

FISCAL YEAR 2005

ANNUAL PERFORMANCE PLAN



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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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PREFACE

The National Archives and Records Administration is a public trust on which our democracy depends. We enable people to inspect for themselves the record of what Government has done. We enable officials and agencies to review their actions and help citizens hold them accountable. We ensure continuing access to essential evidence that documents:

- the rights of American citizens,
- the actions of Federal officials,
- the national experience.

To ensure ready access to essential evidence, the National Archives and Records Administration (NARA) establishes policies and procedures for managing U.S. Government records. We assist and train Federal agencies in documenting their activities, administering records management programs, scheduling records, and retiring non-current records to regional records services facilities for cost-effective storage. We appraise, accession, arrange, describe, preserve, and make available to the public the historically valuable records of the three branches of Government. We manage a nationwide system of Presidential libraries, records centers, and regional archives. We administer the Information Security Oversight Office, which oversees the Government's security classification program, and make grants to non-Federal institutions to support historical documentation through the National Historical Publications and Records Commission. We publish the *Federal Register*, *Statutes at Large*, Government regulations, and Presidential and other public documents.

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

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

Our Mission:

NARA ENSURES, FOR THE CITIZEN AND THE PUBLIC SERVANT, FOR THE PRESIDENT AND THE CONGRESS AND THE COURTS, READY ACCESS TO ESSENTIAL EVIDENCE.

Our Strategic Goals:

- *One:* Essential evidence is created, identified, appropriately scheduled, and managed for as long as needed.
- *Two:* Electronic records are controlled, preserved, and made accessible as long as needed.
- *Three:* Essential evidence is easy to access regardless of where it is or where users are for as long as needed.
- *Four:* All records are preserved in an appropriate environment for use as long as needed.
- *Five:* NARA strategically manages and aligns staff, technology, and processes to achieve our mission.

These goals and the strategies to achieve them are detailed in *Ready Access to Essential Evidence: The Strategic Plan of the National Archives and Records Administration, 1997-2008*, updated and reissued in September 2003. This annual performance plan is based on the goals, strategies, and long-range performance targets in our Strategic Plan, and builds on expected performance in FY 2004. It details the actions and outcomes that must occur in FY 2005 for us to move forward on meeting the goals and targets in our Strategic Plan. In addition to listing performance goals and measures for evaluating our performance, the plan describes the processes, skills, and technologies, and the human, capital, and informational resources needed to meet the year's performance goals. We received no aid from non-Federal parties in preparing this plan.

Following is a summary of the resources, by budget authority, we are requesting to meet our FY 2005 objectives. Our budget is linked to the performance goals in this plan.

Operating Expenses	\$258,457,000
Electronic Records Archives	\$35,914,000
Repairs/Restorations	\$6,182,000
Grants	\$3,000,000
Total Budget Authority	\$303,553,000
Redemption of Debt	\$8,488,000
Total Appropriation	\$312,041,000
Total FTE	2,865

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

We continue using four mechanisms to measure actual performance: (1) periodic management reviews, (2) formal audits of operations, (3) expansion and refinement of our performance measurement system, and (4) systematic sampling of measurement system effectiveness. In FY 1999 we deployed our agency-wide Performance Measurement and Reporting System (PMRS). This system allows us to define and consistently measure data critical to the analysis of our performance objectives. Every year we integrate and expand the system further so that our strategic performance is measured using more of a balanced scorecard approach for tracking cycle times, quality, productivity, cost, and customer satisfaction for our products and services.

In our continuous effort to improve our performance measurement program, we are completing a two-year project to upgrade PMRS. We want to take advantage of web infrastructure to collect our performance data from the more than 70 organizational units that send data to PMRS from all over the country. We also want to use newer, more robust, and enterprise-level databases to store the data and extract reports, thereby minimizing the maintenance burden on desktop databases now used for data collection. This upgrade will enable us to collect our performance data more consistently and more efficiently, and will allow us to store much more data for use in analyzing trends.

We must succeed in reaching our goals because the National Archives and Records Administration is not an ordinary Federal agency. The records we preserve document the rights of American citizens, the actions of Federal officials, and the national experience. We serve not just today's citizens, but all who are yet to come. We must not only preserve past documents already in our care, but also prepare to manage tomorrow's records in new and challenging forms. This plan is our 2005 road map for making that a reality.

STRATEGIC GOAL 1 ESSENTIAL EVIDENCE IS CREATED, IDENTIFIED, APPROPRIATELY SCHEDULED, AND MANAGED FOR AS LONG AS NEEDED.

- Long Range Performance Targets**
- 1.1. By 2008, 95 percent of agencies view their records management program as a positive tool for asset and risk management.
 - 1.2. By 2008, 95 percent of approved capital asset plans have approved records schedules by the time those systems begin creating records.
 - 1.3. By 2008, 95 percent of customers are satisfied with NARA scheduling and appraisal services.

FY 2000 Resources Available to Meet This Goal: \$14,690,000; 136 FTE *

FY 2001 Resources Available to Meet This Goal: \$18,050,000; 144 FTE *

FY 2002 Resources Available to Meet This Goal: \$19,921,000; 150 FTE *

FY 2003 Resources Available to Meet This Goal: \$16,368,000; 141 FTE

FY 2004 Resources Available to Meet This Goal: \$17,918,000; 142 FTE

FY 2005 Resources Requested to Meet This Goal: \$18,263,000; 142 FTE

**Resources include a portion of the dollars and FTE for Goal 5.*

FY 2005 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
1.1 By 2008, 95 percent of agencies view their records management program as a positive tool for asset and risk management.	✓							
1.2. By 2008, 95 percent of approved capital asset plans have approved records schedules by the time those systems begin creating records.	✓							
1.3. By 2008, 95 percent of customers are satisfied with NARA scheduling and appraisal services.	✓							

Long Range Performance Target 1.1. By 2008, 95 percent of agencies view their records management program as a positive tool for asset and risk management.

FY 04 Estimated Performance

- Deliver the results promised on 95 percent of targeted assistance partnership projects.
- Redesign NARA's records management training program and establish a distance-learning component.
- Establish certification program for records management professionals.

FY 05 Projected Performance

- Deliver the results promised on 95 percent of targeted assistance partnership projects.
- Survey Federal agencies to establish baseline percentage of agencies that view their records management programs as a positive tool for asset and risk management.
- Increase by 20 percent the number of records management training participants who are taking a NARA records management course for the first time.
- Conduct a records management study of a Federal agency.

Outcome Federal agencies can economically and effectively create and manage records necessary to meet business needs. Records are kept long enough to protect rights and assure accountability. Records of archival value are preserved.

Significance We must protect records from the time of their creation to ensure their accessibility for as long as they are needed to meet the needs of Government agencies and the public. Moreover, better front-end records management will help agencies fulfill their legal responsibilities for recordkeeping and will result in more efficient and responsive records and information services, which will improve performance and save money for the agencies themselves and the Federal Government as a whole.

Means and Strategies The records management program that the National Archives and Records Administration (NARA) currently administers was designed primarily for people who created, maintained, and used paper records. It has served us well for several decades. But, while agencies continue to generate paper, most records are created electronically and remain in an electronic format for at least a portion of their lives. To meet the challenges posed by these developments, we are redesigning Federal records management, as described in our 2003 *Strategic Directions for Federal Records Management*. This document presents a strategic framework for the redesign effort and outlines how NARA will move forward to implement the redesign.

We are creating mutually supporting relationships with agencies that advance agency missions and effective records management. We will demonstrate that effective records management adds value to agency business processes. Our guidance, training, and assistance to agencies will focus on using records management as an important tool for supporting agency business processes.

In FY 2004, we are developing criteria and internal procedures for records management studies with the objective of finding and validating best practices. We will follow-up with a records management study in FY 2005. We will use records management studies to focus on cross-Government issues and to identify and

analyze best practices and develop Government-wide recommendations and guidance. Studies will usually involve multiple agencies within a related line of business or function. In exceptional cases, there might be one agency whose records management practices could be replicated elsewhere for Government-wide benefit. The goal of records management studies is to identify, analyze, and act on records management best practices.

Another way we help agencies is through targeted assistance. Targeted assistance means that we work together with agencies to solve specific records management problems. Since the program began in 1999 through FY 2003, we have established 344 projects, completed 238 projects, and assisted 88 unique agencies. Through these partnerships, we have inventoried and scheduled at-risk records, trained agency personnel in records management, and assisted in the development of records management systems.

With Federal agency input and contractor support, we are revamping our records management training program. By making training and a variety of tools available over the Internet, we will be able to reach far more Federal agencies, at more locations nationwide, and reach a wider variety of people within the agencies than is possible with live classroom instruction. We also are developing a certification program for anyone giving technical assistance to agencies in records management. We do not have sufficient resources to respond to all agency requests for records management assistance. This program will leverage contractor and agency resources to provide that assistance while giving agencies assurance that the individuals they turn to for help have demonstrated their knowledge of Federal records management requirements.

Key external factors Federal agencies must implement their part of the targeted partnerships. Records management professionals must be self-motivated to attend training and complete the certification program.

Verification and Validation

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>Performance target for annual percent of targeted assistance partnership projects delivering the results promised.</i>	N/A	75	85	90	95	95
Annual percent of targeted assistance partnership projects delivering the results promised.	100	100	100	100		
Annual number of targeted assistance partnership projects initiated.	123	66	83	39		
Annual number of targeted assistance partnership projects completed.	37	58	76	65		
Annual number of successful targeted assistance partnership projects completed.	37	58	76	65		
Cumulative number of targeted assistance partnership projects established with Federal agencies.	156	222	305	344		
Number of Federal agency staff receiving NARA training in records management and electronic records management.	3,506	2,506	3,746	3,392		
<i>Performance target for percent increase in the number of records management training participants who are taking a NARA records management course for the first time.</i>	--	--	--	--	<i>Establish baseline</i>	20

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Number of records management training participants who are taking a NARA records management course for the first time.	--	--	--	--		
Number of distance-learning participants who are taking a NARA records management course for the first time.	--	--	--	--		

Milestones

FY 2000

- Contract to gather and analyze information about the views and perceptions of Federal agencies concerning the creation, maintenance, use, and disposition of their records awarded.
- Prototype methodology for the analysis of Federal agency business processes and the records they generate developed.
- Process and activity models of the records lifecycle and scheduling and appraisal process completed.

FY 2001

- Draft report for study of the creation, maintenance, use and disposition of records in Federal agencies completed and optional task for additional analysis exercised.
- Analysis of Federal agency business processes and the records they generate completed for 11 agencies.

FY 2002

- Hiring of senior records analysts positions for targeted assistance completed.
- Final report for study of the creation, maintenance, use, and disposition of records in Federal agencies completed.
- Analysis of 3 Federal agency business processes and the records they generate completed.
- Records scheduling, appraisal, and accessioning policies reviewed and revised, and a *Proposal for a Redesign of Federal Records Management* issued.

FY 2003

- Policy review of NARA's record management policy and guidance completed.
- NARA's *Strategic Directions for Federal Records Management* released.

FY 2004 Estimated

- NARA's records management training program redesigned and distance-learning component established.
- Certification program for records management professionals established.
- Criteria and internal procedures for records management studies developed.

FY 2005 Projected

- Survey of Federal agencies to assess their view of their records management programs completed.
- Records management study of a Federal agency conducted.

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

Definitions Targeted assistance partnership: A targeted assistance partnership is established with an underlying written agreement between NARA and a Federal agency to identify and agree upon a specific project or projects to improve the agency's records management practices. The agreement must take the form of a project plan, memorandum of understanding (MOU), or

similar written documentation that performs the same function as a project plan. The agreement has mutually agreed upon criteria for successful completion of the targeted assistance project or projects. An agreement can include several projects, each with its own success criteria. For this performance target, we count TA projects. Asset and risk management: Determining the value of information as a business asset in terms of its primary and secondary uses in the business process; identifying potential risks to the availability and usefulness of the information; estimating the likelihood of such risks occurring; evaluating the consequences if the risk occurs; and managing the information based on that analysis.

Long Range Performance Target 1.2. By 2008, 95 percent of approved capital asset plans have approved records schedules by the time those systems begin creating records.

FY 04 Estimated Performance

- In coordination with Office of Management and Budget (OMB), develop a requirement for agencies to report on records management requirements in their FY 2006 capital asset plans.
- Develop transfer guidance for 3 additional electronic records formats.

FY 05 Projected Performance

- Conduct needs assessment of Government and IT industry for the development of select records management service components for the Federal Enterprise Architecture (FEA).
- Develop high-level requirements for candidate records management service components.
- Complete pilot model schedule for at least one FEA Business Reference Model Function.
- 5 percent of approved capital asset plans have approved records schedules by the time those systems begin creating records.

Outcome Federal agencies can economically and effectively create and manage records necessary to meet business needs. Records are kept long enough to protect rights and assure accountability. Records of archival value are preserved.

Significance Our nation's records are needed to document citizens' rights, actions for which Federal officials are responsible, and the historical experience of our nation. With more of these records being created electronically, we must address realistically a future in which most government recordkeeping will be electronic and develop practical solutions for dealing with electronic records. If we do not address this issue, our nation's records will be at risk of loss, deterioration, or destruction. In particular, we must protect records from the time of their very creation to ensure their accessibility for as long as they are needed to meet the needs of Government agencies and the public. Having approved records schedules by the time records systems begin to create records is an important early step in electronic records management.

