

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

# **Preserving the Past to Protect the Future**

Summary

2009 Performance and Accountability Report



## A Message from the Archivist of the United States



The National Archives and Records Administration (NARA) marked its 75<sup>th</sup> anniversary this past year. It was June 19, 1934, when President Franklin D. Roosevelt signed the long-awaited legislation creating the Archives. We've come a long way since then – we now hold billions of records both in traditional and electronic formats, have 44 locations across the country, and many of our resources are increasingly available online.

We are very proud of our history as our nation's record keeper, and the work we have done for the past 75 years to preserve and provide access to the records of our Government – from the Declaration of Independence, to the census records enumerating the individuals that make up our nation, to the service records of the men and women who serve in our military, to documentation on homeland security issues that will make our country safer. But this report is not about the past. It is about the progress we've made this past year toward meeting the vision we have for our future.

I am pleased to present the National Archives and Records Administration's Performance and Accountability Report for FY 2009. Thanks to support from our stakeholders and partners and the efforts of our exceptional staff, we made progress on each of the goals of our Strategic Plan and our three material weaknesses. Our Strategic Plan, which we reassessed and updated this year, directs us to attend to six goals – demonstrating leadership in managing the nation's records, preserving and processing records to ensure access, meeting electronic records challenges, expanding opportunities for access, increasing civic literacy, and equipping NARA to meet the needs of our customers. Our progress in these areas is detailed throughout this report.

I encourage you to read the report to discover the strides we have made in launching the initial operating capability of the Electronic Records Archives (ERA). ERA lays a foundation for NARA and all other Federal agencies to perform records management business transactions online to improve the way government records are organized, stored, and retrieved. Besides the direct benefit to government, these capabilities will make it easier for citizens to discover what records the government has and to access electronic archival holdings. This year we took the records of the George W. Bush Administration into the National Archives, ensuring an efficient transition of these records to a new Presidential Library. Of the 77 Terabytes of data that were identified and transferred to us as unclassified electronic records of the Executive Office of the President, we completed loading 72.3 TB into ERA by early October. The remaining 4.7 TB represent Federal records from the Federal components of the EOP that will be loaded in the base ERA system.

We have also made strides in ensuring that our resources are well managed with the proper oversight. I am able to provide a qualified statement of assurance that, with the exception of three material weaknesses – holdings protection, IT security, and inventory control over artifacts in the Presidential Libraries, NARA's internal controls are achieving their intended objectives. Our objectives are aligned with those specified by OMB Circular A-123 to ensure that programs achieve their intended results; resources are used consistent with NARA's mission; programs and resources are protected from waste, fraud, and mismanagement; laws and regulations are followed; and reliable and timely

information is obtained, maintained, reported, and used for decision making. This assessment is based on results of audits and evaluations conducted by the Government Accountability Office (GAO), NARA's Office of Inspector General (OIG), management control evaluations, and other written evaluations conducted in the 12 NARA offices and staff organizations. It is also based on senior management's knowledge of the daily operations of NARA programs and systems. Finally, I have also relied upon the advice of the OIG concerning this statement of assurance.

To address our material weaknesses, NARA staff created and will implement individual action plans. This year I established the NARA Holdings Protection Program. Results of its risk assessment will help inform us how to proceed in five areas: policy and procedures; training; security for storage areas; internal controls; and theft prevention and response. Our action plan for IT security is focused on IT implementation of personally identifiable information (PII) protections. Two important areas include encryption of laptops and security procedures to transport backup tapes. Inventory plans and controls are the main focus in the action plan for inventory control over artifacts in our Presidential Libraries. Additional details on these action plans, as well as progress made during FY 2009, are found in our FMFIA report in the appendix.

This past year we celebrated more than simply the fact that the National Archives has existed for 75 years. We celebrated our role in our nation's democracy — a role built on ensuring that the citizens of our country are free to inspect, use, and learn from the records of the Government. Since 1934, thousands of NARA staff members in Washington, DC, and in Presidential Libraries, regional archives, and records centers across the country have worked to keep the holdings that document our history, our rights, and our entitlements safe and accessible for future generations.



