

## PART 2 PERFORMANCE SECTION

### Measuring and Reporting Our Performance

This annual performance report is the final performance report based on the goals, strategies, and long-range performance targets set forth in our 1997 Strategic Plan and the specific objectives in our FY 2006 Annual Performance Plan. The following pages detail our performance on our FY 2006 objectives. Checked boxes indicate those we fully achieved. Those we did not fully achieve have open boxes with an explanation below. We also included relevant performance results and trend information. Our budget is linked to the report's performance goals. We received no aid from non-Federal parties in preparing this report.

We used four mechanisms to measure actual performance: (1) periodic management reviews, (2) formal audits of operations, (3) expansion and refinement of our performance measurement system, and (4) systematic sampling of measurement system effectiveness. In FY 1999 we deployed our agency-wide Performance Measurement and Reporting System (PMRS). This system allows us to define and consistently measure data critical to the analysis of our performance objectives. Every year we improve and expand the system further so that our strategic performance is measured using more of a balanced scorecard approach for tracking cycle times, quality, productivity, cost, and customer satisfaction for our products and services. This report also updates some of our FY 2005 statistics that were corrected as a result of these improvements. These ongoing refinements indicate that this annual report, our annual plans, and our Strategic Plan are living documents and an integral part of our operations.

Last year, in our continuous effort to improve our performance measurement program, we completed a two-year project to upgrade PMRS. We are taking advantage of web infrastructure to collect our performance data from the more than 70 organizational units that send data to PMRS from all over the country. We also are using newer, more robust, enterprise-level databases to store the data and extract reports, instead of the high-maintenance desktop databases previously used. As a result, we are able to collect our performance data more consistently and more efficiently and store much more data for use in analyzing trends.

Our program management system (PROMT) helps us control the cost and schedule for the Electronic Records Archives (ERA) program and other programs. Last year we expanded the use of PROMT throughout NARA to help us improve our capabilities for managing and tracking performance on other projects. PROMT integrates several commercial off-the-shelf program management tools in a Windows-based web environment to help us schedule and link project activities, assign resources, collect and report costs, calculate earned value, and analyze impacts and risks to the ERA program. PROMT incorporates an EIA-748 compliant tool that meets Office of Management and Budget (OMB) and Government Accountability Office (GAO) requirements for calculating earned value.

## FY 2006 Performance by Strategic Goal

### *Strategic Goal 1: Records Management*

*Essential evidence is created, identified, appropriately scheduled, and managed for as long as needed.*

#### Long-Range

#### Performance Targets

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

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

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

**FY 2006 Resources Available to Meet This Goal:** \$17,186,000; 151 FTE

#### 1.1 RECORDS MANAGEMENT REDESIGN

#### FY 2006 Objectives

- Deliver the results promised on 99 percent of targeted assistance partnership projects.
- Survey Federal agencies to establish baseline percentage of agencies that view their records management programs as a positive tool for asset and risk management.
- Increase by 10 percent the number of records management training participants who are taking a NARA records management course for the first time.
- Conduct two records management studies.

#### Results

- We delivered the results promised on 100 percent of targeted assistance partnership projects.

*"...We could not have gotten this project off the ground without your help." (Social Security Administration)*

- We surveyed Chief Information Officers (CIO) at Federal agencies and established a baseline of senior managers that view their records management programs as a positive tool for asset and risk management.

- ✓ We increased by 39 percent the number of records management training participants taking a NARA records management course for the first time.
- ✓ We conducted two records management studies: a study of electronic records management in the Federal Government through a contract with the University of Maryland's Center for Information Policy, and a study of Department of Energy's Research and Development (R&D) records.

*Discussion* We delivered the results promised on 100 percent of our target assistance projects. The principle of targeted assistance is to work in partnership with agencies to resolve clearly defined records management challenges, and these partnerships have now become an integral part of the way we do business. Recently targeted assistance projects have focused more on electronic information systems and the challenges of maintaining and protecting information over time. Projects often include the development and delivery of leader-led or computer-based records management training specific to the agency.

We increased the number of targeted assistance projects with Federal agencies. For example, NARA has a memorandum of understanding (MOU) with the Office of the Secretary of Defense (OSD) to assist in its transition from a paper-based record management system to electronic recordkeeping. As part of the project we will assist OSD in conducting an agency-wide survey of its electronic record systems, provide manager briefings on records requirements, assist them in scheduling electronic record systems, and help them develop a DoD 5015.2-STD (v2) compliant Records Management Application (RMA).

NARA's Rocky Mountain Region worked with the U.S. Geological Survey Earth Resources Observation and Science (EROS) Data Center to ensure the long-term preservation and access of their aerial photographic collection. NARA's Great Lakes Region worked with the Defense Finance and Accounting Service (DFAS) to design distance learning records management training materials that could be accessed easily by DFAS staff worldwide using the DFAS ePortal intranet.

We surveyed CIO's at Federal agencies about their views of their records management programs as positive tools for asset and risk management. Our survey indicated that 81 percent of survey respondents viewed records management as a positive tool for asset and risk management. Overall, respondents also selected electronic records management as the topic of greatest interest. CIO's generally are more involved or aware of their agency records management programs. Next year we will use these results to determine how to best survey a broader range of senior managers.

Our redesigned records management training program has had its most successful year ever, now reaching even greater numbers of Federal records managers than before. We exceeded our goal of training 10 percent more first-time participants by 35 percent, training 1,484 participants who had never before taken a records management course from NARA. We offered our first online course "RM for Everyone," which was completed by 1,909 people. We also certified 320 records managers through our new professional certification program.

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We completed two records management studies this year. The first study examined electronic records management practices in Federal agencies. Based on visits to 21 Federal agency offices, the study found that most offices maintain both paper and electronic files and that the electronic files, especially e-mail, are not managed in accordance with agency policy. The second study focused on research and development records retained at Department of Energy facilities. This study found that the records schedule accurately reflects the records series that constitute R&D project files, but that historically significant collections need to be transferred to NARA. NARA records management studies identify costly performance weaknesses in Federal records management practices as well as innovative solutions and best practices.

<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<i>Performance target for annual percent of targeted assistance partnership projects delivering the results promised</i>	75	85	90	95	95	99
Annual percent of targeted assistance partnership projects delivering the results promised	100	100	100	100	100	100
Annual number of targeted assistance partnership projects initiated	63	77	58	13	11	7
Annual number of targeted assistance partnership projects completed	58	76	67	26	13	6
Cumulative number of targeted assistance partnership projects initiated with Federal agencies	213	290	348	361	372	379
Cumulative number of targeted assistance partnership projects completed with Federal agencies	97	173	240	266	279	285
<i>Performance target for percent increase in the number of Federal agency senior managers who view their records management programs as a positive tool for asset and risk management</i>	–	–	–	–	–	<i>Establish baseline</i>
Percent of Chief Information Officers who view their records management programs as a positive tool for asset and risk management	–	–	–	–	–	81
<i>Performance target for percent increase in the number of records management training participants who are taking a NARA records management course for the first time</i>	–	–	–	–	10	10
Percent of records management training participants taking a NARA records management course for the first time	–	–	–	11	32	35
Number of Federal agency staff receiving NARA training in records management and electronic records management	2,506	3,746	3,497	4,166	3,366	4,234
Number of records management training participants who are taking a NARA records management course for the first time	–	–	–	442	1,069	1,484
Number of records management training participants certified this year	–	–	–	–	47	320
Number of records management training participants taking an online course	–	–	–	–	–	1,909

*FY 2007 Performance Plan Evaluation* NARA's Strategic Directions for Federal Records Management (2003) established the strategies we are using to improve records

management across the Government and achieve Goal 1. We will continue to implement these strategies through a unified NARA program to support Federal records management.

We will continue to make more effective use of our resources through improved and expanded communications with stakeholders, records management guidance and training, and assistance to Federal agencies. We are exploring ways to provide agencies with modern records center services and to preserve permanent records, focusing on electronic records. We will also use our authority to inspect agency records and records management programs, to conduct studies, and to report to Congress on Federal recordkeeping.

We are using the results of our survey of Federal agency senior managers to help us determine what additional advocacy activities for Federal records management programs and training of Federal records managers are required. With our online training and a professional certification program well under way, we have seen an increase in Federal agency staff taking training for the first time. We expect this trend to continue. We also expect a steady increase in the number of people who seek professional certification.

A status of the initiatives we are undertaking is provided in the section of this report entitled "Status of NARA Records Management Initiatives" on page 88. A report highlighting the progress of individual agencies in managing and preserving their records, entitled "Federal Records Management Evaluations," is available on page 91.

1.2 SCHEDULES FOR CAPITAL ASSET PLANS

**FY 2006 Objectives**

- Issue guidance to agencies on recordkeeping policies and procedures for Federal Government information on the Internet and electronic records.
- Develop a Request for Information (RFI) for industry as part of a project to create baseline requirements for software that supports records management functions.
- Complete flexible schedule pilots with two more Federal agencies.
- Participate in cooperative records projects for an additional Federal Enterprise Architecture (FEA) Business Reference Model Sub-function.
- Launch Electronic Records Management Toolkit for Federal agencies.

**Results**

- ✓ On December 15, 2005, NARA issued Bulletin 2006-02 ("NARA Guidance for Implementing Section 207(e) of the E-Government Act of 2002.)

*"NARA and the 18 supporting agencies have made an excellent start*

- ✓ We developed an RFI as part of a project to

- on an important concept to “put records first.”*
- ✓ create baseline requirements for software that supports records management functions.
  - ✓ We initiated flexible scheduling pilots with two Federal Agencies – the Patent and Trademark office and the GAO.
  - ✓ We updated NARA guidance in the OPM Guide to Recordkeeping.
- “I think the Toolkit is really cool, and I’m excited about it.”*
- ✓ We launched a Toolkit for Managing Electronic Records for Federal agencies.

*Discussion* In December, NARA issued Bulletin 2006-2, “NARA Guidance for Implementing Section 207(e) of the E-Government Act of 2002.” This bulletin assists Federal agencies in the management of electronic records, including web records, as directed by the E-Government Act of 2002, [44 U.S.C. 3601]. All electronic records created and received by agencies are subject to the same existing statutory and regulatory records management requirements as records in other formats and on other media.

The Records Management Services (RMS) Program Requirements Devolvment Project was designed to make available to Government, industry, and academia the baseline functional requirements for software service components that support records management functions and activities. Contributing partner agencies identified seven records management activities that can be supported by services within an electronic environment, including the services-oriented architecture defined in the Federal Enterprise Architecture. These include Record Capture, Provenance, Category, Authenticity, Case File, Disposition, and Reference.

Completion of the flexible scheduling pilots required more time and resources than we originally estimated, both on our part and on the part of the partner agencies. The U.S. Patent and Trademark Office, for example, is in the process of ensuring that the business lines and records of all media within each business line have been properly identified and verified. We expect to complete the first of several flexible schedule pilots with GAO in early FY 2007.

OMB’s Federal Enterprise Architecture Business Reference Model describes the Federal Government by the business operations it performs. NARA is using this model to develop cooperative records management projects for agencies with common lines of business. On one such project, we are working with the Office of Personnel Management (OPM) to update the General Records Schedule to allow for disposal of civilian Official Personnel Folders (OPF) once they are digitized.

This year NARA launched an online resource for Federal agencies to quickly and economically share information on electronic records. The Toolkit for Managing Electronic Records (<http://toolkit.archives.gov>) is a web portal that provides descriptions and links to guidance for managing electronic records and resources developed by NARA and other organizations. The collection is searchable by topic, occupation, the organization that created the tool, or within the descriptive text.

*FY 2007 Performance Plan Evaluation* The ERM Initiative will continue to promote the expansion of Government-wide electronic records management with additional guidance products. We will work with the Department of Defense to extend the DoD 5015.2-STD

and interoperability specifications. Future transitional products will be developed under the auspices of the Interagency Committee on Government Information (ICGI).

<b>Performance Data</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
Number of Federal Enterprise Architecture Business Reference Model sub-functions	153	163	163
<i>Performance target for cumulative number of Federal Enterprise Architecture Business Reference Model sub-functions covered by cooperative records projects</i>	-	1	2
Cumulative number of Federal Enterprise Architecture Business Reference Model sub-functions covered by cooperative records projects	-	0	0

1.3 SCHEDULING AND APPRAISAL SERVICES

- FY 2006 Objectives**
- Process records schedule items within a median time of 180 calendar days or less.
  - Continue analysis and develop automated workflow and collaboration tools.
  - Increase by 10 percent the number of Federal agencies that are satisfied with NARA scheduling and appraisal services.

- Results**
- ✓ We processed records schedule items within a median time of 324 calendar days.
  - ✓ We continued analysis and developed automated workflow and collaboration tools.
  - ✓ We increased by 10 percent the number of Federal agencies that are satisfied with NARA scheduling and appraisal services.

*Discussion* We continued working steadily on processing records schedules. Because this measure is affected by the age and item count of specific records schedules, performance tends to fluctuate and is not necessarily indicative of the effort involved in completing records schedules. Performance trends point to fluctuations between 155 days and 470 days, due to the complexity of the schedules and concerted efforts to clear out some of the oldest records schedule in the backlog.