Means and Strategies We will partner with Federal agencies and others to develop, adapt, or adopt products and practices that support good records management. Our experience shows that we are more effective in partnerships than working alone. Potential partners and sources will include standards organizations, other governments, and the private sector. We will provide leadership, in partnership with other key stakeholders, to focus agency attention on electronic records needs and to guide and support

solutions to electronic records issues and problems. We will also support the development of automated tools that will help agencies manage Federal records.

Electronic records management is a critical component of e-Government. As the managing partner for one of the Administration's e-Government initiatives, NARA is collaborating with the Department of Defense, the Environmental Protection Agency, and other agencies to develop practical recordkeeping guidance and solutions for managing electronic records. In FY 2003, NARA's Electronic Records Management (ERM) Initiative developed guidance for agencies implementing records management applications and began expanding the formats of permanent electronic records that agencies can transfer to NARA. In FY 2004 and FY 2005, the ERM Initiative will continue to promote the transition to Government-wide electronic records management. NARA will work with the Department of Defense (DoD) to extend the DoD 5015.2-STD to include transfer to NARA and interoperability specifications. We will champion an effort to develop records management service components that can be built into agency enterprise architectures.

In conjunction with other NARA electronic records initiatives, we will develop policy and technical guidance to enable responsible electronic records creation and management, and will expand our electronic records management training. Federal agencies are looking to NARA to issue practical guidance specifically in electronic records management. We are developing guidance for the management of agency web site content and web operations (administrative) records. NARA is also working actively on standards relating to electronic records management and preservation as a member of voluntary consensus standards bodies.

We will work with OMB to ensure that agencies consider records management requirements when planning IT systems. We will add transfer standards for three more electronic records formats in FY 2004.

Key external factors The Office of Management and Budget must support using the capital planning process to promote records management.

Verification and Validation

<i>Performance Data</i>	FY 2003	FY 2004	FY 2005
<i>Performance target for percent of approved capital asset plans that have approved records schedules by the time those systems begin creating records.</i>	--	--	5
Percent of approved capital asset plans that have approved records schedules by the time those systems begin creating records.	--		
Number of Federal Enterprise Architecture Business Reference Model functions.	137		
Number of Federal Enterprise Architecture Business Reference Model functions covered by model schedules.	0		

Milestones

- FY 2000**
 - Three documents on electronic recordkeeping for Federal agencies drafted.
- FY 2001**
 - Department of Defense software certification process endorsed.
- FY 2002**
 - ERM e-Gov initiative vision, goals, and objectives developed and confirmed by OMB. Detailed workplan and financing strategy developed.
 - Transfer guidance for 1 electronic records format issued (email with attachments).
- FY 2003**
 - Transfer guidance for 2 more electronic record formats issued (scanned images of textual records and PDF).
 - Version 2 of DOD 5015.2 standard endorsed.

- Records management application pilot in two NARA units deployed.

FY 2004 Estimated

- Transfer guidance for 3 more electronic records formats issued (digital photography, geographical information systems, web pages).
- In coordination with OMB, requirement for agencies to report on records management requirements in their FY 2006 capital asset plans developed.
- Records management application in two NARA units completed.

FY 2005 Projected

- Needs assessment of government and IT industry for the development of select records management service components for the Federal Enterprise Architecture conducted.
- High-level requirements for candidate records management service components developed.
- Pilot model schedule for at least one FEA Business Reference Model Function completed.
- 1 model schedule completed.

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

Definitions Capital asset planning: is part of the decision-making process for ensuring that IT investments integrate strategic planning, budgeting, procurement, and the management of IT in support of agency missions and business needs. Records management service components (RMSC): an application or system software that incorporates interfaces for interacting with other programs, and that is made available to all Federal agencies for use in their enterprise architecture. The RMSC would provide the ability to embed records management functionality in the IT structure of the enterprise.

Long Range Performance Target 1.3. By 2008, 95 percent of customers are satisfied with NARA scheduling and appraisal services.

FY 04 Estimated Performance

- Process records schedule items within a median time of 220 calendar days or less.
- Develop detailed workflows for scheduling and appraisal; processing of Federal electronic records; transfer of records to Federal Records Centers; and carrying out disposition of records by Federal Records Centers.
- Develop concept of operations for automated workflow and collaboration tools to support the redesigned scheduling and appraisal process.
- Survey Federal agencies to determine baseline satisfaction with NARA scheduling and appraisal services.

FY 05 Projected Performance

- Process records schedule items within a median time of 200 calendar days or less.
- Prototype automated workflow and collaboration tools to support the redesigned scheduling and appraisal process.
- 10 percent more Federal agencies are satisfied with NARA scheduling and appraisal services (from FY 2004 baseline).

Outcome Federal agencies can economically and effectively create and manage records necessary to meet business needs. Records are kept long enough to protect rights and assure accountability. Records of archival value are preserved.

Significance We must make the records scheduling process more effective and efficient, and decrease the time it takes to get schedules approved. Taking a long time to process schedules delays action on the disposition of records and discourages agencies from submitting schedules, potentially putting essential evidence at risk.

Means and Strategies A key strategy outlined in our Strategic Plan (and discussed in target 1.1) is the redesign of the processes by which Federal records overall are identified, appraised, scheduled, and tracked while in agency custody. The aim of this redesign is to create mutually supporting relationships with agencies whereby NARA's records management program adds value to agency business processes, records are managed effectively for as long as needed, and records of continuing value are preserved and made available for future generations. Part of the strategy for carrying out this plan is to build automated tools for NARA and Federal agencies to support the inventorying, scheduling, and accessioning of Federal records. Such tools will make it easier for agencies to inventory their records and for NARA to review and approve records schedules and ensure that essential evidence is not lost.

In FY 2003 we undertook a Business Processing Reengineering effort for the records scheduling, appraisal, and accessioning process, and developed a high-level improved, future model of all records lifecycle business processes at NARA. With contractor support, we are undertaking follow-on projects to move from our current (“as-is”) processes to the improved, future (“to-be”) model. Because achievement of the “to-be” model will take several years, and will require the maturation of NARA’s enterprise architecture, we will focus early attention on the scheduling and appraisal process. In FY 2004, NARA will develop a concept of operations for the automated workflow and collaboration tools to support the redesigned process. These tools will be prototyped in FY 2005.

Verification and Validation

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>Performance target for median time for records schedule items completed (in calendar days).</i>	--	260	240	225	220	200
Median time for records schedule items completed (in calendar days). *	283	237	470	155		
Median time for records schedule items completed (in calendar days), NARA only. *	--	--	403	154		
Average age of schedule items at completion (in calendar days).	461	410	532	274		
Number of schedule items completed.	5,664	4,728	9,374	4,654		
Number of records schedule items completed within 120 calendar days of submission to NARA.	1,229	659	1,999	1,571		
Percent of records schedule items completed within 120 calendar days of submission to NARA.	22	14	21	34		
<i>Performance target for increase in percent of Federal agencies that are satisfied with NARA scheduling and appraisal services.</i>	--	--	--	--	<i>Establish baseline</i>	<i>10</i>
Percent of records schedule items submitted and	--	--	--	--	--	

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
approved electronically.						

**The metric for median schedule processing time measures all processing time, including the amount of time it takes other agencies to respond. We provide a breakout of "NARA-only" time to give a comparison of how much of the total processing time occurs within NARA versus outside NARA.*

Milestones

FY 2003

- "To-be" model for the redesigned scheduling, appraisal, and accessioning process developed.

FY 2004 Estimated

- Detailed workflows for scheduling and appraisal; processing of Federal electronic records; transfer of records to Federal Records Centers; and carrying out disposition of records by Federal Records Centers developed.
- Concept of operations for automated workflow and collaboration tools to support the redesigned scheduling and appraisal process developed.
- Federal agencies surveyed to determine baseline satisfaction with NARA scheduling and appraisal services.

FY 2005 Projected

- Automated workflow and collaboration tools to support the redesigned scheduling and appraisal process prototyped.

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

Definitions Records schedule: a document, having legally binding authority when approved by NARA, that provides mandatory instructions (i.e., disposition authority) for what to do with records no longer needed for current business; Schedule item: records subject to a specific disposition authority that appear on a records schedule.

STRATEGIC GOAL 2 ELECTRONIC RECORDS ARE CONTROLLED, PRESERVED, AND MADE ACCESSIBLE AS LONG AS NEEDED.

Long Range Performance Targets

- 2.1. By 2008, NARA’s Records Center Program accepts and services electronic records.
- 2.2. By 2008, 80 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.
- 2.3. By 2008, 80 percent of archival electronic records are managed at the appropriate level of service.
- 2.4. By 2008, the median time from the transfer of archival electronic records to NARA until they are available for access is 35 days or less.
- 2.5. By 2008, the per megabyte cost managing archival electronic records through the Electronic Records Archives decreases each year.

FY 2003 Resources Available to Meet This Goal: \$20,105,000; 67 FTE

FY 2004 Resources Available to Meet This Goal: \$44,798,000; 88 FTE

FY 2005 Resources Requested to Meet This Goal: \$45,464,000; 88 FTE

FY 2005 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
2.1. By 2008, NARA’s Records Center Program accepts and services electronic records.			✓		✓			
2.2. By 2008, 80 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.	✓		✓					
2.3. By 2008, 80 percent of archival electronic records are managed at the appropriate level of service.	✓		✓					
2.4. By 2008, the median time from the transfer or archival electronic records to NARA until they are available for access is 35 days or less.	✓		✓					
2.5. By 2008, the per megabyte cost of managing archival electronic records through the Electronic Records Archives decreases each year.			✓					

Long Range Performance Target 2.1. By 2008, NARA's Records Center Program accepts and services electronic records.

FY 04 Estimated Performance

- Establish and test a pilot for remote servicing capability for electronic Official Military Personnel Files for Army.
- Establish pilot programs at selected records centers to store backup and inactive copies of agency electronic media.

FY 05 Projected Performance

- Enhance remote servicing capability for electronic Official Military Personnel Files for Army.
- Expand programs to store backup and inactive copies of agency electronic media to additional records center locations.
- Establish detailed requirements for the eventual migration of electronic Official Military Personnel Files to the Electronic Records Archives system.

Outcome Federal agencies can economically and effectively create and manage electronic records necessary to meet business needs, and electronic records of archival value are preserved.

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

Means and Strategies Since 1999, the Records Center Program has been fully reimbursable, which allows us to be more flexible in responding to agency records needs and requires us to meet those needs in a cost-effective and efficient way. Our ability to provide our records center customers with responsive services for electronic records is closely tied to our Electronic Records Archives (ERA) program. Until ERA is ready and can provide complete online servicing, we will test the delivery of new offline services for electronic records, limited to electronic Official Military Personnel Files (OMPF) and storage of agencies' backup electronic media.

Key external factors The Records Center Program operates in a competitive business environment, which allows Federal agencies to choose their records center services provider.

Verification and Validation

Milestones

FY 2004 Estimated

- Protocols for secure interoperability of Case Management and Reporting System (CMRS) and Defense Personnel Records Image Retrieval System (DPRIS) tested.
- National Personnel Records Center (NPRC) staff to access Army information via DPRIS trained.

- Records center facility capacity to meet standards for secure storage of electronic media established.
- Procedures, baseline service standards, and fees for pilot electronic media storage services established.
- Staff to handle electronic media storage trained.
- Initial customers for electronic media storage identified and obtained.
- Pilot test of CMRS functionality to interface with DPRIS performed and necessary changes made to make fully operational.

FY 2005 Projected

- Remote servicing capability for electronic OMPFs for Army enhanced.
- Programs to store backup and inactive copies of agency electronic media to additional records center locations expanded.
- Joint analysis with DoD of requirements for migrating electronic OMPFs to the ERA conducted.
- Detailed requirements for the eventual migration of electronic OMPFs to ERA system established.
- Full operations with Department of Army assessed to identify needed changes and enhancements.
- System upgraded to meet priority Army needs.
- Permission from other military branches to service their electronic OMPFs through the CMRS/DPRIS interface sought.
- Results of pilot operations to identify feasibility of expanding electronic media storage to additional centers assessed.

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

Long Range Performance Target 2.2. By 2008, 80 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.

FY 04 Estimated Performance

- Survey Federal agencies to identify electronic systems that generate electronic records, and develop priorities for scheduling these records.

FY 05 Projected Performance

- 20 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.

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

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

Means and Strategies The Electronic Records Archives will provide a vehicle for implementing the records

management improvements that result from the Electronic Records Management Initiative and NARA's Records Management Initiatives. We will improve the development and implementation of records disposition schedules by automating and improving the quality of interactions between NARA and other agencies and the workflow within NARA. We will reduce cycle time for NARA's review and approval of records disposition authorities requested by other agencies and increase the number of acceptable formats for transfer of electronic records to NARA.

The first increment of the ERA system will enable NARA to accession, preserve, and provide access to electronic records in the additional digital formats for which transfer standards were developed in the ERM Initiative. These include email with attachments, scanned images, PDF files, still digital photography, Geographic Information Systems, and web pages. In the long term, ERA will allow NARA to accession, preserve, and provide access to electronic records in any format.

