

# FISCAL YEAR 2003

## ANNUAL PERFORMANCE REPORT

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**Submitted to the Congress**  
**February 2, 2004**

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

## **PREFACE FROM THE ARCHIVIST**

Here at the National Archives and Records Administration, we are happy to once again welcome visitors who come to see our nation's Charters of Freedom—the Declaration of Independence, Constitution, and Bill of Rights. For the last two years, these founding documents have been undergoing conservation work while, at the same time, the National Archives Building in Washington, DC was being renovated.

In this report, we show you how we continue to ensure that the records we hold are preserved and available to you. For while the Charters are unquestionably the most famous records we care for, all the records we hold play a vital role in our democracy. Without these records, we would not be able to claim their rights and entitlements. We would not be able to hold our Government officials accountable for their actions. We would not know or be able to understand our past. Without these records we would no longer live in a democracy.

The past year has been an exciting one for the National Archives and Records Administration, as we have seen several of our long-term projects move from the planning phase into implementation. Electronic records and the technology that goes with them have forever changed the way the Federal Government does business, and we are redesigning Government recordkeeping to support the business operations of Federal agencies.

Now in design, our Electronic Records Archives (ERA) will solve the problem of how to preserve the electronic records of our Government and provide access to them far into the future. ERA is a revolutionary project that will have widespread applications, for the challenge of preserving electronic records affects everyone—from Federal agencies, to state and local governments, to the academic community, to the private sector. Every day, we strive to advance these initiatives, and also perform the day-to-day tasks that allow us to provide ready access to the essential evidence of our Government. And in everything we do, we strive to provide top-notch service to all our customers, especially the American public.

As we celebrated the return of the Charters of Freedom to public display, historian Ken Burns keenly observed that unlike other countries, which came together because of economics, religion, race, language, geography, or conquest, our country is here because of words and ideas. He said, “We see that we are stitched together by words, that words remind us of why, against all odds, and contrary to the general impulses of human nature, we agree to cohere as a people.”

America is sustained by the words, ideas, and spirit embodied within the millions of records that tell the stories of our Government and our people. And each day the National Archives and Records Administration works to preserve these records and make them accessible to anyone who wishes to examine them. Every day we prove over and over again that records matter.

John W. Carlin  
Archivist of the United States

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## INTRODUCTION

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**What is the National Archives?** The National Archives of the United States 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 (ISOO) and make grants to non-Federal institutions to support historical documentation through the National Historical Publications and Records Commission (NHPRC). 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, business and occupational researchers; publication and broadcast journalists; Congress, the Courts, the White House, and other public officials; Federal Government agencies and the individuals they serve; state and local government personnel; professional organizations and their members; students and teachers; and the general public—all seek answers from the records we preserve.

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 will be created, identified, appropriately scheduled, and managed for as long as needed.
- *Two:* Essential evidence will be easy to access regardless of where it is or where users are for as long as needed.
- *Three:* All records will be preserved in appropriate space for use as long as needed.
- *Four:* NARA's capabilities for making the changes necessary to realize our vision will continuously expand.

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, 1997-2007*, updated and reissued September 2003. This annual performance report is based on the goals, strategies, and long-range performance targets in our Strategic Plan, and the specific objectives in our FY 2003 Annual Performance Plan. (In order to ensure consistency with the FY 2003 Annual Performance Plan, this report is based on the 2000 Strategic Plan.) The following pages detail our performance on all our FY 2003 objectives. Checked boxes precede those we fully achieved. Those we did not fully achieve have open boxes with an explanation below. We also included all relevant performance results and trend information. Supplemental performance data for some objectives is included in Appendix A. Our budget is linked to the report's performance goals. We received no aid from non-Federal parties in preparing this report.

**Budget resources.** Following is a summary of the resources, by budget authority, we received to meet our FY 2003 objectives.

<b>Operating Expenses</b>	\$241,065,000
<b>Repairs/Restorations</b>	\$14,116,000
<b>Grants</b>	\$6,458,000
<b>Total Budget Authority</b>	\$261,639,000
<b>Redemption of Debt</b>	\$7,186,000
<b>Total Appropriation</b>	\$268,825,000
<b>Total FTE</b>	2,793

**Performance measurement.** We continued using four mechanisms to assess our performance: (1) periodic management reviews, (2) formal audits of operations, (3) implementation and refinement of the agency's performance measurement system, and (4) systematic sampling of measurement system effectiveness. (Appendix B provides summaries of reviews, evaluations, and audits conducted in FY 2003.) In FY 1999 we deployed an agency-wide performance

measurement and reporting system. This system allowed us to define and consistently measure data critical to the analysis of FY 1999 performance objectives. Since then we have continued to integrate and expand the system 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.

The work we have done on our performance measurement system has produced changes in some performance objectives to make them more measurable or to clarify what is being measured. We continue to evaluate, improve, and make necessary adjustments to our performance measurement system in the course of our routine work. This report updates some of our FY 2002 statistics that were corrected as a result of these improvements. These on-going refinements indicate that this annual report, our annual plans, and our Strategic Plan are living documents and are an integral part of our operations.

In our continuous effort to improve our performance measurement program, we are completing a two-year project to upgrade our Performance Measurement and Reporting System (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 deliver 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 report reflects our 2003 progress in making that a reality.

## **STRATEGIC GOAL 1: ESSENTIAL EVIDENCE**

ESSENTIAL EVIDENCE WILL BE CREATED, IDENTIFIED, APPROPRIATELY SCHEDULED, AND MANAGED FOR AS LONG AS NEEDED.

- Long Range Performance Targets**
- 1.1. By 2007, 100 percent of targeted assistance partnership agreements deliver the results promised.
  - 1.2. By 2007, 60 percent of approved new records schedule items cover records created within the last 2 years.
  - 1.3. By 2007, the median time to process records schedule items is 120 calendar days or less.

**FY 2003 Resources Available to Meet This Goal:** \$22,587,000; 154 FTE

### 1.1 TARGETED ASSISTANCE

**FY 2003 Objective**  Deliver the results promised on 90 percent of targeted assistance partnership projects.

**Results**  NARA delivered the results promised on 100 percent of targeted assistance partnership projects.

*"...a success on many levels."*  NARA increased the number of partnership projects established with Federal agencies from 305 to 344.

*"The instructors, curriculum, and materials are first-rate."*  NARA trained nearly 3,400 Federal agency staff in records management and electronic records management, particularly outside the Washington, DC, area.

<b>Performance Data</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
<i>Performance target for annual percent of targeted assistance partnership projects delivering the results promised.</i>	--	--	75	85	90
Annual percent of targeted assistance partnership projects delivering the results promised.	100	100	100	100	100
Annual number of targeted assistance partnership projects initiated.	26	123	66	83	39
Annual number of targeted assistance partnership projects completed.	2	37	58	76	65
Annual number of successful targeted assistance partnership projects completed.	2	37	58	76	65
Cumulative number of targeted assistance partnership projects established with Federal agencies.	33	156	222	305	344
Number of Federal agency staff receiving NARA training in records management and electronic records management.	2,997	3,506	2,506	3,746	3,392

**Trend Analysis** Targeted assistance projects are established between NARA and Federal agencies to solve specific records management problems. We established 39 new projects with Federal agencies this year. Since the program began in 1999 we have established 344 projects, completed 238 projects, and assisted 88 unique agencies. We provided records management training to nearly 3,400 Federal agency staff across the country this year, a 9 percent decrease from last year, but slightly more than the per-year average from FY 1999 to FY 2002 of 3,200 staff each year. In FY 2003, we initiated about half the

number of projects we started in FY 2002. With more than 100 projects in progress, and the need to use the records management expertise of some of our targeted assistance specialists for the development and implementation of new records management initiatives, we did not start as many projects as in past years. This will continue to fluctuate as requirements demand.

**FY 2004 Performance Plan Evaluation** As we continue to make targeted assistance the basis of the way we help Federal agencies with records management, we expect to see significant improvements in the way Federal agencies manage their records (see Appendix C). Based on recommendations made in OIG Report 03-06 (see Appendix B), we have taken steps to tighten the success criteria for these projects and are getting agency feedback in judging success. These steps will be documented in the agency agreement, as well as targeted assistance program standard operating procedures, and the PMRS metric specification. Also, in 2004 we will begin collecting data that will support measurement of the outcomes of targeted assistance to Federal agencies.

1.2 SCHEDULE NEW RECORDS

**FY 2003 Objectives**

- Ensure 30 percent of approved new records schedule items cover records created within the last 2 years.
- Issue transfer guidance for two electronic record formats.
- Deploy records management application pilot in one NARA unit.

**Results**

- We ensured that 26 percent of approved new records schedule items cover records created within the last 2 years.
- We issued transfer guidance for 2 electronic record formats—scanned images of textual records and PDF files.
- We deployed a records management application pilot in two NARA units.