The ultimate goal in continuing the analysis and development of automated workflow and collaboration tools is to successfully complete Release 1 of Increment 1 of the Electronic Records Archives (ERA) system. This system infrastructure will establish the framework required to develop the full functionality of the ERA system. We completed Increment 1 and 2 Critical Design Reviews (further discussed under Target 2.5).

NARA exceeded its customer satisfaction goal in scheduling and appraisal services, as indicated by an annual survey conducted of Federal records officers. They were asked about NARA responsiveness, guidance, and records schedule and appraisal timeliness. A 2004 survey established a baseline satisfaction measurement. A 2006 survey indicated customer satisfaction at 78 percent, exceeding our 2006 target of increasing satisfaction by 10 percent. One reason for the improvement is the new monthly status report we began

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providing to agencies, which updates and notifies agencies about the status of our work on their records schedules. We also removed a “neutral” response from the survey to get a clearer indication of whether our customers were satisfied or not. While customer satisfaction rose by 21 percent, customer dissatisfaction only rose 1 percent. Over the long term, repeated surveys will demonstrate improvement in customer satisfaction with NARA’s redesigned scheduling and appraisal services.

<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<i>Performance target for median time for records schedule items completed (in calendar days)</i>	260	240	225	220	200	180
Median time for records schedule items completed (in calendar days)	237	470	155	253	372	334
Average age of schedule items at completion (in calendar days)	410	532	274	332	339	374
Number of schedule items completed	4,728	9,374	4,686	3,182	4,260	3,900
Cost per records schedule item completed	–	–	–	–	\$256	\$372
Number of records schedule items completed within 120 calendar days of submission to NARA	659	1,999	1,573	507	681	254
Percent of records schedule items completed within 120 calendar days of submission to NARA	14	21	34	16	16	7
<i>Performance target for increase in percent of Federal agencies that are satisfied with NARA scheduling and appraisal services.</i>	–	–	–	–	–	10
Percent increase in Federal agencies that are satisfied with NARA scheduling and appraisal services	–	–	–	–	–	37
Percent of Federal agencies that are satisfied with NARA scheduling and appraisal services	–	–	–	57	–	78

*FY 2007 Performance Plan Evaluation* Improvements in delivery of our services to agencies depend largely on the scheduling and appraisal functionality that ERA will soon provide. While we will continue to track our timeliness in completing records schedules, our new Strategic Plan no longer sets a target for this measure but focuses instead on the satisfaction of our customers with our services.

## Strategic Goal 2: Electronic Records

*Electronic records are controlled, preserved, and made accessible as long as needed.*

### Long-Range Performance Targets

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

**FY 2006 Resources Available to Meet This Goal:** \$51,177,000; 100 FTE

### 2.1 SERVICING ELECTRONIC RECORDS IN NARA RECORDS CENTERS

#### FY 2006 Objectives

- Offer remote servicing capability for electronic Official Military Personnel Files to military service departments.
- Pilot a digital conversion program to provide indexing and delivery of scanned records services.
- Construct and operate an electronic records storage environment at the Washington National Records Center.
- Evaluate existing production scan pilots and develop a modular and flexible long-term document conversion plan.
- Complete requirements and build the Records Center Program Operations System (ARCIS).
- Migrate legacy applications and data to the Records Center Program Operations System.

**Results**

- ✓ We offered remote servicing capability for electronic Official Military Personnel Files to military service departments.
- ✓ We tested a developmental digital conversion program, providing indexing and delivery of scanned records services. This system will be ready to launch in FY 2007.
- ✓ We piloted basic storage capability and developed draft transfer and receipt procedures.
- ✓ We evaluated existing production scan pilots and developed a modular and flexible long-term document conversion plan.
- ✓ We began development of RCPOS pilot application.
- ✓ We developed a migration strategy for legacy data to the Records Center Program Operations System.

*Discussion* We developed the necessary functionality to offer electronic servicing of Official Military Personnel files to Armed Services. This year we offered these cost-effective services to the Army and Air Force, but both elected to continue to service their records in-house for the time being. We will continue to make these services available to our DOD customers

NARA is in the marketing phase of a pilot project that enables us to provide customers with scanned images of documents requested from our Fort Worth Records Center. If successful, this capability will be offered at other Federal Records Centers. In addition, the Federal Records Center Program (FRCP) has signed a Memorandum of Understanding with OPM to begin the digital conversion of Civilian Official Personnel Files stored in St. Louis.

We developed specifications and awarded a contract to construct an electronic records storage environment at the Washington National Records Center. This project was dependent on the successful deployment of a pilot storage environment at our underground records storage facility at Lee's Summit. We expect to have the storage environment ready in FY 2007, and have launched a nation-wide advertising campaign to market this new service to our customers.

The Records Center Program Operating System, renamed the Archives and Records Center Information System (ARCIS) during FY 2006, will enable the Federal Records Center Program to electronically manage all records storage. In addition to the cost savings we expect to recover from increasing the efficiency of our storage process, ARCIS will enable customers to request records and track their requests via the Internet. This will provide a significant advantage to every Federal agency that stores its records with NARA. In FY 2006, we awarded a contract to complete detailed design and develop a prototype system. In addition, we began work on a migration strategy for legacy data to ARCIS. This strategy identifies the multiple legacy systems that currently make up the

backbone of the Federal Records Center Program, including inventory and billing systems.

*FY 2007 Performance Plan Evaluation* We will use our business model for the FRCP for electronic records services to deliver cost-effective, valuable services to our agency customers. The knowledge and experience from our pilots will be used to refine our services and prices for next year.

We will provide close oversight of the design and prototype contract of ARCIS.

## 2.2 ACCESSIONING ELECTRONIC RECORDS

### **FY 2006 Objectives**

- Populate pilot repository with legacy records control schedules so that by FY 2007 some schedules will be in the first increment of ERA.
- Pre-accession two more transfers of electronic records.
- Identify and schedule 10 percent more Federal agency systems that generate electronic records than we scheduled in FY 2005.

### **Results**

- We developed a legacy schedule white paper that was accepted by all stakeholders.
- We pre-accessioned two more transfers of electronic records, from the Coalition Provisional Authority, Baghdad, and the U.S. Patent and Trademark Office.
- We identified and scheduled 10 percent more Federal agency systems that generate electronic records than we scheduled in FY 2005.

*Discussion* This year we developed a white paper about various alternatives for populating ERA with legacy records schedules. We anticipate that ERA will ingest the first legacy schedule in FY 2007.

We successfully accepted a pre-accession of 800,000 PDF images from the Coalition Provisional Authority, Baghdad. We also received a pre-accession of the Patent Master Classification File from the U.S. Patent and Trademark Office's Automated Patent Search system. This important file contains records for more than 25 million patents from July 1790 to August 2006. Pre-accessioning electronic records into NARA avoids lengthy agency retentions that might jeopardize future access to these records, and provides for more accurate descriptions, earlier transfers, and better preservation.

Our identification and scheduling of Federal electronic records is the first step in increasing timely accessions. We targeted 12 Federal agencies this year that had high priority electronic records. Our advocacy with these agencies for electronic records scheduling increases the approval rate for electronic records schedules.

We assessed the opportunity to develop schedules for IT publications and websites of Federal agencies. Under a pilot program with FBI, we provided four schedules for

identified record groups and the first has been accepted, signed, and published in the *Federal Register*.

<b>Performance Data</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<i>Performance target for percentage of archival electronic records accessioned by NARA at the scheduled time.</i>	–	–	–	20	40
Percent of archival electronic records accessioned by NARA at the schedule time.	–	–	–	–	–*
Number of electronic records transferred (in millions of logical data records)	--	--	533	85	348
Number of electronic records accessioned (in millions of logical data records)	–	–	4.8	245	576
Number of electronic records accessioned in one of the new transfer formats (in millions of logical data records)	–	–	.0001	0.03	4.7
Size of accessioning backlog (in millions of logical data records)	–	–	529	369	383

\*We are unable to accurately measure the percent of archival electronic records accessioned by NARA at the scheduled time until ERA is deployed.

*FY 2007 Performance Plan Evaluation* We will continue to survey agencies to identify unscheduled electronic systems and, using our resource allocation model, will work with agencies to get those systems under approved records schedules. We do not anticipate that we will be able to address completely our significant backlog of archival electronic records until ERA is available. Until then, we will make workflow improvements and minor enhancements to our system capabilities in an attempt to keep up.

### 2.3 MANAGING ELECTRONIC RECORDS

#### **FY 2006 Objectives**

- Develop pilot preservation and access plans for select electronic records using criteria established for levels of service.
- Launch Access to Archival Databases (AAD) user interface improvements.
- Improve AAD’s customer satisfaction score to 65 on customer survey tool.

#### **Results**

- We developed pilot preservation and access plans for select electronic records using criteria established for levels of service.
- We launched AAD user interface improvements.
- We improved AAD’s customer satisfaction score to 65 on customer survey tool.

*“You do a great job. You just need to get more of your archives online... you have really improved your website.”*

*“Wonderful use of tax money! Thank you so very much!”*

*Discussion:* We developed preservation plans for 9/11 Commission records and NASA Space Shuttle Columbia records to organize and preserve these records within a classified environment until they can be made available to researchers. As part of this process, we designed a life cycle management plan that we will integrate into ERA.

In December, we released a redesigned AAD interface to improve public usability. We also focused on providing 1973-1974 State Department electronic telegrams and related records through AAD. AAD provides public access to database records directly through the Internet. AAD includes casualty databases from the Vietnam and Korean conflicts, indexes to NASA photographs, insider securities trading transactions, contracts between the private sector and the military, records of people emigrating to America during the Irish potato famine of the 1840s, and records of Japanese Americans interned during World War II.

We are delighted with the public response to this collection of highly heterogeneous “born-digital” records. Our new features are the likely cause of the significant increase in the number of AAD queries. With every enhancement to AAD, we receive more feedback from the public suggesting enhancements and requests that more records be made available online. Eventually the functionality of AAD will be provided by ERA.

<b>Performance Data</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<i>Performance target for percent increase in number of archival electronic holdings accessible online</i>	–	–	50	20	10
Percent increase in number of archival electronic holdings accessible online	–	–	51	20	13
Number of archival electronic holdings accessible online (cumulative logical data records in millions)	–	47	71	85.8	97.1
Number of archival electronic holdings (cumulative logical data records in billions)	3,714	4,743	5,629	8,108	10,547
Percent of electronic records available online	0	1	1.4	1.1	0.95
Number of online visits to AAD (in millions of visits)	–	0.49	0.55	0.57	1.99

*FY 2007 Performance Plan Evaluation* We will continue to add electronic database holdings to AAD, and we will use the online customer satisfaction survey tool to evaluate the effectiveness of the redesigned AAD.

2.4 PROCESSING ELECTRONIC RECORDS

**FY 2006 Objectives**

- Process transfers of archival electronic records within a median time of 250 calendar days or less.

**Results**

- ✓ We processed transfers of archival electronic records within a median time of 259 calendar days.

*Discussion* The growth in the volume of electronic records is staggering. At the end of the Clinton Administration, the White House transferred several terabytes of electronic records to NARA, the equivalent of approximately 50,000 compact discs.

The increase in new electronic records, especially those from the Clinton administration, created a backlog that we are still working to reduce. In FY 2006 we reduced the backlog by nearly 600 million logical data records, yet at the same time we received nearly 350 million new logical data records.

We implemented hardware and software upgrades to our existing processing tools to become more efficient in reducing the backlog of unprocessed electronic records. We also purchased additional storage space and upgraded the network backbone as part of our tape farm project. This project will allow us to process electronic records stored on digital linear tape.

<b>Performance Data</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<i>Performance target for median time to make archival electronic accessions available for access (in calendar days)</i>	–	–	250	250	250
Median time (in calendar days) for processing electronic records accessions from the time of transfer to NARA	–	450	736	413	259
Number of electronic records transferred (in millions of logical data records)	–	–	534	85	348
Cost per electronic record transferred	–	–	\$0.01	\$0.07	\$0.02

*FY 2007 Performance Plan Evaluation* We are working to implement the recommendations of a technical study to extend our network capacity, improve our Archival Preservation System (APS) software, and improve the mechanisms for electronic file transfer modes. Despite these steps, we expect significant challenges to our ability to keep up with the volume of archival electronic records transferred to NARA in the near future.

2.5 COST OF ELECTRONIC RECORDS PRESERVATION

**FY 2006 Objectives**

- ☑ Complete Preliminary Design Review for Increment 1, Release 1 of the ERA system.
- ☑ Complete Critical Design Review for Increment 1, Release 1 of the ERA system.

**Results**

- ✓ We completed the Preliminary Design Review for Increment 1, Release 1 of the ERA system.
- ✓ We completed the Critical Design Review for Increment 1, Release 1 of the ERA system.

*“ERA is the first system that will manage electronic records in a comprehensive way.”*

*Discussion:* The Electronic Records Archives (ERA) is our innovative system that will capture electronic records and information, regardless of format, save them permanently, and make them accessible on whatever hardware or software is currently in use. ERA continues to advance our ability to leverage technology to reach this goal.

