

Ready
Access
to
Essential Evidence

2004 Performance and Accountability Report

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PART 1

MANAGEMENT'S DISCUSSION AND ANALYSIS

A Message from the Archivist of the United States



The National Archives and Records Administration (NARA) is our nation's record keeper. Every day we work to preserve and provide access to the records of our Government, whether those records are the Declaration of Independence, service records of military veterans, electronic cable files from the State Department, or documentation on homeland security issues that will make our country safer.

Throughout the history of our democracy, these records have been first-hand witnesses to the events that have shaped our country. They have documented the rights and entitlements of our citizens, and they have held our Government officials accountable to the people.

Although we are a small agency, we are vital to continuity of Government, homeland security, public trust, and national morale.

- We give legal authority to emergency actions of the President and executive agencies through publication in the *Federal Register*.
- We protect the plans, drawings, maps, and photographs of Federal facilities worldwide.
- We preserve and provide access to the military service records of 56 million veterans of our armed forces, ensuring that they and their families receive the benefits they have earned by defending our country.
- We are developing new technology that will enable the Government to share electronic information across space *and time*, reducing the risk that critical intelligence will be lost in obsolete hardware and software.
- We are preserving and processing the records of the 9/11 Commission for the Government officials who need to consult them as they consider the Commission's recommendations.
- We protect and display the founding documents of our country – the Declaration of Independence, the Constitution, and the Bill of Rights – which more than a million people a year come to see because these Charters of Freedom are the heart of the democracy we cherish.

Never before has NARA played such a critical role in our Government, and never before have the stakes been higher for our success.

That is why I am pleased to present the National Archives and Records Administration's Performance and Accountability Report for FY 2004. Thanks to support from our

stakeholders and partners and the efforts of our exceptional staff, we made significant progress on each of the goals of our Strategic Plan and our two preexisting material weaknesses. Our Strategic Plan focuses us on five goals – improving records management, meeting electronic records challenges, expanding opportunities for access, meeting storage and preservation needs of growing quantities of records, and strategically managing our resources. Our progress in these areas is detailed throughout this report, but I must highlight one special achievement here.

On August 3, 2004, NARA announced the award of design contracts for our revolutionary system that will preserve and provide access to electronic records across space and time, the Electronic Records Archives. The goal of this system is to make Government electronic records available virtually anytime, anywhere, to anyone with Internet access.

Let me share an example of how critical this system will be. The personnel files for Americans serving in our armed forces in Iraq, Afghanistan, and around the world are in digital formats. Our service members depend on these records not only for their careers in the military, but subsequently to obtain veteran's benefits, jobs, and insurance. But today no one can guarantee to Americans serving in our armed forces that these electronic records can be preserved for as long as needed. The Electronic Records Archives will enable the U.S. Government to honor its commitment to veterans; it will enable us to maintain their digital military personnel files intact and authentic.

I encourage you to read the rest of this report to discover other strides we have made in helping Federal agencies address records management problems, making it easier for our customers to find and order copies of records, preserving at-risk records for future generations, streamlining the Government's rulemaking process, and much more.

We also have made strides in ensuring that our resources are well managed with the proper oversight. It is my informed judgment that there is reasonable assurance that NARA's management controls are achieving their intended objectives and that the program and financial data contained in this report is valid and reliable. This assessment is based on management control evaluations and other written evaluations conducted in NARA's offices and staff organizations and senior management's knowledge gained from the daily operations of NARA programs and systems. I also have relied upon the advice of the Office of the Inspector General concerning this statement of assurance.

Pursuant to Section 4 of the Integrity Act, the financial subsystems of NARA generally conform to the objectives detailed in OMB Circular A-127, revised. Although three systems (Order Fulfillment Accounting System; Trust Fund-Gift Fund Financial Review, Analysis, and Reporting System; and Records Center Revolving Fund financial management systems) are not in complete conformance because they fail to meet the financial management system requirements, the non-conformances are not deemed material.

NARA, through its internal control evaluation, identified two material weaknesses in previous fiscal years – computer security in FY 2000 and collections security in FY 2001. We have made substantial progress this year in eliminating both material weaknesses. These actions are outlined later in this report.

There is much more yet to be done, but I believe that our stakeholders and the public can be proud of their National Archives, which every day is protecting, preserving, and making available the essential evidence of our Government.

A handwritten signature in black ink, reading "John W. Carlin". The signature is written in a cursive style with a large, stylized initial "J".

John W. Carlin
Archivist of the United States

November 1, 2004

Introduction

This Performance and Accountability Report represents the culmination of the National Archives and Records Administration's (NARA) program and financial management processes, which began with strategic and program planning, continued through the formulation and justification of NARA's budget to the President and Congress, through budget execution, and ended with this report on our program performance and use of the resources entrusted to us. This report was prepared pursuant to the requirements of the Chief Financial Officers Act, as amended by the Reports Consolidation Act of 2000, and covers activities from October 1, 2003, to September 30, 2004.

How to Use This Report

This report describes NARA's performance measures, results, and accountability processes for FY 2004. In assessing our progress, we are comparing actual results against targets and goals set in our annual performance plan, which we developed to help us carry out our Strategic Plan. Our complete set of strategic planning and performance reports is available on our web site at www.archives.gov/about_us/reports/reports.html.

This report has four major parts:

- **Management's Discussion and Analysis**

Look here for our agency-wide performance and use of resources in FY 2004. You also will find information on the strategies we use to achieve our goals and the management challenges and external factors that affect our performance.

- **Performance Section**

Look here for details on our performance by strategic goal and long-range performance target in FY 2004. This section covers the targets we were aiming for, how and why we met or did not meet them, and explanations of how we assess our performance and ensure its reliability.

- **Financial Section**

Look here for details on our finances in FY 2004, our consolidated financial statements and notes, required supplementary information, and the reports from our external auditor and our Inspector General. Also included is information on our internal controls and an explanation of what kind of information each of our financial statements conveys.

- **Appendixes**

Look here for our Inspector General's assessment of our agency's management challenges and other materials to aid in understanding this report.

About NARA

The National Archives and Records Administration is our national record keeper. An independent agency created by statute in 1934, NARA safeguards the records of all three

branches of the Federal Government. Our job is to ensure ready access to essential evidence, and in doing so we serve a broad spectrum of American society. Genealogists and family historians; veterans and their authorized representatives; academics, scholars, historians, business and occupational researchers; publication and broadcast journalists; Congress, the Courts, the White House, and other public officials; Federal Government agencies and the individuals they serve; state and local government personnel; professional organizations and their members; students and teachers; and the general public – all seek answers from the records we preserve.

Our Vision

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

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

To be effective, we at NARA must determine what evidence is essential for such 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 the vision.

A New Hampshire man born in Italy to an American mother and an Italian father claimed he was a U.S. citizen and thus entitled to Social Security benefits but had no written documentation. He contacted our regional archives in Pittsfield, MA, in search of passenger arrival manifests for ships arriving in the United States in 1947, the year he came to America. An initial search turned up nothing, but then his brother recalled arriving on the *Saturnia* in the summer of 1947. A NARA archivist found him listed with his mother and brother as arriving on September 8, 1947. He wrote to NARA later thanking our staffer for “her determination and excellent researching abilities on my behalf in locating my immigration to the U.S.”

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

NARA’s strategic goals are set forth in our Strategic Plan, which we revised and updated in 2003. This update acknowledged recent achievements, especially in the e-Government arena; assessed new conditions facing us; and committed us to measure our value to the taxpayer by setting aggressive outcome-oriented performance targets.

Our five strategic goals are:

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

Our Organizational Structure

We carry out our mission through a national network of archives and records services facilities stretching from Washington, DC, to the West Coast, and from Atlanta to Anchorage, including Presidential libraries documenting administrations back to Herbert Hoover. Additionally, we publish the *Federal Register*, administer the Information Security Oversight Office (ISOO), and make grants for historical documentation through the National Historical Publications and Records Commission (NHPRC). We preserve and make available, in response to hundreds of thousands of requests, the records on which the entitlements of citizens, the credibility of Government, and the accuracy of history depend. More and more people are using our services and gaining access to our records through the Internet, whether by requesting copies of records through inquire@nara.gov, commenting on regulations at the Government-wide site regulations.gov, downloading milestone documents at ourdocuments.gov, searching online databases of records and information, or engaging in a host of other activities through archives.gov. We continue to encourage this trend, by adding online services and contributing to several of the President's e-Government initiatives, so that citizens everywhere have access to our vast holdings. An organizational chart, which provides an overview of NARA's structure, follows.