Adrienne C. Thomas  
Acting Archivist of the United States

November 16, 2009

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## MANAGEMENT'S DISCUSSION AND ANALYSIS

### Introduction

This Performance and Accountability Report represents the culmination of the National Archives and Records Administration's (NARA) program and financial management processes, which began with strategic and program planning, continued through the formulation and justification of NARA's budget to the President and Congress and through budget execution, and ended with this report on our program performance and use of the resources entrusted to us. This report was prepared pursuant to the requirements of the Chief Financial Officers Act, as amended by the Reports Consolidation Act of 2000 and mandated by the Accountability of Tax Dollars Act of 2002, and covers activities from October 1, 2008, through September 30, 2009.



*The prehistoric Baluchiterium was the largest land mammal. This life-size cutout, taken from a drawing made for the National Zoo, was a fitting welcome to NARA's "BIG!" exhibit. The exhibit featured big records, big events, and big ideas. (Photo by Earl McDonald)*

### How to Use This Summary Report

This summary report provides an overview of NARA's performance measures, results, and accountability processes for FY 2009. In assessing our progress, we are comparing actual results against targets and goals set in our annual performance plan, which we developed to help us carry out our Strategic Plan. Our complete set of strategic planning and performance reports is available on our web site at <http://www.archives.gov/about/plans-reports/>.

The full report has four major sections:

- **Management's Discussion and Analysis** (*in full and summary reports*)

Look here for the highlights of our agency-wide performance and use of resources in FY 2009. You also will find information on the strategies we use to achieve our goals and the management challenges and external factors that affected our performance.

- **Performance Section** (*in full report*)

Look here for details on our performance by strategic goal and long-range performance target in FY 2009. This section covers our targets, how and why we met or did not meet them, and explanations of how we assess our performance and ensure the reliability of our data. Also included is information on

evaluations and Federal agency compliance with Federal records management policy.

- **Financial Section** *(in full report)*

Look here for details on our finances in FY 2009, our audited consolidated financial statements and notes, required supplementary information, and the reports from our independent financial auditor and our Inspector General.

- **Other Accompanying Information** *(in full report)*

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

James Chung of Slingerlands, NY, says his six-year-old son, Connor, "may be the biggest space nut on this planet." Connor asked if he could go to the John F. Kennedy Library to watch video of Kennedy delivering his speeches about committing to get a man to the moon and back by the end of the decade. Chung contacted the Library and arrangements were made for Connor to visit.

"The archivists couldn't have been nicer," said Chung. "They had the two JFK speeches ready to view. While my son was totally engrossed by the speeches, the archives staff members were peeking around the corner, curious about the six-year-old who was digging into their archives. They gave him a parting gift of the two speeches on a CD, and two photos of JFK meeting John Glenn after he returned to Earth as the first American in orbit. My son walked out thinking that the JFK Museum was the coolest place on earth."



*At the JFK Library, Connor Chung watches President Kennedy deliver a historic speech. (Photo courtesy James Chung)*

## About NARA

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



*President Barack Obama delivers a major speech from the Rotunda of the National Archives on May 21. Behind him is a mural by artist Barry Faulkner depicting James Madison presenting a draft of the Constitution to George Washington. (White House photo by Pete Souza) [www.archives.gov/news/2009/president-speech.html](http://www.archives.gov/news/2009/president-speech.html)*

### ***Our Vision***

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

### ***Our Mission***

The National Archives and Records Administration serves American democracy by safeguarding and preserving the records of our Government, ensuring that the people can discover, use, and learn from this documentary heritage. We ensure continuing access to the essential documentation of the rights of American citizens and the actions of their government. We support democracy, promote civic education, and facilitate historical understanding of our national experience.

### ***Our Strategic Goals***

NARA's strategic goals are set forth in our 10-year Strategic Plan, published in September 2006, which covers the period FY 2007 through FY 2016. This plan acknowledges recent achievements, assesses new challenges facing us, and commits us to measure our value to the taxpayer by setting aggressive outcome-oriented performance targets.