In FY 2006 we completed application-related software specifications for ERA’s Ingestion, Dissemination, Preservation, and Records Management functions. We also designed business processes and business objects that contributed to the completion of the Critical Design Review (CDR) for the first Increment of ERA. The CDR process verifies that the design under review satisfies cost, schedule, and performance requirements. For further information about ERA’s progress in 2006, read the story on page 14.

<b>Performance Data</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<i>Performance target of percent of NARA’s electronic holdings stabilized in preparation for their transfer to the Electronic</i>	60	65	99	80	80

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<b>Performance Data</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<i>Records Archives</i>					
Percent of NARA's electronic holdings are stabilized in preparation for their transfer to the Electronic Records Archives	98	97	93	99	96
Number of logical data records in NARA's custody (in billions)	3.7	4.7	5.6	8.1	10.5
Number of logical data records stabilized (in billions)	3.6	4.6	5.2	8.0	10.1
Percent of Presidential logical data records managed and stabilized	49	49	62	90	102
Number of Presidential logical data records (in millions)	35.3	35.3	35.3	35.3	35.3
Number of Presidential logical data records stabilized (in millions)	17.3	17.3	22.1	31.7	36.1
Per megabyte cost for stabilizing archival electronic records	—	\$4.50	\$4.77	\$0.72	\$0.43

*FY 2007 Performance Plan Evaluation* Our challenge in FY 2007 is to make business process decisions that shape system development decisions in a timely manner and effectively oversee the performance of the contractor working to develop the ERA system.

### **Strategic Goal 3: Access**

*Essential evidence is easy to access regardless of where it is or where users are for as long as needed.*

#### **Long-Range**

#### **Performance Targets**

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

3.2. By 2007, 70 percent of NARA services are available online.

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

3.4. By 2007, Government-wide holdings of 25-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 percent of records of a two-term President or 15 percent of records for a one-term President are open and available for research at the end of the five-year post-Presidential period specified in the Presidential Records Act.

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

**FY 2006 Resources Available to Meet This Goal:** \$152,076,000; 2,360 FTE

#### 3.1 CUSTOMER SERVICE

#### **FY 2006 Objectives**

We met or exceeded NARA's published standards for access to records and services, as noted below:

- 95 percent of written requests are answered within 10 working days;
- 90 percent of Federal Freedom of Information Act (FOIA) requests are completed within 20 working days;
- 95 percent of requests for military service

separation records at the National Personnel Records Center in St. Louis are answered within 10 working days;

- ☑ 95 percent of items requested in our research rooms are furnished within one hour of request or of scheduled pull time;
- ☑ 99 percent of customers with appointments have records waiting at the appointed time;
- ☑ 95 percent of Federal agency records reference requests in Federal records centers are ready when promised to the customer;
- ☑ 99 percent of records center shipments to Federal agencies are the records they requested;
- ☑ 85 percent of archival fixed-fee reproduction orders through the Order Fulfillment Application System (OFAS) are completed in 35 working days or less;
- ☑ 95 percent of education programs, workshops, and training courses meet attendees' expectations.

## Results

*"That was surely the fastest transaction with a government agency so far."*

*"This is the first time I can recall in 58 years I have written a government agency praising their service, but you have excelled."*

*"NARA's familiarity with the holdings and its corporate knowledge is in itself an asset to the public."*

*"From the perspective of a writer that has conducted research through numerous sources, the National Archives represents one of the most positive experiences imaginable; largely due to its staff."*

*"The turnaround time was good and the price reasonable. The work you do*

We met or exceeded NARA's published standards for access to records and services, as noted below:

- ✓ We answered 97 percent of written requests within 10 working days;
- ✓ We completed 87 percent of Federal FOIA requests within 20 working days;
- ✓ We answered 91 percent of requests for military service separation records at the National Personnel Records Center in St. Louis within 10 working days;
- ✓ We furnished 96 percent of items requested in our research rooms within one hour of request or of scheduled pull time;
- ✓ We provided 99.7 percent of customers with appointments the requested records at the appointed time;
- ✓ We had 98 percent of Federal agency records reference requests in Federal records centers ready when promised to the customer;
- ✓ We ensured that 99.9 percent of records center shipments to Federal agencies were the records requested;
- ✓ We completed 97 percent of archival fixed-fee

*is invaluable! Thanks."*

*"One member told me that she never knew Annie Oakley was a real person. Thanks for bringing history to life for these folks!"*

*"I yield to no one in an appreciation of the importance of those records for an understanding of American history. Again, congrats."*

✓  
✓

reproduction orders through OFAS in 35 working days or less;

We met attendees' expectations in 99 percent of education programs, workshops, and training courses.

We completed the multi-year microfilm project of Freedmen's Bureau records.

*Discussion* We consider the timely and accurate response to the thousands of requests we receive every year for records and information to be a fundamental part of NARA's mission. NARA is, first and foremost, a customer service agency. Once again we met or exceeded almost all of our customer service targets in FY 2006. Although we fell short of this year's target, our customers received answers to their requests for military service separation records within 10 days 91 percent of the time, while answering 30 percent more requests over last year. The trend from a 7 percent response rate in 2001 to a 91 percent response rate in 2006 represents the remarkable results of a multi-year business reengineering effort at our National Personnel Records Center to provide more timely response to the requests for military records by veterans and their families.

While our timely response to Freedom of Information Act (FOIA) requests improved again last year, we fell just short of meeting our target for completing 90 percent of FOIA requests for Federal records within 20 working days. Several factors have consistently contributed to this. FOIA requests for military records take considerably longer than the 20-day standard if the requests are for records that were lost in the 1973 fire at the National Personnel Records Center and the data must be reconstructed from other sources, or if the records have been borrowed by another agency. The extent of time to respond to a FOIA can be lengthened also if the records must be referred to another agency for declassification review before releasing information, or if the records requested are sizeable. Overall the average age of completed FOIA's continues to decline, an improvement over last year at an average of 16 days.

We completed the multi-year project to microfilm the records of the Bureau of Refugees, Freedmen, and Abandoned Lands (Freedmen's Bureau) from the Reconstruction era, which contains a great deal of information about the African American family experience across 15 states and the District of Columbia. The fragile records, once available only at one NARA location, were microfilmed and distributed to our regional archives and microfilm rental program. A partnership with the Genealogical Society of Utah (GSU) and Howard University will create a digital copy from the microfilm and partners have set up a program for volunteers to create an electronic index of the records.

<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<i>Performance target for written requests answered within 10 working days</i>	80	85	85	90	95	95
Percent of written requests answered within 10 working days	93	93	94	95	96	97
<i>Performance target for Freedom of Information Act requests completed within 20 working days</i>	80	85	85	85	90	90
Percent of Freedom of Information Act requests for Federal records completed within 20 working days	27	76	61	65	79	87

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<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
Number of FOIAs processed	7,634	8,824	4,810	5,213	8,877	8,877
Annual cost to process FOIAs (in millions)	—	\$1.54	\$1.35	\$1.43	\$1.74	\$2.62
Annual per FOIA cost	—	\$175	\$265	\$273	\$196	\$295
<i>Performance target for requests for military service separation records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days</i>	—	—	—	70	95	95
Percent of requests for military service separation records at NPRC answered within 10 working days	7	40	37	75	88	91
Number of military service separation records (DD-214) requests (in thousands)	297	361	390	372	352	442
Average price per request for military service separation records	—	—	\$29.70	\$29.70	\$29.70	\$29.70
<i>Performance target for requests for all military service records at NPRC answered within 10 working days</i>	25	30	35	—	—	—
Percent of requests for all military service records at NPRC answered within 10 working days	4	28	28	48	51	61
<i>Performance target for items requested in our research rooms furnished within one hour of request or scheduled pull time</i>	95	95	95	95	95	95
Percent of items requested in our research rooms furnished within one hour of request or scheduled pull time	93	94	96	98	98	96
Number of researchers visiting our research rooms (in thousands)	—	248.7	204.5	168.5	171.3	134.2
Number of items furnished in our research rooms (in thousands)	1,056	613	607	696	537	421
Number of items furnished on time in our research rooms (in thousands)	985	578	584	683	527	405
<i>Performance target for customers with appointments for whom records are waiting at the appointed time</i>	99	99	99	99	99	99
Percent of customers with appointments for whom records are waiting at the appointed time	99.7	99.8	99.9	99.3	99.4	99.7
<i>Performance target for Federal agency reference requests in Federal records centers that are ready when promised to the customer</i>	90	90	90	90	95	95
Percent of Federal agency reference requests in Federal records centers that are ready when promised to the customer	93	92	94	96	97	98
<i>Performance target for records center shipments to Federal agencies are the records they requested</i>	99	99	99	99	99	99
Percent of records center shipments to Federal agencies are the records they requested	99.99	99.99	99.99	99.99	99.99	99.99
<i>Performance target for archival fixed-fee reproduction orders through OFAS are completed in 35 working days or less</i>	—	50	60	75	80	85
Percent of archival fixed-fee reproduction orders through OFAS are completed in 35 working days or less	—	88	99	99	99	97

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<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
Average per order cost to operate fixed-fee ordering	–	–	\$26.34	\$29.35	\$27.31	\$28.74
Average order completion time (days)	–	20	14	9	12	14
<i>Performance target for percent of education programs, workshops, and training courses meeting attendees' expectations</i>	90	95	95	95	95	95
Percent of education programs, workshops, and training courses meeting attendees' expectations	97	96	95	99	99	99
Number of program attendees	6,291	8,447	7,601	8,125	9,248	10,394

*FY 2007 Performance Plan Evaluation* For customer service targets that we currently meet, we expect to continue that trend for most measures. For those that we have not met, we expect to see steady improvements in FY 2007. In 2007 we will make some modest resource adjustments to address our new strategic plan initiative to reduce the backlog of unprocessed holdings in an effort to make more of our holdings available for research. We will carefully monitor our customer service performance during this multi-year initiative.

3.2 ONLINE SERVICES

**FY 2006 Objectives**

- Ensure 60 percent of NARA services are available online.

**Results**

- ✓ We ensured that 52 percent of NARA services are available online.
- ✓ We received nearly 33 million online visits to NARA websites.

*Discussion* We recognize that the Internet is an important tool in providing essential services to the public and making records available to historians, teachers, researchers, and family genealogists. Our goal is to provide more and more of our services online, so that visitors to the National Archives can come in the doors or visit us on the Internet with equal ease.

While we fell short of our target this year, we have made significant progress in providing the online services our customers most care about in a relatively short period of time. Visitors to our websites can now locate descriptions for more than 50 percent of our holdings in a NARA-wide online catalog. They can apply for a job or learn how to apply for a grant. They can order records and in a few months will be also able to purchase items from our online store. Family historians can learn how to take care of their precious family records, and Federal agencies can learn how to preserve their growing electronic holdings. Researchers can access digitized records or online databases. People can learn about our programs, hours of our facilities around the country, ask a question, comment on a rule, register for a public program, and view an online exhibit.

<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
Online visits to NARA's web sites (in	16,106	19,538	30,943	30,428	26,715	32,951

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thousands)*						
Cost to provide NARA services online per visit	–	–	\$0.16	\$0.13	\$0.17	\$0.10
<i>Performance target for percent of NARA services available online</i>	–	20	30	40	50	60
Percent of NARA services available online	24	25	30	40	50	52
Number of NARA services online	29	30	36	48	60	62

*\*In 2005 we upgraded the tool we use to collect our online visit statistics (WebTrends). The new version of this product does not count agents that index our site constantly (agents from search engines, for instance). As a result, while our overall online visit count since 2005 is lower we now have a total that more accurately reflects the number of actual visits to our sites.*

*FY 2007 Performance Plan Evaluation* Our customers are telling us that they want to be able to access more of our holdings online, and our new Strategic Plan takes us in that new direction. While we will continue to track the percent of our services online, we will no longer set a target for those services. Instead, our performance measures will focus on the quantity of the holdings and satisfaction of our customers as more of our records become available online, either in “born digital” formats or paper holdings that we digitize.

3.3 ONLINE CATALOG

**FY 2006 Objectives**

- Describe 50 percent of NARA traditional holdings in the Archival Research Catalog.
- Describe 50 percent of NARA artifact holdings in the Archival Research Catalog.
- Describe 20 percent of NARA electronic holdings in the Archival Research Catalog.

**Results**

*“I can't wait until you have everything in there!”*

*“ARC is great! Records are very easy to access.”*

- We described 51 percent of NARA traditional holdings in the Archival Research Catalog.
- We described 57 percent of NARA artifact holdings in the Archival Research Catalog.
- We described 43 percent of NARA electronic holdings in the Archival Research Catalog.

*Discussion* We continued our agency-wide description work this year and our online catalog now contains descriptions of more than 50 percent of our holdings at the series level. The cross-NARA effort this year more than doubled the amount of work accomplished when compared with last year. ARC now contains descriptions of more than 1.6 million cubic feet of traditional records (51 percent of our traditional holdings), more than 300,000 artifacts (57 percent of our artifacts), and 4.5 billion logical data records (43 percent of our electronic records).