**Explanation** We continue to support the President’s e-Government initiatives through the Electronic Records Management Initiative, which is providing practical recordkeeping guidance and tools to Federal agencies for managing electronic records. NARA is partnering on this initiative with the Department of Defense, the Environmental Protection Agency, and other agencies. This year we developed guidance for agencies implementing records management applications and added scanned images of textual records and PDF files to the formats accepted by NARA. We continued to work with the Department of Defense Joint Interoperability Command on metadata requirements for permanent records formats.

<b>Performance Data</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
<i>Performance target for percent of new schedule items completed within 2 years of the records creation.</i>	--	--	20	25	30
Percent of <i>new</i> schedule items completed within 2 years of the records creation.	24	28	20	33	26
Number of schedule items submitted by agencies.	4,222	8,869	3,286	6,056	3,890
Number of schedule items completed.	3,262	5,664	4,728	9,374	4,654
Number of <i>new</i> schedule items completed.	935	1,961	2,544	5,161	2,654
Number of <i>new</i> schedule items completed within 2 years of the records creation.	220	544	520	1,701	702

**Trend Analysis** In measuring the percent of new schedule items completed within 2 years of the records creation, we are measuring both the promptness by which Federal agencies bring records under records management control and NARA approval of the records schedule items. This metric shows us that about 74 percent of the records scheduled in 2003 had been in existence more than 2 years. In 2002 we focused our attention on some of our oldest records schedules, thereby reducing the percent of records scheduled in 2002 that had been in existence more than 2 years to 67 percent. However, without immediately addressing new schedule items when they arrive at NARA, they quickly become part of the backlog of records schedules that were created more than 2 years after the creation of the records. Working with agencies to create records schedules when records are created and a variety of new initiatives aimed at early identification of records schedules are the outcome of a multi-year records management business process reengineering that NARA has undertaken.

**FY 2004 Performance Plan Evaluation** The performance target and reporting on this measure will be discontinued in 2004. In our revised Strategic Plan we are directing our attention at improving the ability of Federal agencies to get records scheduled early in the creation of those records. We will use different measures to determine the outcome of those efforts.

1.3 CLOSE OUT SCHEDULE ITEMS

- FY 2003 Objectives**
- Process records schedule items within a median time of 225 calendar days or less.
  - Develop a “to be” model for the scheduling, appraisal, and accessioning process.

- Results**
- ✓ We processed records schedule items within a median time of 155 calendar days.
  - ✓ We documented an “as is” model and completed a “to be” model for the scheduling, appraisal, and accessioning process.
  - ✓ We released NARA’s *Strategic Directions for Federal Records Management*.

**Explanation** The overall cycle time for closing out records schedule items decreased significantly this year to a median time of 155 days. Some of the improvement can be attributed to the presence of some higher volume, less complex schedules in this year’s workload, which we were able to complete more quickly than the oldest and more complex records schedules in our backlog, which were the focus of our FY 2002 efforts.

<b>Performance Data</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
<i>Performance target for median time for records schedule items completed (in calendar days).</i>	--	--	260	240	225
Median time for records schedule items completed (in calendar days). *	336.5	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).	502	461	410	532	274
Number of schedule items completed.	3,262	5,664	4,728	9,374	4,654
Number of records schedule items completed within 120 calendar days of submission to NARA.	469	1,229	659	1,999	1,571
Percent of records schedule items completed within 120 calendar days of submission to NARA.	14	22	14	21	34

*\*The metric for median schedule processing time measures all processing time, including time spent waiting for 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.*

**Trend Analysis** Except for 2002 performance when we worked to clear the oldest schedules from our backlog, we have steadily decreased the amount of time required to process records schedule items. Since FY 1999 the median time to complete records schedules has dropped from 337 to 155 calendar days, a 54 percent decrease. We are readdressing how we measure our records scheduling process, as we refine a new model for the scheduling, appraisal, and accessioning process through our Records Lifecycle Business Process Reengineering effort, and implementing several new records management initiatives designed to improve the way we schedule records.

**FY 2004 Performance Plan Evaluation** We have set our FY 2004 target for closing out records schedules at a median time of 220 calendar days or less. This target reflects our expectation that as process changes are put in place and employees are trained in the new processes, they likely will temporarily increase median processing time.

NARA's *Strategic Directions for Federal Records Management* establishes the strategies we are using to improve records management across the Government and achieve Goal 1. In FY 2003 we began to implement these strategies through a unified NARA program to support Federal records management. In FY 2004 and beyond, the NARA records management program will make more effective use of our resources through improved and expanded communications with stakeholders, records management guidance and training, and assistance to Federal agencies. We are working to find ways to minimize routine records scheduling activities and to develop planning and evaluation tools and automated tools to support records management. We are exploring ways to provide agencies with modern records center services and to preserve permanent records, focusing on electronic records. We will also use our authority to inspect agency records and records management programs, to conduct studies, and to report to Congress on Federal recordkeeping.

## **STRATEGIC GOAL 2: ACCESS**

ESSENTIAL EVIDENCE WILL BE EASY TO ACCESS REGARDLESS OF WHERE IT IS OR WHERE USERS ARE FOR AS LONG AS NEEDED.

### **Long Range Performance Targets**

- 2.1. By 2007, access to records and services and customer satisfaction levels meet or exceed NARA's published standards.
- 2.2. By 2007, 70 percent of NARA services are available online.
- 2.3. By 2007, 95 percent of NARA archival holdings are described at the series or collection level in an online catalog.
- 2.4. By 2003, ISOO will develop a uniform sampling system for collecting information about classification activity within the executive branch.
- 2.5. By 2004, NARA will review and declassify 100 percent of archival holdings more than 25 years old for which NARA has been granted declassification authority and responsibility for their review by the originating agency.
- 2.6. 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.
- 2.7. By 2007, 90 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.

**FY 2003 Resources Available to Meet This Goal:** \$134,943,000; 2,266 FTE

### **2.1 CUSTOMER SERVICE**

#### **FY 2003 Objectives**

- Meet or exceed NARA's published standards for access to records and services, as noted below:
- |  |   |
|--|---|
| <i>"Thanks to your quick response, this mortgage will close on time!"</i>  | <input checked="" type="checkbox"/> 85 percent of written requests are answered within 10 working days;   |
| <i>"You must get thousands of requests a day, but none is more important than the one needed to help a family cope with the death of a loved one."</i> | <input type="checkbox"/> 85 percent of Freedom of Information Act (FOIA) requests are completed within 20 working days;   |
|  | <input type="checkbox"/> 35 percent of requests for military service records at the National Personnel Records Center in St. Louis are answered within 10 working days; |
|  | <input checked="" type="checkbox"/> 95 percent of items requested in our research rooms are furnished within 1 hour of request or of scheduled pull time;               |
|  | <input checked="" type="checkbox"/> 99 percent of customers with appointments have records waiting at the appointed time;   |

- ☑ 90 percent of Federal agency records 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;
- ☑ 60 percent of archival fixed-fee reproduction orders through the Order Fulfillment and Accounting System (OFAS) are completed in 35 working days or less;
- ☑ 95 percent of public education programs and workshops are rated by their users as "excellent" or "very good."

**Results**

*"Seeing my name and my age of 2 years was very emotional."*

- ✓ We answered 94 percent of written requests within 10 working days.
- ✓ We completed 65 percent of all FOIA requests within 20 working days.

*"His daughter can now finally close this chapter of her father's life."*

- ✓ We answered 28 percent of military service records requests within 10 working days.
- ✓ We furnished 96 percent of requested items within 1 hour of request or of scheduled pull time.
- ✓ We furnished records at the appointed time for 99.9 percent of customers with appointments.

*"Service like this gives government a good name!"*

- ✓ We had ready 94 percent of Federal agency reference requests when promised to the customer.
- ✓ Of the records we shipped to Federal agencies, 99.99 percent were the records agencies requested.
- ✓ We completed 99 percent of our archival fixed-fee reproduction orders through OFAS in 35 days or less.

*"Rave reviews for the program you provided."*

- ✓ Our users rated 95 percent of our public education programs and workshops as "excellent" or "very good."

**Explanation** Agency-wide FOIA performance dropped off this year after reaching an all-time high last year. This was due to a drop in FOIA response rates at the National Personnel Records Center in St. Louis, which made up 76 percent of the total FOIA requests NARA received in FY 2003. The drop in the response to FOIAs within 20 workdays at NPRC (from 81 percent in FY 2002 to 68 percent in FY 2003) was the result of the deployment of a new processing system in the first quarter of FY 2003, related process changes, and staff development efforts at NPRC. Response times slowed during this time and the backlog of requests increased. While we were able to get back to normal business during the second quarter, the largest portion of FOIA requests arrived during the first two quarters when we were at our lowest production level, thus making it more difficult to catch up. By the end of the fiscal year, however, NPRC FOIA response times had improved and the backlog had decreased significantly. In addition, we experienced a 27 percent increase in the number of complex FOIA requests we handled in FY 2003, which were requests that required more time to answer because the requested records were voluminous, security classified, sensitive, or require referral to another agency. Because these complex requests

required considerably more time and effort to respond, they cost more to complete and increased our “per FOIA” cost over FY 2002.