Key external factors Federal agencies must schedule their electronic records.

<i>Performance Data</i>	FY 2004	FY 2005
Performance target for percent of scheduled archival electronic records accessioned by NARA at the scheduled time.	--	20
Number of electronic files transferred in one of the new transfer formats.		
Size of accessioning backlog (in logical data records).		

Milestones

- FY 2001**
 - 3 terabytes of data from Federal agency web sites "snapshot" collected and preserved.
- FY 2002**
 - Transfer guidance for 1 electronic records format issued (email with attachments).
- FY 2003**
 - Transfer guidance for 2 more electronic record formats issued (scanned images of textual records and PDF).
 - Transfer standards for permanent electronic records in the following formats: email with attachments, scanned images of permanent textual records, and Portable Document Format established and issued.
- FY 2004 Estimated**
 - Transfer guidance for 3 more electronic records formats issued (digital photography, geographical information systems, web pages).
 - Select Federal agencies surveyed to identify electronic systems that generate electronic records, and develop priorities for scheduling these records.

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

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

Long Range Performance Target 2.3. By 2008, 80 percent of archival electronic records are managed at the appropriate level of service.

- FY 04 Estimated Performance**
 - Conduct online survey of customer satisfaction with online access to electronic records through Access to Archival Databases system.

- Increase archival electronic holdings that are accessible online by 50 percent.

FY 05 Projected Performance

- Establish baselines for levels of service for the Electronic Records Archives.
- Identify and respond to results of online survey to improve customer usability of Access to Archival Databases system.

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

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

Means and Strategies To meet an immediate need to provide online access to high-volume and high-demand electronic records from the Department of State, the Executive Office of the President, and other agencies, NARA launched the Access to Archival Databases (AAD) project. We debuted AAD to the public in FY 2003, and are continuing to increase the number of records available to the public. This function will eventually be provided by ERA.

During FY 2004 we will conduct an online survey, using the American Customer Satisfaction Index, that will help us better understand our online customers' needs and future behaviors and preferences. Data relating to design and content, particularly for the AAD online tool, will give us the information we need to ensure that we are getting the most efficient and effective use of our resources.

In the long term, ERA will allow NARA to preserve and maintain at the appropriate level of service any electronic record in any format. NARA plans to categorize holdings into three levels of service—basic, medium, and persistent—based on the technological characteristics of the records, the needs of the records' originators, laws and regulations requiring differing levels of control, expected customer demands or interests, and NARA's business strategies and priorities. The technology and access capabilities will differ in the system based on the service level. The ERA system will enable the National Archives and Presidential libraries to preserve permanent holdings, and the Records Center Program to provide storage and access services to other agencies.

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

Verification and Validation

<i>Performance Data</i>	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>Performance target for percent increase in number of archival electronic holdings accessible online</i>	--	--	--	50	

<i>Performance Data</i>	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Number of archival electronic holdings accessible online (cumulative logical data records in millions)	0	0	50.0		
Number of archival electronic holdings (cumulative logical data records in millions)	--	3,713.9	4,742.9		
Percent of electronic records available online	0	0	1		
Number of AAD users (in thousands of visits)	--	--	488.9		

Milestones

- FY 2000**
- Capability to preserve document image files achieved.
 - Installation and analysis of prototype system for online access to electronic records completed.
- FY 2001**
- Analysis of requirements and ability to copy raster and vector files from geographic information systems completed. Capability to preserve raster and vector files from geographic information systems achieved.
 - Online access to select accessioned data files achieved.
- FY 2002**
- AAD pilot version made operational.
- FY 2003**
- AAD production version made operational, with 344 file units available to customers online.
- FY 2004 Estimated**
- Online survey of customer satisfaction with online access to electronic records through Access to Archival Databases system conducted.
- FY 2005 Projected**
- Baselines for levels of service for the Electronic Records Archives established.
 - Customer usability of Access to Archival Databases system improved.

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

Definitions File units: a data file of electronic records, most often in the form of a database. Logical data record: a set of data processed as a unit by a computer system or application independently of its physical environment. Examples: a word processing document; a spreadsheet; an email message; each row in each table of a relational database or each row in an independent logical file database. Visits: One person using our web site is counted as one “visit.” It is a count of the number of visitors to our web site, and is similar to counting the number of people who walk through our front door. In contrast, it does not count “hits,” which refers to the number of files used to show the user a web page. A visit in which a user accessed a web page comprising 35 files would count as 1 visit and 35 hits. Counting visits is a more accurate way of showing how much use our web site is getting than counting hits.

Long Range Performance Target 2.4. By 2008, the median time from the transfer of archival electronic records to NARA until they are available for access is 35 days or less.

- FY 04 Estimated Performance**
- Process transfers of archival electronic records within a median time of 250 calendar days or less.

FY 05 Projected Performance

- Process transfers of archival electronic records within a median time of 180 calendar days or less.

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

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

Means and Strategies The growth in the volume of electronic records is enormous. At the end of the last Administration, the White House transferred several terabytes of electronic records to NARA for storage and preservation. The Census Bureau will be transferring electronic images of up to 600 million pages of information, comprising more than 40 terabytes of data, from the 2000 Census. Digital Military Personnel Files represent estimated transfers of a billion files over 10 years. A conservative 1999 estimate indicates that the yearly volume of email traffic in the Federal Government is approaching 36.5 billion messages per year. Even if only 2 percent of those messages are appraised as necessary for preservation, the volume would be thousands of times greater than all the electronic records NARA has accessioned since the first such transfer in 1971. In the last three decades, NARA has captured and fully-processed less than 2 terabytes of data in approximately 180,000 files.

Our ability to promptly process archival electronic records will be significantly enhanced by the creation of an Electronic Records Archives (ERA). While NARA's existing capacity to process electronic records is higher than it has ever been, it still lags woefully behind what we anticipate agencies will be sending to NARA over the next several years. NARA's existing systems and staff are able to copy about 385 gigabytes of data per year. Until the ERA system is operational, we will extend and expand our existing systems to attempt to keep up.

In FY 2003 we upgraded and replaced existing system components, purchased additional computer processing power and speed, and modified software to perform initial preservation (i.e., making an exact copy onto archivally acceptable media) on new file formats through our existing Archival Preservation System and Archival Electronic Records Inspection and Control System. These changes have allowed us to begin processing nearly 30 million email messages from the Clinton Administration and complete the processing of electronic records from the Reagan and Bush Administrations. In FY 2004 and FY 2005 we plan to continue these efforts, adding processing speed, additional storage capacity, and new storage media, as well as making functional changes to systems to accommodate new transfer formats.

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

Verification and Validation

<i>Performance Data</i>	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>Performance target for median time to make archival</i>	--	--	--	250	180

<i>Performance Data</i>	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>electronic accessions available for access (in calendar days).</i>					
Median time (in calendar days) from the transfer of archival electronic records to NARA until they are available for access.	--	--	450		
Number of electronic records transferred (in file units).*	2,099 data files in 89 accessions	6,786 data files in 148 accessions	68,342 data files in 100 accessions		
Cost per electronic record transferred.	--	--	--		

**The number of electronic records transferred, in logical data records, which is the preferred unit of measure, is not available until the Accession Management Information System upgrade is completed in FY 2004. The FY 2003 accessions include part of Census 2000 records. The number of data files in FY 2004 accessions as of January 2004 already significantly exceed the total FY 2003 data files.*

- FY 2000**
 - Functional, system, and capacity requirements for enhanced Archival Preservation System completed.
- FY 2001**
 - Transfer of records via Files Transfer Protocol (FTP) completed.
 - Ability of the current Archival Preservation System to copy digital images and raster and vector files completed.
- FY 2002**
 - Study of the archival properties of high-density media and conclusion that the Digital Linear Tape was an appropriate medium for the storage of permanent electronic records completed.
 - Change to Code of Federal Regulations making Digital Linear Tape and Files Transfer Protocol appropriate media for transferring electronic records to NARA completed.
- FY 2003**
 - Accession Management Information System redesigned.
 - Version 6.0 of the current Archival Preservation System application developed and installed.
- FY 2004 Estimated**
 - New Accession Management Information System installed.
 - Certification software for new Digital Linear Tapes on the current Accession Preservation System installed.
 - Copying capacity of the current Accession Preservation System expanded.
 - Technologies that can support copying and verifying electronic records in the following formats studied: email with attachments, scanned images, Portable Document Format, digital images, World Wide Web files, and Geographic Information System files.
- FY 2005 Projected**
 - New technologies to support the copying and verifying the electronic records in the following formats purchased: email with attachments, scanned images, Portable Document Format, digital images, World Wide Web files, and Geographic Information System files.

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

Definitions Gigabyte: (1) a gigabyte is a measure of computer data storage capacity. A gigabyte is 2 to the 30th power, or 1,073,741,824 in decimal notation. Terabyte: A terabyte is a measure of computer capacity is 2 to the 40th power, or approximately a thousand billion bytes (that is, a thousand gigabytes). File units: a data file of electronic records, most often in the form of a database. This is not the preferred method for counting electronic records. Logical data records is preferred, and

will be available when the upgraded Accession Management Information System is implemented in FY 2004. Logical data record: a set of data processed as a unit by a computer system or application independently of its physical environment. Examples: a word processing document; a spreadsheet; an email message; each row in each table of a relational database or each row in an independent logical file database.

Long Range Performance Target 2.5. By 2008, the per megabyte cost of managing archival electronic records through the Electronic Records Archives decreases each year.

FY 04 Estimated Performance

- Award contract for design of the ERA system.

FY 05 Projected Performance

- Conduct overall System Design Requirements Review with competing vendors.
- Conduct System Design Review with competing vendors.
- Select development contractor for the ERA system.
- Complete Increment 1 Requirements Review.

Outcome Electronic records of archival value are economically preserved.

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

Means and Strategies Through the Electronic Records Archives (ERA), we are creating a digital National Archives that will make permanently valuable Government records available to anyone, at any time, and in any place, for as long as needed.

This ERA system addresses a fundamental requirement of electronic government: to be able to keep and transmit reliable and authentic electronic records independently of time, place, the vagaries of the market place, the state of the art of information technology, or the peculiarities of proprietary formats or stovepipe applications. NARA will develop a comprehensive, systematic, and dynamic means for preserving virtually any kind of electronic record, free from dependence on any specific hardware or software. The ERA system, when operational, will make it possible for Federal agencies to transfer records of any type or format to NARA. More importantly, ERA will help citizens to find records they want and make it easy for NARA to deliver those records in formats suited to citizens' needs.

ERA will be the primary means through which NARA implements its target enterprise architecture. It will include practically all of NARA's processes for lifecycle management of records; therefore, it will be the

catalyst for conversion to the target architecture of the legacy applications NARA currently uses to support these processes. This conversion will include process improvement as well as reengineering the architecture of these applications.

We also will continue collaborative research into issues related to the lifecycle management of electronic records that are beyond state-of-the-art of information technology or state-of-the-science computer, information, or archival sciences. Research and exploratory development activities will continue to focus on problems that must be solved in order to achieve the President’s Management Council’s vision of Government wide-electronic records management in support of e-Government, continuing to rely primarily on established R&D management capabilities in partner agencies.

NARA has laid out an incremental acquisition strategy for ERA that will enable us to ensure that significant milestones are achieved before commitments are made for subsequent work. In FY 2004 we will contract for design of the ERA system with one or two vendors. After selecting the best design, we will exercise an option for development and deployment of the first increment of the system. In FY 2007, NARA will deploy ERA’s initial operational capability. NARA will also contract for technical services to support the operation of the deployed system.

We expect that the first increment will implement a reengineered end-to-end process for lifecycle management of electronic records, add the capability for handling digital Official Military Personnel Files to the reengineered processes of the National Personnel Records Center, and also implement the results of our business process reengineering of records scheduling and appraisal for all types of records. For electronic records, the first increment of ERA will focus on ensuring the survival of “at-risk” electronic records, namely the vast majority of all existing electronic records that are in obsolete formats, and improving efficiency of core processes.

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

Verification and Validation

<i>Performance Data</i>	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>Performance target of percent of NARA’s electronic holdings preserved in preparation for their transfer to the Electronic Records Archives.</i>	40	60	65	99	99
Percent of NARA’s electronic holdings are preserved in preparation for their transfer to the Electronic Records Archives.	97	98	97		
Number of logical data records in NARA’s custody (in millions).	2,344.5	3,713.9	4,724.9		
Number logical data records preserved (in millions).	2,271.7	3,641.5	4,594.4		
Percent of Presidential logical data records managed and preserved.	99	49	49		
Number of Presidential logical data records (in millions).	2.2	35.3	35.3		
Number of Presidential logical data records preserved (in millions).	2.2	17.3	17.3		
Per megabyte cost for preserving archival electronic records.	--	--	\$4.50		

Milestones

- FY 2001**
 - GAO risk assessment of ERA project performed and Program Management Office organization proposal developed.
- FY 2002**
 - Electronic Records Archives Analysis of Alternatives, Requirements, and Business Case completed.
 - ERA Project Management Office established.
- FY 2003**
 - Electronic Records Archives Analysis of Alternatives, Requirements, and Business Case updated.
 - Draft Request for Proposals for ERA design issued.
- FY 2004 Estimated**
 - Request for Proposals for ERA design released December 5, 2003.
 - ERA design contract awarded.
 - Installation of an earned value management system for ERA performance measurement completed.
- FY 2005 Projected**
 - Overall System Design Requirements Review with competing vendors conducted.
 - System Design Review with competing vendors conducted.
 - Development contractor for the ERA system selected.
 - Increment 1 Requirements Review completed.

