Capitol Street, NW
Washington, DC 20001
202-741-6000

National Archives at Anchorage
654 West Third Avenue
Anchorage, AK 99501
907-261-7800

National Archives at Atlanta
5780 Jonesboro Road
Morrow, GA 30260
770-968-2100

National Archives at Boston
380 Trapelo Road
Waltham, MA 02452
781-663-0130

National Archives at Chicago
7358 South Pulaski Road
Chicago, IL 60629
773-948-9001

National Archives at College Park
8601 Adelphi Road
College Park, MD 20740
301-837-2000

Denver Federal Records Center
Denver Federal Center,
Building 48
P.O. Box 25307
Denver, CO 80225
303-407-5700

National Archives at Denver
Archival Research Room
17107 Huron Street
Broomfield, CO 80023
303-604-4740

Genealogy Research Room
17107 Huron Street
Broomfield, CO 80023
303-604-4740

National Archives at Fort Worth
Archival Research Room
1400 John Burgess Drive
Fort Worth, TX 76140
817-551-2000

Microfilm Research Room
2600 West 7th Street, Suite 162
Fort Worth, TX, 76107
817-831-5620

National Archives at Kansas City
400 West Pershing Road
Kansas City, MO 64108
816-268-8000

National Archives at New York
1 Bowling Green, 3rd floor
New York, NY 10004
212-401-1620

National Archives at Philadelphia
900 Market Street
Philadelphia, PA 19107
215-606-0100

National Archives at Riverside
23123 Cajalco Road
Perris, CA 92570
951-956-2000

National Archives at San Francisco
1000 Commodore Drive
San Bruno, CA 94066
650-238-3500

National Archives at Seattle
6125 Sand Point Way NE
Seattle, WA 98115
206-336-5115

National Archives in Washington, DC
700 Pennsylvania Avenue, NW
Washington, DC 20408
202-357-5400

Atlanta Federal Records Center
4712 Southpark Boulevard
Ellenwood, GA 30294
404-736-2820

Boston Federal Records Center
380 Trapelo Road
Waltham, MA 02452
781-663-0130

Chicago Federal Records Center
7358 South Pulaski Road
Chicago, IL 60629
773-948-9001

Dayton Federal Records Center
3150 Springboro Road
Dayton, OH 45439
937-425-0600

Fort Worth Federal Records Center
1400 John Burgess Drive
Fort Worth, TX 76140
817-551-2000

Kansas City Federal Records Center
400 West Pershing Road
Kansas City, MO 64108
816-268-8000

Kingsridge Federal Records Center
8801 Kingsridge Drive
Dayton, OH 45458
937-425-0601

Lee's Summit Federal Records Center
200 Space Center Drive
Lee's Summit, MO 64064
816-268-8100

Lenexa Federal Records Center
17501 West 98th Street, Suites 3150 & 4748
Lenexa, KS 66219
913-563-7600

Philadelphia Federal Records Center
14700 Townsend Road
Philadelphia, PA 19154
215-305-2000

Pittsfield Federal Records Center
10 Conte Drive
Pittsfield, MA 01201
413-236-3600

Riverside Federal Records Center
23123 Cajalco Road
Perris, CA 92570
951-956-2000

San Bruno Federal Records Center
1000 Commodore Drive
San Bruno, CA 94066
650-238-3500

Seattle Federal Records Center
6125 Sand Point Way NE
Seattle, WA 98115
206-336-5128

Washington National Records Center
4205 Suitland Road
Suitland, MD 20746
301-778-1600

Herbert Hoover Library
Thomas F. Schwartz, *Director*
210 Parkside Drive
P.O. Box 488
West Branch, IA 52358
319-643-5301

Franklin D. Roosevelt Library
Lynn A. Bassanese, *Director*
4079 Albany Post Road
Hyde Park, NY 12538
845-486-7770

Harry S. Truman Library
Michael J. Devine, *Director*
500 West U.S. Highway 24
Independence, MO 64050
816-268-8200

Dwight D. Eisenhower Library
Karl H. Weissenbach, *Director*
200 Southeast Fourth Street
Abilene, KS 67410
785-263-6700