We fell short of our goal of answering 35 percent of the requests for military service records within 10 days for the year; however, by the end of the fourth quarter, we were answering 41 percent within 10 days. If we focus only on military service separation requests, which represent the bulk of the requests received at NPRC (50 percent), we answered 37 percent within 10 working days. By the end of the year, we had accelerated out responses to 56 percent within 10 working days. As mentioned in past reports, service backlogs at the center are what prompted us to undertake a Business Process Reengineering project. We are in the process of implementing several key initiatives that are improving our response times and we expect to continue to see progressively faster processing of FOIA requests and military service requests as a result.

<b>Performance Data</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
<i>Performance target for written requests answered within 10 working days.</i>	80	80	80	85	85
Percent of written requests answered within 10 working days.	88	92	93	93	94
<i>Performance target for Freedom of Information Act requests completed within 20 working days.</i>	80	80	80	85	85
Percent of Freedom of Information Act requests completed within 20 working days.	34	26	27	75	65
Number of FOIAs processed.	6,911	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 all military service records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days.</i>	--	--	25	30	35
Percent of requests for military service records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days.	7	3	5	28	28
<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
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
<i>Performance target for percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.</i>	95	95	95	95	95
Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	94	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).	533	918	1,056	613	607
Number of items furnished on time in our research rooms (in thousands).	501	818	985	578	584
<i>Performance target for percent of customers with appointments for whom records are waiting at the appointed time.</i>	99.7	99.4	99.6	99.8	99.9
Percent of customers with appointments for whom records are waiting at the appointed time.	99.7	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

<b>Performance Data</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
Percent of Federal agency reference requests in Federal records centers that are ready when promised to the customer.	81	79	93	92	94
<i>Performance target for records center shipments to Federal agencies are the records they requested.</i>	--	--	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
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
Performance target for percent of education programs, workshops, training courses rated by participants as "excellent" or "very good."	90	90	90	95	95
Percent of education programs, workshops, training courses rated by participants as "excellent" or "very good."	90	95	97	96	95
Number of program attendees.	6,848	6,971	6,291	8,447	7,343

**Trend Analysis** Overall, we have seen our customer service performance improve steadily over the past several years against increasingly aggressive targets. For example, due to an ongoing Business Process Reengineering project at the National Personnel Records Center, we are answering better than 28 percent of requests for military service records within 10 working days or less, up from less than 3 percent just three years ago. (See additional detailed data for customer service metrics in Appendix A.)

**FY 2004 Performance Plan Evaluation** For those customer service targets that we currently meet, we expect to continue that trend. For those that we have not met, we expect to see steady improvements in FY 2004.

## 2.2 ONLINE SERVICES

### **FY 2003 Objective**

- Ensure 30 percent of NARA services are available online.

### **Results**

- We made 30 percent of our services available online.
- We provided veterans and next-of-kin of deceased veterans with the capability of online ordering of copies of the veterans' military service records.

*"The NARA web site is a model for U.S. Government interaction with the public."*

- We surveyed customers about their satisfaction with our online services.

**Explanation** The measurement of NARA services online reflects the deployment of online products under our Government Paperwork Elimination Act (GPEA) plan, as well as online availability of information and forms that allow a NARA customer to use our services from any location with access to the Internet.

To help us continue to improve our web services, we launched an online survey on our main public web site, *archives.gov*, using the American Customer Satisfaction Index. The survey asks visitors to rate the site on its ease of use and quality of information, to provide suggestions about needed improvements, to identify best elements of the site, and to rate the likelihood of return visits and recommendations of the site to others. 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.

<b>Performance Data</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
Public user sessions on NARA's web site (in thousands)	7,271.8	10,096.2	16,105.9	19,538.0	30,943.1
<i>Performance target for percent of NARA services available online.</i>	--	--	--	20	30
Percent of NARA services available online.	--	--	24	25	30
Number of NARA services online.	--	--	29	30	36
Cost of NARA services online per visit.	--	--	--	--	\$0.16

**Trend Analysis** We continue to see growth in the use of our web site, with more than 30 million visitors in FY 2003. The number of visits to our web site increased 58 percent since last year, and more than 300 percent since 1999. These numbers will continue to increase as more information and services are made available electronically and also as technology reaches more people.

**FY 2004 Performance Plan Evaluation** We will meet our FY 2004 target of 40 percent of our services available online with the implementation of online registration, payment, and acknowledgement of public events, workshops, and classes, and *Order Online!*

### 2.3 ONLINE CATALOG

#### **FY 2003 Objectives**

- Describe 25 percent of NARA archival holdings at the series or collection level in the Archival Research Catalog (ARC).

#### **Results**

- ✓ We described 20 percent of our traditional archival holdings and 17 percent of our artifacts in an online catalog.
- ✓ We began a phased rollout of the ARC data entry system for NARA staff to enter new descriptions.
- ✓ *"It works like a gem!"* We debuted the Access to Archival Databases (AAD) system to the public.

**Explanation** The ARC system has two main components: a data entry system in which archivists can now enter and edit records descriptions and a read-only web version of the system for use by staff and the public. The read-only catalog was launched in FY 2002. In FY 2003, we began to train and deploy the data entry system to our staff nationwide, allowing us to add nearly 50,000 cubic feet of descriptive information on our traditional holdings to ARC last year. We expect that amount to steadily increase as more staff are trained and the data entry system is deployed at more NARA facilities in FY 2004. We did not add new descriptions for artifacts or electronic holdings last year. The size of both types of holdings grew in FY 2003, thus reducing the percentage of these holdings described in an online catalog.

<b>Performance Data</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
Percent of nationwide archival holdings described in an online catalog.	8	14	13	--	--
Cubic feet of archival holdings (in thousands)	2,834.5	2,767.7	2,915.1	--	--
Cubic feet of archival holdings described in an online catalog.	236.8	385.9	385.9	--	--
<i>Performance target for traditional holdings in an online catalog</i>	--	--	--	20	25
Percent of traditional holdings in an online catalog	--	--	--	19.0	19.7

<b>Performance Data</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
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)	--	--	--	2,889.9	3,024.4
<i>Performance target for artifact holdings in an online catalog</i>				20	25
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
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
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
Number of AAD users (in thousands of visits)	--	--	--	--	488.9

*\*In FY 2004 ARC users will be measured in visits, not hits. 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.*

**Trend Analysis** There is insufficient data to establish a trend as we start up data entry activities.

**FY 2004 Performance Plan Evaluation** We plan to continue the rollout of the data entry system to NARA archival units during FY 2004 and expect to see a significant increase in the number of ARC descriptions as staff are trained and begin to enter more data in ARC.

## 2.4 CLASSIFICATION

### **FY 2003 Objectives**

- Test the sampling method or methods to determine reliability and credibility of the data reported by agencies that sample their classification activity.

### **Results**

- ✓ We issued an implementing directive for the amendment to Executive Order 12958.
- ✓ We performed onsite reviews of the executive branch security classification program at 15 agencies
- ✓ We completed our third evaluation of the National Industrial Security Program.

**Explanation** We learned during a FY 2002 survey of Federal agencies about their use of the data collection form, Standard Form 311, "Agency Security Classification Management Program Data," that the sampling methods used by agencies that sample are valid methods that provide credible data. Confidence in the validity of agencies' data is important to the Information Security Oversight Office (ISOO) in monitoring and providing oversight to agencies. We turned our attention (and revised our objective) in FY 2003 to developing a training aid for executive branch agencies on how to complete the SF 311 for paper-based classification decisions. However, because of changes to the policy documents

(Executive Order 12958 and ISOO Directive 1), we have determined that the SF 311 must be revised, along with an instruction on its completion. These activities will take place in FY 2004.

Executive Order 12829 spells out ISOO's responsibilities for monitoring the National Industrial Security Program (NISP). The 2002 report on these activities was released in October 2003, indicating that many aspects of NISP are not fully meeting their potential and a number of areas of concern for industry exist. ISOO conducted a data call for executive agency implementing regulations, internal rules, and guidelines pertaining to the NISP. ISOO plans to analyze this data and begin to build an implementing directive for Executive Order 12829 in FY 2004.

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

*\*Data is collected government-wide, but is not available until June 2004.*

**FY 2004 Performance Plan Evaluation** With the signing of Executive Order 13292, which amended Executive Order 12958, the deadline for automatic declassification is now set at December 31, 2006. ISOO efforts in FY 2004 will be directed at working with Federal agencies, including NARA, to identify and implement solutions to any impediments in meeting this deadline.