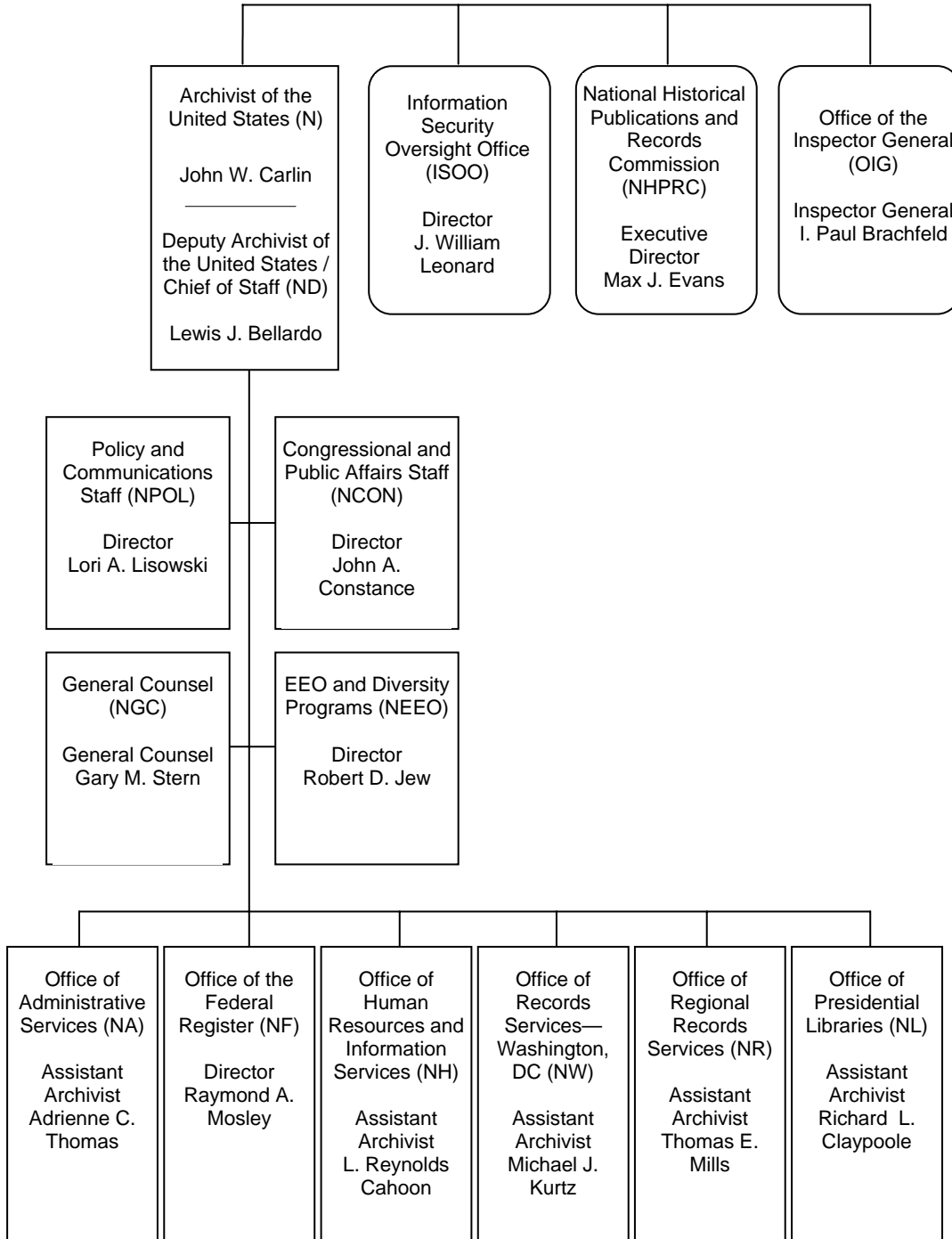


Figure 1. NARA's Organizational Structure

NARA's Challenges and Management's Actions to Address These Challenges

September 11, 2001, has forever changed our Government. Security, continuity of operations, critical infrastructure, and emergency preparedness are now more important to every Federal agency. How NARA deals with these issues affects the entire Government and beyond. Our mission is to ensure that Government officials and the American public have ready access to essential evidence, and this mission puts us at the very heart of homeland security and all of its intergovernmental electronic communication challenges. In addition, NARA provided the 9/11 Commission with thousands of documents that were crucial to the Commission's work, and we now maintain the Commission's web site and are processing all of the Commission's records for use by Government officials and eventually the public. Whether publishing the *Federal Register*, protecting the vital records assets of Federal agencies nationwide, fulfilling the records requests of America's veterans, solving the challenge of preserving electronic records, or displaying our nation's Charters of Freedom—the Declaration of Independence, the Constitution, and the Bill of Rights—to inspire the American public, NARA plays a critical role in keeping America safe, secure, and focused on our democratic ideals.

Never before has NARA played such an indispensable role in our Government, and never before have the stakes been higher for our success. Following are just a few examples of the ways in which the Government and the public are relying on NARA to meet vital needs.

- The *Federal Register* must be published each business day, regardless of weather, terrorist attacks, or other emergencies that may close other Federal operations. Publication, even during emergencies, is critical because many of the actions that Executive departments and the President need to take require the legal authority that comes from publication in the *Federal Register*.
- NARA responds to more than a million requests a year for information from or copies of Official Military Personnel Files (OMPFs). Many of these requests come from veterans, their families, or organizations working on behalf of veterans to verify their military service, apply for benefits, or research medical conditions. A veteran's ability to obtain a job, housing, or medical care is often dependent on our ability to meet their information needs quickly.
- NARA protects the essential records of hundreds of Federal agencies and courts as well as the records of the Congress, the Supreme Court, and 13 Presidential administrations in 34 facilities nationwide. These records include everything from highly classified National Security Council policy memorandums to

A Bible found on a troop ship sailing from England to France in early 1945 ended up at the National Personnel Records Center (NPRC) in St. Louis in 1993. NPRC staff discovered that the military records of the Bible's owner, an Army private, had been destroyed in a 1973 fire. An archivist attempted to track down the soldier or his family but was unable to find anyone. So the Bible was included in the soldier's reconstructed military record. Eleven years later, NPRC received an Internet request from a woman asking for information on military awards for her brother, the long-lost owner of the Bible. The soldier, who was killed in Europe in March 1945, was entitled to several medals, and the Bible was sent to his sister.

congressional committee records to architectural drawings of Federal facilities to satellite photographs of major cities to the tax returns of individual Americans. All of this information and more is saved for as long as needed because it is essential for the effective operations of our Government, protecting the rights and entitlements of our citizens, understanding past decisions and informing future policy choices, holding appropriate officials accountable for their actions, and ensuring the safety and security of our country.

- Our greatest challenge is to ensure that valuable electronic records – from electronic OMPFs to geographic information systems to State Department cable files to transportation security databases – are managed and preserved over time so that key information is not lost in obsolescent hardware and software. To meet this challenge, NARA is developing a revolutionary system that will capture electronic information, regardless of its format, save it permanently, and make it accessible on whatever hardware or software is currently in use.

Let us turn for a moment to the specific challenges NARA faces:

Security. We store more than 27 million cubic feet of Federal records in 34 facilities nationwide, and we have the vital responsibility to protect these records, the staff who care for them, and the public who visits our facilities to use them. To do this, we must plan for a variety of natural and man-made emergencies that might leave our facilities vulnerable or require us to provide shelter for staff and the public.

NARA Holdings Summary
FY 2004

	Artifacts (in items)	Traditional Holdings (in cu. ft.)	Electronic Holdings (in LDR*)
Washington, DC, Area Archives	1,491	2,221,395	5,593,834,700
Regional Archives	20	633,650	0
Records Centers	0	24,111,471	0
Presidential Libraries	538,614	238,111	35,308,040
Affiliated Archives	0	7,198	0
TOTAL	540,125	27,211,825	5,629,142,740

*LDR=Logical Data Records

Currently, NARA has a material weakness in collections security. We face three primary challenges in this area:

- We must provide quality service to our customers while instituting reasonable internal controls to prevent theft and to maintain documentation to support the recovery of alienated holdings and subsequent prosecution of those who would steal records that belong to all Americans.
- We must take every reasonable appropriate measure possible to limit access to records of importance for national security and act expeditiously in coordinating efforts with law enforcement entities as appropriate.
- We must protect and safeguard our facilities themselves and the staff who work in our facilities and the people who visit our facilities to mitigate the potential for damage and destruction through both natural and deliberately precipitated acts.

Having an effective security posture requires that we take a big picture, holistic view of all our facilities and holdings. We have a comprehensive plan to address our security weaknesses that includes improvements to (1) the way our staff work, through training

and changes to security policies; (2) the way records are handled, such as isolating high-risk records and improving records location controls; and (3) the way security is implemented, from the monitoring of records use by researchers to the creation of more visible deterrents to crime at our facilities. If we can implement this plan, we believe we will resolve our material weakness and greatly enhance security for our records, our staff, and our customers.

Records Center and Records Management Activities
FY 2004

	<i>Federal Agency Reference Requests</i>	<i>Federal Agency Requests for Appointments to Review Records</i>	<i>Records Management Training</i>
Washington, DC, Area	719,566	2,181	479
Office of Regional Records Services			
Northeast Region (Boston)	363,547	892	541
Northeast Region (Pittsfield)	30,154	0	470
Northeast Region (New York)	0	368	51
Mid Atlantic Region (Philadelphia)	2,208,545	1,966	161
Southeast Region (Atlanta)	696,981	3,264	194
Great Lakes Region (Chicago)	109,242	4,525	93
Great Lakes Region (Dayton)	2,247,042	565	111
Central Plains Region (Kansas City)	675,079	841	62
Central Plains Region (Lee's Summit)	533,894	729	0
Southwest Region (Fort Worth)	619,953	3,070	135
Rocky Mountain Region (Denver)	289,937	698	189
Pacific Region (Laguna Niguel)	115,691	4,931	235
Pacific Region (San Bruno)	1,281,592	2,079	28
Pacific Alaska Region (Seattle)	122,993	3,609	248
National Personnel Records Center	820,948	156	0
Regional Records Services Total	10,115,598	27,693	2,518
TOTAL	10,835,164	29,874	2,997

Facilities. Our 34 facilities also are our first line of defense for records preservation. Providing appropriate physical and environmental storage conditions is the most cost-effective means to ensure records preservation. We face an ongoing challenge, however, to ensure that all of our facilities meet necessary standards for the storage of Federal, and particularly archival, records. We also must ensure that other entities that store Federal records comply with existing facility standards. Our Strategic Plan includes several strategies for meeting our goal to preserve all records in an appropriate environment for use as long as needed. Our ability to meet our storage and preservation challenges will be a key factor in the future course of our agency.

Information Technology. To serve our Government and public customers well, we must have a reliable, expandable, high-capacity, cost-efficient information technology and communications infrastructure. For us to be able to use automation to streamline operations and achieve cost-efficiencies, to develop Internet-based applications for agency and public access to information, and to provide direct online access to electronic records and digital images, we need a sound technical infrastructure. In fact, if our applications perform poorly, we may impede the work of other Federal agencies or the efforts of the public to document their rights and entitlements.

The rapid pace of technological change and innovation in today's environment does offer wide-ranging opportunities for improved information management. Information technology – particularly the World Wide Web – has become integral to providing government services and moving the Federal Government's immense stores of information out of the "back office," onto the Internet, and into the home and office. As NARA moves to fully embrace e-Government and seize new technological opportunities, we must be able to quickly adapt to new technologies and leverage technical expertise to meet the citizen's ever-growing expectations for quality service.

Although NARA does have a material weakness in computer security, we have made significant progress in resolving the weakness. Policies and procedures for NARA's computer security program have been issued, and a computer security awareness program for employees is in place. Our firewall and intrusion detection system have been enhanced, and we updated the contingency plans for all of our IT systems. We still need to complete testing of all of the contingency plans and develop and test an overall disaster recovery plan for the entire IT infrastructure. Completion of these activities should resolve the material weakness.

Human Resources. The proliferation of technology has forever changed the nature of Federal record-keeping. Most Federal records are now created electronically, and users increasingly expect immediate electronic access to them. Traditional paper documents are being overtaken by databases, digital images, digital sound, e-mail with attachments, geographic information systems, web sites, and other electronic record formats. The challenges associated with acquiring, preserving, and making available these myriad electronic records are immense and can only be met through creativity, leadership, entrepreneurship, and a willingness to think beyond the conventional. The Federal Government is looking to NARA, as the nation's record keeper, to deliver these creative, entrepreneurial solutions.