Our six strategic goals are:

- 1: As the nation's record keeper, we will ensure the continuity and effective operation of Federal programs by expanding our leadership and services in managing the Government's records.
- 2: We will preserve and process records to ensure access by the public as soon as legally possible.
- 3: We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.
- 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime.
- 5: We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.
- 6: We will equip NARA to meet the changing needs of our customers.

### ***Our Organizational Structure***

We carry out our mission through a national network of archives and records services facilities stretching from Washington, DC, to the West Coast, including Presidential Libraries documenting administrations back to Herbert Hoover. Additionally, we publish the *Federal Register*, administer the Information Security Oversight Office (ISOO) and the Office of Government Information Services (OGIS), and make grants for historical documentation through the National Historical Publications and Records Commission (NHPRC). We preserve and make available, in response to hundreds of thousands of requests, the records on which the entitlements of citizens, the credibility of Government, and the accuracy of history depend. More and more people are using our services and gaining access to our records through the Internet, whether by requesting copies of records through our Inquire form at *Archives.gov*, commenting on regulations at the Government-wide site *Regulations.gov*, searching online databases of records and information, or engaging in a host of other activities through *Archives.gov*. We continue to encourage this trend, by adding online services and fully participating in several of the President's e-Government initiatives, so that citizens everywhere have access to our vast holdings. The organizational chart in figure 1 provides an overview of NARA's structure.

### **Personnel on Board\***

All funds as of September 30, 2009	Washington, DC, Area			Field Locations			Nationwide Total		
	Full – Time Perm	Other	Total	Full – Time Perm	Other	Total	Full – Time Perm	Other	Total
Records Services	789	211	1,000	8	3	11	797	214	1,011
Regional Records Services	180	22	202	1,018	595	1,613	1,198	617	1,815
Presidential Libraries	68	15	83	334	81	415	402	96	498
Information Security Oversight Office	32	0	32	0	0	0	32	0	32
Federal Register	62	0	62	1	0	1	63	0	63
National Historical Publications and Records Commission	9	0	9	0	0	0	9	0	9
Electronic Records Archives	40	14	54	1	0	1	41	14	55
<b>Total</b>	<b>1,180</b>	<b>262</b>	<b>1,442</b>	<b>1,362</b>	<b>679</b>	<b>2,041</b>	<b>2,542</b>	<b>941</b>	<b>3,483</b>