## 2.5 DECLASSIFICATION

### **FY 2003 Objectives**

- Review and declassify 90 percent of archival holdings more than 25 years old for which NARA has been granted declassification authority and responsibility for their review by the originating agency.
- Scan 600,000 pages of Presidential archival materials eligible for declassification review as part of the Remote Archives Capture project.

### **Results**

*“Senior CIA employees engaged in declassification reviews...gained a new appreciation for the difficult work of archivists.”*

- ✓ We reviewed 7 percent of Federal records in our custody more than 25 years old for which we had declassification authority.
- ✓ We reviewed 16 percent of Presidential materials in our custody more than 25 years old for which we had declassification authority.
- ✓ We released 1,092,058 pages of declassified Federal records and 70,907 pages of declassified Presidential records.
- ✓ We scanned 470,000 pages of Presidential materials eligible for declassification review as part of the Remote Archives Capture project.

**Explanation** Although we released more than 1,000,000 pages of declassified Federal records and 70,000 pages of declassified Presidential records this year, we continue to struggle with our declassification goals. With the constraints imposed by page-by-page reviews, and the change in government policy toward re-reviews of previously reviewed records, we cannot meet this objective as it was originally developed when Executive Order 12958 went into effect. In addition, because the work

requires highly trained, security-cleared individuals, staff vacancies were difficult to fill. We undertook a work process analysis and have redesigned some areas of our processing operation, but there are still substantial obstacles to significantly increasing the volume of records we review and declassify.

We fell far short of reaching our target of reviewing 90 percent of the Presidential materials for similar reasons. Page-by-page reviews and extensive re-reviews of previously released records were conducted to ensure that information had not been inadvertently released.

We did not meet our scanning target of 600,000 pages as part of the Remote Archives Capture project. We had doubled our target over previous years, but technical issues with some of the documents slowed the project. Many Truman documents are on blue onion skin paper, which forced the scanning team to adjust the scanning equipment frequently, taking more time to complete the project. This delayed the start of a scanning project of Nixon materials. Still, despite these problems, we scanned about 100,000 pages more than in any other year of this project.

<b>Performance Data</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
Backlog of Federal records requiring declassification at start of year (in thousands of pages).	20,000.0	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.	52	15	9	12	7
Backlog of Presidential materials requiring declassification at start of year (in thousands of pages).	1,500.0	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.	48	21	21	23	16
Annual number of Federal pages reviewed (in thousands).	11,030.6	8,051.5	2,129.0	2,490.2	1,256.5
Annual number of Federal pages declassified (in thousands).	8,466.8	3,697.3	806.5	402.0	339.9
Annual number of Federal pages released (in thousands).	17,026.0	7,677.5	1,788.3	2,184.2	1,092.1
Annual number of Presidential pages reviewed (in thousands).	713.0	416.0	322.0	280.0	154.3
Annual number of Presidential pages declassified (in thousands).	304.8	291.0	218.8	118.8	70.9
Performance target for annual number of Presidential pages scanned (in thousands).		--	300	300	600
Annual number of Presidential pages scanned (in thousands).	351.2	160.0	321.8	331.9	470.0
Annual number of Presidential pages released (in thousands).	291.1	285.1	206.8	182.0	70.9
Cost per page declassified (Federal and Presidential).				\$6.15	\$6.95

**Trend Analysis** Most performance results on these metrics have consistently fallen short of their targets. With the constraints imposed by page-by-page reviews, and the change in government policy toward re-reviews of previously reviewed records, it was clear that this objective could not be met under Executive Order 12958. Also, we continued to have difficulty in filling staff vacancies with highly trained, security-cleared individuals. Executive Order 12958, as amended in FY 2003, sets new targets and implements automatic declassification within agencies on December 31, 2006.

**FY 2004 Performance Plan Evaluation** We will prepare a declassification plan that describes how we plan to achieve the targets set in the amended Executive Order, but for the reasons stated above, we believe it will be very difficult to meet these targets. We will continue our partnerships with several agencies that are providing declassification support. In addition, we have set up a referral center for Federal agencies that hold equities in the records. We plan to 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 referrals to those agencies.

2.6 PRESIDENTIAL RECORDS

**FY 2003 Objective**  Process an additional 2 percent of Clinton Presidential records for opening January 20, 2006.

**Results**  We have processed less than 1 percent of the Presidential records for opening January 20, 2006.

**Explanation** We made no progress on processing additional records this year because of continued special access demands for Clinton Administration records. The largest amount of time this year was spent providing materials to congressional committees, executive branch agencies, and the White House for the ongoing business of government.

<b>Performance Data</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
<i>Performance target for cumulative percent of Clinton Presidential and Vice Presidential traditional records processed for opening January 20, 2006.</i>	<i>1</i>	<i>3</i>	<i>3</i>
Cumulative percent of Clinton Presidential and Vice Presidential traditional records processed for opening January 20, 2006.	1	1	0.8
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
Cumulative percent of Clinton Presidential and Vice Presidential electronic records processed for opening January 20, 2006.	0	0	0
Cumulative percent of Clinton Presidential and Vice Presidential artifacts processed for opening January 20, 2006.	0	0	0

**FY 2004 Performance Plan** Future progress in processing the records may be hindered by continued special access requests or subpoenas for the records of the Clinton Administration. We also must begin to plan for the move of the Clinton project to the new library building in 2004.

2.7 NHPRC GRANTS

**FY 2003 Objective**  Produce results promised in grant applications approved by the Commission for 85 percent of all NHPRC-assisted projects.

**Results**  Of the NHPRC-assisted projects completed, 86 percent produced the results promised in their grant applications.

*“Without NHPRC support, it would have been impossible for us to preserve these collections.”*

<b>Performance Data</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
<i>Performance target for percent of NHPRC grant-funded projects produced results promised in grant applications.</i>	80	82	84	84	85
Percent of NHPRC grant-funded projects produced results promised in grant applications.	89	94	91	79	86
Number of NHPRC-assisted projects completed.	100	67	115	104	72
Number of NHPRC-assisted projects that produced the results promised.	89	63	105	82	62

**Trend Analysis** Fewer grants were completed in FY 2003 than in the past two years, due to the fact that many of our grants are accomplished over several years and fewer were scheduled to complete in FY 2003 than in 2001 and 2002. The types of grants we fund also influence our overall results. Certain grants, such as research and development grants, have a higher risk of not achieving their intended results, as was the case in FY 2002, while in FY 2003, none of our completed grants were high risk. Also, in FY 2002, we changed our methodology slightly by requiring a higher percentage of successful completed criteria and creating more measurable and tighter criteria, thus raising the bar for a project to be deemed successful.

**FY 2004 Performance Plan Evaluation** We expect to award more grants in FY 2004, as more funds are made available than last year. However, this may be offset some as costs overall increase and more expensive projects are included in the funding mix. We expect to be able to meet our FY 2004 target.

## **STRATEGIC GOAL 3: SPACE AND PRESERVATION**

ALL RECORDS WILL BE PRESERVED IN APPROPRIATE SPACE FOR USE AS LONG AS NEEDED.

- Long Range Performance Targets**
- 3.1. By 2007, 90 percent of NARA holdings are in appropriate space.
  - 3.2. By 2007, 50 percent of NARA's at-risk archival holdings are appropriately treated or are housed so as to retard further deterioration.
  - 3.3. By 2007, 97 percent of NARA's electronic holdings are preserved and accessible, regardless of their original format.

**FY 2003 Resources Available to Meet This Goal:** \$104,109,000; 373 FTE

### 3.1 HOLDINGS IN APPROPRIATE SPACE

- |  |                                     |  |
|--|-------------------------------------|--|
| <b>FY 2003 Objectives</b>  | <input checked="" type="checkbox"/> | Complete restoration and preservation of the Rotunda murals and reinstall the murals in the Rotunda.                                       |
| <i>"...walk up to the buffed and beautified marble Rotunda, where the newly installed Constitution, Bill of Rights and Declaration of Independence will take your breath away."</i><br>Washington Post, 12/18/03 | <input checked="" type="checkbox"/> | Complete conservation work and redisplay Charters of Freedom in the Rotunda.   |
|  | <input type="checkbox"/>            | Complete renovation modifications in the Rotunda.  |
|  | <input checked="" type="checkbox"/> | Complete construction of new microfilm research room, research center, and library in the National Archives Building.                      |
| <i>"This tour brought a grown man to tears today."</i>   | <input checked="" type="checkbox"/> | Complete installation of two new chillers for HVAC supply and complete construction of new steam tunnel in the National Archives Building. |
|  | <input type="checkbox"/>            | Open renovated Presidential Gallery at Eisenhower Library.   |
| <i>"The museum has made me more appreciative of the work of all Presidents."</i>   | <input type="checkbox"/>            | Complete construction of Roosevelt Library Visitors Center.  |
|  | <input checked="" type="checkbox"/> | Complete Phase I of renovation and addition project at Ford Museum.  |
|  | <input checked="" type="checkbox"/> | Complete plaza and seawall repair project at Kennedy Library.  |
|  | <input checked="" type="checkbox"/> | Reach 60 percent completion of renovation and addition to the Reagan Library.  |
|  | <input checked="" type="checkbox"/> | Award construction contract for the Southeast Regional Archives building.  |
|  | <input type="checkbox"/>            | Contract for a cost-benefit study for the storage and preservation of military personnel records.  |

- ☑ Complete buildout of three new records center storage bays in Dayton.
- ☑ Acquire additional records center storage space in the Kansas City area.
- ☑ Award contract for brokerage services for acquisition of land for Alaska Regional Records Services Facility.