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In FY 2006, we added 13,451 series to ARC. Although the average series size has dropped from 94 cubic feet in FY 2004, to 50 cubic feet in FY 2005, to 28 cubic feet per series in FY 2006, we made the goal by more than doubling our description efforts.

Archivists create and use a variety of finding aids that provide lists of files for particular series. These finding aids may be in the form of word processing documents, spreadsheets or databases. We developed a tool that can take the file information from any of these finding aids and convert them into file unit records in ARC. This is a remarkably efficient way to leverage previous work and to provide detailed, searchable information on the web, a huge value to our researchers. After adding more than 350,000 file units this year, ARC now includes more than 715,000 file units.

<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
Percent of nationwide archival holdings described in an online catalog	13.2	—	—	—	—	—
Cubic feet of archival holdings (in thousands)	2,915	—	—	—	—	—
Cubic feet of archival holdings described in an online catalog	386	—	—	—	—	—
<i>Performance target for traditional holdings in an online catalog</i>	—	20	25	30	40	50
Percent of traditional holdings in an online catalog	—	19	20	33	43	51
Number of traditional holdings described in an online catalog (thousands of cubic feet)	—	550	602	1,033	1,366	1,671
Number of traditional holdings in NARA (thousands of cubic feet)	—	2,890	3,025	3,157	3,167	3,299
<i>Performance target for artifact holdings in an online catalog</i>	—	20	25	30	40	50
Percent of artifact holdings in an online catalog	—	19	17	40	43	57
Number of artifact holdings described in an online catalog (thousands of items)	—	90	90	215	233	309
Number of artifact holdings in NARA (thousands of items)	—	470	528	540	544	544
<i>Performance target for electronic holdings in an online catalog</i>	—	0	0	5	10	20
Percent of electronic holdings in an online catalog	—	0.02	0.02	10	31	43
Number of electronic holdings described in an online catalog (millions of logical data records)	—	1	1	535	2,539	4,517
Number of electronic holdings in NARA (millions of logical data records)	—	3,714	4,743	5,629	8,108	10,547
Number of ARC users (in thousands of user hits*)	—	713	1,884	—	—	—
Number of ARC users (in thousands of visits*)	—	—	—	158	286	254

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

*FY 2007 Performance Plan Evaluation* We anticipate meeting our targets set for 2007. However, much of the description work occurring over the past several years has been for larger series that represent considerably more holdings and get more of our holdings into ARC quickly. As we move forward to other smaller records series, representing smaller numbers of holdings, but more description work, our performance may diminish simply because the methodology for measuring our performance does not recognize the size of a series. We must use this methodology, however, because until archival holdings are processed, we do not know how many series are contained in the materials.

**3.4 GOVERNMENT-WIDE DECLASSIFICATION**

**FY 2006 Objectives**  Ensure that 95 percent of the FY 2004 baseline of Government-wide holdings of classified records 25 years old or older are declassified, properly exempted, or appropriately referred.

**Results** ✓ We ensured that 95 percent of the FY 2004 baseline of Government-wide holdings of classified records 25 years old or older were declassified, properly exempted, or appropriately referred.

*Discussion* Cooperation from Federal agencies to meet the deadlines in Executive Order 12958, as amended, continues to be our greatest challenge. While we expect most agencies will make the December 31, 2006, deadline to declassify, properly exempt, or appropriately refer their classified records 25 years old or order, we continue to have serious concerns about whether all the agencies will be able to process the referrals of equities by December 31, 2009, and special media by 2011.

We continue to work with all executive branch agencies, especially those that submitted inadequate declassification plans last year. While our initial review is complete, we will continue to meet with senior officials to encourage compliance with the program, which requires refinement of their declassification plans and enhancements to their programs. We have also established dialogues between agencies with similar concerns and encouraged participation in the External Referral Working Group (ERWG), an interagency working group originally created within the Intelligence Community to address the declassification issues presented by E.O. 12958, as amended. We also developed a declassification guide for use as a model to assist agencies in developing their own declassification guides.

<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006*</b>
Number of pages declassified Government-wide (in millions of pages)	100.1	44.4	43.1	28.4	29.5	TBD
Per page cost of Government-wide declassification	\$2.32	\$2.55	\$1.25	\$1.70	\$1.93	TBD
Total cost of declassification Government-wide (in millions of dollars)	\$231.9	\$112.96	\$53.8	\$48.3	\$57.0	TBD

\*FY 2006 data will be collected from Federal agencies and reported to the President in 2007.

*FY 2007 Performance Plan Evaluation* Meeting the targets set forth in E.O. 12958, as amended, will be very challenging. Security concerns related to the war on terrorism may lead to the withholding of additional records. Agencies' cooperation is essential in identifying the records subject to automatic declassification, impediments to meeting the new deadline, and solutions to these impediments.

3.5 NARA DECLASSIFICATION  
**FY 2006 Objectives**

- Ensure that 95 percent of the FY 2004 baseline of NARA archival holdings of classified records 25 years old or older are declassified, properly exempted, or appropriately referred.
- Scan 500,000 pages of Presidential archival materials eligible for declassification review as part of the Remote Archives Capture project.

**Results**

- ✓ We completed a multi-year effort to review for declassification all classified material in our Presidential holdings through the Carter administration, in compliance with E.O. 12958, as amended.
- ✓ We indexed 208,000 Federal records for referral to other equity holding agencies.
- ✓ We resolved the status of more than 7,000 cubic feet (more than 17 million pages) of Federal classified records in our holdings that are subject to automatic declassification on December 31, 2006, for which no equity holder had taken action.
- ✓ We scanned 500,000 pages of Presidential archival materials eligible for declassification review as part of the Remote Archives Capture project.

*Discussion* Executive Order 12958, as amended, requires the declassification of material 25 years old unless specifically exempt. The Government protects millions of classified documents at great expense, including more than 390 million pages in our Washington, DC, area facilities and 38 million pages in Presidential Libraries. The majority of these documents more than 25 years old no longer require classified protection and can and should be accessible to citizens as part of the history of our nation. This year we reviewed 830,000 pages of classified material, declassified 178,000 pages, and released nearly 652,000 pages for access by the public. Since 1996, NARA has processed and released close to 460 million pages of Federal records, working in partnership with the agencies that originated the records. Over the years, NARA has processed more than 1.1 billion pages of national security classified Federal records, resulting in the declassification and release of 91 percent of the records.

The Interagency Referral Center (IRC), our system designed to support the process of agency review of referred materials in Federal records that are part of the National Archives, indexed more than 1 million pages this year for referral. By handling referrals through the IRC, NARA retains physical and intellectual control of the records. The IRC provides access to agency reviewers and allows us to prioritize the order in which referrals are processed so we can deal with records of high research interest in a timely

manner. The IRC supports a standard method for recording agency decisions, ensuring that when NARA staff process the records for release or exemption, the agency determination will be clearly understood and NARA will avoid inadvertent releases of still sensitive information.

Progress on our multi-year effort to review and declassify Presidential records (or refer for declassification) marked the completion of all classified material in our holdings through the Carter administration to comply with the deadlines associated with the Executive Order. Of the more than 200,000 pages of material more than 25 years old awaiting review at the beginning of this year, our staff reviewed all of it, declassifying and releasing nearly 90,000 pages. For classified materials in the Presidential library system for which we have no delegated declassification authority, we continue to work in partnership with the Central Intelligence Agency (CIA) to prepare and scan classified materials for distribution to agencies with equities in the documents.

This year, we initiated a National Declassification Initiative pilot to establish a more efficient and effective means for the referral of classified equities between Executive branch entities, particularly with the high concentration of referrals at the National Archives at College Park. The goals of the program are to preclude redundancies in security reviews, promote accuracy and consistency in declassification decisions, improve equity recognition, develop centralized priorities and databases, and enhance transparency to the public. More information about NARA's declassification efforts can be found at [www.archives.gov/declassification/](http://www.archives.gov/declassification/).

<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
Backlog of Federal records requiring declassification at start of year (in thousands)	25,029	20,979	18,980	25,581	25,020	25,483
<i>Performance target for annual percent of Federal records NARA reviewed that are more than 25 years old for which NARA has declassification authority</i>	50	85	90	—	50	95
Annual percent of Federal records NARA reviewed that are more than 25 years old for which NARA has declassification authority	9	12	7	2	2	2
Backlog of Presidential materials requiring declassification at start of year (in thousands)	1,562	1,240	960	806	668	218
<i>Performance target for annual percent of Presidential records NARA reviewed that are more than 25 years old for which NARA has declassification authority</i>	25	85	90	—	50	95
Annual percent of Presidential records NARA reviewed that are more than 25 years old for which NARA has declassification authority	21	23	16	17	67	104
Annual number of Federal pages reviewed (in thousands)	2,129	2,490	1,257	547	605	602
Annual number of Federal pages declassified (in thousands)	807	402	340	116	35	89
Annual number of Federal pages released (in thousands)	1,788	2,184	1,092	994	527	562
Annual number of Presidential pages reviewed (in thousands)	322	280	154	138	449	228
Annual number of Presidential pages declassified (in thousands)	219	119	71	94	78	89

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<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
Annual number of Presidential pages released (in thousands)	207	182	71	94	78	89
<i>Performance target for annual number of Presidential pages scanned (in thousands)</i>	300	300	600	300	300	500
Annual number of Presidential pages scanned (in thousands)	322	332	470	500	563	506
Cost per page declassified (Federal and Presidential)	--	--	\$23.44	\$24.29	\$27.60	TBD*

\*Declassification costs are derived from annual reports submitted to ISOO. We receive this report approximately nine months after the fiscal year measured.

*FY 2007 Performance Plan Evaluation* Meeting the targets of Executive Order 12958, as amended, will be a significant challenge.

3.6 PRESIDENTIAL RECORDS

**FY 2006 Objectives**

- Process an additional 1 percent of Clinton Presidential and Vice Presidential records.
- Opened processed Clinton Presidential and Vice Presidential records on January 20, 2006.

**Results**

- ✓ We processed an additional 178 cubic feet of Clinton Presidential and Vice Presidential records.
- ✓ We opened processed Clinton Presidential and Vice Presidential records on January 20, 2006.

*Discussion* The Presidential Records Act requires Presidential records to be available for Freedom of Information Act requests five years after the President leaves office. We opened processed Clinton Presidential records on January 20, 2006. All Clinton Presidential records became subject to FOIA requests on January 20, 2006, as well. To date, about 3 percent have been opened. Since opening the holdings to FOIA requests, the Library has accumulated 236 requests in its FOIA queue, and now has a backlog similar to the multi-year backlogs at the Reagan and Bush Libraries. Our ability to respond to these FOIA requests will be the primary challenge to our ability to provide access to Clinton Presidential records.

<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<i>Performance target for cumulative percent of Clinton Presidential and Vice Presidential traditional records processed for opening January 20, 2006</i>	1	3	3	5	5	6
Cumulative percent of Clinton Presidential and Vice Presidential traditional records processed for opening January 20, 2006	1	1	1	2	3	3
Cumulative cubic feet of Clinton Presidential and Vice Presidential traditional records	28,925	28,925	37,686	39,049	36,589	36,589
Cumulative cubic feet of Clinton Presidential and Vice Presidential	291	291	291	752	944	1,122

<b>Performance Data</b>	2001	2002	2003	2004	2005	2006
traditional records processed for opening						
<i>Performance target for cumulative percent of Clinton Presidential and Vice Presidential electronic records processed for opening January 20, 2006</i>	0	0	0	0	0	0
<i>Performance target for cumulative percent of Clinton Presidential and Vice Presidential artifacts processed for opening January 20, 2006</i>	0	0	0	0	0	0

*FY 2007 Performance Plan Evaluation* We will continue to devote our resources to archival processing. Our new Strategic Plan describes the challenge of addressing a growing backlog of unprocessed holdings. New measures are under development to quantify processing progress for all NARA archival holdings, not just Clinton records. This measure will be subsumed under the larger NARA-wide measure next year.

**3.7 NHPRC GRANTS**

**FY 2006 Objectives**

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

**Results**

- We delivered 88 percent of the results promised in all NHPRC-assisted projects grants approved by the Commission.

*Discussion* We met our target for successful completion of grant projects. This year we completed 89 projects, 78 of which produced the results promised in their grant applications. Roughly 40 percent of the projects were publications efforts, and approximately 60 percent were records projects.

From the work accomplished this year, nearly 29,000 cubic feet of records were reported by grantees to be preserved and made accessible, and 19 documentary editions were published. We continued posting NHPRC grant opportunities on the Government-wide *Grants.gov* web site and made grant application forms available on our *Archives.gov* web site. We simplified the process for our grantees by accepting alternate means, such as fax, for the transmission of interim reports and requests. We streamlined our grant guidelines and made our application packages available for online applications using the *Grants.gov* portal. In addition, we completed a business process engineering study and pursued several internal process improvements.