Archives technician Amy Koehler assists a researcher at a microfilm reader at NARA's Great Lakes Region in Chicago. (Photo by Mary Ann Zulevic)

We must respond to this call for leadership if we want to actively deliver value and innovation rather than simply react to the changes taking place around us. To do this, we must ensure that our staff has the skills and competencies needed to lead the provision of records services in the 21st century, and we must ensure that the systems and processes we use to acquire and manage our staff are efficient, streamlined, flexible, and appropriate for today's modern workforce.

Our Strategic Plan commits us to hiring, developing, sustaining, and retaining staff according to the competencies needed to achieve our strategic goals. In addition, the President's Management Agenda and Human Capital Assessment and Accountability Framework instruct agencies to engage in serious consideration of the skills and competencies needed to perform the work of the Government in the 21st century, to align human resources to support mission-critical activities, and to streamline and enhance delivery of essential human resources services by leveraging technology and other process flexibilities.

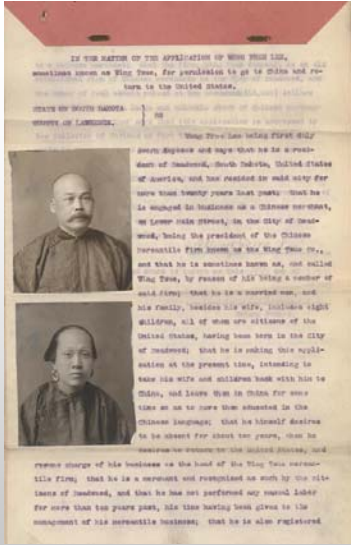
Our future success as the Government's leader for records services will depend in large part on the staff that we hire today. We must ensure that we have the right people in the right positions at the right time to move the agency forward at this extraordinary time in our history.

Records Access. The Federal Government protects hundreds of millions of classified documents at great expense. As noted in the Information Security Oversight Office's (ISOO) most recent report to the President, "many senior officials will candidly acknowledge that the government classifies too much information." ISOO also noted that "one of the principal procedures for maintaining the effectiveness of the classification system is to remove from the safeguarding system information that no longer requires protection in the interest of national security." This means undertaking automatic and systematic declassification, as well as mandatory declassification reviews, in accordance with Executive Order 12958, as amended. Nevertheless, declassification activity across the Government has been declining for the past several years.

Federal agencies have a deadline of December 31, 2009, to review and resolve their equities in security-classified documents more than 25 years old that have been referred to them by other agencies. We estimate that there are approximately 80 million pages in NARA's holdings that must be acted on by the agencies prior to the 2009 deadline. Many of these documents must be reviewed by two or more agencies. We need to make these documents available to the agencies in a systematic fashion to enable them to accomplish their missions, protect permanently valuable Federal records, and prevent unauthorized releases of still sensitive information.

Failure to establish a systematic process for handling referrals poses a significant risk for inadvertent release of still sensitive information. If agencies resolve referrals in an ad hoc manner, the Government loses control of the process. We could not be sure that all referred documents had been acted on because we would have no way of tracking agency actions. With no standard way of recording agency determinations, it is likely

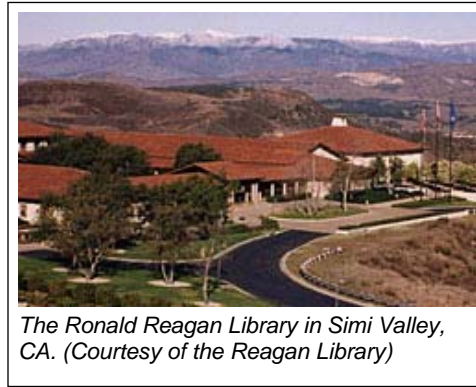
that we will make mistakes in interpreting agency decisions when records are processed for release. Without an organized referral process, it will be impossible to meet the deadline. Therefore, in cooperation with other agencies, NARA is establishing an inter-agency referral center to provide a systematic approach to the referral process.



Members of the leading Chinese family in the pioneer town of Deadwood, SD, were able to participate in last July's Pioneer Celebration after NARA found records and photographs of their ancestors' immigration to America. NARA's Pacific Alaska Regional Archives (Seattle) located the records for the family in case files relating to the Chinese Exclusion Act, which was designed to keep out Chinese laborers from 1882 to 1943. Such files generally contain photographs of individuals or businesses, transcripts of interviews, maps of locations in China or the United States, and various government documents, such as birth and marriage certificates.

Wong Free Yee's application to go to China in 1902 with his wife and eight children and later return to the United States. The family used the document 100 years later to prove their long connection to Deadwood, SD. (Chinese Exclusion Act Case file RS406, Records of the Immigration and Naturalization Service, Record Group 85)

Classified records in our Presidential libraries also pose a huge challenge for us because they are often extremely sensitive, filled with multiple equities, and highly sought after by Government officials and the public. The Ronald Reagan Library holds the next Presidential collection to which the Executive order must be applied and has classified holdings of approximately 8 million pages. This represents more classified pages than all of the previous libraries combined. Previously, we implemented the Remote Archives Capture (RAC) Project, a collaborative program among NARA, CIA, and other classifying agencies through which classified Presidential materials at field locations are electronically scanned and brought to Washington for review by equity-holding agencies. So far this project has scanned nearly 2 million pages from the Eisenhower, Kennedy, Johnson, Ford, and Carter libraries, but the dramatic increase in volume of classified records from the Reagan administration and on may make it impossible for us to comply with the Executive order.



Electronic Records Management. In this world of exponentially increasing volumes and formats of electronic records, having the ability to find, manage, use, share, and dispose of records – which is the essence of records management – is vital for the efficient and effective functioning of the Federal Government. Records management is an essential component of knowledge management, and yet records and information are rarely managed as agency business assets and records management remains marginalized in many agencies. This undermines the authenticity, reliability, integrity, and usability of Federal records and information essential for Government business, particularly electronic Government, and public use.

This Government-wide challenge requires collaborative, creative solutions with benefits that are obvious to Federal agencies. That is why we are undertaking a multipronged approach to improving electronic records management that relies on a suite of strategies, policies, standards, and tools that facilitate the effective and efficient management of Federal records. Ultimately, records management should become so seamlessly integrated into agencies' business processes that they don't even realize it; what they would notice instead is that they can easily find the information they need, when they need it, in a form they can use to conduct their business. Getting to this outcome requires that we both transform our own records management program and in turn that we transform records management across the Government. Given the urgent need to improve delivery of Government services, enable the sharing of information across agencies, and manage records and transactions more effectively, we could not wait to undertake these transformations sequentially. Therefore, we have launched several projects and are collaborating on several others that address both of these transformations simultaneously:

- Records Management Initiatives – a series of coordinated NARA initiatives to transform NARA's approach to Federal records management for all records.

- Electronic Records Management Presidential E-Government Initiative – one of the Administration’s initiatives to ensure the success of e-Government by providing guidance and tools for the effective management of electronic records.
- Electronic Records Policy Working Group – a subgroup of the Interagency Committee on Government Information, which NARA chairs, that is developing recommendations for Government-wide policies that will strengthen records management.
- Electronic Records Archives – the key tool that will allow NARA and Federal agencies to manage, preserve, and have access to electronic records over space and time.

We are also committed to working with our Inspector General (IG) to identify and address significant challenges. The Inspector General’s Top Ten Management Challenges, which are highlighted in the IG’s semiannual reports to Congress and include the audits, investigations, and reviews they have undertaken to identify and address them, are included in the full version of this report at www.archives.gov/about_us/reports/annual_report.html.

Performance Highlights

Spotlight on e-Government Services

As spelled out in our Strategic Plan, NARA preserves and makes accessible Government records that document the rights of our citizens, the actions of our Federal officials, and our national experience.

For many years, this has involved preserving those pieces of parchment and paper that have been created over more than two centuries of our nation's government. Now, however, we face the challenge of preserving the records of the present and future, which are overwhelmingly electronic.

Our response to this challenge is the Electronic Records Archives (ERA). It will capture Government electronic records, save them indefinitely, and make them accessible in the future with whatever computer hardware and software is in use.

ERA will give us the means to preserve and provide sustained access to Federal Government electronic records of continuing value and to provide economical storage and retrieval services for electronic records that remain under the legal control of the originating agencies. The goal of the ERA program is to enable NARA to preserve and provide access to any type of electronic record created anywhere in the Federal Government. ERA will provide a comprehensive, systematic, and dynamic means of preserving and providing continuing access to authentic electronic records over time.

In 2004, we reached a significant milestone in our efforts to build ERA to manage and preserve the growing mass of electronic records. On August 3, we selected two national contractors to participate in a one-year competition to develop the best design for ERA. In 2005, we will choose one of them to build it.

The development of ERA will have countless ramifications for other parts of government, private businesses and institutions, and individuals. For example, digital military personnel files for Americans serving in our armed forces today must be preserved for decades to chronicle their military careers and ensure their veterans' rights and benefits. ERA is our solution to preserve those records. In addition, NARA is developing new standards to speed the transfer of electronic records to ERA, and ERA will stimulate advances in technology that will be available to the whole Government. Finally, we have worked closely with many partners to ensure that this technology is scaleable for use by state and local governments, the private sector, and other institutions with a need to preserve electronic records over time.

The ERA announcement was one of our most important steps toward managing and preserving electronic records, but it represents only a part of our efforts to redesign the way the Government manages and preserves its electronic records.



Archivist John W. Carlin speaks at an August 3, 2004, press conference to announce the award of two contracts to design the Electronic Records Archives. (Photo by Darryl Herring)

We made real progress in the past year in implementing the goals set forth in 2003 in *Strategic Directions for Federal Records Management*. We have been able to make records management a more integral and important part of the operations of Federal agencies and to help them adapt records management practices to their own needs. For example, the Patent and Trademark Office, the Government Accountability Office, and NARA are adopting the concept of flexible scheduling to revise their records control schedules to make them more effective and user friendly for the agencies and NARA.

At the same time, we continue in our role as the managing partner of the Electronic Records Management (ERM) Initiative, one of the original Presidential e-Government Initiatives. In that role, we are expanding the number of formats agencies can use to transfer their electronic records to NARA. During FY 2004, we developed requirements for three additional transfer formats of permanent electronic records: digital photography, digital geospatial data records, and web content records. This brings the total to six formats.

During FY 2004, the Interagency Committee on Government Information (ICGI) established the Electronic Records Policy Working Group (ERPWG), which NARA chairs. ERPWG's purpose is to develop recommendations for the ICGI on policies and procedures that agencies should adopt to ensure that records management requirements are applied effectively and comprehensively to their electronic records, including Government information on the Internet.