\* Admin Staff distributed across Program Offices

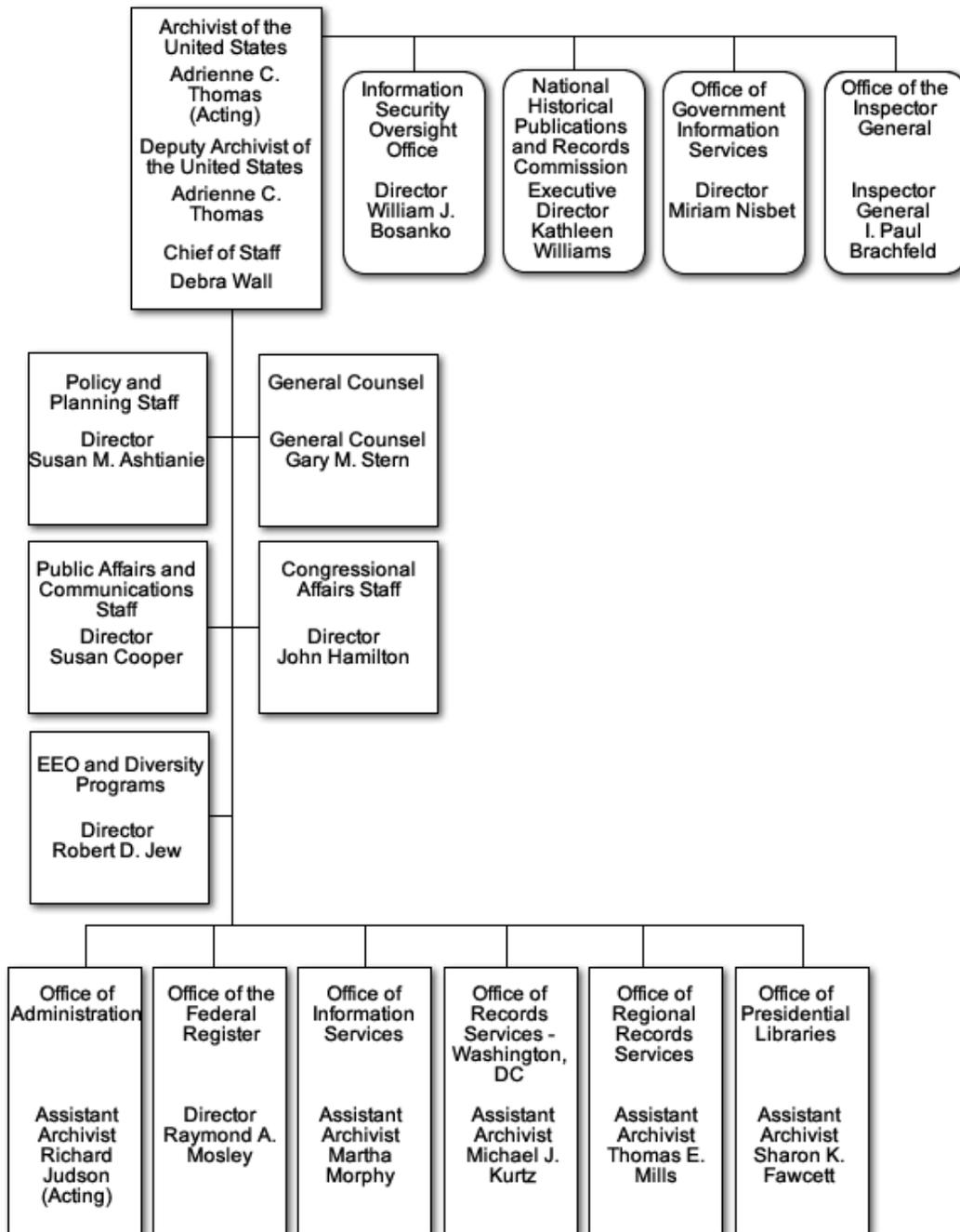


Figure 1. NARA's Organizational Structure (as of 9/30/09)

## An Overview of the Challenges Facing NARA

We at the National Archives and Records Administration (NARA) take seriously our job of serving the public. National and world events continually introduce new challenges to successfully fulfilling our mission. But, in the end, it's all about the records. However, our mission to safeguard and preserve the records of our Government and ensure access to this essential documentation remains constant. Some of the challenges we are working to address include:

- The Obama administration took office in January 2009 with a focus on increased openness and transparency in Government. The changes we make to meet this challenge with respect to records management affect not only our own work processes, but those of all Federal agencies.
- The security of the records we protect must be balanced with free and open access to the records. This is a continuing challenge as we consider how to best secure the physical records in an ever-changing variety of media, protect the integrity of their contents, and ensure that any restrictions on use are properly honored so that the records may be used promptly and easily now and in the future.
- And, like all Federal agencies, we face new and evolving concerns about security, continuity of operations, and emergency preparedness. Continuity of Federal operations depends on the records of Government. Protecting, recovering, and making these records available requires development and implementation of new, more flexible solutions.
- Because our mission includes ensuring access to records for Government officials and the American public, the new technological environment in which NARA operates places us squarely at the center of intergovernmental electronic records challenges. We face new kinds of records management issues raised by this continued growth and dependence on an electronic Government. To fulfill our leadership role in the electronic records environment, NARA is transforming from an agency that manages predominantly paper to an electronic-based focus.
- The preservation challenges that are a fact of life in an archival institution also are growing more complex, so we face new facility and technological challenges in preserving paper, electronic, special media, and artifacts.

While we search for solutions to complex challenges, we must also serve the daily needs of the Federal Government and the public. NARA plays a unique role in the safe, secure operation of our government and in preserving our democratic ideals. We cannot slow or stop our daily work to wait for longer term solutions.