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

Definitions Preserved: (1) the physical file containing one or more logical data records has been identified and its location, format, and internal structure(s) specified; (2) logical data records within the file are physically readable and retrievable; (3) the media, the physical files written on them, and the logical data records they contain are managed to ensure continuing accessibility; and (4) an audit trail is maintained to document record integrity; Logical data record: a set of data processed as a unit by a computer system or application independently of its physical environment. Examples: a word processing document; a spreadsheet; an email message; each row in each table of a relational database or each row in an independent logical file database. Megabyte: a megabyte is a measure of computer data storage capacity. A megabyte is 2 to the 20th power, or 1,048,576 bytes in decimal notation.

STRATEGIC GOAL 3 ESSENTIAL EVIDENCE IS EASY TO ACCESS REGARDLESS OF WHERE IT IS OR WHERE USERS ARE FOR AS LONG AS NEEDED.

Long Range Performance Targets

- 3.1. By 2007, access to records and services and customer satisfaction levels meet or exceed NARA’s published standards.
- 3.2. By 2007, 70 percent of NARA services are available online.
- 3.3. By 2008, 80 percent of NARA archival holdings are described in an online catalog.
- 3.4. By 2007, government-wide holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts.
- 3.5. By 2007, NARA archival holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended.
- 3.6. By 2007, 10 percent of records of a two-term President or 15 percent of records for a one-term President are open and available for research at the end of the 5-year post-Presidential period specified in the Presidential Records Act.
- 3.7. By 2007, 90 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.

FY 2000 Resources Available to Meet This Goal: \$120,058,000; 2,028 FTE *
FY 2001 Resources Available to Meet This Goal: \$120,046,000; 2,159 FTE *
FY 2002 Resources Available to Meet This Goal: \$134,208,000; 2,263 FTE *
FY 2003 Resources Available to Meet This Goal: \$132,060,000; 2,298 FTE
FY 2004 Resources Available to Meet This Goal: \$144,518,000; 2,326 FTE
FY 2005 Resources Requested to Meet This Goal: \$143,249,000; 2,334 FTE

** Resources include a portion of the dollars and FTE for Goal 5.*

FY 2005 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
3.1. By 2007, access to records and services and customer satisfaction levels meet or exceed NARA’s published standards.	✓	✓			✓	✓		
3.2. By 2007, 70 percent of NARA	✓				✓			

FY 2005 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
services are available online.								
3.3. By 2008, 80 percent of NARA archival holdings are described in an online catalog.	✓							
3.4. By 2007, government-wide holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts.	✓							
3.5. By 2007, NARA archival holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended.	✓							
3.6. By 2007, 10 percent of records of a two-term President or 15 percent of records for a one-term President are open and available for research at the end of the 5-year post-Presidential period specified in the Presidential Records Act.	✓							
3.7. By 2007, 90 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.		✓					✓	

Long Range Performance Target 3.1. By 2007, access to records and services and customer satisfaction levels meet or exceed NARA's published standards.

FY 04 Estimated Performance

- Meet or exceed NARA's published standards for access to records and services and customer satisfaction levels:
 - 90 percent of written requests are answered within 10 working days;
 - 85 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
 - 70 percent of requests for military service separation records at the National Personnel Records Center in St. Louis are answered within 10 working days;
 - 95 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
 - 99 percent of customers with appointments have records waiting at the appointed time;
 - 90 percent of Federal agency reference requests in Federal records centers are ready when promised to the customer;
 - 99 percent of records center shipments to Federal agencies

- are the records they requested;
- 75 percent of archival fixed-fee reproduction orders through OFAS are completed in 35 working days or less;
- 95 percent of education programs, workshops, and training courses meet attendees' expectations for course content and instructor presentation.

FY 05 Projected Performance

- Meet or exceed NARA's published standards for access to records and services and customer satisfaction levels:
 - 95 percent of written requests are answered within 10 working days;
 - 90 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
 - 95 percent of requests for military service separation records at the National Personnel Records Center in St. Louis are answered within 10 working days;
 - 95 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
 - 99 percent of customers with appointments have records waiting at the appointed time;
 - 95 percent of Federal agency reference requests in Federal records centers are ready when promised to the customer;
 - 99 percent of records center shipments to Federal agencies are the records they requested;
 - 80 percent of archival fixed-fee reproduction orders through the Order Fulfillment and Accounting System are completed in 35 working days or less;
 - 95 percent of education programs, workshops, and training courses meet attendees' expectations.

Outcome Our customers are satisfied with NARA's service.

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

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

One of our biggest challenges is to reduce the response time for requests for veterans' records. At the National Personnel Records Center in St. Louis we are in the midst of a multi-year business process re-engineering project to bring the average response time on requests for modern military service records from several weeks to 10 working days, particularly for military service separation requests, which make up the bulk of the requests we receive. The kind of systemic change that we are making requires a flexible approach

and modifications in plans as changes take place. Some of the changes are dramatic, even disruptive, as old processes are put aside and new ones are learned; other modifications—training and other changes that address the underlying nature of the organization—are so pervasive and far reaching that they naturally take some time to affect the culture of that organization. We are already seeing the positive influence of organizational changes, such as our creation of team-based units known as “cores,” but we are still fairly early in the transition to a new processing system—and culture. While we are seeing a steady improvement in response time, until more training, practice, and technology is applied, the progress will be gradual.

We also are improving access to records that are difficult to use. Records of the Bureau of Refugees, Freedmen, and Abandoned Lands (Freedmen’s Bureau) from the Reconstruction era contain a great deal of information about the African-American family experience across 15 states and the District of Columbia, but the information is difficult to extract, the records are fragile, and they are only available in one NARA location. We are undertaking a project to microfilm these records and distribute the microfilm to our regional archives and microfilm rental program. We also plan to form partnerships with non-profit organizations and educational institutions to develop automated name indexes to the records to make them easier to use.

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

Verification and Validation

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>Performance target for written requests answered within 10 working days.</i>	80	80	85	85	90	95
Percent of written requests answered within 10 working days.	92	93	93	94		
<i>Performance target for Freedom of Information Act requests completed within 20 working days.</i>	80	80	85	85	85	90
Percent of Freedom of Information Act requests completed within 20 working days.	26	27	75	65		
Number of FOIAs processed.	8,751	7,634	8,825	5,107		
Annual cost to process FOIAs (in millions).	--	--	\$1.54	\$1.35		
Annual per FOIA cost.	--	--	\$175	\$265		
<i>Performance target for requests for military service separation records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days.</i>	--	--	35	45	70	95
Percent of requests for military service separation records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days.	--	7	40	37		
Number of military service separation records (DD-214) requests received.	--	297,307	360,573	389,704		
Average price per request for military service separation records.		--	--	\$29.70		
<i>Performance target for requests for all military service records at the National Personnel Records Center (NPRC) in St. Louis answered within 10</i>	--	25	30	35	--	--

Performance Data	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>working days.</i>						
Percent of requests for all military service records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days.	3	4	28	28		
<i>Performance target for items requested in our research rooms furnished within 1 hour of request or scheduled pull time.</i>	95	95	95	95	95	95
Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	89	93	94	96		
Number of researchers visiting our research rooms (in thousands).	--	--	248.7	204.4		
Number of items furnished in our research rooms (in thousands).	918	1,056	613	607		
Number of items furnished on time in our research rooms (in thousands).	818	985	578	584		
<i>Performance target for customers with appointments for whom records are waiting at the appointed time.</i>	99	99	99	99	99	99
Percent of customers with appointments for whom records are waiting at the appointed time.	99.4	99.6	99.8	99.9		
<i>Performance target for Federal agency reference requests in Federal records centers that are ready when promised to the customer.</i>	90	90	90	90	90	95
Percent of Federal agency reference requests in Federal records centers that are ready when promised to the customer.	79	93	92	94		
<i>Performance target for records center shipments to Federal agencies are the records they requested.</i>	--	99	99	99	99	99
Percent of records center shipments to Federal agencies are the records they requested.	--	99.99	99.99	99.99		
<i>Performance target for archival fixed-fee reproduction orders through OFAS are completed in 35 working days or less.</i>	--	--	50	60	75	80
Percent of archival fixed-fee reproduction orders through OFAS are completed in 35 working days or less.	--	--	88	99		
Average per order cost to operate fixed-fee ordering.	--	--	--	\$18.78		
Average order completion time (days)	--	--	20	14		
<i>Performance target for percent of education programs, workshops, and training courses meeting attendees' expectations.</i>	90	90	95	95	95	95
Percent of education programs, workshops, and training courses meeting attendees' expectations.	95	97	96	95		
Number of program attendees.	6,971	6,291	8,447	7,343		

Milestones

- FY 2000**
 - Two cores, consisting of four teams each, established and operational at National Personnel Records Center (NPRC).
 - 61 percent of 1930 census microfilm duplicated—15 sets of 2,669 rolls out of 4,318 rolls of schedules and indexes.
- FY 2001**
 - 100 percent of 1930 census microfilm duplicated—15 sets of 4,318 rolls of schedules and indexes—and distributed to NARA facilities and microfilm rental program. Furniture and equipment procured and installed.
- FY 2002**
 - 1930 census opened to the public on April 1, 2002.
 - Prototype Case Management and Reporting System at NPRC tested and deployed.
 - New work assignment profiles at NPRC modified to refocus core team work.
 - Freedmen’s Bureau records from three states (out of 15 states and the District of Columbia) microfilmed.
- FY 2003**
 - Case Management and Reporting System functionality fully implemented at NPRC.
 - Freedmen’s Bureau records from three additional states (out of 15 states and the District of Columbia) microfilmed.
- FY 2004 Estimated**
 - Freedmen’s Bureau records from two additional states (out of 15 states and the District of Columbia) microfilmed.
- FY 2005 Projected**
 - Freedmen’s Bureau records from three additional states (out of 15 states and the District of Columbia) microfilmed.

Data source Performance Measurement and Reporting System and periodic performance reports to the Archivist. Request price for military service separation agreements from FY 2003 Records Center Program Rate Schedule, which is provided annually to agencies in an attachment to their interagency agreement.

Definitions Written requests: requests for services that arrive in the form of letters, faxes, emails, and telephone calls that have been transcribed. Excludes Freedom of Information Act requests, personnel information requests at the National Personnel Records Center, Federal agency requests for information, fulfillment of requests for copies of records, requests for museum shop products, subpoenas, and special access requests; Federal agency reference request: a request by a Federal agency to a records center requesting the retrieval of agency records. Excludes personnel information requests at the National Personnel Records Center.

Long Range Performance Target 3.2. By 2007, 70 percent of NARA services are available online.

- FY 04 Estimated Performance**
 - Ensure 40 percent of NARA services are available online.
- FY 05 Projected Performance**
 - Ensure 50 percent of NARA services are available online.

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

Significance For citizens and the Government to take full advantage of the resources we have to offer, we must make those services available regardless of the user’s physical location. With the advent of the Internet and other electronic forms of communication, we have the means to offer services remotely. Visiting or writing one of our facilities is no longer the only way for people to get ready access to essential evidence. By

broadening the availability of our services, we ensure that citizens everywhere have access to their National Archives.

Means and Strategies Our web site is the most widely available means of electronic access to our services and information, including directions on how to contact us and do research at our facilities; descriptions of our holdings in an online catalog; direct access to certain archival electronic records; digital copies of selected archival documents; electronic mailboxes for customer questions, comments, and complaints; electronic versions of *Federal Register* publications; online exhibits, and classroom resources for students and teachers.

In accordance with the Administration’s Government-wide initiative to expand electronic government, NARA has aggressively looked for opportunities to make more of our services, for both Federal agencies and the public, available electronically. To meet this challenge and the requirements of the Government Paperwork Elimination Act (GPEA), however, we must dramatically improve our information technology infrastructure to support a wide variety of complex electronic transactions.

In FY 2002 we redesigned our web site, *archives.gov*, making it easier to navigate and maintain. While the Rotunda and exhibit hall at the National Archives Building were closed to the public, our web site provided an important informational function to the public—with updates about the renovation of the National Archives Building and the re-encasement of the Charters of Freedom (the Declaration of Independence, Constitution, and Bill of Rights), previews of our new National Archives Experience, and online versions of popular exhibits such as “American Originals.” In partnership with National History Day, USA Freedom Corps, The History Channel, US News and World Reports, and Siemens, we built and populated the web site, *ourdocuments.gov*. The web site provides information online to students, teachers, and the general public interested in this national initiative on American history, civics, and service.