As a first step, the ERPWG conducted outreach sessions with more than 200 stakeholders in and outside the Government to identify present barriers to the effective management of the Government's electronic records and to develop suggested directions for overcoming those barriers. The ERPWG also proposed development of an ERM toolkit



that will be a collection of existing and proven ERM guidance tools such as case studies, best practice documents, process models, policies and directives, tips and techniques, training programs, lessons learned, presentations, and other practical tools that can be used by Federal agencies to promote and implement effective management of Government information on the Internet and other electronic records.

Besides redesigning the way Government manages its electronic records and preparing the means to preserve them, we are also making more records and more information about them available over the Internet.

During FY 2004, we added 13 new databases to Access to Archival Databases (AAD), which allows Internet users to gain direct access to electronic records on our web site, www.archives.gov. This brought the total at year end to 47 series of databases, consisting of more than 71 million electronic records. The most popular database is that of Army enlistments during World War II; at year end, it accounted for 57 percent of all queries in AAD.

In April 2004, we accepted the first increment of State Department cables covering the period July 1973 to December 1974, a historic period in the United States and the world. After archival processing, these cables also will be made available via the Internet through AAD in FY 2005.

New staff-written descriptions of our records continued to be added to our online Archival Research Catalog (ARC) in a new and faster data entry system. During 2004, the NARA staff exceeded its goals and now has placed in the ARC database descriptions of 33 percent of traditional holdings, 40 percent of artifacts, and nearly 10 percent of electronic records.



Secretary of State Colin Powell hands over the first increment of State Department cables to Archivist John Carlin. (Photo by Richard Schneider)

At NARA, we continue to seek better methods of carrying out our core mission—preserving and making accessible the records of our Government: parchment, paper, and electronic, as well as films and videotapes, audio recordings, posters and photographs, maps, charts, and architectural drawings.

Our efforts are paying off as we develop and perfect new methods to manage and preserve these indispensable records and ensure they are available for many generations to come to anyone, anywhere, anytime.

To find out more . . .

- The Electronic Records Archives program is described at www.archives.gov/electronic_records_archives.
- The Electronic Records Management E-Government Initiative is described in detail at www.archives.gov/records_management/initiatives/erm_overview.html.
- Access to Archival Databases can be found at www.archives.gov/aad/.
- The Records Management Initiatives are discussed at www.archives.gov/records_management/initiatives/rm_redesign_project.html.
- The Archival Research Catalog can be accessed at www.archives.gov/research_room/arc/.

Spotlight on NARA Public Programs

In a democracy, the records that constitute our archives belong to the citizens. Our Strategic Plan commits us to inform and educate our customers about the services we offer and the records to which we can provide access.

For more than six decades visitors have come to the National Archives to see the U.S. Charters of Freedom—the Declaration of Independence, the Constitution, and the Bill of Rights. Most of these visitors left without knowing that the Archives holds billions more Federal records in trust for their use—records that allow citizens to claim their rights, hold Government accountable, and learn about who we are as a nation and a people.

Realizing we needed to do a better job of telling the public about the role that records play in our individual lives, our nation, and our society, we designed a new project, the National Archives Experience, to reach out to the public. Through the National Archives Experience and related public programs we are helping people learn why “records matter.”

Thanks to the power of public-private partnerships we have been able to bring the National Archives to the public in new and exciting ways. For example, our partnership with the Foundation for the National Archives made the National Archives Experience possible. Consisting of multiple components in our downtown Washington, DC, building, the National Archives Experience debuted in late 2003 and will be completed in 2006.

A generous gift from the William G. McGowan Charitable Fund, Inc., to the Foundation financed the new William G. McGowan Theater, which opened in September 2004 in the National Archives Building. The McGowan Theater, which is expected to become a major showplace in Washington, DC, for documentary film as well as the premier outlet for our



The William G. McGowan Theater opened in the National Archives Building in September 2004. (Photo by Earl McDonald)

vast film holdings, began a regular schedule of programs on September 10. It also shows an introductory film as the first stop of the National Archives Experience.

The McGowan Theater’s opening capped a year of innovative public programs at the National Archives—following on the rededication and reopening of the Rotunda for the Charters of Freedom in September 2003 and leading up to the opening of the Public Vaults, the innovative permanent exhibition component of the National Archives Experience, in November 2004.

In December 2003, we announced the results of “The People’s Vote,” in which the public cast more than 315,000 votes in choosing from among the 100 milestone documents we had designated earlier in the year in the *Our Documents* Presidential initiative. The

Declaration of Independence, the Constitution, and the Bill of Rights led the top ten. The project, co-sponsored by *U.S. News & World Report* and National History Day, ended with a special display of the top 15 documents in and around the Rotunda.

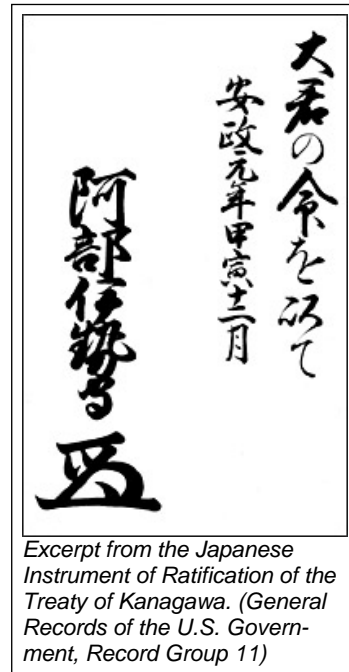
From March 27 through September 6, the Special Exhibition Gallery in the National Archives Building, another National Archives Experience component, displayed original copies of the Treaty of Kanagawa, an 1854 friendship pact between the United States and Japan. For the first time in 35 years, all four language versions (Japanese, English, Dutch, and Chinese) of the treaty were exhibited. The exhibit recounted the events leading up to the treaty, the first between Japan and any other country, and was staged with assistance of a grant from the Foundation from the Center for Global Partnership. This fall the gallery was named the Lawrence F. O'Brien Gallery in recognition of a gift from the O'Brien family to support the National Archives Experience.

In the East Rotunda Gallery, we exhibited the U.S. Supreme Court's 1954 landmark school desegregation decision, *Brown v. Board of Education of Topeka*, in observance of its 50th anniversary. Several of our regional facilities also observed this anniversary. For example, our Mid Atlantic Region trained more than 100 branch leaders from the Philadelphia Free Library System on the *Brown* case to allow them to make it part of their after-school programs. Our Southeast Region offered a series of free public programs, including a film on the case and an exhibit featuring artifacts from the civil rights movement. These two regions, along with the Central Plains Region, sponsored a distance-learning event broadcast live from the National Constitution Center in Philadelphia. The event featured conversations with Oliver Brown's daughters and reached more than 600 students in these three regions.

In honor of the dedication of the National World War II Memorial during Memorial Day weekend, we displayed at the National Archives Building the Instrument of German Military Surrender signed at Rheims, France, on May 7, 1945. We also screened World War II footage from our vast audiovisual holdings and offered book lectures and panel discussions honoring the World War II service of Hispanic Americans.

After the death of former President Ronald Reagan in June, hundreds of visitors and many media representatives came to the Reagan Library in Simi Valley, CA, as his body lay in repose and later after the burial. In Washington, we displayed his famous speech at the Berlin Wall in 1987 in the Rotunda as part of the "A New World Is at Hand" exhibit, which flanks the Charters of Freedom. All the Presidential libraries set up condolence books in which visitors could share memories of the 40th President and extend sympathy to his family.

There also were major additions to other Presidential libraries as part of public-private partnerships. The Franklin D. Roosevelt Library, the oldest of the Presidential libraries,



Excerpt from the Japanese Instrument of Ratification of the Treaty of Kanagawa. (General Records of the U.S. Government, Record Group 11)

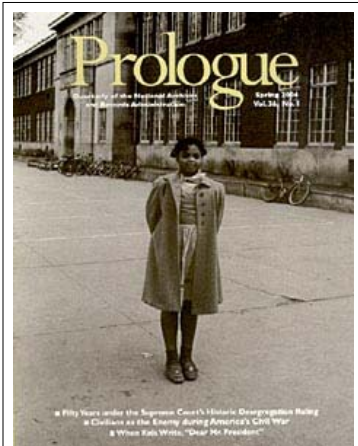
opened its new Henry A. Wallace Visitor and Education Center, the result of a partnership with the National Park Service and the Franklin and Eleanor Roosevelt Institute. In the Roosevelt Library itself, a new 3,000-square-foot special exhibition gallery was opened. The Harry S. Truman Library opened a new permanent exhibition, "Harry S. Truman: His Life and Times," the final piece of a major renovation program financed in large part with private funds raised by the Harry S. Truman Institute.



The Henry A. Wallace Visitor and Education Center at the FDR Library. (Photo by Cliff Laube)

Meanwhile, other Presidential libraries mounted some notable exhibits, also with private help. With assistance from AT&T and WCVB-TV in Boston, the John Fitzgerald Kennedy Library welcomed Boston visitors last summer with "Campaign!," an exhibit that focused on the 1960 Presidential campaign. The Bush Library opened "Barbara Bush: An Extraordinary Journey," with assistance from the George Bush Foundation and private donors, Donald and Adele Hall. The Gerald R. Ford Museum, with aid from the Gerald R. Ford Foundation, hosted "The American Presidency: A Glorious Burden," featuring many items from our other Presidential libraries.

Our Presidential libraries and regional facilities continued to provide educational programs for teachers and students in their areas. Many of the libraries and regional facilities also provided assistance to local schools and school districts that had received Teaching American History grants from the U.S. Department of Education over the past few years. The Lyndon Baines Johnson Library in Austin, TX, for example, is providing teacher workshops and presentations for schools in Austin and some surrounding communities as well as for the San Antonio schools and Baylor University.



Prologue's Spring 2004 issue observed the 50th anniversary of the landmark 1954 *Brown v. Board of Education* decision.

Our flagship publication, *Prologue*, continued to bring to its readers informative articles on the wide variety of activities at NARA as well as in-depth historical features based on records in our holdings around the country. Among the latter were articles on the struggle to enact the Civil Rights Act of 1964, the history of the Topeka, KS, schools since the historic *Brown* decision, and the schoolboy days of Harry S. Truman.

And our popular "American Originals" traveling exhibit showed at the Los Angeles Public Library in late 2003, then moved on to the Museum of American Political Life in Hartford, CT, and the Delaware Art Museum in Wilmington, DE, its final stop, in 2004. The tour allowed us to take some of our most famous and interesting records directly to the public by partnering with institutions in other cities. "American Originals" opened in Washington in 1995 and has been traveling around the country since 2001.