**Results**

- ✓ We completed all renovations of the Rotunda, except the decorative bronze ornamentation on the display cases, and reopened the Rotunda on September 17, 2003.
- ✓ The Research Complex—microfilm research rooms, research center, and library in the National Archives Building—was opened to the public on October 27, 2003.

*“FDR Library is a marvelous national treasure.”*

- ✓ We completed 86 percent of the Roosevelt Library Visitor Center.
- ✓ We awarded a contract for a modeling study for the storage and preservation of military personnel records on October 31, 2003.

**Explanation and FY 2004 Performance Plan Evaluation** All renovations and conservation work were substantially completed in time to re-dedicate the Rotunda at a reopening celebration on September 17, 2003. Because of quality problems with some bronze work on display cases, this work needs to be redone; however, these problems did not delay any other work.

A wet spring and summer slowed construction of the Roosevelt Library Visitor Center, a joint project with the National Park Service. However, work was substantially complete by the dedication date of November 15, 2003.

A construction contract was awarded for the Southeast Regional Archives on May 23, 2003, but start of construction was delayed until GAO decided on two protests. Once the protests were dismissed in September, an order to proceed was issued; however, the delayed start will push back completion of the building by several months.

3.2 PRESERVATION OF AT-RISK HOLDINGS

**FY 2003 Objectives**

- ☐ Appropriately treat or house 36 percent of NARA’s at-risk archival holdings so as to retard further deterioration.
- ☐ Prepare 2,200 cubic feet of Final Pay Vouchers and Payrolls for reformatting; reformat approximately 3,400 cubic feet of Multiple Name Pay Vouchers and Payrolls, at NPRC.
- ☐ Select vendor and conduct pilot project for scanning and digital enhancement of VA Master Index at NPRC.

**Results**

- ✓ We treated or housed 35 percent of NARA’s at-risk holdings so as to retard further deterioration.

- ✓ We completed a risk assessment of Official Military Personnel Files at NPRC.
- ✓ We reformatted approximately 150 cubic feet of Multiple Name Pay Vouchers and Payrolls.
- ✓ We located a record copy of the VA Master Index and made reference copies.

**Explanation** We adjusted our NPRC preservation performance objectives for FY 2003 to focus on performing a risk assessment on Official Military Personnel Files (OMPFs). This activity was completed in September, after a sample, consisting of 12,071 cubic feet of the 1.5 million cubic feet of OMPFs held at the National Personnel Records Center, had been surveyed and assessed to determine their condition. The data collected from this survey will be used to determine appropriate handling, preservation, and storage requirements for the records, as well as evaluating reformatting options. It will also provide the basis for making key decisions on building and storage space design and environmental conditions for these important records as they transition from pre-archival to archival holdings.

Because of our focus on risk assessment, we completed only a small amount of reformatting of Multiple Name Pay Vouchers and Payrolls. We found that a preservation project of the VA Master Index was unnecessary to undertake after we were able to locate a record copy of the Index and make reference copies for use by each of the reference areas at NPRC.

<b>Performance Data</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
Performance target for percent of cumulative backlog ever treated.		--	30	32	36
Percent of cumulative backlog ever treated.	3.1	24.9	28.1	32.0	35.3
Start of year backlog volume of at-risk archival holdings (cubic feet).	161,478	156,020	196,674	174,156	187,922
Volume of at-risk archival holdings that received conservation treatment this year (cubic feet)	4,971	35,133	26,403	10,510	16,626
Cumulative volume of at-risk archival holdings in cold storage (cubic feet).*	--	46,977	61,056	61,885	72,734
Percent of cumulative backlog treated this year.	3.1	22.5	13.4	6.0	8.8

\* Includes both onsite and offsite holdings in cold storage.

**Trend Analysis** We continue to make progress in treating at-risk records. We preserved an additional 16,626 cubic feet of identified at-risk previously accessioned records last year, bringing the percent of records treated to 35 percent, up from 3 percent in FY 1999.

**FY 2004 Performance Plan Evaluation** Preservation work at the National Personnel Records Center will continue with work on the Final Pay Vouchers and Payrolls, as well as treating Army and Air Force Official Military Personnel Files damaged by the 1973 NPRC fire, especially those damaged by mold. However, some resources will be redirected in FY 2004 to assisting with the analysis of the risk assessment just completed.

### 3.3 PRESERVATION OF ELECTRONIC RECORDS

#### **FY 2003 Objective**

- Preserve and make accessible 65 percent of NARA's electronic holdings, regardless of their original format
- Ensure schedule variance of less than 10 percent on major milestones in the Electronic Records Archives (ERA) program:
  - Collaborative research and development for sustainable solutions to electronic records challenges.
  - Design, development, and deployment of NARA's ERA system.

#### **Results**

- ✓ We managed and preserved 93 percent of NARA's electronic holdings, regardless of their original format.
- ✓ We completed a prototype implementation of a persistent archival system at the Bush Library as part of our ERA collaborative research and development activities.
- ✓ We completed development of a detailed ERA work breakdown schedule and awarded a contract to implement an earned value management system.
- ✓ We prepared documentation to support an ERA design contract award in FY 2004.

**Explanation** As the number of electronic records in NARA custody grows rapidly each year, we are taking positive steps to address electronic records challenges for the future with the Electronic Records Archives program. We continued several collaborative research partnerships aimed at developing sustainable solutions to electronic records challenges.

We implemented a persistent archives prototype at the George Bush Presidential Library to better understand and evaluate the capabilities of such a system and its usefulness for preserving electronic records. We expanded the collections of records studied in the prototype to include web sites of the Presidential libraries of Presidents Johnson, Reagan, Ford, and Eisenhower, and collections of Federal agency web site snapshots taken at the end of the Clinton Administration, which contribute toward an overall collection of about 17 million logical data records.

We made significant strides in preparing for a contract award to design the ERA system. We issued a Request for Comments; draft Request for Proposal (RFP), including a requirements document; and held an Industry Day to encourage dialogue with industry, allow additional input to the requirements document, and extend market research. We delayed the release of the RFP to early FY 2004 so that we could improve the completeness of the solicitation package and ensure that we had solid input from industry. The delay also allowed us to seek input from other Government agencies experienced in large acquisitions to incorporate their lessons learned. We updated and maintained the 36 core ERA Program documents, including a program management plan, risk management plan, system security plan, and a capital assets plan and business case. We developed a detailed project work breakdown structure, and performed schedule risk analysis to determine an acquisition program baseline, which was submitted to the Office of Management and Budget.

<b>Performance Data</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
Performance target of percent of NARA's electronic holdings preserved in preparation for their transfer to the Electronic Records Archives.	40	60	65
Percent of NARA's electronic holdings 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	4,742.9
Number logical data records preserved (in millions).	2,271.7	3,623.4	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

**Trend Analysis** Overall, the number of logical data records in NARA custody increased by 27 percent since FY 2002, an increase of more than 1.2 billion logical data records, and a 101 percent increase since FY 2001, the first year we began counting logical data records. It is important to note that we are only able to take custody and copy these electronic records for preservation, and that is all our performance data represents. The ability to preserve these records in a persistent format over time and to make these records readily accessible to the public is being addressed within the scope of the ERA Program.

**FY 2004 Performance Plan Evaluation** We expect to see significant growth in the number of logical data records in NARA's custody, particularly because NARA is expanding the number of records formats we will accept as part of the Electronic Records Management Initiative (see page 2). We expect to make significant progress on ERA as we continue our collaborative research and development efforts with our partners, and begin to design the system with a contract awarded in FY 2004.

## **STRATEGIC GOAL 4: INFRASTRUCTURE**

NARA'S CAPABILITIES FOR MAKING CHANGES NECESSARY TO REALIZE OUR VISION WILL CONTINUOUSLY EXPAND.

- Long Range Performance Targets**
- 4.1. By 2003, 100 percent of employee performance plans and 100 percent of staff development plans are linked to strategic outcomes.
  - 4.2. By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.
  - 4.3. By 2007, NARA will accept 100 percent of the legal documents submitted electronically for publication in the *Federal Register*.
  - 4.4. By 2007, NARANET will have a 95-percent-effective computer and communications infrastructure.

**FY 2003 Resources Available to Meet This Goal:** Goal 4 supports goals 1 through 3. Resources available are included in the totals for those goals.