For a more comprehensive list of NHPRC-funded grants products, visit [www.archives.gov/nhprc/publications/](http://www.archives.gov/nhprc/publications/).

<b>Performance Data</b>	2001	2002	2003	2004	2005	2006
<i>Performance target for percent of NHPRC grant-funded projects produced results promised in grant applications</i>	84	84	85	86	87	88
Percent of NHPRC grant-funded projects that produced results promised in grant applications	91	79	86	88	85	88
Number of NHPRC-assisted projects completed	115	104	72	96	107	89
Number of NHPRC-assisted projects that produced the results promised	105	82	62	84	91	78
Number of traditional records preserved and	—	—	—	1,803	9,434	2,875

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**Performance and Accountability Report, FY 2006**

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<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
made accessible through our grants projects (in cubic feet)						
Number of documentary editions published through our grants project (in volumes)	–	–	–	14	6	19
Percent of NARA's grants announced on <i>Grants.gov</i>	--	–	–	100	100	100

*FY 2007 Performance Plan Evaluation* The Commission and its staff are committed to projects that will stretch the archival, documentary editing, and electronic records communities, encouraging them to take risks. While this will produce many more useful products, it increases the possibility of projects being rated unsuccessful in meeting their criteria.

**Strategic Goal 4: Space and Preservation**

*All records are preserved in an appropriate environment for use as long as needed.*

**Long-Range  
Performance Targets**

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

**FY 2006 Resources Available to Meet This Goal:** \$67,521,000; 157 FTE

4.1 ARCHIVAL HOLDINGS IN APPROPRIATE SPACE

**FY 2006 Objectives**

- Study alternatives for location of a new Southwest Regional Archives facility.
- Study alternatives for a location of a new Central Plains Regional Archives facility.
- Accept final design of Pacific Alaska Regional Archives and Records Center.
- Identify specific holdings within NARA to be transferred to the new National Personnel Records Center.
- Complete certification of existing Nixon Library building.
- Transfer Nixon artifact holdings from Laguna Niguel, CA and College Park, MD, to Nixon Library in Yorba Linda, CA
- Complete 50 percent of the design of the Roosevelt Library renovation.
- Complete design of Kennedy Library renovation and expansion.

**Results**

- ✓ We studied alternatives for location of a new Southwest Regional Archives facility.
- ✓ We studied alternatives for a location of a new Central Plains Regional Archives facility.
- ✓ We have completed 95 percent of the final design

specifications for the Pacific Alaska Regional Archives and Records Center.

- ✓ We identified specific holdings within NARA to be transferred to the new National Personnel Records Center.
- ✓ We completed the first of two phases in the renovation of the Nixon Library.
- ✓ We awarded the move contract for the transfer of Nixon Library materials and began to ship artifact holdings to Yorba Linda.
- ✓ We completed 35 percent of the design of the Roosevelt Library renovation.
- ✓ We have 75 percent of the design documents for the Kennedy Library renovation.

*Discussion* By the end of 2007, NARA must relocate from two General Services Administration (GSA) spaces that house our regional archives operation in Fort Worth, TX, and Kansas City, MO. GSA is terminating the leases on both substandard facilities, located in Federal warehouse depots. To meet archival storage standards and provide appropriate, secure public access to archival services, we plan to move most of the records to archival storage in a new Southwest Regional Records Center and subterranean storage operated by the Federal Records Center Program in the Kansas City area. We studied a variety of alternatives for location of a new Southwest Regional Archives facility in the Fort Worth area and a new Central Plains Regional Archives facility in the Kansas City area.

The final design is nearly complete for the new Pacific-Alaska Regional Archives and Records Center. This new facility will provide space for researchers and genealogists, as well as programs and training, and when complete will be compliant with our 2009 storage standards.

Current facilities of the National Personnel Records Center (NPRC), the largest NARA operation outside the Washington, DC, area with more than 4 million cubic feet of records, do not meet our storage standards for record center and archival records. While the location of a new facility has not yet been determined, we have developed a project plan to prepare the collection for an eventual move and identified all required actions to move the records from their current location to a new location. A new facility is part of the agency's facility replacement project to meet NARA's standards for archival and temporary storage.

As a result of legislation that allows for the creation of a federally-operated Richard Nixon Library, the Richard Nixon Library and Birthplace Foundation, with NARA's input, has undertaken a project to retrofit and expand the existing Nixon Library in Yorba Linda, CA. The first phase of the project involved retrofitting the basement of the Loker Center for museum collections storage, artifact processing, and a registrar's office. The second phase, expected to finish in early FY 2007, completes archival office areas, processing rooms, and the research room. We began moving Nixon materials from

storage in Laguna Niguel, CA, and College Park, MD, to the renovated Library in August. Certification of the existing Library and its acceptance into the Presidential Library system that NARA oversees is expected in early FY 2007, and design has begun for an addition to the library.

The renovation of the Roosevelt Library is 35 percent complete. A new exhibit designer has been selected and continued renovation design work must wait until the exhibit design is complete because of its central placement in the renovated building. The design for the Kennedy Library renovation and expansion fell behind schedule while soil testing was conducted at the site of the proposed expansion. Depending on the outcome of these tests, final design will proceed in FY 2007.

Our cost per cubic foot to store our archival holdings this year was \$6.42, roughly the same as last year's cost. As we work to lower our storage costs while bringing more facilities into compliance with our archival storage standards, we face a number of factors that work against that goal, including rising rent costs, higher utility rates, and the costs associated with maintaining security at our facilities. We are following a strategy of leasing storage facilities separate from our public use facilities. We can balance our costs by locating our public use facilities in areas where they reach the greatest number of possible users while leasing facilities designed for long-term storage in lower-cost areas.

<b>Performance Data</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
Percent of archival traditional holdings in appropriate space	–	52	53	57
Number of archival traditional holdings (in thousands of cubic feet)	3,025	3,100	3,167	3,299
Percent of artifact holdings in appropriate space	-	42	42	42
Number of artifact holdings (in thousands)	528	540	544	544
Number of electronic holdings in appropriate space	–	100	100	100
Electronic holdings (in billions of logical data records)	4.7	5.6	8.1	10.5
Cost of archival storage space per cubic feet of traditional holdings stored	–	\$6.11	\$6.48	\$6.42

*FY 2007 Performance Plan Evaluation* We expect to continue to stay within budget and schedule targets for our facility projects.

**4.2 NARA RECORDS CENTER HOLDINGS IN APPROPRIATE SPACE**

- FY 2006 Objectives**
- Complete move into new records center facility in Atlanta.
  - Complete move into new records center facility in Riverside, California.

- Results**
- ✓ We completed the move into the new records center facility in Atlanta.
  - ✓ We completed the move into the new records center facility in Riverside, California.

*Discussion* We are in the process of upgrading our records center facilities to meet 2009 regulatory storage standards or relocating to new facilities that are built to meet those standards. These standards are in place to ensure that Federal records are protected whether they are stored by NARA, another Federal agency, or the private sector. We

developed a facility repair plan to bring our records centers into compliance with regulatory storage standards. This plan included the facility assessments that have been done to certify that space meets required storage standards.

The construction of a new records center facility in Atlanta enabled us to consolidate the records and operations of three facilities in East Point, Birmingham, and Palmetto into one facility with storage space that meets the storage standards for temporary records. Records previously stored in a building constructed as office space in Laguna Niguel, CA, are now stored at the newly opened storage facility in Riverside, California. This building and the facility in Atlanta are the first to meet the environmental, fire protection, and security standards that we set for storage of temporary records. The cost efficiencies of these buildings make it possible for us to charge a very competitive market rate for the storage of Federal records.

<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
Percent of NARA records center buildings certified as complying with the October 2009 regulatory storage standards	–	–	–	0	9	9
Volume of records center holdings (cubic feet in millions)	22.6	23.1	23.2	24.1	24.6	25.1
Storage price per cubic foot for records center holdings	\$1.96	\$2.00	\$2.10	\$2.16	\$2.16	\$2.28

*FY 2007 Performance Plan Evaluation* We expect to continue to stay within budget and schedule targets for our facility projects. We will continue with certification of NARA records center buildings as we bring them into compliance with October 2009 regulatory storage standards.

**4.3 PRESERVATION OF AT-RISK HOLDINGS**

**FY 2006 Objectives**

- Appropriately treat or house 33 percent of NARA’s at-risk archival holdings to retard further deterioration.
- Inventory and rehouse an additional 30 percent of Official Military Personnel Files (OMPF).

**Results**

- ✓ We appropriately treated or housed 33 percent of NARA’s at-risk archival holdings to retard further deterioration.
- ✓ We inventoried and rehoused an additional 35 percent of OMPFs.

*Discussion:* To ensure that archival records are preserved for as long as possible, we regularly assess their preservation needs, provide storage conditions that retard deterioration, and treat, duplicate, or reformat records at high risk for deterioration.

During an internal review of our at-risk preservation metric, we discovered that process improvements were needed to track our progress in addressing the records of highest concern. To get a better picture of our overall preservation challenges, we need to also track those medium and low-risk records that are getting treatment. We developed new measures and targets this year to leverage where resources should be applied and how effectively we are meeting our goals. We exceeded our goal of treating 33 percent of the

at risk records by treating 40 percent of those records which were in danger of being lost forever.

At our National Personnel Records Center in St. Louis, the records of the service of our 20<sup>th</sup> century military veterans require immediate preservation attention. These records comprise more than 3 billion pages in 1.5 million cubic feet of space, and represent the records of more than 56 million service men and women since 1885. In a 2003 assessment of OMPF's in St. Louis, we learned that 85 percent of the OMPF's contain paper-based formats that deteriorate very quickly. In addition, we discovered that these files contained more than 30 other types of media or information formats, including metal dog tags, hair samples, blood strips, rifle targets, and plastic ID cards. The majority also have some type of damage, such as tears, embrittlement, burns, mold, and folding. As a result, reformatting these records to ensure their long-term preservation is a massive challenge. As we accession these important records into the National Archives as permanent records, we are treating them to preserve their life. The first 20,000 cubic feet of records were accessioned in 2004. To date, we have treated 41 percent of the collection, including the most fragile of these files, a collection of military service records that dates from 1885 and contains service records prior to World War II.

<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<i>Performance target for percent of cumulative backlog ever treated</i>	30	32	36	40	43	33
Percent of cumulative backlog ever treated	28	32	35	41	47	40
Start-of-year backlog volume of at-risk archival holdings (thousands of cubic feet)	197	174	189	181	165	287
Volume of at-risk archival holdings that received conservation treatment this year (thousands of cubic feet)	26	11	17	19	27	29
Cumulative volume of at-risk archival holdings in cold storage (thousands of cubic feet)	63	67	74	80	86	90
Percent of start-of-year remaining backlog treated this year	16	7	9	10	17	10
<i>Performance target for cumulative percent of OMPF's inventoried and rehoued.</i>	—	—	—	—	8	35
Cumulative percent of OMPF's inventoried and rehoued.	—	—	—	—	5	41

*FY 2007 Performance Plan Evaluation* Due to the volume and overall poor condition of the first accession of OMPF's, we will count the preservation of the OMPF's separately from the backlog of at-risk holdings waiting for treatment. As a result of significant increases in the cumulative backlog resulting from an assessment we conducted in FY 2006, we have adjusted our long range performance target and our annual targets to reflect these challenges.

### Strategic Goal 5: Infrastructure

*NARA strategically manages and aligns staff, technology, and processes to achieve our mission.*

**Long-Range**

**Performance Targets**

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

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

5.3. By 2007, NARA accepts 100 percent of the validated legal documents submitted electronically for publication in the *Federal Register*.

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

**FY 2006 Resources Available to Meet This Goal:** \$34,274,000; 123 FTE

5.1 RECRUITMENT AND DEVELOPMENT

**FY 2006 Objectives**

- Expand management trainee program to additional NARA records centers.
- Fill leadership positions in an average time of 70 days or less.
- Create a workforce planning process that enables managers to better plan recruiting for leadership and other positions.
- Maintain 95 percent of staff development plans linked to strategic outcomes.
- Maintain 95 percent of employee performance plans linked to strategic outcomes.

**Results**

- ✓ We expanded the management trainee program to four additional NARA records centers.
- ✓ We filled leadership positions in an average time of 42 days.
- ✓ We created workforce planning tools, enabling managers to improve recruiting.
- ✓ We linked 76 percent of staff development plans to strategic outcomes.

- ✓ We linked 93 percent of employee performance plans to strategic outcomes.

*Discussion:* To address the critical issue of retention of high-performing employees, succession planning, and the need for management training in our records center facilities, we developed a management intern program to train staff for management positions. This three-year program for selected interns provides them with training, increasingly complex assignments in a variety of record center positions, and a rotational assignment. We initially planned to offer this program in four regions. The available slots for the program were filled by the first two regions that participated, and the first of these interns will graduate from the program in 2007. As we assess the future of the program, we may offer it in more regions.

We filled leadership positions in an average time of 43 days, exceeding our goal of 70 days. Compared with 82 days to fill leadership positions in FY 2005, we have made substantial progress in keeping leadership positions filled. To assist staff in conducting interviews, we developed a pilot course on interviewer skills and techniques and posted the final training products on our web site. An Interviewer Skills Guide was designed to bring together, in a single document, the information managers and supervisors need to effectively engage in the interviewing process.