Our goal, through the National Archives Experience and other public programs, is for each person to gain an understanding of his or her personal connection to the records in the National Archives. We hope that families will see how their own stories fit into our national mosaic and that young people are thrilled by the real-life drama of the American experience. And we hope that individuals of all ages will take action and use the Archives—to learn, to unravel, to discover, and to celebrate the stories of individuals, of families, of communities, and of our nation.

To find out more. . .

- For more information about the National Archives Experience, go to www.archives.gov/national_archives_experience/.
- To learn more about the Charters of Freedom, go to www.archives.gov/national_archives_experience/charters/charters.html.
- For links to all the Presidential libraries, go to www.archives.gov/presidential_libraries/.
- For complete information about the Our Documents project and The People's Vote and for high-resolution images of each document, go to www.ourdocuments.gov.
- For our online Exhibit Hall, go to www.archives.gov/exhibit_hall/.
- To learn about and subscribe to *Prologue: Quarterly of the National Archives and Records Administration*, go to www.archives.gov/publications/prologue/.

National Archives and Records Administration
Performance and Accountability Report, FY 2004

Using the National Archives and Records Administration

FY 2004

	Researchers Microfilm	Researchers Other Records	Written Requests	Public Program Attendees	Museum Visitors
Washington, DC, Area	25,475	59,743	39,478	938	796,895
Office of Regional Records Services					
Northeast Region (Boston)	10,172	1,097	2,331	1,011	—
Northeast Region (Pittsfield)	4,484	—	787	314	—
Northeast Region (New York)	4,296	1,260	4,844	791	—
Mid Atlantic Region (Philadelphia)	8,783	471	1,743	1,071	—
Southeast Region (Atlanta)	3,709	708	2,278	259	—
Great Lakes Region (Chicago)	4,503	421	3,979	94	—
Great Lakes Region (Dayton)	—	—	—	111	—
Central Plains Region (Kansas City)	3,380	629	2,418	94	—
Southwest Region (Fort Worth)	5,611	821	3,396	313	—
Rocky Mountain Region (Denver)	4,427	765	428	1,649	—
Pacific Region (Laguna Niguel)	5,700	578	1,584	1,020	—
Pacific Region (San Bruno)	5,217	1,557	3,177	171	—
Pacific Region (Anchorage)	1,137	303	399	20	—
Pacific Alaska Region (Seattle)	4,872	652	1,473	906	—
National Personnel Records Center	—	—	1,005,103	—	—
Regional Records Services Total	66,292	9,262	1,033,940	7,824	—
Presidential Libraries					
Hoover	—	286	1,274	32,751	66,265
Roosevelt	—	1,405	3,201	26,758	101,469
Truman	—	584	2,200	8,318	92,558
Eisenhower	2	518	3,924	11,885	81,049
Kennedy	—	1,574	4,254	53,795	210,594
Johnson	—	1,590	3,184	24,729	298,893
Nixon	—	800	1,696	564	—
Ford	—	890	2,113	11,531	52,327
Carter	—	391	679	449	62,505
Reagan	—	503	528	10,408	363,101
Bush	—	299	1,906	32,727	128,928
Clinton	—	—	1,369	842	—
Presidential Libraries Total	2	8,840	26,328	214,757	1,457,689
TOTAL	91,769	77,845	1,099,746	223,519	2,254,584

Performance Overview

We break down our five strategic goals into long-range performance targets and set annual targets in our Annual Performance Plan each year. The following chart provides a synopsis of our FY 2004 performance, followed by some of our major accomplishments this year presented by strategic goal.

Snapshot of 2004 Performance

Strategic Goal 1: Essential Evidence Is Created, Identified, Appropriately Scheduled, and Managed for as Long as Needed.					
1.1: By 2008, 95% of agencies view their records management program as a positive tool for asset and risk management. 1.2: By 2008, 95% of approved capital asset plans have approved records schedules by the time those systems begin creating records. 1.3: By 2008, 95% of customers are satisfied with NARA scheduling and appraisal services.					
Performance Indicator	2001 Actual	2002 Actual	2003 Actual	2004 Target	2004 Actual
Annual percent of targeted assistance partnership agreements delivering the results promised.	100	100	100	95	100
Median time for records schedule items completed (in calendar days).	237	470	155	220	253
Strategic Goal 2: Electronic Records Are Controlled, Preserved, and Made Accessible for as Long as Needed.					
2.1: By 2008, NARA's Records Center Program accepts and services electronic records. 2.2: By 2008, 80% of scheduled archival electronic records are accessioned by NARA at the scheduled time. 2.3: By 2008, 80% of archival electronic records are managed at the appropriate level of service. 2.4: By 2008, the median time from the transfer of archival electronic records to NARA until they are available for access is 35 days or less. 2.5: By 2008, the per-megabyte cost for managing archival electronic records through the Electronic Records Archives decreases each year.					
Performance Indicator	2001 Actual	2002 Actual	2003 Actual	2004 Target	2004 Actual
Percent increase in number of archival electronic holdings accessible online.	—	—	—	50	51
Median time from the transfer of archival electronic records to NARA until they are available for access (in calendar days).	—	—	450	250	736
Percent of NARA's electronic holdings stabilized in preparation for their transfer to the Electronic Records Archives.	97	98	97	99	93
Strategic Goal 3: Essential Evidence Is Easy to Access Regardless of Where It Is or Where Users Are for as Long as Needed.					
3.1: By 2007, access to records and services and customer satisfaction levels meet or exceed NARA's published standards. 3.2: By 2007, 70% of NARA services are available online. 3.3: By 2008, 80% of NARA archival holdings are described in an online catalog. 3.4: By 2007, Government-wide holdings of 25-year-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts. 3.5: By 2007, NARA archival holdings of 25-year-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended. 3.6: By 2007, 10% of records of a two-term President or 15% of records for a one-term President are open and available for research at the end of the 5-year post-Presidential period specified in the Presidential Records Act. 3.7: By 2007, 90% of all NHPRC-assisted projects produce results promised in approved grant applications.					
Performance Indicator	2001 Actual	2002 Actual	2003 Actual	2004 Target	2004 Actual
Percent of written requests answered within 10 working days.	93	93	94	90	95
Percent of Freedom of Information Act requests for Federal records completed within 20 working days.	27	76	61	85	67

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Performance Indicator	2001 Actual	2002 Actual	2003 Actual	2004 Target	2004 Actual
Percent of requests for military service separation records at the National Personnel Records Center in St. Louis answered within 10 working days.	7	40	37	70	75
Percent of items requested in our research rooms furnished within one hour of request or scheduled pull time.	93	94	96	95	99
Percent of customers with appointments for whom records are waiting at the appointed time.	99.7	99.8	99.9	99	99.3
Percent of Federal agency reference requests in Federal records centers that are ready when promised to the customer.	93	92	94	90	96
Percent of records center shipments to Federal agencies that are the records they requested.	99.99	99.99	99.99	99	99.99
Percent of archival fixed-fee reproduction orders that are completed in 35 working days or less.	–	88	99	75	99.9
Percent of education programs, workshops, and training courses meeting attendees' expectations.	97	96	95	95	99
Percent of NARA services available online.	24	25	30	40	40
Percent of traditional holdings in an online catalog.	–	19	20	30	33
Percent of artifact holdings in an online catalog.	–	19	17	30	40
Percent of electronic holdings in an online catalog.	–	0.02	0.02	5	10
Annual number of Presidential pages scanned (in thousands).	322	332	470	300	500
Cumulative percent of Clinton Presidential and Vice Presidential traditional holdings processed for opening January 20, 2006.	1	1	1	5	2
Percent of NHPRC grant-funded projects that produced results promised in grant applications.	91	79	86	86	88
Strategic Goal 4: All Records Are Preserved in an Appropriate Environment for Use as Long as Needed					
4.1: By 2009, 100% of NARA's archival holdings are in appropriate space. 4.2: By 2009, 100% of NARA records centers comply with the October 2009 regulatory storage standards. 4.3: By 2007, 50% of NARA's at-risk archival holdings are appropriately treated or housed so as to retard further deterioration.					
Performance Indicator	2001 Actual	2002 Actual	2003 Actual	2004 Target	2004 Actual
Cost of archival storage space per cubic feet of traditional holdings stored.	–	–	–	–	\$6.16
Percent of cumulative backlog of NARA's at-risk archival holdings ever treated.	28	32	35	40	41
Strategic Goal 5: NARA Strategically Manages and Aligns Staff, Technology, and Processes to Achieve Our Mission.					
5.1: By 2008, the average time a leadership position remains unfilled is 30 days or less. 5.2: By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force. 5.3: By 2007, NARA accepts 100% of the validated legal documents submitted electronically for publication in the <i>Federal Register</i> . 5.4: By 2008, all public network applications are available 99.9% of the time.					
Performance Indicator	2001 Actual	2002 Actual	2003 Actual	2004 Target	2004 Actual
Percent of staff having performance plans linked to strategic outcomes.	48	80	93	95	91
Percent of staff having staff development plans linked to strategic outcomes.	–	1	91	95	53
Percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.	74	85	97	98	98
Percent of public network applications availability.	–	–	–	96.5	98.7

Goal 1: Improving Records Management

In FY 2003 we issued *Strategic Directions for Federal Records Management*, our roadmap for redesigning Federal records management and partnering with Federal agencies to ensure that records management supports their business needs. In FY 2004 we made significant strides in implementing this roadmap. We created an integrated nationwide records management program to improve how we use NARA resources across the country for the benefit of our agency customers. We developed and distributed a model agency Senior Records Manager position description that stresses the crucial role records management plays in supporting the agency missions. We are redesigning the content and format of NARA's training program for agency records professionals. The program will introduce the concepts of information technology capital planning, information and knowledge management, and records as information assets, and will include a voluntary certification of training component that will permit participants in a core set of training modules to take an examination and receive certification of their successful completion of the training. We developed criteria, procedures, and a handbook for identifying the functional areas within the Government that contain the greatest records management challenges and piloted a methodology for allocating NARA records management resources to the highest priority areas. We issued new General Records Schedules for Alternative Dispute Resolution and Reasonable Accommodation Requests.

NARA is one of three executive sponsors for the *Interagency Committee on Government Information* and chair of the *Electronic Records Policy Working Group* (ERPWG). The ERPWG produced a report identifying barriers to effective management of Government information on the Internet and other electronic records and developed a framework for tools to manage electronic records and proposed common characteristics of records (metadata) that all agencies would capture for electronic records.