In FY 2003 we enhanced our web infrastructure to support online ordering, interactive forms, and direct access to databases. Currently, researchers, using an online form, can order copies of military records from our holdings at the National Personnel Records Center. *Order Online!*, which will allow customers to place orders for reproductions of selected archival records often requested for genealogical research and pay for them electronically, was deployed in early FY 2004. In FY 2004, we will expand the types of orders customers can make using this tool, and provide online registration, payment, and acknowledgement for public events, workshops, and classes, and the ability to purchase merchandise and pay for it. In FY 2005, customers will be able to locate, rent, and purchase microfilm online, and we will align our online acquisition capabilities with the Integrated Acquisition Environment e-Government Initiative.

We will phase in each new capability to ensure that we have adequate technical resources to meet customer demand. Some Government web sites have been completely overwhelmed by their own success when more users than expected swamped sites with new services. To manage this potential problem, we will monitor each new application closely to evaluate the level of technical resources used, shift resources as necessary, and develop a baseline for future activities. All web initiatives undergo extensive testing so that we have ample opportunity to examine how the initiative is changing business processes, evaluate the costs and benefits of further revamping, analyze the performance of the application, ensure users’ privacy is protected, and mitigate the risks associated with fraud, error, and misuse.

Verification and Validation

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>Performance target for percent of NARA services</i>	--	--	20	30	40	50

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>available online.</i>						
Percent of NARA services available online.	--	24	25	30		
Number of NARA services online	--	29	30	36		
Visits to NARA's web site (in thousands).	10,096.2	16,105.9	19,538.0	30,943.1		
Cost to provide NARA services online per visitor.	--	--	--	\$0.16		

Milestones

- FY 2001**
 - Preliminary measurement methodology developed and baseline for NARA services available online proposed.
- FY 2002**
 - Measurement methodology finalized.
 - Web-based request form to allow electronic requests of copies of records made available.
- FY 2003**
 - Veterans and next-of-kin of deceased veterans provided with the capability of online ordering of copies of the veterans' military service records.
 - Customers surveyed about their satisfaction with our online services.
- FY 2004 Estimated**
 - Online registration, payment, and acknowledgement of public events, workshops, classes implemented.
 - Online ordering and payment of merchandise implemented.
- FY 2005 Projected**
 - Online location, rental, and purchase of microfilm implemented.
 - NARA online acquisition capabilities aligned with the Integrated Acquisition Environment e-Government Initiative.

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

Definitions Online visits: One person using our web site is counted as one "visit." It is a count of the number of visitors to our web site, and is similar to counting the number of people who walk through our front door. In contrast, it does not count "hits," which refers to the number of files used to show the user a web page. A visit in which a user accessed a web page comprising 35 files would count as 1 visit and 35 hits. Counting visits is a more accurate way of showing how much use our web site is getting than counting hits.

Long Range Performance Target 3.3. By 2008, 80 percent of NARA archival holdings are described in an online catalog.

- FY 04 Estimated Performance**
 - Describe 30 percent of NARA traditional holdings in the Archival Research Catalog.
 - Describe 30 percent of NARA artifact holdings in the Archival Research Catalog.
 - Describe 5 percent of NARA electronic holdings in the Archival Research Catalog.
- FY 05 Projected Performance**
 - Describe 40 percent of NARA traditional holdings in the Archival Research Catalog.

- Describe 40 percent of NARA artifact holdings in the Archival Research Catalog.
- Describe 10 percent of NARA electronic holdings in the Archival Research Catalog.

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

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

Means and Strategies When completed, ARC will be a comprehensive, self-service, online "card catalog" of descriptions of our nationwide holdings. Previously, to locate records you wanted to see or copy, you had to search through various published and unpublished catalogs, indexes, and lists, many of which were out of date, out of print, or available in one location only. ARC will ensure that anyone, anywhere with an Internet connection can browse descriptions of all of our holdings, including electronic records, in our Washington, DC, area archives, regional archives, and Presidential libraries. ARC also contains links to more than 123,000 digital images of some of our most popular and interesting holdings.

In developing ARC, we built two systems—a read-only web version of the system for use by staff and the public, and a data entry system in which archivists enter and edit records descriptions. In FY 2002 we launched the read-only catalog, populated with more than 600,000 descriptions of our records, to the public. In FY 2003, we began a phased rollout of the data entry system to all archival units nationwide. But with 65 years worth of existing descriptive information to place into ARC, we have a multi-year challenge ahead.

Verification and Validation

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Percent of nationwide archival holdings described in an online catalog.	13.9	13.2				
Cubic feet of archival holdings (in thousands)	2,767.7	2,915.1				
Cubic feet of archival holdings described in an online catalog.	385.9	385.9				
<i>Performance target for traditional holdings in an online catalog</i>			20	25	30	40
Percent of traditional holdings in an online catalog	--	--	19.0	19.7		
Number of traditional holdings described in an online catalog (thousands of cubic feet)	--	--	549.5	597.3		
Number of traditional holdings in NARA (thousands of cubic feet)	--	--	2,882.9	3,024.4		
<i>Performance target for artifact holdings in an online catalog</i>			20	25	30	40
Percent of artifact holdings in an online catalog	--	--	19.1	17.1		
Number of artifact holdings described in an online catalog (thousands of items).	--	--	90.0	90.0		

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Number of artifact holdings in NARA (thousands of items)	--	--	470.4	527.6		
<i>Performance target for electronic holdings in an online catalog</i>			0	0	5	10
Percent of electronic holdings in an online catalog	--	--	0.0002	0.0002		
Number of electronic holdings described in an online catalog (millions of logical data records)	--	--	1.1	1.1		
Number of electronic holdings in NARA (millions of logical data records)	--	--	3,713.9	4,742.9		
Number of ARC users (in thousands of user hits*)	--	--	713.0	1,883.8		

Milestones

FY 2000

- ARC functional, technical, and data requirements finalized and design approved.

FY 2002

- Migration of NAIL descriptions to ARC completed.
- Launch of ARC web system to the public completed.
- Development of ARC data entry system completed.

FY 2003

- Testing and launch of ARC data entry system completed.

FY 2004 Estimated

- ARC rollout to all archival units nationwide 50 percent complete.

FY 2005 Projected

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

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

Definitions NAIL: NARA Archival Information Locator, prototype for ARC; ARC: Archival Research Catalog, NARA-wide online catalog. *User Hits: the number of files used to show the user a web page. This is not the preferred method for measuring web usage. Counting visits is more accurate, and will be available for ARC in 2004. Traditional holdings: books, papers, maps, photographs, motion pictures, sound and video recordings and other documentary material that is not stored on electronic media. Artifact holdings: objects whose archival value lies in the things themselves rather than in any information recorded upon them. Electronic holdings: records on electronic storage media.

Long Range Performance Target 3.4. By 2007, government-wide holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts.

FY 04 Estimated Performance

- Determine the universe of records subject to the automatic declassification provision of E.O. 12958, as amended, by required reporting through the declassification plans of executive branch agencies.
- Identify solutions to impediments to meeting the December 31, 2006 deadline for automatic declassification.
- Develop guidance about how to collect data on the number of classification decisions made in automated systems, including

email, and distribute to Executive branch agencies.

FY 05 Projected Performance

- Ensure that 50 percent of the FY 2003 baseline of government-wide holdings of classified records 25-years-old or older are declassified, properly exempted, or appropriately referred.

Outcome More records are declassified and available for public use.

Significance The Information Security Oversight Office (ISOO), which is administered by NARA, oversees the Government-wide security classification program and reports annually to the President on its status. ISOO collects data about agencies’ programs as a means of assessing those programs. Credible data are essential to making these assessments. Further, an important component of the security classification program is declassification, in particular the automatic declassification program.

Means and Strategies On March 25, 2003, the President issued Executive Order 13292 amending Executive Order 12958. Among the many changes is the extension of the automatic declassification deadline from April 17, 2003 to December 31, 2006. This is the second extension of the original automatic declassification deadline, April 17, 2000. To meet the new deadline set by the President in his amendment, it will be important to determine what records in agencies’ holdings will be subject to section 3.3 of the Order. Further, ISOO needs to work with the agencies to identify and implement solutions to the impediments to meeting this deadline.

Key external factors Security concerns related to the war on terrorism may divert resources from declassification efforts or lead to the withholding of additional records. Agencies’ cooperation is essential to identifying the records subject to automatic declassification, impediments to meeting the new deadline, and solutions to these impediments.

Verification and Validation

<i>Performance Data</i>	FY 2002	FY 2003	FY 2004	FY 2005
Number of pages declassified government-wide.	44,365,711			
Number of pages exempted government-wide.	--			
Cost per page declassified government wide.	\$2.55			
Total cost of declassification government-wide.	\$112,964,750			

**FY 2003 data is collected from Federal agencies and reported to Congress in June 2004.*

Milestones

FY 2000

- 7 program reviews completed.

FY 2001

- 3 program reviews completed.

FY 2002

- All agencies handling classified information surveyed with a questionnaire about the data collection form, SF 311, “Agency Security Classification Management Program Data.”
- Online contractor e-survey to assess the current effectiveness of the National Industrial Security Program conducted, with 393 contractors participating.
- 5 Executive Branch agencies program reviews completed.

- FY 2003**
- Interviews with agencies that make classification decisions in automated systems, including email systems, completed.
 - Third review of the National Industrial Security Program completed.
 - 15 Executive Branch agencies program reviews completed.
- FY 2004 Estimated**
- Universe of records subject to section 3.3 of the Order identified through agencies' declassification plans.
 - Solutions to impediments to meeting the December 31, 2006 deadline identified.
 - Guidance about how to collect data on the number of classification decisions made in automated systems, including email, developed and distributed to Executive branch agencies.
 - Plan and cost-effectiveness study developed for automating the data for SF 311, including a requirement for electronic reporting.
- FY 2005 Projected**
- 50 percent of the FY 2003 baseline of government-wide holdings of classified records 25-years-old or older declassified, properly exempted, or appropriately referred.

Data source Periodic performance reports to the Archivist. Information Security Oversight Office, 2002 Report to the President, June 30, 2003 (www.archives.gov/isoo/index.html).

Definitions Classified document review: a review by ISOO of an executive branch agency to identify inconsistencies in the application of classification and marking requirements of Executive Order 12958. The results of the review along with any appropriate recommendations for improvement are reported to the agency senior official for the program or the agency head. Program review: an evaluation of selected aspects of an executive branch agency's security classification program to determine whether an agency has met the requirements of Executive Order 12958. The review may include security education and training, self-inspections, declassification, safeguarding, and classification activity. The results of a review, along with any appropriate recommendations for improvement are reported to the agency senior official or agency head.

Long Range Performance Target 3.5. By 2007, NARA archival holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended.

- FY 04 Estimated Performance**
- Conduct a survey of those record groups that are not being reviewed by the originating agency to determine which agencies have equities in the records and make appropriate referrals to those agencies.
 - Scan 300,000 pages of Presidential archival materials eligible for declassification review as part of the Remote Archives Capture project.
- FY 05 Projected Performance**
- Ensure that 50 percent of the FY 2003 baseline of NARA archival holdings of classified records 25-years-old or older are declassified, properly exempted, or appropriately referred.

- Scan 300,000 pages of Presidential archival materials eligible for declassification review as part of the Remote Archives Capture project.

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

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

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

We have created a Referral Center to streamline the process of agency review of referred materials in accessioned records. Agencies have been asked to determine if their equity in documents is releasable or exempt. We expect this center to eventually provide a one-stop, systematic way for agencies to examine and clear their referred materials. Responding to the needs of our customers, NARA staff are increasing efforts to process for release those records series known to be in high demand by researchers that have undergone declassification review by other agencies.

For classified materials in the Presidential library system for which we have no delegated declassification authority, we have established a partnership with the Central Intelligence Agency (CIA) to prepare and scan classified materials for distribution to agencies with equities in the documents. CIA is funding all of the technological development, hardware, and software for the project.

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

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

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

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

Verification and Validation

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Backlog of Federal records at start of year (in thousands).	52,864.2	25,029.0	20,979.5	18,980.1		
<i>Performance target for annual percentage of Federal records NARA reviewed that are more than 25 years old for which NARA has declassification authority.</i>	50	50	85	90		
Annual percentage of Federal records NARA reviewed that are more than 25 years old for which NARA has declassification authority.	15	9	12	7		
Backlog of Presidential materials at start of year (in thousands).	1,978.4	1,562.4	1,240.4	960.4		
<i>Performance target for annual percentage of Presidential records NARA reviewed that are more than 25 years old for which NARA has declassification authority.</i>	25	25	85	90		
Annual percentage of Presidential records NARA reviewed that are more than 25 years old for which NARA has declassification authority.	21	21	23	16		
Annual number of Federal pages reviewed (in thousands).	8,051.5	2,129.0	2,490.2	1,256.5		
Annual number of Federal pages declassified (in thousands).	3,697.3	806.5	402.0	339.9		
Annual number of Federal pages released (in thousands).	7,677.5	1,788.3	2,184.2	1,092.1		
Annual number of Presidential pages reviewed (in thousands).	416.0	322.0	280.0	154.3		
Annual number of Presidential pages declassified (in thousands).	291.0	218.8	118.8	70.9		
<i>Performance target for annual number of Presidential pages scanned (in thousands).</i>	--	300	300	600	300	300
Annual number of Presidential pages scanned (in thousands).	160.0	321.8	331.9	470.0		
Annual number of Presidential pages released (in thousands).	285.1	206.8	182.0	70.9		
Cost per page declassified (Federal and Presidential).			\$6.15	\$6.95		

Milestones

FY 2004 Estimated

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

FY 2005 Projected

- 50 percent of the FY 2003 baseline of NARA archival holdings of classified records 25-years-old or older are declassified, properly exempted, or appropriately referred.