### 4.1 PERFORMANCE AND DEVELOPMENT PLANS

- FY 2003 Objectives**
- Maintain 95 percent of employee performance plans linked to strategic outcomes.
  - Maintain 95 percent of staff development plans linked to strategic outcomes.
- Results**
- ✓ We linked 93 percent of employee performance plans to strategic outcomes.
  - ✓ We linked 91 percent of staff development plans to strategic outcomes.

**Explanation** At 93 percent, we fell slightly short of meeting our goal of linking 95 percent of all employee performance plans to strategic outcomes. However, counting only permanent employees, we met the target of 95 percent. At 91 percent, we also fell slightly short of meeting our target for linking 95 percent of staff development plans to strategic outcomes. Several organizations, particularly those with regional offices working through a central office, faced a reporting lag time in entering their data into the agency collection database, even though they went through the process of updating performance plans and staff development plans. Taking these reporting lags into account, nearly 96 percent of NARA employees possessed staff development plans linked to NARA strategic outcomes.

<b>Performance Data</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
Performance target for percent of staff having performance plans that link to strategic outcomes.	50	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
Performance target for percent of permanent staff having staff development plans that link to strategic outcomes.	--	50	95

<b>Performance Data</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
Percent of permanent staff having staff development plans that link to strategic outcomes.	--	1	91
Number of NARA staff having staff development plans that link to strategic outcomes.	--	7	2,425
Number of NARA permanent staff.	2,709	2,733	2,672

**FY 2004 Performance Plan Evaluation** We will continue to engrain the process of linking performance plans and staff development plans to strategic outcomes for all employees throughout NARA. We will also develop a process for determining the benefits employees gain from the staff development plan process.

#### 4.2 EQUAL EMPLOYMENT OPPORTUNITY

##### **FY 2003 Objectives**

- Ensure the percentages of NARA employees in underrepresented groups match 65 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 2002.

##### **Results**

- We employed people in underrepresented groups so that our percentages matched at least 60 percent of the national averages in 5 out of 6 underrepresented groups.
- We increased the percentage of people in underrepresented groups in pools of applicants for positions at Grades 13 and above from 85 percent to 97 percent.
- We provided diversity training to 82 percent of NARA managers and employees.

**Explanation** We completed a three-year initiative to deliver diversity training to all NARA employees and reached 82 percent of NARA employees by the end of the year. Although we did not reach every employee—because of the delivery method, new employees were not trained, and while mandatory, not every employee attended—we began to investigate follow-on training that might be included in new employee orientation.

We met our objective of employing people in underrepresented groups for 5 out of 6 underrepresented groups. We continue to seek out well-qualified applicants from such groups.

<b>Performance Data</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
Percent of employees who have received diversity training.	6	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.	48	63	74	85	97
Number of applicants (all grades).	--	--	--	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	21	24	53	101	63

<i>Performance Data</i>	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
and above.					
Number of pools for positions in grades GS-13 and above that had self-identified applicants in protected classes.	10	15	39	86	61
Percent of Civilian Labor Force rate used to determine if underrepresented groups met employment target.	--	--	50	60	65
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	✓	✓	✓	✓	✓

**Trend Analysis** In 5 years we have gone from 48 percent to 97 percent of our applicant pools for positions at grades GS-13 and above containing people from underrepresented groups. The data indicates that we are doing a better job at reaching a more diverse potential workforce. However, while we are receiving more applications from underrepresented groups than in previous years, we are still not able to meet our target for Latino-Hispanic employees.

**FY 2004 Performance Plan Evaluation** NARA is a member of the President’s Task Force on Hispanic Employment, and has participated in the discussions and planning activities geared toward improving Latino-Hispanic representation in the Federal workforce. NARA continues to draw ideas and plans from these meetings to address solutions to this gap in employment.

4.3 FEDERAL REGISTER PRODUCTION

**FY 2003 Objectives**                     Fully deploy an electronic editing and publishing system.

**Results**                                     We accepted an electronic editing and publishing system, and are ready to begin accepting electronic submissions from 3 Federal agencies in FY 2004.

As part of the Administration’s e-rulemaking initiative, we launched *regulations.gov*, a web site that allows people to comment on proposed Government regulations.

*“...outstanding customer service by putting our final rule on public display in less than 2 hours.”*

**Explanation** Development of an electronic editing and publishing system (eDOCS) for the Office of the Federal Register was completed in FY 2003. The system will provide agencies that publish documents in the *Federal Register* the capability to transmit signed legal documents electronically, and provides the Office of the Federal Register with the ability to process these documents in a completely electronic environment. eDOCS is one of the first systems in the Federal Government to make possible government-wide agency certification of signatures, in timely compliance with the Government Paperwork Elimination Act.

*Regulations.gov* consolidates proposed rules open for comment and published in the Federal Register into a single, user-friendly web site. This enables citizens to participate actively in Federal rulemaking on their own terms at a location and time of their choice.

<b>Performance Data</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
Number of documents published in the <i>Federal Register</i> .	31,925	32,036	33,055	32,066
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

\*Statistics cover period from July through September 2003.

**Trend Analysis** There is insufficient data available to establish eDOCS trends.

**FY 2004 Performance Plan Evaluation** With deployment of eDOCS, the Office of the Federal Register begins a process of integrating the system into its production processes and replacing legacy manual and automated systems. The phased implementation (3 Federal agencies in FY 2004) will provide Federal Register managers with real-time experience in operating the increasingly electronic-based operations that result in a daily issue of the *Federal Register* being published every Federal business day of the year.

#### 4.4 COMPUTERS AND COMMUNICATIONS

##### **FY 2003 Objectives**

- Ensure NARA has a 91-percent-effective computer and communications infrastructure
- Certify the security and accredit 100 percent of the NARA information systems for operation on our network.
- Complete prototype of an enterprise repository for NARA's agency-wide data model and associated IT documentation.

##### **Results**

- ✓ We increased our overall network effectiveness to 96.9 percent.
- ✓ We certified 96 percent of NARA information systems for operation on our network.
- ✓ We completed a first draft of a prototype demonstration for NARA's Enterprise IT Repository (NEITR).
- ✓ We provided IT annual security training at all our sites.
- ✓ We launched our new intranet site, *nara@work*, to enhance access to online resources for our staff.
- ✓ We upgraded our telephone system at 19 sites as part of a multi-year agency-wide upgrade.

**Explanation** We did not meet our goal for completing full certification and accreditation of 100 percent of NARA's information systems for operation on our network because of a change in the NIST guidance that we received in mid year. As a result we needed additional time to modify our Certification and Accreditation (C&A) plans and processes. We have two systems that still need to complete C&A. As a result of the C&A process, each NARA system now has a documented risk assessment, contingency plan, security test and evaluation plan, and a system security plan.

Although we made significant progress in developing the repository prototype (NEITR), testing and stakeholder feedback were delayed because resources were needed to help develop ERA data requirements.

<b>Performance Data</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
Percent of overall NARANET effectiveness	94	96.5	96.9	96.3
Percent of network availability	99.9	99.9	99.9	99.9
Percent of user support services effectiveness	92.0	92.2	92.3	90.3
Percent of service delivery to the desktop effectiveness	90.1	97.5	98.5	98.6

**Trend Analysis** We have consistently exceeded our annual targets for NARANET effectiveness.

**FY 2004 Performance Plan Evaluation** We will complete C&A for the remaining two NARA systems. The C&A process is now incorporated in NARA's systems development life cycle to ensure that systems in development are fully accredited. C&A for each existing system will be repeated every three years or whenever major changes are made to a system. We will also implement new agency-wide disaster recovery processes and mechanisms. While we will continue to collect NARANET effectiveness data and manage to internal targets, our FY 2004 performance target will focus on the availability of the network to public users.

## APPENDIX A: OUTPUTS

This appendix contains supplemental output information on selected objectives in this report. Objectives not listed below have no significant supplemental data.

### 2.1 Meet or exceed NARA’s published standards for access to records and services.

Performance Data	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
Archival written requests answered.	105,422	107,370	113,990	104,989	96,102
Archival written requests answered within 10 working days.	93,365	98,696	106,051	97,465	90,209
Military records requests answered.	1,248,652	1,150,436	1,084,731	738,950	753,605
Military records requests answered within 10 working days.	88,321	32,105	49,368	208,945	213,244
Federal agency customers with appointments.	32,535	38,342	41,530	40,406	33,989
Federal agency customers with appointments who have records waiting at requested time.	32,435	38,109	41,381	40,314	33,944
Routine Federal agency records center reference requests answered.	10,252,193	9,286,882	14,967,471	12,131,086	11,084,089
Routine Federal agency records center reference requests answered that were ready when promised.	6,970,721	7,322,300	13,874,295	11,146,595	10,378,805
Federal agency record center shipments were the records requested.	--	--	14,978,859	12,130,995	11,084,028
Public education programs and workshops rated by users.	348	407	371	464	422
Public education programs and workshops rated by users as “excellent” or “very good.”	314	388	358	444	400
Number of FOIA requests received.	7,612	9,32	8,456	9,987	5,182
Number of FOIA requests answered.	6,911	8,751	7,634	8,825	5,107
Number of FOIA requests answered within 20 working days.	2,595	2,466	2,269	7,532	3,388

### 4.2 Provide formal diversity training to 100 percent of NARA managers and employees.

- 2,672 permanent employees; 2,184 received diversity training (82 percent).