NARA's Pacific-Alaska Region in Seattle, WA, had a hand in the 2004 Summer Olympics. The Seattle staff provided to two separate researchers copies of naturalization petitions that allowed the grandchildren or great-grandchildren of Italian and Greek immigrants to prove their ancestry. As a result, they qualified for dual citizenship and were allowed to play on the Greek and Italian baseball teams in Athens, Greece.

As the lead agency for the *Electronic Records Management Presidential E-Government Initiative*, we issued transfer guidance for three additional permanent electronic record formats – digital photography records, digital geospatial data records, and web content records.

We continue to offer *targeted assistance* to Federal agencies nationwide with urgent records management problems. Through targeted assistance partnerships, our records management experts spend time on-site at the offices of other Federal agencies to train personnel, help plan records inventories, assist in scheduling records for disposal or transfer to NARA, and aid in writing records management plans. Since 1999, NARA has established 361 targeted assistance projects with 103 Federal agencies and field offices, of which 266 projects have been completed. Most important, we have a 100-percent success rate on these projects.

Goal 2: Meeting Electronic Records Challenges

In August 2004 we awarded design contracts for the *Electronic Records Archives* (ERA). Two vendors will face off in a one-year design competition to determine who will build ERA, the revolutionary system that will capture electronic information, regardless of its format, save it permanently, and make it accessible on whatever hardware or software is currently in use. As part of our continuing effort to remain highly accountable for the ERA program, we implemented a program management tool that will enable us to perform program control activities, including earned value management, on the ERA program. This system incorporates an EIA-748-compliant tool that meets OMB and Government Accountability Office (GAO) standards for calculating earned value.

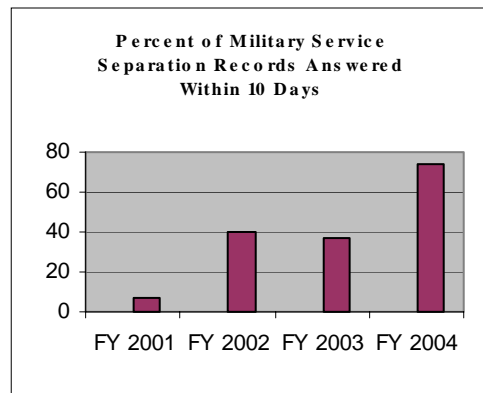
We increased our online electronic holdings by 51 percent in FY 2004, with more than 70 million logical data records now accessible online through *Access to Archival Databases* (AAD), one of the early prototypes of a portion of the ERA system.

In the interim before ERA is operational, we installed a new *Accession Management Information System* to track electronic records accessions from the arrival of the records at NARA to their final accessioning into NARA's holdings.

Goal 3: Expanding Opportunities for Access

We have added more than 12,000 descriptions of our holdings to the *Archival Research Catalog* (ARC) this year. ARC is an online catalog of NARA's nationwide holdings. We beat our target for having 30 percent of our holdings described in ARC this year by having 33 percent described.

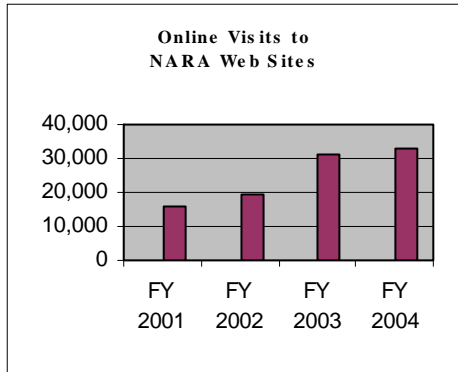
To improve customer service at the National Personnel Records Center in St. Louis, MO, the Case Management and Reporting System has been fully deployed, with a web portal available for the electronic submission of requests from veterans and Federal agencies. We exceeded our target of 70 percent by answering requests for military separation records within 10 working days 75 percent of the time, up from 37 percent last year.



We continued to expand our *electronic services* through our *Enhancing NARA's Online Services* program, in which we look for opportunities to make more of our services, for both Federal agencies and the public, available electronically. We currently make 40 percent of our services available to the public online. We launched *Order Online!* in December 2003, which allows our customers to order copies of census records, land entry files, military bounty-land warrant application files, and Federal military pension application files online.

One indication of the quality and interest in the information we provide is that more than 30 million visitors accessed our web site. To help us continue to improve our web services, we have launched an *online survey* on our main public web site, *archives.gov*, using the American Customer Satisfaction Index. The results of our most recent survey sample show that while our online visitors give high marks to our content (79, eight

points above the index benchmark), our navigation could be improved (64). We are using the survey results to determine customer requirements for the redesign of our site.



We continued providing *outstanding customer service* in FY 2004, exceeding our targets in nearly every area. More than 95 percent of the written requests we received from customers were answered within 10 working days, exceeding our goal of 90 percent. Ninety-nine percent of the items our customers requested in our research rooms were furnished within one hour of request or the scheduled pull time. And 99 percent of our customers rated our educational programs, workshops, and training programs as meeting their expectations.

Goal 4: Meeting Storage and Preservation Needs of Growing Quantities of Records

Our major initiative in this area is the *renovation of the National Archives Building*. In FY 2004 we made significant progress in several areas highlighted by the opening of the William G. McGowan Theater built under the Constitution Avenue steps.

We completed construction of a 23,400-square-foot *addition to the Reagan Library* to include new exhibit space and a learning center. The space opened with the Lewis and Clark Exhibition to mark the 200th anniversary of that historic event. We completed the *first major alteration to the Ford Museum* since its opening in 1982, creating new space for temporary exhibits and storage. We moved all the Clinton Presidential materials to the *new William J. Clinton Library* in preparation for its opening. The Clinton Presidential Library and Museum dedication is planned for November 18, 2004. We also made significant progress in construction of a *new Southeast Regional Archives* facility near Atlanta, GA. This building will meet the strict standards for storage of archival records and will open in 2005.

In FY 2004, we completed an extensive analysis of the *costs of digitizing* records versus continued storage of paper records at the National Personnel Records Center in St. Louis and determined that storing paper records in a custom-built leased facility is the least costly alternative to meet long-term preservation and access needs. We also completed a *risk assessment of the Official Military Personnel Files* at the National Personnel Records Center, the first step in developing a more comprehensive plan for ensuring long-term preservation and access to the collection. This data is helping us develop plans for moving the collections and identifying additional preservation strategies for “at-risk” records.

Although he parachuted into Normandy on June 6, 1944, with the 101st Airborne Division, this veteran could not get a passport this past summer to go to France, where he and 98 other veterans would receive the French Legion of Honor for his World War II service, because he did not have appropriate documentation. He came to NARA’s Great Lakes Region (Chicago) for help. Using maps of Chicago to locate the correct census microfilm, NARA officials located the man’s family in the 1930 census records and provided the Chicago native with a certified copy of the page, showing 1921 as his year of birth. The veteran received his honor in Paris in June 2004.

Goal 5: Strategically Managing Our Resources

To address weaknesses in our *information technology (IT) security*, we pursued several tactics. We reviewed our IT security policies against the new draft National Institute of Standards and Technology (NIST) guidelines, completed our annual update to our IT security program plan, and ensured that all contingency plans are NIST compliant. We expanded our annual training to target users of classified systems, and we initiated certification and accreditation activities for each classified system. We also strengthened our firewall protection across the entire network to control inbound and outbound traffic and enhanced our procedures and reporting capabilities for identifying unauthorized access attempts. We recognize that this is not a static effort. We must continue to address IT security policies and processes to ensure that there is continuous improvement.

We deployed a beta version of the *Electronic Editing and Publishing System (eDOCS)* into our daily *Federal Register* publication production operations in FY 2004. We are now using eDOCS to receive live documents from three agencies via e-mail and the Internet, and we can process those documents electronically through their entire production lifecycle within the Office of the Federal Register. In FY 2004, we received more than 3,200 documents electronically via eDOCS, 9 percent of our total, and managed all of them electronically. More than 200 million *Federal Register* documents were retrieved online by our customers, and more than 240,000 open rulemakings were retrieved online through *regulations.gov* in FY 2004. We are proud of these efforts that make the workings of government more readily accessible to citizens.

A more detailed examination of our FY 2004 performance can be found in the full version of this report, located at www.archives.gov/about_us/reports/annual_report.html.

Linking Our Budget to Our Objectives

Our long-term objectives are tied directly to our budget. The chart below illustrates, by strategic goal and long-term objective, the resources allocated to each of these goals. (The resources obligated to each of these goals are shown in figure 3 on p. 33.) The chart also links the major budget functions to each of our long-term objectives.

NARA Goals & Long-Term Objectives	Records Services	Archives-Related Services	Electronic Records Archives	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
Goal 1: \$17,242,000 and 140 FTE							
1.1 By 2008, 95% of agencies view their records management program as a positive tool for asset and risk management.	✓						
1.2. By 2008, 95% of approved capital asset plans have approved records schedules by the time those systems begin creating records.	✓						
1.3. By 2008, 95% of customers are satisfied with NARA scheduling and appraisal services.	✓						

National Archives and Records Administration
Performance and Accountability Report, FY 2004

NARA Goals & Long-Term Objectives	Records Services	Archives-Related Services	Electronic Records Archives	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
Goal 2: \$52,852,000 and 83 FTE							
2.1. By 2008, NARA's Records Center Program accepts and services electronic records.			✓	✓			
2.2. By 2008, 80% of scheduled archival electronic records are accessioned by NARA at the scheduled time.	✓		✓				
2.3. By 2008, 80% of archival electronic records are managed at the appropriate level of service.	✓		✓				
2.4. By 2008, the median time from the transfer or archival electronic records to NARA until they are available for access is 35 days or less.	✓		✓				
2.5. By 2008, the per megabyte cost of managing archival electronic records through the Electronic Records Archives decreases each year.			✓				
Goal 3: \$146,092,000 and 2,352 FTE							
3.1. By 2007, access to records and services and customer satisfaction levels meet or exceed NARA's published standards.	✓	✓		✓	✓		
3.2. By 2007, 70% of NARA services are available online.	✓			✓			
3.3. By 2008, 80% of NARA archival holdings are described in an online catalog.	✓						
3.4. By 2007, government-wide holdings of 25-year-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts.	✓						
3.5. By 2007, NARA archival holdings of 25-year-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended.	✓						
3.6. By 2007, 10% of records of a two-term President or 15% of records for a one-term President are open and available for research at the end of the five-year post-Presidential period specified in the Presidential Records Act.	✓						
3.7. By 2007, 90% of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.		✓				✓	
Goal 4: \$63,360,000 and 150 FTE							
4.1. By 2009, 100% of NARA's archival holdings are in appropriate space.	✓						✓
4.2. By 2009, 100% of NARA records centers comply with the October 2009 regulatory storage standards.				✓			
4.3. By 2007, 50% of NARA's at-risk archival holdings are appropriately treated or housed so as to retard further deterioration.	✓						

National Archives and Records Administration
Performance and Accountability Report, FY 2004

NARA Goals & Long-Term Objectives	Records Services	Archives-Related Services	Electronic Records Archives	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
Goal 5: \$33,182,000 and 130 FTE							
5.1. By 2008, the average time a leadership position remains unfilled is 30 days or less.	✓	✓		✓			
5.2. By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.	✓	✓		✓			
5.3. By 2007, NARA will accept 100% of the validated legal documents submitted electronically for publication in the <i>Federal Register</i> .		✓					
5.4. By 2008, all public network applications are available 99.9% of the time.	✓	✓		✓			

Financial Highlights

NARA's financial statements received a qualified opinion. This is the first year that NARA's financial statements have been audited. NARA prepared its financial statements in accordance with the accounting standards codified in the Statements of Federal Financial Accounting Standards (SFFAS) and Office of Management and Budget (OMB) Bulletin No. 01-09, *Form and Content of Agency Financial Statements*.