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

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

Long Range Performance Target 3.6. By 2007, 10 percent of records of a two-term President or 15 percent of records of a one-term President are open and available for research at the end of the 5-year post-Presidential period specified in the Presidential Records Act.

FY 04 Estimated Performance • Process an additional 2 percent of Clinton Presidential and Vice Presidential records for opening on January 20, 2006.

FY 05 Projected Performance • Process an additional 2 percent of Clinton Presidential and Vice Presidential records for opening on January 20, 2006.

Outcome More Presidential records are available sooner for public use.

Significance The Presidential Records Act (PRA) requires Presidential records to be available for the Freedom of Information Act (FOIA) requests five years after the President leaves office. Five years after the last two Presidents left office, well under 10 percent of their records had been opened, largely because of the absence, on the Presidents' departures, of NARA staff trained to accomplish the exacting reviews required under the PRA and FOIA. We must ensure that Presidential records are available in accordance with the Act in a more timely fashion.

Means and Strategies To ensure the availability of Clinton Administration records and artifacts for informational, historical, evidentiary and administrative purposes, staff trained in the requirements of the PRA and FOIA process these records and artifacts in accordance with the requirements described above. Staff also prepare inventories for Presidential and Vice Presidential records to provide basic intellectual control and assist in finding and responding to records requested in special access requests in the post-Presidential period. The inventories also will assist the staff in processing the records and in responding to FOIA requests five years after the end of the administration.

Key external factors The Clinton Project has been responding to numerous special access requests from all three branches of government. These requests require comprehensive searches and production of documents for ongoing commissions, legal cases, and investigations. This continues to have a significant impact on the amount of systematic processing the Project will be able to accomplish before the records are available for FOIA review in January 2006. Preparations for the opening of the new library in FY 2005 and the transfer of the records to the new library also will affect our ability to proceed with systematic processing.

Verification and Validation

<i>Performance Data</i>	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>Performance target for cumulative percent of Clinton Presidential and Vice Presidential traditional records processed for opening January 20, 2006.</i>	1	3	3	5	7
Cumulative percent of Clinton Presidential and Vice Presidential traditional records processed for opening January 20, 2006.	1	1	1		

<i>Performance Data</i>	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Cumulative cubic feet of Clinton Presidential and Vice Presidential traditional records.	28,925	28,925	37,686		
Cumulative cubic feet of Clinton Presidential and Vice Presidential traditional records processed for opening.	291	291	291		
<i>Performance target for cumulative percent of Clinton Presidential and Vice Presidential electronic records processed for opening January 20, 2006.</i>	0	0	0	0	0
<i>Performance target for cumulative percent of Clinton Presidential and Vice Presidential artifacts processed for opening January 20, 2006.</i>	0	0	0	0	0

Milestones

FY 2000

- 40 percent of the Presidential and Vice Presidential records and artifacts in NARA’s custody have prepared or acquired inventories.

FY 2001

- Inventories gathered, prepared, or accessible for another 33 percent of Presidential records.
- 100 percent of Clinton Administration Presidential and Vice Presidential records and artifacts transferred to NARA.
- Clinton project web site developed and four digitally preserved, fully-searchable versions of the Clinton White House web site posted.

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

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

Long Range Performance Target 3.7. By 2007, 90 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.

FY 04 Estimated Performance

- 86 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.

FY 05 Projected Performance

- 87 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.

Outcome The public gains wider access to the entire range of records on which the understanding of American history depends.

Significance National Historical Publications and Records Commission grants help archivists, editors, and historians nationwide broaden public access to non-Federal records, thus complementing NARA’s own mission. Toward this end, the NHPRC works to ensure completion of documentary projects on America’s founding era, strengthens the nation’s archival infrastructure through collaboration with the states, and funds research and development on preserving and making accessible important documentary sources in electronic form.

Means and Strategies The Commission achieves its goals largely through a competitive grants program open to non-profit organizations, state, local, and tribal governments. Applicants provide at least 50 percent of the total project costs. Grant applications include objectives, a budget, a work plan, and a list of products.

Peer reviewers or state historical advisory boards evaluate proposals and the staff makes recommendations to the Commission, which makes the awards. Grant recipients must submit regular narrative and financial reports and a final report with copies of products generated by the project. Commission staff monitors the projects through reporting and individual contact. Staff also monitors relevant professional reviews of the products of its grants found in professional journals and in reports to professional meetings. Staff evaluates projects at closing to determine if they have completed the project as promised. Some experimental projects do not produce expected results. In these cases, finding out what does not work may be just as valuable as finding out what does.

The Federal Financial Assistance Management Improvement Act of 1999 required the NHPRC to simplify its grant-making process, particularly by providing electronic options. We are streamlining our regulations and ensuring that information is easily accessible to our grantees via our web site. In FY 2002 we made grant application forms and other necessary forms available on our web site. In FY 2003 we simplified the grant process for our grantees by accepting alternate means, such as fax, for the transmission of interim reports and requests. In FY 2004, we are evaluating the cost-effectiveness of automating our grants application process. We currently post NHPRC grant opportunities on *grants.gov*, the Federal Government's single, online portal for all Federal grants, and are working toward enabling the NHPRC to accept electronic grant applications.

Key external factors The NHPRC rigorously evaluates grant applications on the basis of the relevance of projects to the NHPRC's strategic objectives and the ability of applicants to produce promised results. Nonetheless, results ultimately depend on the grantees rather than on the NHPRC.

Verification and Validation

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>Performance target for percent of NHPRC grant-funded projects produced results promised in grant applications.</i>	82	84	84	85	86	87
Percent of NHPRC grant-funded projects that produced results promised in grant applications.	94	91	79	86		
Number of NHPRC-assisted projects completed.	67	115	104	72		
Number of NHPRC-assisted projects that produced the results promised.	63	105	82	62		

Milestones

- FY 2002**
 - NHPRC grant application forms available on web site.
- FY 2003**
 - NHPRC regulations and guidance revised, streamlined, and posted on web site.
- FY 2004 Estimated**
 - NHPRC cost-effectiveness study of automated grants application process completed.

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

STRATEGIC GOAL 4 ALL RECORDS ARE PRESERVED IN AN APPROPRIATE ENVIRONMENT FOR USE AS LONG AS NEEDED.

- Long Range Performance Targets**
- 4.1. By 2009, 100 percent of NARA’s archival holdings are in appropriate space.
 - 4.2. By 2009, 100 percent of NARA records centers comply with the October 2009 regulatory storage standards.
 - 4.3. By 2007, 50 percent of NARA’s at-risk archival holdings are appropriately treated or housed so as to retard further deterioration.

FY 2000 Resources Available to Meet This Goal: \$91,419,000; 305 FTE *
FY 2001 Resources Available to Meet This Goal: \$159,044,000; 322 FTE *
FY 2002 Resources Available to Meet This Goal: \$126,361,000; 338 FTE *
FY 2003 Resources Available to Meet This Goal: \$91,319,000; 160 FTE
FY 2004 Resources Available to Meet This Goal: \$60,486,000; 166 FTE
FY 2005 Resources Requested to Meet This Goal: \$60,117,000; 168 FTE

* Resources include a portion of the dollars and FTE for Goal 5.

FY 2005 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
4.1. By 2009, 100 percent of NARA’s archival holdings are in appropriate space.	✓			✓				✓
4.2. By 2009, 100 percent of NARA records centers comply with the October 2009 regulatory storage standards.					✓			
4.3. By 2007, 50 percent of NARA’s at-risk archival holdings are appropriately treated or housed so as to retard further deterioration.	✓							

Long Range Performance Target 4.1. By 2009, 100 percent of NARA’s archival holdings are in appropriate space.

- FY 04 Estimated Performance**
- Complete 90 percent of the renovation of the National Archives Building.
 - Complete renovation and expansion of the Reagan Library.
 - Complete renovation and addition to the Ford Museum.
 - Complete move of Clinton Presidential Materials Project to new library facility.

- Complete 75 percent of the construction of the Southeast Regional Archives.
- Acquire land for Pacific Alaska Regional Archives.
- Review conclusions from the cost-benefit study for the storage and preservation of military personnel records and develop a course of action.

FY 05 Projected Performance

- Complete all renovations at the National Archives Building.
- Open Clinton Presidential Library.
- Complete construction of the Southeast Regional Archives.
- Accept final design of Pacific Alaska Regional Archives.
- Implement course of action for storage and preservation of military personnel records.

Outcome Archival records are preserved for public use.

Significance Providing appropriate physical and environmental storage conditions is the most cost-effective means to ensure records preservation. We greatly increase the chances of records being available for use by Federal officials and the public for as long as needed. In addition, for the first time in America's history, all the Charters of Freedom are fully accessible to the public and their continued preservation is ensured.

Means and Strategies While our state-of-the-art facility in College Park, MD, provides appropriate storage conditions for the archival headquarters records of most Federal agencies as well as modern records of national interest, many of our other facilities require environmental and storage improvements. Several of our regional facilities have severe quality problems, including backlogs of needed repairs and renovations, and existing Presidential libraries need upgrades in environmental conditions.

In our regions we are focusing first on facilities with the worst storage conditions (Atlanta and St. Louis) and on those that are out of space (Atlanta and Anchorage). We have stored and managed the bulk of the 20th-century military personnel records for the Department of Defense since 1960. Because these records have such great value to veterans currently trying to document their rights and to future researchers documenting the military history of the 20th century, NARA will accession these records. Our St. Louis facility, however, does not meet minimum standards for records center storage and faces a 2009 deadline to do so. NARA needs to begin planning now for appropriately storing the military service records of the 20th century. We already know that to implement any option will require substantial preparation of the records for a move and will require significant planning work to implement the selected option. In anticipation of moving the records, NARA conducted a comprehensive physical needs assessment during 2003. We also are developing a comprehensive archival management program plan to ensure that we are prepared to implement accessioning, processing, description, and reference services functions as part of the selected facility option, and to integrate these functions with the existing preservation program.

In FY 2004, we will plan the complex undertaking of implementing the conclusions of the building and reformatting study and will begin to prepare the records for moving. To accomplish this, NARA contracted for the development of a dynamic simulation tool that is being used to analyze options at the National Personnel Records Center (NPRC) for the storage of permanent records in the regional archives system. Because there are many variables that affect the storage requirements and the cost of converting records to different formats, NARA is using the model to analyze the costs and benefits for retaining the current records over time, moving these records to alternative storage conditions, or converting them to a new media type.

In Atlanta, construction of a new facility for the Southeast Regional Archives is underway. The facility will share a site with the Georgia Department of Archives and History, near the campus of Clayton State College and University, in suburban Atlanta. After completing the construction, NARA will outfit the new building with shelving and furniture, move records and staff into this new state-of-the-art facility, and begin operations.

In Little Rock, the construction of the new William J. Clinton Presidential Library and Museum is well underway with completion scheduled for 2004. Once the building is ready for occupation, NARA staff, working with moving contractors, will transfer the vast amount of Clinton Presidential materials from their temporary home in Little Rock to the new library and museum complex. Dedication of the nation's 11th Presidential library is scheduled for November 18, 2004.

And in Washington, DC, the renovation of public spaces in National Archives Building is nearing completion. Additional renovation work will continue in FY 2004 and into FY 2005. The building is being upgraded to modern standards and in compliance with the Americans with Disabilities Act (ADA). The renovations include replacements of mechanical equipment, electrical distribution equipment, new emergency exits, fire alarm and security systems, and upgrades to the public spaces and office areas.

The preservation and re-encasement of the Charters of Freedom (the Declaration of Independence, the Constitution, and the Bill of Rights) in a new exhibit in a newly renovated Rotunda enables all people to view the Charters of Freedom with ease and without assistance. The Rotunda was rededicated on September 17, 2003.

Key external factors Public, White House, and Congressional support for our space planning activities is vital to develop and implement proposed plans. The move of Clinton materials to their new home in Little Rock is fully dependent on the completion of the William J. Clinton Presidential Library and Museum complex, a privately financed and managed project. If construction delays completion until early FY 2005, then NARA will be unable to relocate Clinton materials from the temporary facility to the new building in FY 2004 as planned.

Verification and Validation

<i>Performance Data</i>	FY 2003	FY 2004	FY 2005
Percent of NARA archival holdings in appropriate space	--		
Cubic feet of archival traditional holdings (in thousands)	2,915.1		
Cost of archival storage space per cubic feet of traditional holdings stored	--		

Milestones

FY 2000

- Exhibit “Preserving the Charters of Freedom” opened in the Rotunda and on our web site.