### 4.2 Employ and recruit percentages of people in underrepresented groups so that NARA’s percentages match 65 percent of the Civilian Labor Force percentages of people in underrepresented groups.

The categories where we met or exceeded the objective are checked below. The numbers in the table below are based on permanent employees only.

Number of Employees By Underrepresented Group	FY 1999 Actual (Percent)	FY 2000 Actual (Percent)	FY 2001 Actual (Percent)	FY 2002 Actual (Percent)	FY 2003 Actual (Percent)	FY 2003 Target (Percent)	CLF Availability (Percent)*
✓ 1,431 Women	36.5	38.8	54.9	47.0	53.5	29.7	45.7
✓ 818 Black	8.3	8.6	32.3	28.3	30.6	6.7	10.3
43 Hispanic	0.5	0.5	1.5	1.3	1.6	5.3	8.1
✓ 57 Asian American/ Pacific Islander	0.7	0.7	2.2	2.0	2.1	1.8	2.8
✓ 10 American Indian/ Alaskan Native	0.2	0.2	0.4	0.4	0.4	0.4	0.6
✓ 47 Targeted Disabilities	N/A	N/A	2.0	1.7	1.75	1.5	N/A

\* Civilian Labor Force availability is based on census data. At the time NARA set its targets for this metric, the CLF rates were still based on 1990 census data. We will revise our targets when new CLF data is available from the 2000 census.

## **APPENDIX B: PROGRAM EVALUATIONS**

### **STRATEGIC GOAL 1: ESSENTIAL EVIDENCE**

Office of the Inspector General, OIG Report 01-07, *Evaluation of NARA's Records Disposal and Concurrence Process*, July 18, 2001.

The Inspector General reviewed NARA's records disposal and concurrence process and made 11 recommendations to the Office of Regional Records Services for improving this process. One recommendation was completed in FY 2002, and 10 were completed in FY 2003. This evaluation is closed.

Office of the Inspector General, OIG Report 03-12, *Assessment of NARA's Targeted Assistance Program*, September 26, 2003.

The Inspector General reviewed NARA's targeted assistance program. Two recommendations were made to the Office of Regional Records Services and the Office of Records Services. Final recommendations are scheduled for completion by March 31, 2005.

### **STRATEGIC GOAL 2: ACCESS**

General Accounting Office, GAO-01-599, *National Personnel Records Center: Plan Needed to Show How Timeliness Goal Will Be Achieved*, May 2001.

GAO conducted a review of NARA's actions to improve response time to veterans' requests for records and recommended that NARA develop a plan to show what is needed to meet its FY 2005 goal. NARA responded with a detailed plan, describing nine initiatives to be implemented over a multi-year period. All initiatives to improve response time have been implemented except one, which is scheduled to begin in FY 2004.

Office of Inspector General, OIG Report 03-10, *Audit of NHPRC Grantee Reveals that Opportunities Exist to Strengthen Program Oversight*, August 14, 2003.

The Inspector General audited an NHPRC grantee and made four recommendations. All are scheduled for completion in FY 2004.

Office of Inspector General, OIG Report 02-05, *Assessment of NARA's Grant Management Process*, March 29, 2002.

The Inspector General reviewed NARA's grant management process and made two recommendations; one was completed in FY 2002, and the other in FY 2003. This assessment is closed.

Office of Inspector General, OIG Report 02-09, *Assessment of Procedures Governing the Release of Federal Population Census Records*, May 6, 2002.

The Inspector General reviewed NARA's procedures governing the release of Federal population census records to determine the adequacy of existing procedures and safeguards against the early or unauthorized release of Decennial Population Census records. Four recommendations

resulted. One scheduled for completion in FY 2003 was delayed to FY 2004 due to conflicting priorities. The others are scheduled for FY 2004 (2) and FY 2005 (1).

Office of Inspector General, OIG Report 01-15, *Audit of NARA Web Privacy Policies and Practices*, August 2, 2001.

The Inspector General found that NARA is taking necessary actions to protect the privacy of individuals who access NARA web sites, but that our web privacy policies and practices needed improvements in some areas. The OIG made 6 recommendations. Five are completed, and the last one was delayed until FY 2004.

### **STRATEGIC GOAL 3: SPACE AND PRESERVATION**

General Accounting Office, GAO-03-880, *Records Management: National Archives and Records Administration's Acquisition of Major System Faces Risks*, August 22, 2003.

The General Accounting Office identified two areas that needed to be addressed for the Electronic Records Archives acquisition. One included updating several ERA program documents, and the other to develop a detailed work breakdown structure for the program and deploy an earned value management system. The first activity is complete. The second is underway and scheduled for completion in FY 2004.

Office of Regional Records Services, *Program Evaluation*, September 2002.

The office conducted a comprehensive evaluation of regional activities at Rocky Mountain Region. There were three findings, and recommendations were made; all have been completed.

Office of Regional Records Services, *Program Evaluation*, February 2003.

The office conducted a comprehensive evaluation of regional activities at Mid-Atlantic Region. There were five findings, and recommendations were made. Three are completed, and the remainder is scheduled for completion in FY 2004.

Office of Regional Records Services, *Program Evaluation*, July 2003.

The office conducted a comprehensive evaluation of regional activities at Pacific Alaska Region. There were five findings, and recommendations were made. One is completed, and the remainder is scheduled for completion in FY 2004.

Office of Presidential Libraries, *Physical Security Reviews*, April through June, 2003.

The Office of Administrative Services conducted physical security reviews of Jimmy Carter Library and Museum, John F. Kennedy Library and Museum, and George Bush Library and Museum. Reports indicated satisfactory security and no new findings.

### **STRATEGIC GOAL 4: INFRASTRUCTURE**

Office of Inspector General, OIG Report 02-12, *Firewall and Network Configuration Advisory Report*, August 21, 2002.

The Inspector General conducted an evaluation of NARA's firewall and network configuration. Seven recommendations were made to improve the effectiveness and efficiency of NARA controls for managing firewall operations and to ensure secure and reliable network systems. All recommendations have been implemented and this evaluation is closed.

Office of Inspector General, OIG Report 02-13, *Evaluation of NARA's EEO Complaints Processing Program*, September 30, 2002.

The Inspector General conducted an evaluation of NARA's EEO Complaints Processing Program. Four recommendations were made to improve the complaints processing program. All recommendations have been implemented and this evaluation is closed.

Office of the Inspector General, OIG Report 01-04, *Review of NARA's Anti-Virus Program*, March 28, 2001.

The Inspector General conducted a review of NARA's anti-virus protection program and made six recommendations. All recommendations have been implemented and this evaluation is closed.

Office of the Inspector General, OIG Report 01-05, *Audit of the NARA Systems Security Program*, March 28, 2001.

The Inspector General conducted a review of NARA's information system security program and made four recommendations to the Office of Human Resources and Information Services for developing an entity-wide systems security program. The last recommendation was delayed to FY 2004.

Policy and Communications Staff, *NARA Implementation of the Federal Activities Inventory Reform (FAIR) Act*, June 27, 2003.

In compliance with the FAIR Act, NARA compiled information about the activities performed by each office, and submitted it to OMB in its new OMB-specified format. The inventory was posted to NARA's public web site in August 2003.

### **MULTI-GOAL EVALUATIONS**

Office of Inspector General, OIG Report 03-06, *Evaluation of the Accuracy of National Archives and Records Administration Performance Measurement Data*, June 25, 2003.

The report made four recommendations. NARA responded with an action plan to address OIG recommendations, which is scheduled for completion by June 30, 2004.

Office of Inspector General, OIG Report 03-17, *Evaluation of NARA's FY 2003 Management Control Program*, September 29, 2003.

The report made two recommendations. NARA responded with an action plan to address OIG recommendations, which was completed on November 26, 2003.

General Accounting Office, GAO-02-586, "Information Management: Challenges in Managing and Preserving Electronic Records," June 25, 2002.

GAO conducted a review of NARA's efforts to manage and preserve electronic records. Three recommendations were made. NARA responded with an action plan with 20 milestones to address GAO recommendations. Three milestones remain open and will be completed in FY 2004.

Office of Presidential Libraries, *Program Review*, April 4-7, 2000.

The office conducted a program review at the Harry S. Truman Library in Independence, Missouri, listing 55 recommendations for improvements. All items have been completed.