Sources of Funds

NARA is funded through appropriated budget authority, which includes annual, multi-year and no-year appropriations, which are available for use within certain specified statutory limits. Additional budget authority includes Gift Fund, Trust Fund, and Revolving Fund income.

NARA's total new FY 2004 budget authority from appropriation was \$316.3 million. Funding carried over from multiyear and no-year funds was \$24.1 million. In addition, \$.3 million from FY 2003 was available to obligate. FY 2004 rescissions totaled \$1.9 million. Total appropriated budget authority for FY 2004 was \$338.8 million.

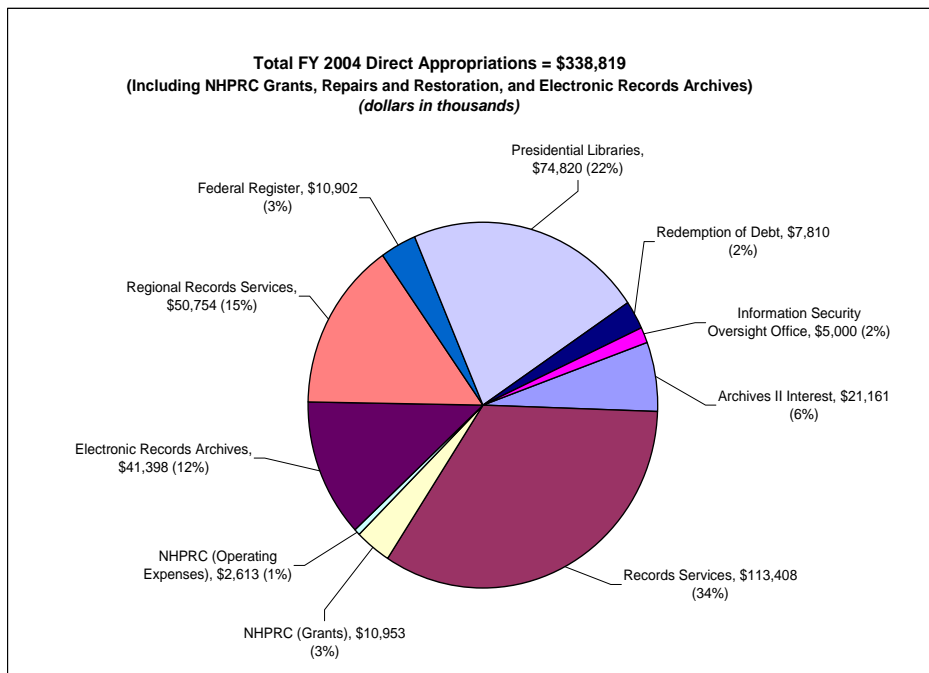


Figure 2. Appropriated Budget Authority, FY 2004

The major operating appropriation funds basic operations comprising records services, archives-related services, and the National Archives at College Park. Records services provides for selecting, preserving, describing, and making available to the general public, scholars, and Federal agencies the permanently valuable historical records of the Federal Government and the historical materials and Presidential records in Presidential

libraries; for preparing related publications and exhibit programs; and for conducting the appraisal of all Federal records. Archives-related services provides for the publications of the *Federal Register*, the *Code of Federal Regulations*, the *U.S. Statutes at Large*, and Presidential documents, and for NARA's contribution to the Presidential e-Government Initiative, e-Rulemaking, a program to improve the quality of regulations and the public's access to them. The \$302-million cost of construction of the National Archives at College Park, which serves as a major archival facility as well as the center for NARA's administrative offices, was financed by Federally guaranteed debt issued in 1989 for which the Archivist seeks appropriations for the annual payments for interest and redemption of debt.

NARA also receives appropriations that fund the Electronic Records Archives, repairs and restoration of facilities, and the National Historical Publications and Records Commission grants program. The Electronic Records Archives appropriation funds NARA's effort to ensure the preservation of and access to Government electronic records. The repairs and restoration appropriation funds the repair, alteration, and improvement of archives facilities and adequate storage for holdings. The National Historical Publications and Records Commission grants program provides for grants to state, local, and private institutions to preserve and publish records that document American history. Figure 2 represents the allotment of total available appropriated funds.

Other financing sources include the National Archives Gift Fund, Trust Fund, and Revolving Fund.

The Gift Fund was established to administer incoming gifts and bequests. Its budget authority includes donations and interest earned on investments. Expenditures are made for various programs, including historical research, conferences, archival and cultural events, and publications. In FY 2004, it received donations of \$ 3.6 million.

The Trust Fund receives, holds, and disburses monies collected from sales of reproductions of records and sales of publications and historical mementos in the National Archives buildings, the regional records services facilities, and the Presidential libraries; admission fees to the Presidential libraries; and fees for archival training and conferences. The Trust Fund earned revenue of \$14.2 million in FY 2004.

The Revolving Fund, for a standard price, provides storage, transfer, reference, refile, and disposal services for records stored in NARA records centers. The Revolving Fund earned revenue of \$129.2 million in FY 2004.

Uses of Funds by Function

NARA incurred new general fund obligations of \$316.2 in FY 2004. Of this, \$2.85 million is for reimbursable work. The chart below represents obligations by strategic goals.

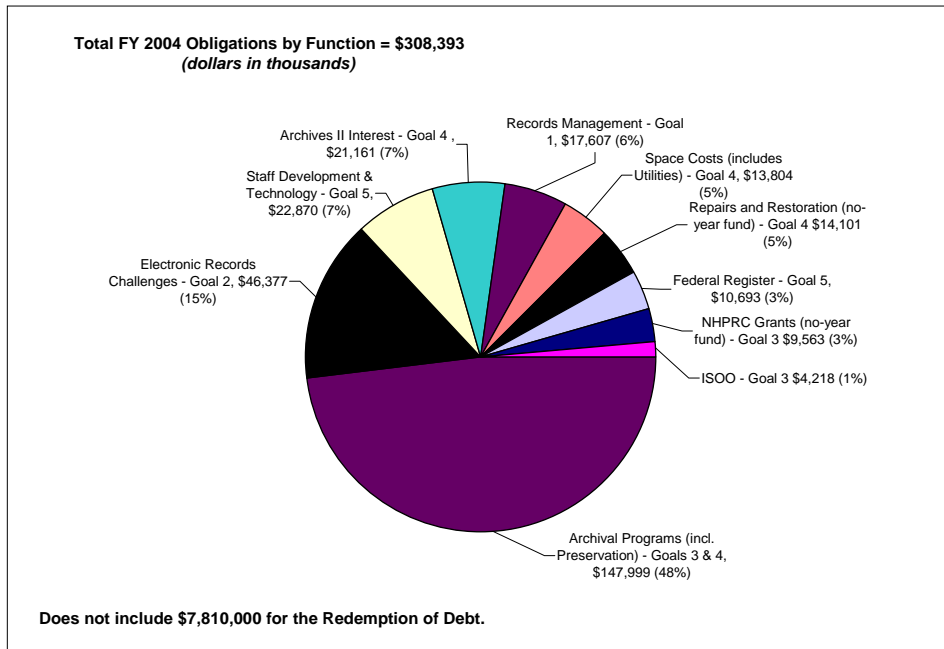


Figure 3. Obligations by Function, FY 2004

Audit Results

NARA received a qualified opinion on its FY 2004 financial statements. It was qualified for the effects of adjustments, if any, as might have been necessary had the auditors been able to perform adequate audit procedures on property, plant, and equipment; recoveries of prior year obligations; direct obligations incurred; and undelivered orders. NARA had four material internal control weaknesses and three reportable conditions. It also had three substantial noncompliances with the Federal Financial Management Improvement Act.

Financial Statement Highlights

NARA's financial statements summarize the financial activity and financial position of the agency. The financial statements, footnotes, supplementary information, and supplementary stewardship information appear in Part 3 – Financial Section. An analysis of the principal statements follows.

Analysis of the Balance Sheet

NARA's assets were \$566.6 million as of September 30, 2004. The assets reported in NARA's balance sheet are summarized in the table below.

Asset Summary (in millions)	
Fund balance with Treasury and cash	\$185.2
General property, plant, and equipment, net	328.3
Investments	36.0
Accounts receivable, net	15.0
Inventory	1.0
Other	1.1
Total assets	\$566.6

The fund balance with Treasury and cash accounts for approximately 32.7 percent of total assets and represents appropriated funds and collections of fees for services. Property, plant, and equipment accounts for 57.9 percent of total assets. The majority of the balance represents the National Archives at College Park.

NARA's liabilities were \$322.1 million as of September 30, 2004. The liabilities reported in NARA's balance sheet are summarized in the accompanying table.

Debt held by the public	\$246.0
Accounts payable	27.8
Other	48.3
Total liabilities	\$322.1

Debt held by the public accounts for approximately 76.4 percent of total liabilities and represents debt issued to the public to cover the construction costs of the National Archives at College Park. Liabilities totaling \$266.8 million, or 82.8 percent of total liabilities, were unfunded, i.e., budgetary resources were not yet available. For most unfunded liabilities, budgetary resources will be made available in the years balances are due, in accordance with OMB funding guidelines. The major elements of unfunded liabilities are \$246 million for debt held by the public, \$9.8 million for workers' compensation, and \$11 million for unfunded annual leave.