- Two encasements for the Charters of Freedom designed and fabricated.
- Transmittal page and page two of the Constitution re-encased.
- Concept design for the renovation of the National Archives Building completed.
- 85 percent of the final design for the renovation of the National Archives Building completed.
- Five pre-renovation construction contracts awarded and notice to proceed issued.*
- Move of records to National Archives at College Park from the National Archives Building to create records-free construction zones completed.
- Draft facility standards for archival facilities circulated for internal comment.
- Negotiations with the State of Georgia and Clayton State College and University for the site selection of the Southeast regional archives facility initiated.
- Architecture and engineering contract for design of Alaska regional archives facility awarded.
- Temporary facility for Clinton Presidential Materials Project leased, modified, and equipped.
- Construction contract for two-phase Truman Library renovation project awarded. Phase I completed.

FY 2001

- Final design for the renovation of the National Archives Building completed.
- Fabrication of seven encasements completed.
- Page three of the Constitution re-encased.
- Draft environmental assessment for Southeast Regional Archives and 35 percent design completed.
- Move of archival records from the Washington National Records Center to the National Archives at College Park completed.
- Construction contract for the renovation of the National Archives Building awarded.
- Two pre-renovation construction projects in the National Archives Building completed:
 - Construction of moat offices completed.
 - Demolition of shelving and steel decks on six floors completed.
- Records from White House moved to temporary facility for Clinton Presidential Materials Project.
- Construction at the Truman Library completed.
- Design for museum renovations at the Eisenhower Library completed.
- Design for the Roosevelt Library visitor center completed.

FY 2002

- Murals from the National Archives Building Rotunda removed for conservation.
- Pages one and four of the Constitution re-encased.
- New concrete floors on tiers 3 and 5 of the National Archives Building completed.
- Installation of new cooling towers at the National Archives Building completed.
- Facility standards for archival facilities published.
- All renovation construction except for cold storage room at Eisenhower Library completed.
- Construction contract for Roosevelt Library Visitors Center awarded.
- Design for Reagan Library museum renovation and addition completed and construction contract awarded.
- Design for Ford museum renovation and addition completed and construction contract awarded.
- Design for Kennedy Library plaza and seawall repair project completed.
- Design work for Southeast Regional Archives 99 percent completed.

FY 2003

- Restoration and preservation of the Rotunda murals completed and murals reinstalled.
- Conservation work completed and Charters of Freedom redisplayed in the Rotunda.
- Renovation modifications in the Rotunda completed, except for resolving a quality problem

with the decorative bronze ornamentation on the display cases.

- Construction of new microfilm research room, research center, and library in the National Archives Building completed.
- Installation of two new chillers for HVAC supply completed and construction of new steam tunnel along Constitution Avenue completed.
- Cold storage room completed and renovated Presidential Gallery at Eisenhower Library opened.
- Construction of Roosevelt Library Visitors Center 86 percent complete.
- Phase 1 of renovation and addition project at Ford Museum completed.
- Kennedy Library plaza and seawall repair project completed.
- 60 percent completion of renovation and addition to the Reagan Library reached.
- Construction contract awarded for the Southeast Regional Archives.

FY 2004 Estimated

- Renovation of the National Archives Building 90 percent completed.
- Renovation and expansion of the Reagan Library completed.
- Renovation and expansion of the Ford Museum completed.
- Construction of Roosevelt Library Visitors Center completed.
- Move of Clinton Presidential Materials Project to new library facility completed.
- Land for Pacific Alaska Regional Archives acquired.
- Plan to implement conclusions from cost-benefit study for the storage of military personnel records developed.
- 75 percent of the construction of the Southeast Regional Archives completed.
- Contract for a facility requirements study to house the military service records awarded.

FY 2005 Projected

- Renovation of the National Archives Building completed.
- Clinton Presidential Library opened.
- Construction of the Southeast Regional Archives facility completed.
- Final design of the Pacific Alaska Regional Archives accepted.
- Course of action for storage and preservation of military personnel records implemented.

Data source Periodic performance reports to the Archivist.

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

Long Range Performance Target 4.2. By 2009, 100 percent of NARA records centers comply with the October 2009 regulatory storage standards.

FY 04 Estimated Performance

- Based on FY 2003 assessment of Federal records centers, develop repair or relocation plans for bringing NARA records centers into compliance with 2009 regulatory storage standards.
- Complete shelving and move into new records center facility in Dayton.
- Expand records center facility at Lenexa and move records into facility.
- Complete a Solicitation for Offer and Lease Agreement for a

facility in Southern California to replace the Laguna Niguel records center.

- Complete construction of a new records center facility in Atlanta to replace East Point records center and the Palmetto and Birmingham annexes.
- Close Bluegrass Annex in Philadelphia.
- Move into new records center facility in Atlanta.
- Complete construction and move into new records center facility in Southern California.
- Close Birmingham, AL, Annex.
- Close Fort Worth Building 5 Annex.
- In coordination with GSA, develop an Energy Saving Operating Plan for the Washington National Records Center.

FY 05 Projected Performance

Outcome Agency records are preserved for as long as needed.

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

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

We work with other Federal agencies to assist them in bringing the records in their facilities under regulatory storage compliance by advising and inspecting their facilities. Examples include Department of Veteran’s Affairs, Department of Energy, Bureau of Customs, Central Intelligence Agency, Library of Congress, and the Copyright Office. We are working with GSA to develop an Energy Saving Operating Plan for the Washington National Records Center that will allow us to upgrade our HVAC systems to meet new standards while paying for the systems through utility cost savings.

Key external factors Agencies may choose to store records in non-NARA-controlled facilities.

Verification and Validation

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Percent of NARA records center holdings in appropriate space.	--	--	--	--		
Volume of records center holdings (cubic feet in millions).	21.7	22.6	23.1	23.2		
Storage price per cubic foot for records center	\$1.96	\$1.96	\$2.00	\$2.10		

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
holdings.						

Milestones

FY 2000

- Final facility standards for the storage of Federal records in records centers published.
- Reimbursable operations of records centers implemented.

FY 2002

- New records center storage bay in Lee's Summit and in Dayton completed.

FY 2003

- Buildout of three new records center storage bays in Dayton completed.
- Additional records center storage space in the Kansas City area acquired.
- Solicitation for Offer and Lease Agreement for a facility to replace the records center in Atlanta executed.
- Market survey of potential records center space in St. Louis area completed.
- Market survey of potential records center space in Southern California area completed.

FY 2004 Estimated

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

FY 2005 Projected

- Move to new records center facility in Atlanta to replace the East Point records center, and the Palmetto and Birmingham annexes, completed.
- Move to new records center facility in Southern California to replace the Laguna Niguel records center completed.
- Birmingham, AL Annex closed.
- Fort Worth Building 5 Annex closed.
- Energy Saving Operating Plan for the Washington National Records Center developed with GSA.

Data source Periodic performance reports to the Archivist.

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

Long Range Performance Target 4.3. By 2007, 50 percent of NARA's at-risk archival holdings are appropriately treated or are housed so as to retard further deterioration.

FY 04 Estimated Performance

- Appropriately treat or house 40 percent of NARA's at-risk archival holdings so as to retard further deterioration.
- Complete risk assessment of Official Military Personnel Files (OMPFs).

FY 05 Projected Performance

- Appropriately treat or house 43 percent of NARA’s at-risk archival holdings so as to retard further deterioration.
- Inventory and rehouse 25 percent of OMPFs.

Outcome At-risk records are preserved for public use.

Significance Providing public access to records for as long as needed requires that we assess the preservation needs of the records, provide storage that retards deterioration, and treat or duplicate and reformat records at high risk for deterioration.

Means and Strategies We must preserve paper records and motion pictures, audio recordings, videotapes, still photography, aerial photography, microfilm and other microforms, and maps and charts in a variety of formats in our holdings. To ensure that we meet our strategic goal to preserve our holdings in an appropriate environment for use as long as needed, we continue to work to appropriately treat or house at-risk acetate-based still photography, audio recordings, and motion pictures, and records documenting the service of American’s veterans.

At our National Personnel Records Center (NPRC) in St. Louis the records of the service of our 20th-century military veterans require immediate preservation attention. Simultaneous to our study of the options for housing the Official Military Personnel Files (OMPFs) and in anticipation of moving the collection, NARA conducted a comprehensive physical needs assessment of the collection during 2003. To ensure both short-term and continuing access to these records, we are implementing a comprehensive preservation management program for these records.

From FY 2003 through FY 2005, the staff will continue preparation of Multiple Name Pay Vouchers and Payrolls for reformatting to 35mm microfilm and filming the prepped documents. They will also continue treating Army and Air Force OMPFs damaged by the 1973 NPRC fire, especially those damaged by mold. These are part of thousands of feet of microform and paper records that will receive preservation treatment over the next several years.

Upon completion of the options study and needs assessment, in FY 2004, staff will develop a project plan to prepare the OMPF collection for a move and to carry out the move itself. In FY 2005, work will focus on addressing the accessibility and archival storage needs of the oldest, most fragile records. These records, representing 30 percent of the files in the collection, date back to 1885 and contain data about every branch of the military. NARA’s archival holdings at St. Louis will gradually expand to include significant volumes of OMPFs.

Key external factors Unusually large increases in new at-risk records, increases in cost of leasing cold storage space, and growing or shifting public demands for the use of at-risk records could delay achievement of performance objectives. Limitations on the availability of appropriate cold storage facilities and commercial treatment labs affect our ability to address audiovisual holdings’ requirements.

Verification and Validation

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>Performance target for percent of cumulative backlog</i>	--	30	32	36	40	43

Performance Data	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>ever treated.</i>						
Percent of cumulative backlog ever treated.	25	32	35	35		
Start of year backlog volume of at-risk archival holdings (cubic feet)	156,507	196,674	174,156	187,922		
Volume of at-risk archival holdings that received conservation treatment this year (cubic feet)	35,133	26,403	10,510	16,626		
Cumulative volume of at-risk archival holdings in cold storage.	22,977	37,056	37,885	38,743		
Percent of cumulative backlog treated this year.	22	16	7	9		

Milestones

FY 2000

- Records surveyed and at-risk records identified at 12 regional archives facilities and 10 Presidential libraries.
- 7 people hired for the preservation staff at NPRC.
- Contract to duplicate Air Force flight records microfilm awarded.
- 76,000 cubic feet of cold storage leased.
- 22,977 cubic feet of at-risk acetate-based non-textual records moved to cold storage.

FY 2001

- 100 percent of acetate-based records in the Washington, DC, area transferred to cold storage.
- 15 people hired for the preservation staff at NPRC.
- All 14,500 reels of Air Force Flight Records microfilm at NPRC duplicated.
- 267 cubic feet of Final Pay Vouchers and Payrolls for a reformatting contract at NPRC prepared.

FY 2002

- Microfilm operation for reformatting Final Pay Vouchers and Payrolls at NPRC implemented.
- Total of 1,118 cubic feet of Final Pay Vouchers and Payrolls prepared for reformatting at NPRC.

FY 2003

- Risk assessment of OMPFs performed.

FY 2004 Estimated

- Analysis of OMPF risk assessment completed.
- 4 staff hired to prepare move preparation plan and actual move plan for OMPFs.
- OMPF move preparation plan completed.

FY 2005 Projected

- 25 percent of OMPFs inventoried and rehoused.

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

Definitions At-risk: records that have a media base near or at the point of deterioration to such an extent that the image or information in the physical media of the record is being or soon will be lost, or records that are stored on media accessible only through obsolete technology.

STRATEGIC GOAL 5 NARA STRATEGICALLY MANAGES AND ALIGNS STAFF, TECHNOLOGY, AND PROCESSES TO ACHIEVE OUR MISSION.

- Long Range Performance Targets**
- 5.1. By 2008, the average time a leadership position remains unfilled is 30 days or less.
 - 5.2. By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.
 - 5.3. By 2007, NARA accepts 100 percent of the validated legal documents submitted electronically for publication in the *Federal Register*.
 - 5.4. By 2008, all public network applications are available 99.9 percent of the time.

FY 2003 Resources Available to Meet This Goal: \$29,587,000; 127 FTE
FY 2004 Resources Available to Meet This Goal: \$32,968,000; 133 FTE
FY 2005 Resources Requested to Meet This Goal: \$36,460,000; 133 FTE

FY 2005 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
5.1. By 2008, the average time a leadership position remains unfilled is 30 days or less.	✓	✓			✓			
5.2. By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.	✓	✓			✓			
5.3. By 2007, NARA will accept 100 percent of the validated legal documents submitted electronically for publication in the <i>Federal Register</i> .		✓						
5.4. By 2008, all public network applications are available 99.9 percent of the time.	✓	✓			✓			

Long Range Performance Target 5.1. By 2008, the average time a leadership position remains unfilled is 30 days or less.

- FY 04 Estimated Performance**
- Redesign NARA's existing recruiting strategies and procedures.
 - Develop a leadership competency model.
 - Implement a management trainee program in at least one program

office.

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

FY 05 Projected Performance

- Expand management trainee program in NARA records centers.
- Maintain 95 percent of staff development plans linked to strategic outcomes.
- Maintain 95 percent of employee performance plans linked to strategic outcomes.

Outcome The public perceives no decline in NARA programs and services due to turnover in leadership positions.