Office of Presidential Libraries, *Program Review*, April 17-20, 2001.

The office conducted a program review at the George Bush Library in College Station, Texas. Out of 21 recommendations made for improvements, only one item, concerning preservation of dictabelts, remains to be completed in FY 2004.

Office of Presidential Libraries, *Program Review*, June 12-15, 2001.

The office conducted a program review at the John F. Kennedy Library in Boston, Massachusetts. Out of 41 recommendations made for improvements, only one item, concerning records management training, remains to be completed in FY 2004.

Office of Presidential Libraries, *Program Review*, April 30-May 2, 2002.

The office conducted a program review at the Ronald Reagan Presidential Library in Simi Valley, California. Out of 41 recommendations made for improvements, only one item remains to be addressed after gallery renovations are completed.

Office of Presidential Libraries, *Program Review*, January 14-16, 2003.

The office conducted a program review at the Lyndon Baines Johnson Library in Austin, Texas, listing 21 recommendations for improvements. All items for which a response was due on or before September 30, 2003, have been completed or addressed.

Office of Presidential Libraries, *Program Review*, June 16-17, 2003.

The office conducted a program review at the Herbert Hoover Library in West Branch, Iowa, listing 20 recommendations for improvements. All items for which a response was due on or before September 30, 2003, have been completed or addressed.

For more information about these reports, contact the Policy and Communications Staff on 301-837-1850 or by email at [vision@nara.gov](mailto:vision@nara.gov).

## **APPENDIX C: FEDERAL RECORDS MANAGEMENT EVALUATIONS**

Under 44 U.S.C. 2904(c)(8), the Archivist of the United States is required to report to Congress and the Office of Management and Budget annually on the results of records management activities. NARA is fulfilling this requirement through its Annual Performance Report. Through this report, we highlight the progress of individual agencies in managing and preserving the documentation necessary to protect the legal and financial rights of the Government and citizens. This year we are reporting on a few of the Federal programs that have shown significant progress in establishing or expanding control over their management of business information in a way that has produced tangible results for the Government and citizens. NARA partnered with the agencies in these activities, often through Targeted Assistance.

### **U.S. GEOLOGICAL SURVEY**

The U. S. Geological Survey (USGS) has taken significant steps to improve the management of its records. Over the past several years, USGS has reviewed its administrative program, the records it generates, and its business needs to completely update and revise the 13 chapters of its records schedule for administrative records. The final chapters were approved in 2003 and satisfactorily resolve all existing concerns for these records, including providing for the appropriate disposition of the USGS photograph collection. With the completion of this schedule, USGS has initiated a similar review of the business processes and records of its primary mission programs.

### **U.S. GEOLOGICAL SURVEY: EARTH RESOURCES OBSERVATION SYSTEMS DATA CENTER, SIOUX FALLS, SD**

The Earth Resources Observation Systems (EROS) Data Center is a data management, systems development, and research field center for the U.S. Geological Survey's (USGS) National Mapping Division. The EROS Data Center has the responsibility for managing and preserving the National Satellite Land Remote Sensing Data Archive (NSLRSDA), the Advanced Space-borne Thermal Emission and Reflectance data, and information from the operational mission management of the U.S. Landsat Program. The NSLRSDA contains satellite remote sensing data of the Earth's land surface that is used by scientists, managers, and technical users from around the world. The Center's activities for the national civil and commercial space systems in support of emergency response and homeland security are crucial.

In 2003, EROS, with NARA support, developed a collection policy, updated its vital records and information disaster plans, updated the USGS schedule for EROS records, and conducted a series of records management workshops for its science and archives staff. USGS has worked with NARA over the last couple of years to determine the best possible disposition solutions for the EROS Data. The strategic planning and forward thinking of EROS Data Center's Records Management Program provides protection and preservation of irreplaceable images and records. The 1.3 million digital satellite images and 12.5 photographic images are managed through outstanding archival and records management practices to provide a high level of service to the research public and USGS scientists.

### **NUCLEAR REGULATORY COMMISSION**

The Nuclear Regulatory Commission (NRC) is a Federal leader in the development and implementation of an enterprise-wide electronic document/records management system. Not only is the system up and running agency-wide, it is used by the public to access the full text of publicly available documents. NRC developed this enterprise-wide electronic recordkeeping system for important programmatic and administrative records within the agency. Called ADAMS (Agency-wide Documents Access and

Management System) the technology uses a centralized electronic document repository to contain the official records of the agency.

NRC gives the public access to regulatory and technical documents through a web-based version of ADAMS. Approved disposition authorities and retention schedules are incorporated into the ADAMS file plan to provide records management control over all official records in the system. NRC has also developed an internal records management web site for use as a training vehicle. It includes general records management guidance as well as appropriate links. The site includes an interactive session on determining records status. Other key contributions of NRC include the development and implementation of enhancements to the agency's Archival Facility Accountability System which documents official NRC records transferred to record center storage. The agency has also been actively involved in electronic records initiatives by working with NARA in piloting the transfer of scanned images and records in PDF format.

### **NATIONAL NUCLEAR SECURITY AGENCY, DEPARTMENT OF ENERGY, KANSAS CITY PLANT**

The National Nuclear Security Agency (NNSA), Department of Energy, Kansas City Plant (KCP) formed an unprecedented partnership with the National Archives and Records Administration, Central Plains Region, and the Electronic Records Archives Program Management Office (ERA PMO). NNSA requested involvement in this effort to research and apply their engineering expertise to long-term preservation and authentication mechanisms for collections of digital models of highly complex machined parts. This multi-year partnership is a joint research project with the ERA PMO and will have long-reaching findings and results for the DOE and entire Federal community.

The goal of the joint research project is to establish a trusted computational environment for the creation, exchange and preservation of digital manufacturing models using a NARA-supported persistent archives prototype and NNSA engineering data.

During the first year of this intense research effort, the Kansas City Plant has established a preservation infrastructure, performed research in preserving model-based product data by developing a knowledge-based format for storing product shapes and developed a way of authenticating the product shapes. In addition to these impressive technical accomplishments, KCP has performed a thorough review of NARA's long-term preservation requirements and provided invaluable feedback to the ERA PMO from a customer's perspective.

This project continues to establish unparalleled relationships between information professionals such as engineers, technologists, records managers, analysts, program and project managers, within the KCP and NARA. It is also an exemplary illustration of the value and contributions a regional NARA customer and regional targeted assistance staff coupled with the headquarters staff can make to our agency.

### **FEDERAL AVIATION ADMINISTRATION, NEW ENGLAND REGION**

The Federal Aviation Administration's (FAA) New England Region completed a successful records improvement process that has become a model for other FAA regions. With NARA assistance, the FAA New England Flight Standards and Resource Management divisions completed in 2003 a multi-year project that updated and improved office recordkeeping processes, issued a comprehensive written report with concrete recommendations for further improvements and trained division employees in records management responsibilities. As a result of their efforts, the Resource Management Division has better access and control over their program records including a new shared electronic network filing system. The project identified permanent historical files to transfer to NARA and records that could be destroyed

based on approved records schedules. It also identified unscheduled electronic records and areas where the work processes and records have changed so significantly that old descriptions and records schedules needed to be revised.

### **FEDERAL EMERGENCY MANAGEMENT AGENCY/GENERAL SERVICES ADMINISTRATION**

The Federal Emergency Management Agency (FEMA) is responsible for coordinating contingency of Operations Plans (COOP) planning throughout the Federal Government. In 2003, FEMA continued its nationwide COOP activities. Region 5 FEMA and General Services Administration (GSA) partnered to present half-day Continuity of Operations Plan (COOP) training throughout the Midwest. There were seven instructional sessions, one each in Chicago, IL; Cincinnati, OH; Cleveland, OH; Columbus, OH; Detroit, MI; Minneapolis, MN; and Peoria, IL, which attracted approximately 400 attendees from various Federal agencies. Records management staff from NARA's Great Lakes Region also participated in this initiative by providing vital records briefings at five of these sessions (excluding Columbus and Peoria), answering audience questions, and offering Targeted Assistance to help develop agency COOPs and vital records programs.

### **BUREAU OF CITIZENSHIP AND IMMIGRATION SERVICES**

Over the last several years, the Bureau of Citizenship and Immigration Services of the Department of Homeland Security (DHS) has developed the agency's National Automated Immigration Lookout System (NAILS). NAILS is a mission-critical electronic system that facilitates the inspection and investigation process by providing quick and easy retrieval of biographical and case data on individuals considered inadmissible to the United States. The database contains the names and reference data on violators and suspected violators of the immigration statutes enforced by DHS. NAILS is an important tool that assists DHS in carrying out its primary mission of protecting the United States from terrorist attacks and preventing the illegal entry of inadmissible aliens into the United States. DHS recognized the need to protect this valuable information management system and in 2003 submitted and received approval for a records schedule that provides appropriate management controls and records retention.