The difference between total assets and total liabilities, net position, was \$244.6 million as of September 30, 2004. The net position reported in NARA's balance sheet is summarized in the table below.

Unexpended appropriations	\$139.8
Cumulative results of operations	104.8
Total net position	\$244.6

Unexpended appropriations are the amount of authority granted by Congress that has not been expended. Cumulative results of operations represent net results of operations since NARA's inception, reflecting results of Revolving Fund operations and funding of capital needs of the agency.

Analysis of the Statement of Net Cost

The statement of net cost presents the net cost of NARA's six major programs. NARA's net cost of operations for the year ended September 30, 2004, was \$286.3 million. Net costs by program are shown in the table below.

Records and archives-related services	\$240.6
Trust and Gift Funds	3.4
Electronic Records Archives	11.2
National Historical Publications and Records Commission grants	5.9
Archives facilities and Presidential libraries repairs and restoration	13.0

Records center storage and services	12.2
Net cost of operations	\$286.3

Total exchange revenue for the year ended September 30, 2004 was \$144.9 million, \$129.2 million, of which was fees earned for storage and services at the records facilities.

Analysis of the Statement of Changes in Net Position

The statement of changes in net position reports the change in net position during the reporting period. Net position is affected by changes in its two components – cumulative results of operations and unexpended appropriations. The increase in net position of \$43.2 million from FY 2003 to FY 2004 is due primarily to the net change in cumulative results of operations of \$26.0 million and an increase in unexpended appropriations of \$17.2 million.

Analysis of the Statement of Budgetary Resources

The statement of budgetary resources shows the sources of budgetary resources available and the status at the end of the period. It presents the relationship between budget authority and budget outlays and reconciles obligations to total outlays. For FY 2004, NARA had budgetary resources available of \$552.6 million, the majority of which was derived from new budget authority.

Analysis of the Statement of Financing

The statement of financing is designed to provide the bridge between accrual-based (financial accounting) information in the statement of net cost and obligation-based (budgetary accounting) information in the statement of budgetary resources by reporting the differences and reconciling the two statements. This reconciliation ensures that the proprietary and budgetary accounts in the financial management system are in balance. The statement of financing takes budgetary obligations of \$490 million and reconciles to the net cost of operations of \$286.3 by deducting nonbudgetary resources, costs not requiring resources, and financing sources yet to be provided.

Debt Management

The General Services Administration (GSA) provides cross servicing for NARA’s debt collection management. GSA has not provided debt management information specific to NARA; however, GSA’s procedures for debt management are as follows. To comply with the Debt Collection Improvement Act of 1996, GSA transmits delinquent claims each month to the U.S. Department of the Treasury Financial Management Service (FMS) for collection cross servicing. GSA also collects non-Federal claims using Pre-Authorized Debits (PADs). GSA actively pursues delinquent non-Federal claims using installment agreements, salary offset, administrative wage garnishment, and any other statutory requirement or authority that is applicable. Through an outside contract arrangement, GSA actively reviews and pursues overpayments. They are working with FMS to remove all nonpaying claims more than two years old from open receivables and have implemented a plan to review delinquent accounts and contact debtors, especially those approaching two years old, on a quarterly basis.

Erroneous Payments Management

GSA provides cross servicing for NARA for all of its financial services, including payments management. For FY 2004, NARA is fully relying on the procedures performed by GSA. To comply with the Improper Payments Information Act of 2002, GSA retained the services of a contractor to conduct a management control review and Improper Payments Information Act review that focused on erroneous payment risk analysis by program to determine and estimate the amount of potential improper and erroneous payments by program. All programs were statistically sampled to identify programs that are highly susceptible to erroneous payments and that meet the \$10 million and 2.5-percent threshold established by the Office of Management and Budget. Corrective action plans will be developed for any programs that are identified that are subject to significant risk of erroneous payments.

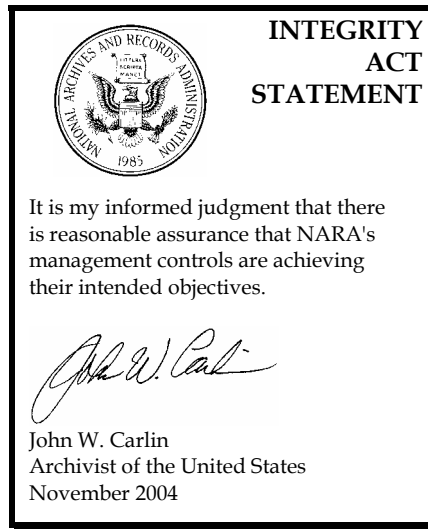
Systems, Controls, and Legal Compliance

This section provides information about NARA's compliance with the

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

Federal Managers' Financial Integrity Act

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



Management Controls Program

NARA's internal controls worked to ensure the attainment of our mission and FY 2004 goals, maintain efficient operations, and reduce fraud and the misuse of taxpayer provided resources. NARA managers submitted an annual assurance statement, along with a management control plan, to the Archivist of the United States at the end of the fiscal year. These statements were based on various sources and included

- Management knowledge gained from daily operation of programs
- Management reviews
- Program evaluations
- Audits of financial statements
- Reviews of financial systems
- Annual performance plans and periodic performance reporting to the Archivist
- Leadership Team reviews and briefings

- Internal oversight groups for agency programs
- Monthly reporting in NARA's Performance Measurement Reporting System and monthly Strategic Schedule reporting
- Reports and other information provided by the congressional committees of jurisdiction

In addition, audits and reviews performed by the Office of Inspector General (OIG) and the Government Accountability Office review the agency's internal controls and lead to improvements in them. Annually, the OIG reviews the state of NARA's management controls. The Archivist's assurance letter reports on the results of this assessment.

FY 2004 Integrity Act Results

NARA evaluated its management control systems for the fiscal year ending September 30, 2004. This evaluation provided reasonable assurance that the agency's management controls achieved their intended objectives. Pursuant to Section 2 of the Integrity Act, we identified two material weaknesses in fiscal years 2000 and 2001. Two corrective action plans were developed for material weaknesses in computer security and collections security. Much progress has been made, and all corrective actions are slated for completion in FY 2005. Pursuant to Section 4 of the Integrity Act, the financial subsystems of NARA generally conformed with the objectives detailed in OMB Circular A-127, revised. Although three systems (Order Fulfillment Accounting System; Trust Fund-Gift Fund Financial Review, Analysis, and Reporting System; and Records Center Revolving Fund financial management systems) were not in complete conformance because they failed to meet the financial management system requirements, the nonconformances were not deemed material.

Federal Information Security Management Act

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

Following established FISMA requirements, our review indicated no new significant deficiencies in NARA's FY 2004 Federal Information Security Management Act (FISMA) Report, submitted October 6, 2004, to the Office of Management and Budget (OMB). NARA's Inspector General, however, did identify six new significant deficiencies in his FISMA Report, all relating in general to computer security. The six deficiencies were derived from preliminary draft potential findings as part of the FY 2004 financial audit and have not been formally delivered as findings. If any of the draft potential findings become actual findings, we will develop corrective action plans as needed. We believe we can make any needed corrections in FY 2005.

Federal Financial Management Improvement Act

GSA is the financial services provider of NARA financial systems via PEGASYS. At the end of FY 2003, GSA had a material weakness concerning the PEGASYS system. Because

PEGASYS, GSA's financial system, was not compliant with the Joint Financial Management Improvement Program (JFMIP), required by FFMIA, and after significant efforts on both sides to correct the deficiencies, NARA has decided to change financial services provider. Implementation will take place in FY 2006.

Prompt Payment Act

GSA is the financial services provider of NARA financial statistics and acts as our agent for implementing the Prompt Payment Act. As a result, NARA statistics are not specifically identifiable.

Inspector General Act

NARA maintains an excellent record in resolving and implementing open audit recommendations presented in OIG reports. Section 5(b) of the Inspector General Act requires agencies to report on final actions taken on OIG audit recommendations. This information can be found in the Performance Section of the full report at www.archives.gov/about_us/reports/annual_report.html.

Facilities

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**NARA-National Personnel
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Ronald Hindman, *Director*

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NARA–National Personnel
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Herbert Hoover Library
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319-643-5301

Franklin D. Roosevelt Library
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Hyde Park, NY 12538
845-486-7770

Harry S. Truman Library
Michael Devine, *Director*
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816-268-8200

Dwight D. Eisenhower Library
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Museum**
Dennis A. Daellenbach, *Director*

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Ann Arbor, MI 48109
734-205-0555

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

Jimmy Carter Library
Jay E. Hakes, *Director*
441 Freedom Parkway
Atlanta, GA 30307
404-865-7100

Ronald Reagan Library
Duke Blackwood, *Director*
40 Presidential Drive
Simi Valley, CA 93065
805-577-8444

George Bush Library
Edward Douglas Menarchik,
Director
1000 George Bush Drive West
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College Station, TX 77845
979-691-4000

William J. Clinton Library
David E. Alsobrook, *Director*
1200 President Clinton Avenue
Little Rock, AR 72201
501-244-2889

Copies of This Report

This report is available through our web site at—

www.archives.gov/about_us/reports/annual_report.html

Links are provided to both the full report (MD&A, Performance and Financial sections, and Appendixes), as well as the summary report (MD&A). Also located on that page are our strategic plan, annual performance plans, and past performance reports.

Copies of this report may also be obtained by electronic request via the form at—

www.archives.gov/global_pages/inquire_form.html

or by writing to National Archives and Records Administration, Policy and Communications Staff, 8601 Adelphi Road, Room 4100, College Park, MD 20740-6001. Please specify whether you are interested in the summary report or the full report. Also, we welcome your comments on how we can improve this report for FY 2005. Please e-mail any comments to: vision@nara.gov.

Other Web Pages of Interest

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

The National Archives Experience: Participate in an interactive, educational experience about the power of records in a democracy. www.archives.gov/national_archives_experience/

Archival Holdings: Find records of interest in Washington, DC, the regional archives, and Presidential libraries. www.archives.gov/research_room/arc/

Public Documents: The U.S. Government Printing Office and the Office of the Federal Register at NARA work closely to disseminate the official text of Federal laws, Presidential documents, administrative regulations and notices, and descriptions of Federal organizations, programs and activities. www.gpoaccess.gov/nara/

Public Regulations: Find, review, and submit comments on Federal documents that are open for comment and published in the *Federal Register*, the Government's legal newspaper. www.regulations.gov

Careers at NARA: Review current job openings and learn how to apply. www.archives.gov/careers/

Visit NARA: Learn how to prepare for a research visit, facility hours and locations, and more. www.archives.gov/research_room/