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

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

Verification and Validation

<i>Performance Data</i>	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>Performance target for average time (in calendar days) a leadership position remains unfilled.</i>	--	--	--	<i>Establish baseline</i>	90
Performance target for percent of staff having performance plans that link to strategic outcomes.	50	95	95	95	95
Percent of staff having performance plans that link to strategic outcomes.	48	80	93		
Number of NARA staff having performance plans that link to strategic outcomes.	1,439	2,497	2,874		
<i>Performance target for percent of permanent staff having staff development plans that link to strategic outcomes.</i>	--	50	95	95	95
Percent of permanent staff having staff development plans that link to strategic outcomes.	--	1	91		
Number of NARA staff having staff development plans that	--	7	2,425		

<i>Performance Data</i>	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
link to strategic outcomes.					
Number of NARA permanent staff.	2,709	2,733	2,672		

Milestones

- FY 2000**
 - Model developed to link employee individual performance plans to Strategic Plan.
- FY 2001**
 - Written guidance on linking employee performance plans to Strategic Plan issued.
- FY 2004 Estimated**
 - NARA's existing recruiting strategies and procedures redesigned.
 - Leadership competency model developed.
 - Management trainee program implemented in at least one program office.
- FY 2005 Projected**
 - Management trainee program expanded to other program offices.

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

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

Long Range Performance Target 5.2. By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.

- FY 04 Estimated Performance**
 - Ensure the percentages of NARA employees in underrepresented groups match 70 percent of their respective availability levels in the Civilian Labor Force.
 - Increase the percentage of people in underrepresented groups in pools of applicants from which to select candidates for positions in grades 13 and above over the percentage in FY 2003.
- FY 05 Projected Performance**
 - Ensure the percentages of NARA employees in underrepresented groups match 80 percent of their respective availability levels in the Civilian Labor Force.
 - Increase the percentage of people in underrepresented groups in pools of applicants from which to select candidates for positions in grades 13 and above over the percentage in FY 2004.

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

Significance A diverse workforce enhances our agency by ensuring that we can draw on the widest possible variety of viewpoints and experiences to improve the planning and actions we undertake to achieve

our mission and goals. By promoting and valuing workforce diversity, we create a work setting where these varied experiences contribute to a more efficient and dynamic organization and employees can develop to their full potential.

Means and Strategies Training in diversity is a critical step for creating an understanding of the value of diversity and ensuring its integration into our organization. We also are focusing on improving our performance in hiring and promoting people in underrepresented groups by continuing our efforts to expand recruiting techniques, collecting and analyzing pertinent personnel management data, and implementing staff development programs.

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

Verification and Validation

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Percent of employees who have received diversity training.	19	27	58	82		
<i>Performance target for percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.</i>	49	64	75	94		
Percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.	63	74	85	97		
Number of applicants.	--	--	7,421	5,745		
Number of diverse applicants (who submitted optional form 3035).	--	--	2,593	2,771		
Number of applicant pools for positions in grades GS-13 and above.	24	53	101	63		
Number of pools for positions in grades GS-13 and above that had self-identified applicants in protected classes.	15	39	86	61		
<i>Percent of Civilian Labor Force rate used to determine if underrepresented groups met employment target.</i>		50	60	65	70	80
Underrepresented groups of employees meeting target (checkmark indicates target met or exceeded)						
--Women	✓	✓	✓	✓		
--Black	✓	✓	✓	✓		
--Latino-Hispanic	✓	✓	✓	✓		
--Asian American/Pacific Islander	✓	✓	✓	✓		
--American Indian/Alaskan Native	✓	✓	✓	✓		
--Targeted disability	✓	✓	✓	✓		

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

Definitions Applicant: anyone who has applied for a specific position; Underrepresented groups: groups of people tracked by the U.S. Equal Employment Opportunity Commission: Minority groups (Black, Latino-Hispanic, Asian/Pacific Islander, and American Indian/Alaskan Native); Women; People with Disabilities.

Long Range Performance Target 5.3. By 2007, NARA will accept 100 percent of the validated legal documents submitted electronically for publication in the *Federal Register*.

- FY 04 Estimated Performance**
- Deploy eDOCS into *Federal Register* production and enhance the system to promote business efficiencies.
 - Accept validated legal documents submitted electronically for publication in the *Federal Register* from 3 agencies.

- FY 05 Projected Performance**
- Accept validated legal documents submitted electronically for publication in the *Federal Register* from 12 agencies.
 - Manage 50 percent of all *Federal Register* documents electronically using eDOCS.

Outcome Publication of documents in the *Federal Register* is easier and more cost-effective for Federal agencies, and the public can obtain these documents easier and faster.

Significance We publish the *Federal Register*, the *Code of Federal Regulations*, and related publications, which contain information essential to the life, health, safety, and defense of the citizens of the United States and of our businesses, legal system, and Government. Informing citizens of their rights and legal responsibilities is one of our critical ongoing responsibilities.

Means and Strategies Technological developments in the publishing world have expanded publication options available for *Federal Register* materials, while developments in consumer technology have increased the number and the availability of public access points to published materials. Meanwhile, Federal agencies have rapidly increased their ability to operate in an electronic information environment. The resulting possibilities for enormously increased access and for significantly improved operational efficiencies demand that taxpayer-financed publishing systems, like the *Federal Register* system, incorporate the new technologies. As online *Federal Register* publications assume primacy among available formats, surveys show that users are demanding that we employ the capabilities of new technologies to provide more frequent revisions of the *Code of Federal Regulations* (CFR) and better reference tools for using the publications. Federal agencies that submit documents for publication also want us to permit the electronic submission of documents. And the Government Paperwork Elimination Act requires agencies to develop the capacity for electronic commerce by 2003.

In FY 2003 we will complete testing and accept for deployment our new electronic editing and publishing system, eDOCS. In partnership with other agencies involved in OMB's online rulemaking initiative, we also will provide an online means (at *regulations.gov*) for the public to have access to, and provide comments on, all rules and proposed rules published in the *Federal Register* and open for public comment, a first step toward electronically integrating the various stages of the rulemaking life cycle. In FY 2004, we will begin a phased deployment of eDOCS into our production processes to produce the daily *Federal Register*. This will involve accepting electronic *Federal Register* document submissions for the first time, the commencement of the electronic commerce required under GPEA. In FY 2005, we will continue to improve and enhance the new system and rollout the e-commerce functionality of eDOCS to additional agencies. We also will continue to participate in the development of online rulemaking and interagency process integration. These efforts

presume that we continue our successful partnership with the Government Printing Office (GPO) and involve GPO officials in planning the ongoing use of the eDOCS system and the *regulations.gov* web site.

Key external factors We do not control the volume of work for which we are responsible or the timing of submissions. We do not print or distribute our publications, and we depend on GPO to provide common hardware and software for publishing. GPO also controls the process by which our publications are put online on GPO Access. Significant changes in our workload would occur if support from GPO were decreased or withdrawn. The decisions of EPA, as the lead partner in the online rulemaking initiative, have a significant impact on the creation of *Federal Register* document templates and the architecture of the *regulations.gov* web site. Successful implementation of interagency rulemaking process integration is dependent on group decisions and efforts beyond our control. Successful government-wide electronic commerce remains dependent upon the resolution of issues surrounding government-wide digital signature standards and an electronic public key infrastructure.

Verification and Validation

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
<i>Performance target for percent of documents Federal Register manages electronically using eDOCS.</i>	--	--	--	--	--	50
Percent of documents <i>Federal Register</i> manages electronically using eDOCS.	--	--	--	--		
Number of documents NARA manages electronically using eDOCS.	--	--	--	--		
Number of documents published in the <i>Federal Register</i> .	31,925	32,036	33,055	32,066		
Number of documents submitted for publication electronically.	--	--	--	--		
Percent of documents submitted for publication electronically.	--	--	--	--		
Number of public inspection documents available to the public electronically.	--	--	--	--		
Number of rulemakings open for comment successfully retrieved at <i>regulations.gov</i> .	--	--	--	370,861*		
Number of official <i>Federal Register</i> documents retrieved online (in millions)	154.9	162.7	150.0	160.1		

* *Statistic covers period from July 1 to September 30, 2003.*

Milestones

FY 2000

- Process improvement study team established and BPI project plan developed.
- Contract for design of electronic editing and publishing system awarded.
- 749 online publications; 697 available no later than the date they were available in the print version.

FY 2001

- Study completed and design and cost estimates delivered. Statement of work prepared for Phase II, installation and testing of electronic editing and publishing system.

- FY 2002**
 - Contractor efforts to build, install, and test an electronic editing and publishing system 75 percent complete.
- FY 2003**
 - Testing and acceptance of electronic editing and publishing system completed.
 - *Regulations.gov* launched.
- FY 2004 Estimated**
 - eDOCS into *Federal Register* production and enhance the system to promote business efficiencies deployed.
 - Validated legal documents submitted electronically for publication in the *Federal Register* from 3 agencies accepted.
- FY 2005 Projected**
 - Validated legal documents submitted electronically for publication in the *Federal Register* from 12 agencies accepted.
 - 50 percent of all *Federal Register* documents electronically using eDOCS managed.

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

Long Range Performance Target 5.4. By 2008, all public network applications are available 99.9 percent of the time.

- FY 04 Estimated Performance**
 - Public network applications are available 96.5 percent of the time.
 - Pilot an enterprise repository for NARA's Enterprise Architecture and associated IT documentation.
 - Implement improved agency-wide disaster recovery processes and mechanisms.
- FY 05 Projected Performance**
 - Public network applications are available 97.0 percent of the time.
 - Upgrade physical security of NARA's computer infrastructure at 50 percent of NARA locations.
 - Implement an enterprise repository for NARA's Enterprise Architecture and associated IT documentation.
 - Complete development of an enterprise-wide disaster recovery plan and an enterprise-wide continuity of operations plan.

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

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

applications is essential to ensuring that customer expectations for access to our information and services can be met.

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

In FY 2003 we began the work to build and sustain an ongoing, comprehensive IT security program that will ensure the integrity and safety of our data and systems. We are making IT security an integral part of the architectural review process for all new project designs so that IT security issues will be considered throughout a project's lifecycle, and we are implementing a continuing security awareness and training program for employees. We are working to ensure that NARANET perimeter defenses, access control, remote access, incident response capability, and system security configurations will be consistent with accepted guidelines. NARA information systems are undergoing risk assessments and security certification so that they can be formally accredited for operation on the NARA network.

In FY 2004, we will further enhance perimeter defenses, access control, remote access, incident response capability, and system security configurations, and update them to be consistent with revised National Institute of Standards and Technology (NIST) guidelines. Also, we will further refine our information system risk assessments and certifications, and establish an IT Security Risk Management Plan. Finally, we will expand and refine our agency-wide disaster recovery processes and then exercise these processes.

In FY 2005 we plan to improve our Risk Management Plan, and continue enhancement of perimeter defenses, access control, remote access, incident response capability, and system security configurations. We also will establish a process for redirecting or restoring critical systems and their data in the event of a disaster, establishing clear lines of authority and prioritizing work efforts.

Consistent with our Strategic Plan, we must implement policies and standards that facilitate development of an integrated, agency-wide information infrastructure to manage comprehensively all the data we use in our daily operations. We are doing this by creating a mature data administration program focused on improving data quality and reliability, increasing data sharing, and controlling data redundancy for all of NARA's information systems. In FY 2002 we began using an agency-wide data model and developing requirements for a data repository for our agency-wide data. In FY 2003 we demonstrated a prototype for NARA's Enterprise Information Technology Repository (NEITR), and in FY 2004 we begin the pilot phase with the development of the System Design Specifications to include updates to the System Requirements Specification. By FY 2005, we will begin the implementation of NEITR.

Key external factors Constantly evolving hardware and software changes make it difficult to accommodate growth while ensuring the minimum performance levels on existing systems.

Verification and Validation

<i>Performance Data</i>	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Percent of public network availability.	99.8	99.9	99.9	99.9		
<i>Performance target for percent availability of public network applications.</i>					96.5	97.0
Percent of public network applications availability.	--	--	--	--		
Number of hours that public network applications were unavailable.	--	--	--	--		
Number of network users.	--	--	--	--		
Cost per network user.	--	--	--	--		

Milestones

FY 2000

- 5 mission critical systems renovated for Year 2000 compliance.

FY 2002

- Use of an agency-wide data model in the development of IT systems implemented.
- 10 percent of the NARA information systems for operation on our network certified secure and accredited.
- Requirements for an enterprise repository for NARA's agency-wide data model and associated IT documentation developed.
- New phone system in College Park and the *Federal Register*, part of a larger telecommunications upgrade throughout NARA's facilities, installed.

FY 2003

- 96 percent of the NARA information systems for operation on our network certified secure and accredited.
- Prototype of an enterprise repository for NARA's Enterprise Architecture and associated IT documentation substantially developed.
- Telecommunications upgrades continued for NARA locations outside of College Park and the *Federal Register*.

FY 2004 Estimated

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

FY 2005 Projected

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

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

NARANET: a collection of local area networks installed in 34 NARA facilities that are connected to a wide area network at Archives II, using frame relay telecommunications, and then to the Internet. NARANET includes personal computers with a standardized suite of software. NARANET was designed to be modular and scalable using standard hardware and software components.