John Fitzgerald Kennedy Library
Thomas J. Putnam, *Director*
Columbia Point
Boston, MA 02125
617-514-1600

Lyndon Baines Johnson Library
Mark K. Updegrove, *Director*
2313 Red River Street
Austin, TX 78705
512-721-0200

**Richard Nixon Presidential
Library and Museum**
Susan K. Donius, *Acting Director*

California Office
18001 Yorba Linda Blvd.
Yorba Linda, CA 92886
714-983-9120

Maryland Office
8601 Adelphi Road
College Park, MD 20740
301-837-3290

**Gerald R. Ford Library and
Museum**
Elaine K. Didier, *Director*

Gerald R. Ford Library
1000 Beal Avenue
Ann Arbor, MI 48109
734-205-0555

Gerald R. Ford Museum
303 Pearl Street, NW
Grand Rapids, MI 49504
616-254-0400

Jimmy Carter Library
David J. Stanhope, *Acting Director*
441 Freedom Parkway
Atlanta, GA 30307
404-865-7100

Ronald Reagan Library
Duke Blackwood, *Director*
40 Presidential Drive
Simi Valley, CA 93065
805-577-4000

George Bush Library
Warren L. Finch, *Director*
1000 George Bush Drive West
P.O. Box 10410
College Station, TX 77845
979-691-4000

William J. Clinton Library
Terri Garner, *Director*
1200 President Clinton Avenue
Little Rock, AR 72201
501-374-4242

George W. Bush Library
Alan C. Lowe, *Director*
2943 SMU Boulevard
Dallas, TX 75205
214-346-1650

Copies of This Report

Our report is available on our web site at *www.archives.gov/about/plans-reports/performance-accountability/*. Links are provided to both the full report (Management's Discussion and Analysis [MD&A], Performance and Financial sections, and Other Accompanying Information) as well as the summary report (MD&A and auditor's report). Also located on that page are links to our Strategic Plan, annual performance plans, and past performance reports. We welcome your comments on how we can improve this report for FY 2014. Please e-mail any comments to p*erformance@nara.gov*.

Other Web Pages of Interest

Reports, Strategic Documents, Messages from the Archivist: Find the latest information regarding our mission, vision, and strategic initiatives.

www.archives.gov/about/

Web 2.0 and Social Media: Interact with NARA staff and visitors on Facebook, YouTube, Twitter, Flickr, NARA blogs, and more.

www.archives.gov/social-media/

Open Government and NARA: Learn how NARA is becoming more transparent, collaborative, and participative. Find high value datasets in XML for free download and become a Citizen Archivist.

www.archives.gov/open/
www.archives.gov/citizen-archivist

The National Archives Experience: Participate in an interactive, educational experience about the power of records in a democracy and visit our award-winning site for teachers

www.archives.gov/national-archives-experience/
www.docsteach.org

Archival Holdings: Find records of interest in Washington, DC, the regional archives, and Presidential libraries, including the 1940 Census.

www.archives.gov/research/search/
www.1940census.archives.gov/

Presidential Libraries: Explore the history of our nation through the leaders who helped shape the world, including the new George W. Bush site.

www.archives.gov/presidential-libraries/
www.georgewbushlibrary.smu.edu/

Public Documents: By law, the U.S. Government Printing Office and the Office of the Federal Register at NARA partner to publish and disseminate the official text of Federal laws, Presidential documents, administrative regulations and notices, and descriptions of Federal organizations, programs and activities.

www.federalregister.gov
www.ofr.gov
www.fdsys.gov
www.archives.gov/federal-register/
www.ecfr.gpoaccess.gov

Founders Online: Examine the personal documents of the nation's founders.

http://founders.archives.gov

Visit NARA: Learn how to prepare for a research visit, about facility hours and locations, and more.

www.archives.gov/research/

Shop NARA: Shop online for books and gifts at our e-store.

www.archives.gov/shop/

Prologue **Magazine:** Keep up to date on NARA activities through its quarterly journal. View selected articles and subscribe online.

www.archives.gov/publications/prologue/

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