We fell just short of our goal this year, linking 93 percent of NARA employee performance plans directly to our Strategic Plan, but we were slightly ahead of last year. While we also fell short on linking staff development plans to the Strategic Plan, more than three-quarters of our staff chose to create these development plans that will enable them to learn new competencies and broaden their knowledge base. These opportunities are carried out through research or study time, cross-training, short details to other offices, training courses, and other creative approaches that support Strategic Plan strategies and tactics.

<b>Performance Data</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<i>Performance target for average time (in calendar days) to fill a leadership position.</i>	–	–	–	80	70
Average time (in calendar days) to fill a leadership position	–	–	90	82	43
<i>Performance target for percent of staff having performance plans that link to strategic outcomes</i>	95	95	95	95	95
Percent of staff having performance plans that link to strategic outcomes	80	93	91	92	93
Number of NARA staff having performance plans that link to strategic outcomes	2,497	2,884	2,826	2,843	2,882
<i>Performance target for percent of permanent staff having staff development plans that link to strategic outcomes</i>	50	95	95	95	95
Percent of permanent staff having staff development plans that link to strategic outcomes	1	91	52	78	76
Number of NARA staff having staff development plans that link to strategic outcomes	7	2,435	1,401	2,073	2,044
Number of NARA permanent staff	2,733	2,682	2,704	2,671	2,680

*FY 2007 Performance Plan Evaluation* We anticipate that we will meet our FY 2007 targets and expect to see continued progress toward our ability to move rapidly and effectively fill leadership positions in an average of 30 days.

5.2 EQUAL EMPLOYMENT OPPORTUNITY

**FY 2006 Objectives**

- ❑ Ensure the percentages of NARA employees in underrepresented groups match 90 percent of their respective availability levels in the Civilian Labor Force.
- ❑ Increase the percentage of underrepresented groups in pools of applicants from which to select candidates for positions in grades 13 and above over the percentage in FY 2005.

**Results**

- ✓ We employed people in underrepresented groups so that our percentages matched at least 80 percent of the national averages in three out of six underrepresented groups.
- ✓ 86 percent of our applicant pools for positions in grades 13 and above contained candidates from underrepresented groups.

*Discussion:* Our country's history is a common ground and national treasure for all our citizens. We recognize the need to represent every part of America in our workforce. To accomplish this, we build recruitment strategies based on how our microcosm compares to the nation's workforce. We provide equal opportunities in management by focusing on recruitment to increase the number of applicants from underrepresented groups represented in our applicant pools for positions in grades 13 and above. This year we missed our goal, with 86 percent of our applicant pools containing self-identified minorities. This year we changed how we measured applicants, only counting applicants who submitted complete applications.

Our goal was to reflect at least 90 percent of the diversity of those industry workforce populations that do the same kind of work that we do. We came very close to our target with by reflecting 88 percent of workforce diversity by women. We continue to exceed the industry standard for blacks at 299 percent, but we missed our targets this year for American Indian (51 percent), Asian (61 percent), and Hispanic (8 percent) groups. Our overall minority representation remained well above that in the industry, at 146 percent. In addition, we met our target for reflecting a workforce with targeted disabilities with self-reporting by 1.5 percent of our workforce.

<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<i>Performance target for percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups</i>	64	75	79	90	93	95
Percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups	74	78	89	92	94	86
Number of applicants for positions at grades GS-13 and above	–	1,779	1,177	1,783	1,725	562
Number of applicant pools for positions in grades GS-13 and above	53	101	85	143	153	71
Number of pools for positions in grades GS-13 and above that had self-identified applicants in underrepresented groups	39	79	76	132	144	61
Percent of Civilian Labor Force rate used to determine if underrepresented groups met employment target	50	60	65	70	80	90
Percent of employees who have received diversity training	27	52	72	66	62	57
Underrepresented groups of employees meeting target (checkmark indicates target met or exceeded)						
– Women	✓	✓	✓	✓	✓	
– Black	✓	✓	✓	✓	✓	✓
– Latino-Hispanic						
– Asian American/Pacific Islander	✓	✓	✓	✓		
– American Indian/Alaskan Native		✓	✓	✓		
– Targeted disability	✓	✓	✓	✓	✓	

*FY 2007 Performance Plan Evaluation* Further examination of our processes for announcing vacancies and hiring will help us determine where we are falling short in meeting our targets for certain underrepresented groups.

**5.3 FEDERAL REGISTER PRODUCTION**

**FY 2006 Objectives**

- Accept validated legal documents submitted electronically for publication in the *Federal Register* from all agencies.
- Manage 75 percent of all *Federal Register* documents electronically using eDOCS.

**Results**

- “We are eager to participate in eDOCs!”*

✓ Any agency registered may submit documents to the *Federal Register* electronically.
- “The e-CFR is the best governmental code access tool I have ever seen.”*

✓ By year-end, we managed 75 percent of all *Federal Register* documents electronically using eDOCS.
- ✓ More than 157 million retrievals of *Federal Register* documents were made in FY 2006.

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*Discussion:* We continued deployment of the *Electronic Editing and Publishing System* (eDOCS) into our daily *Federal Register* publication production operations in FY 2006. We now accept electronic documents from all Federal agencies. This year we received more than 31,000 documents and managed more than 18,000 documents electronically via eDOCS. By the end of the year we were routinely managing about 75 percent of these documents electronically.

<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<i>Performance target for percent of documents Federal Register manages electronically using eDOCS.</i>	–	–	–	–	50	75
Percent of documents <i>Federal Register</i> manages electronically using eDOCS (by year end)	–	–	–	15	22	75
Number of documents NARA manages electronically using eDOCS	–	–	–	3,032	7,066	18,316
Number of documents published in the <i>Federal Register</i>	32,036	33,055	32,066	32,417	32,420	31,185
Percent of documents submitted for publication electronically	–	–	–	9	13	10
Number of documents submitted for publication electronically	–	–	–	3,032	4,142	3,258
Number of public inspection documents available to the public electronically	–	–	–	3,032	9,173	21,179
Number of official <i>Federal Register</i> documents retrieved online (in millions)	163	150	160	208	174	317

*FY 2007 Performance Plan Evaluation* We plan to accept validated legal documents submitted electronically for publication in the *Federal Register* from all agencies and routinely manage at least 75 percent of all *Federal Register* documents electronically using eDOCs. These goals are linked to our ability to cross-certify agencies' Certificate Authorities using the Federal Bridge Certification Authority (FBCA). We will also continue to participate in the development of online rulemaking tools for agencies and the public, and interagency process integration, including partnership with the Government Printing Office (GPO).

5.4 INFORMATION TECHNOLOGY

**FY 2006 Objectives**

- Public network applications are available 98 percent of the time.
- Upgrade physical security of NARA's computer infrastructure at remaining NARA locations.

**Results**

- ✓ We ensured that public network applications were available 98 percent of the time.
- ✓ We rolled-out upgrades to physical security of NARA's computer infrastructure at all NARA locations.

*Discussion:* A great deal of our success rides on the performance of our technological resources. In an increasing digital world, our ability to communicate with our customers, provide our nation with access to digital records and research tools, and open “Internet doors” to archival records, all depend on the reliability and security of our IT systems. The growth in customers using our public network applications, nearly doubling in two years, points to the importance of having reliable, secure applications available when the customer wants to use them.

To that end, over the past year we completed a major upgrade of NARANET, our computer network, upgrading our operating system, replacing network servers, and upgrading our e-mail system. In addition, we upgraded server racks and updated procedures for securing them at our College Park facility. We also enforced procedures for securing racks at all NARA regional locations. In addition, we finished a multi-year upgrade of our telecommunications system across the country.

<b>Performance Data</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
Percent of public network availability	99.9	100	100	100	99.9	100
<i>Performance target for percent availability of public applications</i>	–	–	–	96.5	97.0	98.9
Percent of public network applications availability	–	–	–	98.7	98.9	98.9
Number of total hours that any public network application was unavailable	–	–	–	1,047	923	830
Number of network users for public applications (in millions)	–	–	–	4.4	6.6	8.7
Cost per network user for public applications	–	–	–	\$0.29	\$0.24	\$0.27

*FY 2007 Performance Plan Evaluation* We will continue to improve the physical security of our computer infrastructure. We will also expand our continuity of operations planning to more functions and sites in our agency.

## FY 2006 PROGRAM EVALUATIONS

### ***Strategic Goal 1: Records Management***

There were no program evaluations specific to this strategic goal in FY 2006.

### ***Strategic Goal 2: Electronic Records***

Government Accountability Office, GAO-06-906, *Electronic Records Archives: The National Archives and Records Administration's FY 2006 Expenditure Plan*, August 18, 2006.

The GAO objectives in reviewing the plan were to (1) determine whether the plan satisfies the conditions specified in the law, (2) determine the extent to which NARA has implemented prior recommendations, and (3) provide any other observations about the expenditure plan and the ERA acquisition. In summary, GAO found that NARA's expenditure plan fully satisfies three of six legislative conditions, and the agency has fully implemented three of five prior year recommendations and has partially implemented the remaining two.

### ***Strategic Goal 3: Access***

Information Security Oversight Office (ISOO), *National Archives and Records Administration Special On-site Review of the Mandatory Declassification Review Program*, March 29, 2006.

ISOO conducted an on-site review of the mandatory declassification review (MDR) program as part of an Executive branch-wide assessment with respect to the effectiveness of MDR provisions outlined in E.O. 12958, as amended, and its implementing directive, 32 CFR Part 2001. NARA's MDR program addresses essential elements of a successful program, but ISOO specified four improvements, all of which have been made.

Office of Inspector General, *OIG Management Letter 06-03, Security Over Holdings in Stack Areas*, October 21, 2005.

This letter was written to formally advise the Archivist regarding status of security over NARA holdings specific to, but not limited to the National Archives Building. The general conditions defined in this management letter were pertinent to other NARA locations as well. The OIG made two suggestions to improve security over holdings at the National Archives Building and the National Archives at College Park, one of which is still open.

Office of Inspector General, *OIG Report 06-04, Review of NARA's Internal Control Procedures for Loan Items*, December 20, 2005.

The objective of this audit was to determine if loans were made in accordance with procedures established in NARA 1701 and 1702 and were protected from loss. The report made five recommendations, three of which are still open.

### **Strategic Goal 4: Space and Preservation**

Office of Administrative Services, *Physical Security and Life Safety Review*, July 2006.

The office conducted a review of the Pacific Regional Archives (Laguna Niguel, CA). One recommendation was made and remains open.

### **Strategic Goal 5: Infrastructure**

Government Accountability Office, GAO 440485, *Law Enforcement Function Review*, March 13, 2006.

The GAO Homeland Security and Justice Team is collecting data from more than 85 Federal agencies, including NARA. Data collected on the law enforcement function (in OIG) was: (1) job series of law enforcement officers, (2) authority for exercising law enforcement functions, and (3) training requirements for NARA law enforcement officers. Work on this engagement began in April 2006. NARA has responded to the two survey components sent to date. A third component is expected in FY 2007.

Office of Inspector General, OIG Report 06-01, *Audit of NARA's Network Perimeter*, December 15, 2005.

This audit of NARA's network perimeter was to determine whether the controls surrounding the boundary of NARA's network (NARANet) provide reasonable protection from external intruders. It contained seven new recommendations and an eighth recommendation that combined remaining open items from an FY 2004 program review and FY 2002 OIG audit report. Three of these recommendations remain open.

Office of Inspector General, OIG Report 06-09, *Review of NARA's Information Security Program*, August 9, 2006.

The overall objective of this review was to determine if NARA is making satisfactory progress establishing an information security program that includes appropriate controls required by Federal legislation. The report contained 12 recommendations.

Office of Inspector General, OIG Report 06-02, *Review of Modifications Made to the Performance-Based Task Order for Information Technology Support Services*, October 12, 2005.

This audit was undertaken to assess the appropriateness of modifications made to the contract task order awarded by NARA officials to acquire information technology support services. The report contained four recommendations, all are closed.

Office of Inspector General, OIG Management Letter 06-05, *Flawed Contract Performance Work Statement Could Have Adverse Impact on NARA's Budgetary Resources*, October 26, 2005.

The OIG recommended action to correct a task order statement of work. All actions have been taken.

Office of Inspector General, OIG Report 06-11, *Audit of NARA's System Administrator Rights and Controls*, July 11, 2006.

The objective of this audit was to determine whether NARA had instituted the appropriate controls, oversight, policies and procedures over system administrator accounts to ensure that NARA systems and information are properly secured. The report contained nine recommendations.

Office of Inspector General, OIG Report 06-14, *OIG Monitoring of the Novell Netware/GroupWise Upgrade Project*, June 20, 2006.

This advisory report was issued to advise the Archivist of the status of the Novell Netware/Group Wise Upgrade Project. As of June 13, 2006, it was the OIG's opinion that the project was progressing in a satisfactory manner. Also, as of that date, the OIG noted three unresolved issues that were being addressed by project personnel. There were no recommendations associated with this advisory report.

Office of Inspector General, OIG Report 06-15, *OIG Monitoring of the Novell Netware/GroupWise Upgrade Project*, September 11, 2006.

This is the second advisory report issued to advise the Archivist of the status of the Novell Netware/Group Wise Upgrade Project. It is the OIG's opinion that since their first report issued on June 20, the project has continued to progress in a satisfactory manner. The OIG notes that the project has encountered no major technical problems and may be completed ahead of the scheduled date of October 31, 2006. There are no recommendations associated with this advisory report.

### **Multi-Goal Evaluations**

Office of Inspector General, OIG Report 06-06, *Clifton-Gunderson LLP (CG) Audit of the National Archives and Records Administration FY 2005 Financial Statements*, December 9, 2005.

The Inspector General contracted with Clifton Gunderson (CG) to review financial statements as well as internal controls and operations. CG made 25 recommendations, for which complete documentation has been provided to the auditors for 15 recommendations, and partial documentation provided for an additional six recommendations.

Office of Inspector General, OIG Report 06-07, *Evaluation of Management Control Program for FY 2005*, December 21, 2005.

The Inspector General reviewed NARA's FY 2005 Management Control Program. No recommendations were made.

Office of the Inspector General, OIG Report 06-10, *Evaluation of NARA's Affiliated Archives Program*, August 9, 2006.

The overall objective of this project was to determine whether the Affiliated Archives Program was meeting its intended goal and function. The report contained six recommendations.

Office of Presidential Libraries, *Program Review*, November 28-30, 2005.

The office conducted a program review at the John F. Kennedy Library in Boston, MA. Of the eleven recommendations made, two remain open.

Office of Presidential Libraries, *Program Review*, April 4-5, 2006.

The office conducted a program review at the Ronald Reagan Library in Simi Valley, CA. The final report was issued in September 2006. There were 23 recommendations in this review, all of which remain open.

Office of Regional Records Services, *Program Review*, January 2006.

The office conducted a program evaluation of the Pacific Region the weeks of January 16 (Laguna Niguel, CA, and Riverside, CA) and January 23 (San Bruno, CA). There were five findings in these reviews, two of which remain open.

Office of Regional Records Services, *Program Review*, May 2006.

The office conducted a program evaluation of the Southeast Region. The one finding in this review remains open.

## Status of NARA Records Management Initiatives

In FY 2006, we made substantial progress in further implementing the strategies documented in NARA's FY 2003 issuance of *Strategic Directions for Federal Records Management*. The following table provides a brief description of the strategies and specific examples of how these strategies have benefited Federal agencies in the past fiscal year.

<p><b>Specific Strategy: Appraisal</b></p>	<p><b>Description:</b> The policy documents the strategic framework, objectives, and guidelines used to determine archival value. The policy provides general appraisal guidelines as well as guidelines for specific categories of records including personal data records, observational data from the physical sciences, and environmental health and safety records.</p>
<p><b>FY 2006 Benefits to Agencies:</b> We issued revisions to the Appraisal policy to define and address records with intrinsic value. We also updated the appendixes to include special considerations for R&amp;D records to provide more detail to the criteria for Environmental Health and Safety records.</p>	
<p><b>Specific Strategy: Custody</b></p>	<p><b>Description:</b> The policy addresses the authority and responsibility of the Archivist for physical and legal custody of permanent Federal records.</p>
<p><b>FY 2006 Benefits to Agencies:</b> We continued to pursue affiliated relationships with a focus on major Federal scientific agencies that collect, maintain, and disseminate scientific and technical information (STI) documenting Federal research and development projects. These collaborative relationships allow NARA and agencies to preserve, manage, and provide access to digital data collections with long-term retention periods.</p> <p>We continued to work closely with the National Technical Information Service (NTIS) to assist with the preservation of their microfiche and microfilm STI collections.</p>	
<p><b>Specific Strategy: Advocacy</b></p>	<p><b>Description:</b> We are actively engaging senior Federal agency officials in discussions and meetings on the importance of records management in the Federal government.</p>
<p><b>FY 2006 Benefits to Agencies:</b> We advocated records management from the highest level of the organization to Federal agency executives and senior leaders. The Archivist and the CIO Council hosted an agency forum to stress the importance of embedding records management into agency processes. This collaborative effort with speakers from OMB, FBI, and NARA highlighted efforts such as the FEA Records Management Profile and other e-records initiatives developed to improve the efficiency and productivity of agency business processes.</p> <p>Senior agency representatives throughout NARA organizations led or participated in more than 120 meetings, discussions, presentations, and conferences in FY 2006 to advocate and inform agency senior officials about the importance of records management at all levels of an organization.</p>	
<p><b>Specific Strategy: Training and Certification</b></p>	<p><b>Description:</b> NARA has developed a national training program in Federal records management. The program broadens our venue for offering training and offers a certificate of training in Federal records management to recognize participants' achievements in understanding core records management knowledge areas.</p>
<p><b>FY 2006 Benefits to Agencies:</b> We developed and offered nationwide, for the first time, new standard curricula for IT professionals, Program Managers, General Counsels, and Records Managers. More than 1,900 government personnel completed our online training course "Records Management for Everyone" hosted on OPM's GoLearn.gov website. More than 160 agency personnel received the Certificate of Federal Records Management training. The certificates were issued to personnel who have successfully completed training and tests in five core knowledge areas of Federal records management training.</p>	

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We procured and configured a learning management system (LMS). The LMS provides a convenient, seamless approach for agencies to register for training, participate in training and take certification tests. It facilitates our delivery of Virtual Instructor-led training to a widely distributed audience across the country.

**Specific Strategy: Federal Records Center Program and Electronic Records Services**

**Description:** The Electronic Records Services team is establishing scanning and electronic media storage services for agency customers.

**FY 2006 Benefits to Agencies:** We continued to progress with e-media storage and scanning services as viable, cost-effective options for Federal agencies. Our Federal Records Center Program (FRCP) actively piloted an e-Media storage program in Kansas City and moved forward with plans for similar storage capabilities at other sites. In the Rocky Mountain Region, we developed plans to provide electronic media storage and services with adjacent space available to customers to use as alternate COOP sites. Scanning projects, both for large-scale production and on-demand jobs, were also underway or operational in Fort Worth and St. Louis.

**Specific Strategy: Flexible Scheduling**

**Description:** A proposed approach to scheduling piloted among five agencies. This approach allows agencies to schedule temporary records in schedules at any level of aggregation that meets their business needs.

**FY 2006 Benefits to Agencies:** We developed flexible schedules and completed appraisal reports and the review processes for the mission and policy functions of the Congressional Research Service. We achieved similar progress with the administration and dissemination functions of the U.S. Patent and Trademark Office.

Agency customers indicated that (continued) use of the “big bucket” approach within the concept of the flexible schedule, although time-consuming due to the requirement for extensive analysis, is beneficial for the proper management of agency records. It is especially useful as part of implementing electronic recordkeeping systems and in aligning work processes and records management with the FEA Business Reference Model.

We continued to assist GAO, HUD, the Department of Education, and other agencies in the development of flexible schedules.

**Specific Strategy: General Records Schedules**

**Description:** The General Records Schedules (GRS) efforts are designed to identify and develop additional GRS's for records that are common across Federal agencies.

**FY 2006 Benefits to Agencies:** We continued to develop and update our GRS's to ensure comprehensive coverage of records common to many agencies. We incorporated a major revision to GRS 10 (Motor Vehicles) pertaining to the management of records related to ownership, operation and maintenance of Government aircraft. The GRS will be issued in FY 2007. We vetted a draft GRS for the records of Chief Financial Officers among the CFO Council and Federal agency Records Managers. We also continued to develop major revisions to GRS 1 (Personnel) relating to Employee Assistance Programs, Flexiplace, and Flexitime activities.

**Specific Strategy: Guidance and Regulations**

**Description:** We are continuing efforts at NARA to align our guidance and regulations with changes resulting from the redesign of Federal records management.

**FY 2006 Benefits to Agencies:** We revised the regulatory framework for Federal records management and began rewriting the regulations in 36 CFR 12, subchapter B. The revision reorganizes the existing regulations and incorporates new standards resulting from changes in our recordkeeping environment and the strategies and initiatives NARA has undertaken in our redesign of Federal records management. Due to other priority ERA and records management initiatives that required diverting staff resources from this project, we did not make as much progress as anticipated in FY 2006. We issued several significant guidance products for agencies in that align to our strategic directions, including the Records Management Profile of the Federal Enterprise Architecture, the remaining enterprise-wide ERM guidance products for implementing ERM, the Toolkit for Managing Electronic Records, and NARA's policies implementing section 207(e) of the E-Government Act.

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<b>Specific Strategy: Inspections and Studies</b>	<b>Description:</b> Inspections are reviews of agency recordkeeping practices that focus on serious management problems. Studies are reviews of records management practices in the Federal government.
<b>FY 2006 Benefits to Agencies:</b> We completed two studies in FY 2006. We funded a study by the University of Maryland on recordkeeping practices in twenty-one Federal agencies and three non-Federal organizations. We also conducted a study of the Department of Energy (DOE) disposition schedule for research and development (R&D) records maintained by DOE national laboratories.	

<b>Specific Strategy: Resource Allocation (Focusing Resources)</b>	<b>Description:</b> The resource allocation methodology provides a way for NARA to best use its scarce resources to provide assistance to agencies with records that are at high risk of inappropriate disposition, records with high permanent value, and records that are rated high to protect rights of citizens and accountability of the Federal government. The benefit of the resource allocation methodology is that NARA is able to concentrate its records management assistance and other resources in high priority, high visibility Federal programs or sub-functions that are of concern to NARA's public customers.
<b>FY 2006 Benefits to Agencies:</b> We continued to pursue the e-records initiative, using Resource Allocation methods and ratings established in 2004 to appraise and schedule important mission critical information systems in high priority agencies. National teams were created to identify, schedule and appraise, and acquire these permanent records.	

<b>Specific Strategy: Targeted Assistance</b>	<b>Description:</b> We have established partnerships with other agencies to solve specific records management problems.
<b>FY 2006 Benefits to Agencies:</b> We continued to partner with Federal agencies to resolve clearly defined records management challenges. In FY 2006, projects often focused on electronic information systems and the challenges of maintaining and protecting information over time. The projects frequently required that we develop and deliver agency-specific leader-led or computer-based records management training to agencies.	

<b>Specific Strategy: Reporting</b>	<b>Description:</b> We will report to Congress and OMB regarding problems and recommended practices discovered as part of targeted assistance projects or inspections and studies that we conduct.
<b>FY 2006 Benefits to Agencies:</b> We surveyed Federal Records Officers to determine how to improve our records scheduling and appraisal services. In addition, we surveyed Chief Information Officers to gauge the impact of NARA's advocacy efforts. We will use the information collected to develop ways to improve scheduling and communication with our customers.	

## Federal Records Management Evaluations

Under 44 U.S.C. 2904(c)(8), the Archivist of the United States is required to report to Congress and OMB annually on the results of records management activities. NARA fulfills this requirement through the Performance and Accountability Report. Through this report, we also highlight the progress of individual agencies in managing and preserving the documentation necessary to protect the legal and financial rights of the Government and citizens.

In FY 2005, we began to use our Resource Allocation methodology and the OMB Business Reference Model (BRM) to target our assistance to Federal agencies. We performed an analysis of business processes, sub-functions, and agency activities across the Government, based on the OMB BRM, to identify those that are the most significant to protect legal rights, document government accountability, and preserve records that document the national experience.

In FY 2006 we used this analysis to target 124 critical electronic records systems in 31 Federal agencies. The goal of the effort was to describe and appraise the records in these systems to ensure they were adequately maintained to meet agency business needs, protect the legal and financial rights of the Government and its citizens, and preserve those of permanent value. The agencies that owned these systems were generally very supportive, and through agency/NARA partnerships, 163 electronic records systems in 18 agencies were appraised and scheduled, more than 30 percent over our target.

NARA commends these agencies for making significant progress in managing their critical electronic records systems:

Department of Agriculture, Agricultural Marketing Service  
Department of Agriculture, Food Safety and Information Service  
Department of Commerce, U.S. Patent and Trademark Office  
Central Intelligence Agency  
Department of Defense, Defense Threat Reduction Agency  
Department of Defense, Department of the Air Force  
Department of Defense, Department of the Army  
Department of Homeland Security, Customs and Border Protection  
Department of Homeland Security, Transportation Security Administration, Federal Air Marshal Service  
Department of Homeland Security, U.S. Citizenship and Immigration Service  
Department of Homeland Security, U.S. Secret Service  
Department of Health and Human Services, Food and Drug Administration  
Department of Housing and Urban Development  
Department of Justice, Alcohol, Tobacco, Firearms and Explosives  
Department of Justice, Drug Enforcement Agency  
Department of Justice, Federal Bureau of Investigation  
Department of Justice, Office of Justice Programs  
Department of State

We also recognize the following Federal agencies for transferring critical electronic records to the legal custody of the National Archives for permanent preservation:

Department of Commerce, U.S. Patent and Trademark Office  
Department of Defense, Defense Intelligence Agency  
Department of Homeland Security, Customs and Border Protection  
Department of Justice, Civil Division and Civil Rights Division  
Department of Justice, Alcohol, Tobacco, Firearms and Explosives  
National Aeronautics and Space Administration

In addition, we are reporting on several Federal programs that have shown significant progress in preserving and assuring timely maximum access to the American people of our governmental records:

***NOAA, National Marine Fisheries Service, Southeast Regional Office (SERO)***

SERO developed and implemented a scanning project and an electronic recordkeeping system that provides enhanced risk management, efficiencies in handling FOIA and litigation responses, and integration of records management with agency business processes.

***TRICARE Management Activity (TMA) Records Management Program, Aurora, Colorado***

TMA is the Military Health System's health care program for active duty military, active duty service families, retirees and their families, survivors, and other beneficiaries. TMA has done an exemplary job of communicating good records management practices through its guidance and continuous training of TMA managers, custodians, and contractor records managers who generate and control TMA records. Training has included email, Privacy Act and Health Insurance Portability and Accountability Act (HIPAA) recordkeeping issues. TMA also conducts regular site visits and evaluations of its nationwide records management program resulting in model records programs in the field.

***Department of the Interior, Office of the Special Trustee for American Indians- Office of Trust Records (DOI OST)***

DOI OST demonstrated a strong commitment to improving their records management program by committing to train all of their records management staff to earn the NARA Certificate of Federal Records Management Training. The Department of Interior addressed records management improvement on several levels and fronts that include 1) training, 2) establishing a special Office of Trust Records, 3) submitting records schedules (10 in FY 2006) to NARA to receive disposition authorization for the permanent retention of records pertaining to Indian Fiduciary Trust, 4) establishment of the American Indian Records Repository, and 5) a degree emphasis in records management and archives in the American Indian Studies program at Haskell Indian Nations University.

***Small Business Administration (SBA)***

SBA made significant progress in managing its critical electronic records systems by identifying, describing and obtaining NARA approval for six electronic records schedules covering 289 items including the Loan Accounting System.

### ***Department of Housing and Urban Development (HUD)***

HUD has broken new ground in aligning its records scheduling activities with IT capital planning activities using the Federal Enterprise Architecture as a model for scheduling certain records.

### ***Social Security Administration (SSA)***

SSA moved from a fully paper-based claims process to an electronic process while maintaining the integrity of the claims file record. Electronic claim processing for Title II Retirement, Survivors and Disability claims, Title XVI Supplemental Security Income for the Aged, Blind and Disabled claims and Title XVIII Medicare claims is a significant SSA program milestone.

### ***Department of Transportation Research and Innovative Technology Administration (RITA)***

RITA began preparation for a move to a new building with a major records management initiative. RITA began comprehensively scheduling their records, completing more than 40 schedules. RITA was able to dispose of more than 500 cubic feet of records eligible for destruction. They also transferred more than 200 boxes to the Washington National Records Center.

### ***Defense Threat Reduction Agency (DTRA)***

DTRA consolidated approximately 1,400 people, and their records, from multiple locations into their new Defense Threat Reduction Center. Through a partnership with the Security and Counterintelligence Directorate and CIO staff the records program developed posters, brochures, and videotapes, as well as classroom and online training, to get the word out and to make training readily available. DTRA records management was able to successfully move the 1,400 people, plus 600,000 pages of records and make an additional 700,000 pages readily available as scanned images.

### ***Transportation Security Administration (TSA)***

TSA was established by Congress on November 19, 2001, in the aftermath of the September 11<sup>th</sup> attacks. Confronting the overwhelming documentation created by the new high-profile agency and its need to hire a completely new security-related workforce, TSA put together the fundamental elements of a successful records management program. The agency developed records schedules, which NARA approved, and issued a formal records disposition manual. Additionally, TSA issued policy, directives and guidance relating to records management, forms, reports and directives management, file classification, vital records, electronic records, treatment of records containing SSI, and personal papers.

### ***Federal Aviation Administration (FAA)***

FAA recognized the critical need to collect and preserve all of the agency's records relating to the events of September 11, 2001. The FAA established a strict process to ensure that they collected all of the records from a large number of facilities over a wide geographic area. They created digital copies of all the original records and created indices down to the individual item level to ensure enhanced access. FAA requested and received an approved schedule for these records in 2005. They were appraised as permanent. A significant portion of the original records have already been transferred to the National Archives as a pre-accession.

***Department of Defense, Office of the Secretary of Defense (DOD OSD)***

DOD OSD transferred electronic copies of the records of the Coalitional Provisional Authority-Iraq to NARA for "pre-accessioning." These records will remain under the legal control of the DOD but will be archivally processed and preserved so that they will be accessible when accessioned into the permanent custody of the Archives in 25 years.

***U.S. Patent and Trademark Office (PTO)***

PTO transferred an electronic copy of the Automated Patent Search system to NARA for "pre-accessioning." This file contains records for 25,220,394 patents from July 1790 to August 2006. PTO retains access control and will continue to offer these patents to the public in a fee-product. The records are eligible for transfer to NARA's legal custody in September 2010.

We also want to recognize the **Environmental Protection Agency**, the **Government Accountability Office**, the **National Aeronautics and Space Administration**, and the **U.S. Patent and Trademark Office** for pioneering with NARA on new, more flexible ways to schedule records.

## Performance Assessment Rating Tool Summary

### *Records Services Program*

As part of the FY 2005 budget formulation, OMB evaluated NARA's records services program using the Program Assessment Rating Tool (PART). PART was established to provide a process for rating the performance of programs across the Federal Government. The chart below summarizes OMB's findings, NARA's responses, and the status of our progress in implementing the recommendations as well as FY 2006 results for PART measures.

OMB Recommendation	NARA's Response to OMB's Finding		Status of Progress
1. Develop targets for newly created unit-cost measures.	NARA developed a standard methodology for collecting unit cost measures in FY 2004. Data was collected for the first time for many new cost measures in FY 2004 and FY 2005. Targets will be set where appropriate after-measurement methodologies are established and tested.		NARA included 13 new cost metrics in the FY 2004 performance plan and developed a methodology for collecting the data for the first time in FY 2004. These data are reported in the Performance section of this report. We are monitoring trends to determine where targets are appropriate.
2. Produce audited financial statements.			Completed.
Selected PART Measures	Year	Target	Actual
Annual cost of archival storage space per cubic feet of traditional holdings	2006	No annual target	\$6.42
By 2005, 95 percent of requests for military service separation records are answered within 10 working days	2006	95%	91%
By 2009, 100 percent of NARA's archival holdings are in appropriate space	2006	No annual target	57% traditional holdings, 100% electronic holdings, 42% artifact holdings
By 2009, 100 percent of NARA records centers comply with the October 2009 regulatory storage standards	2006	No annual target	9%

***Electronic Records Services Program***

As part of the FY 2006 budget formulation, OMB evaluated NARA's electronic records services program using the PART. The chart below summarizes OMB's findings, NARA's responses, and the status of our progress in implementing the recommendations, as well as FY 2006 results for PART measures.

<b>OMB Recommendation</b>	<b>NARA's Response to OMB's Finding</b>		<b>Status of Progress</b>
1. Work on resolving the basis for its material weakness in IT security.	We plan to complete all actions to resolve this material weakness during FY 2005.		This material weakness was resolved during FY 2005.
2. Implement and utilize earned value management for acquisition of the Electronic Records Archives.	We plan to fully implement earned value management for ERA in FY 2004.		EVM is used in day-to-day management of the ERA program. The development contractor also is held to EVM standards and reports to NARA on a monthly basis.
3. Refine its records management policies and strategies and engage with Federal agencies to continue methods of improving records management across the Federal Government.	We plan to continue implementing the strategies identified in Strategic Directions for Federal Records Management to guide, advocate, and lead the improvement of records management methods across the Federal Government.		See progress made in FY 2006 on page 88 of this report.
<b>Selected PART Measures</b>	<b>Year</b>	<b>Target</b>	<b>Actual</b>
Percentage of archival electronic records accessioned by NARA at the scheduled time.	2006	40%	TBD
The per megabyte cost of managing archival electronic records through the Electronic Records Archives will decrease each year	2006	Target pending development of ERA	N/A
Milestone measures for development of the Electronic Records Archives in 2006 included completing Preliminary Design Review for Increment 1, Release 1 of the ERA system and complete Critical Design Review for Increment 1, Release 1 of the ERA system.	2006	Annual measures	In FY 2006 we completed application-related software specifications for ERA's Ingestion, Dissemination, Preservation, and Records Management functions. We also designed business processes and business objects that contributed to the completion of the Critical Design Review (CDR) for the first Increment of ERA.

## Definitions

The following provides definitions for many of the terms and concepts used in this Performance section.

<b>Goal 1</b>	<b>Records Management</b>
Targeted assistance partnership	Established with an underlying written agreement between NARA and a Federal agency to identify and agree upon a specific project or projects to solve the agency's records management problems. The agreement must take the form of a project plan, memorandum of understanding (MOU), or similar written documentation that performs the same function as a project plan. The agreement has mutually agreed-upon criteria for successful completion of the targeted assistance project or projects. An agreement can include several projects, each with its own success criteria.
Asset and risk management	Determining the value of information as a business asset in terms of its primary and secondary uses in the business process; identifying potential risks to the availability and usefulness of the information; estimating the likelihood of such risks occurring; evaluating the consequences if the risk occurs; and managing the information based on that analysis.
Records management service (RMS)	An application or system software that incorporates interfaces for interacting with other programs and is shared with all Federal agencies for use in their enterprise architectures. The RMS will provide the ability to embed records management functionality in the IT structure of the enterprise.
Records schedule	A document, having legally binding authority when approved by NARA, that provides mandatory instructions (i.e., disposition authority) for what to do with records no longer needed for current business.
Schedule item	Records subject to a specific disposition authority that appear on a records schedule.
<b>Goal 2</b>	<b>Electronic Records</b>
Accession	Archival materials whose legal custody is transferred to NARA.
File units	Data files of electronic records, most often in the form of a database.
Logical data record	A set of data processed as a unit by a computer system or application independently of its physical environment. Examples: a word processing document; a spreadsheet; an e-mail message; each row in each table of a relational database or each row in an independent logical file database.
Preserved	Electronic file preservation requires that (1) the physical file containing one or more logical data records has been identified and its location, format, and internal structure(s) specified; (2) logical data records within the file are physically readable and retrievable; (3) the media, the physical files written on them, and the logical data records they contain are managed to ensure continuing accessibility; and (4) an audit trail is maintained to document record integrity.
Online visits	One instance in which a person uses our web site is counted as one "visit." It is a count of the number of times our web site is accessed and is similar to counting the number of people who walk through our front

door. In contrast, it does not count “hits,” which refer to the number of files used to show the user a web page. A session in which a user accessed a web page comprising 35 files would count as one visit and 35 hits. Counting visits is a more accurate way of showing use of our web site.

Megabyte	A measure of computer data storage capacity. A megabyte is 2 to the 20th power, or approximately a million bytes.
Gigabyte	A measure of computer data storage capacity. A gigabyte is 2 to the 30th power, or approximately a billion bytes (that is, thousand megabytes).
Terabyte	A measure of computer data storage capacity. A terabyte is 2 to the 40th power, or approximately a trillion bytes (that is, a thousand gigabytes).

<b>Goal 3</b>	<b>Access</b>
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ARC	Archival Research Catalog, NARA-wide online catalog.
User hits	The number of files used to show the user a web page. This is not the preferred method for measuring web usage. Counting online visits is more accurate and became available for ARC in 2004.
Traditional holdings	Books, papers, maps, photographs, motion pictures, sound and video recordings, and other documentary material that are not stored on electronic media.
Artifact holdings	Three-dimensional objects made, modified, or used by humans.
Electronic holdings	Records on electronic storage media.
Inventory	A listing of the volume, scope, and complexity of an organization’s records.
Written requests	Requests for services that arrive in the form of letters, faxes, e-mail messages, and telephone calls that have been transcribed. Excludes Freedom of Information Act requests, personnel information requests at the National Personnel Records Center, Federal agency requests for information, fulfillment of requests for copies of records, requests for museum shop products, subpoenas, and special access requests.
Federal agency reference request	A request by a Federal agency to a records center for the retrieval of agency records. Excludes personnel information requests at the National Personnel Records Center.
Classified document review	A review by the Information Security Oversight Office (ISOO) of an Executive branch agency to identify inconsistencies in the application of classification and marking requirements of Executive Order 12958, as amended. The results of the review along with any appropriate recommendations for improvement are reported to the agency head or agency senior official for the program.
Program review	An evaluation of selected aspects of an executive branch agency’s security classification program to determine whether an agency has met the requirements of Executive Order 12958, as amended. The review may include security education and training, self-inspections, declassification, safeguarding, and classification activity. The results of a review, along with any appropriate recommendations for improvement, are reported