- Daily publication of the *Federal Register* is critical because many of the actions that Executive departments and the President need to take (especially during an emergency situation) require the legal authority that comes from publication of this document.
- We protect the essential records of hundreds of Federal agencies and courts as well as the records of the Congress, the Supreme Court, and 13 Presidential administrations. All Federal records, from highly classified documents to

individual tax returns, are saved for as long as needed because the information they contain is essential to the effective operations of our government—to protect the rights and entitlements of our citizens, to understand past decisions and inform future policy choices, to hold appropriate officials accountable for their actions, and to ensure the safety and security of our country.

- We respond to more than one million requests a year for Official Military Personnel Files (OMPF). Many of these requests come from veterans, their families, or organizations working on behalf of veterans to verify their military service, apply for benefits, or research medical conditions. A veteran's ability to obtain a job, housing, or medical care often depends on our ability to meet information needs quickly.
- Not only do we protect electronic records, but we must ensure they can continue to be used, long after their native format has become obsolete. Today this essential function finds its most recent expression in NARA's development of the Electronic Records Archives (ERA), a system that will capture electronic information, regardless of its format, save it permanently, and make it accessible on whatever hardware or software is currently in use.

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



*Mark Whitmer and Leigh Lacy pose in front of the Declaration of Independence just after Mark proposed. (Photo by Earl McDonald)*

Twelve years after they first became an item, Matt Whitmer surprised his longtime sweetheart, Leigh Lacy, by proposing to her before hundreds of cheering visitors and staff in the National Archives Rotunda in Washington, DC. Matt popped the question at the site where they first kissed on an eighth-grade field trip—in front of the Declaration of Independence.

Hand in hand, the couple was in line to see the Charters of Freedom. When they reached the Declaration, Matt got down on one knee to propose and then shouted, "She said yes!" The crowd in the Rotunda roared in approval and applauded as the couple shared one more kiss in front of the Declaration. The couple first met in school in Springboro, a suburb of Dayton, Ohio. They now live in Atlanta, where Matt works for an advertising company and Leigh teaches seventh grade. They were married on July 11, 2009.

## Performance Highlights

### Using the National Archives and Records Administration in FY 2009

Every day, thousands of people use NARA's records and services in multiple ways. Among these people are educators and their students at all levels, a history-minded public, veterans and their families, family historians, the media, the archival community, Federal employees and the Congress, and a broad spectrum of professional associations and researchers in fields that include political science, law, history, library and information services, and genealogy. The following table displays some of the ways our users interacted with NARA in FY 2009.

	Researchers Microfilm	Researchers Other Records	Written Requests	Public Program Attendees	Exhibit/ Museum Visitors	Online Visits
Washington, DC, Area	15,530	52,421	27,478	46,343	991,430	—
Federal Register	—	—	713	227	—	—
<b>Office of Regional Records Services</b>						
Northeast Region (Boston)	2,117	4,626	2,494	3,832	5,831	—
Northeast Region (Pittsfield)	439	1,678	818	2,158	38	—
Northeast Region (New York)	780	4,147	3,481	9,397	349	—
Mid Atlantic Region (Philadelphia)	3,364	5,282	1,739	2,918	250	—
Southeast Region (Atlanta)	924	4,877	1,840	10,966	6,128	—
Great Lakes Region (Chicago)	821	1,511	3,958	1,158	922	—
Central Plains Region (Kansas City)	247	1,468	1,545	11,567	11,575	—
Southwest Region (Fort Worth)	733	1,910	3,403	18,370	0	—
Rocky Mountain Region (Denver)	305	3,222	506	1,462	0	—
Pacific Region (Laguna Niguel)	817	2,014	2,994	531	0	—
Pacific Region (San Bruno)	960	2,658	3,002	3,457	797	—
Pacific Region (Anchorage)	134	701	281	129	0	—
Pacific Alaska Region (Seattle)	860	2,363	1,281	2,356	51	—
National Personnel Records Center	515	1,783	1,314,217	1,810	300	—
<b>Regional Records Services Total</b>	<b>13,016</b>	<b>38,240</b>	<b>1,341,559</b>	<b>70,111</b>	<b>26,241</b>	<b>—</b>
<b>Presidential Libraries</b>						
Hoover	—	425	1,054	30,467	65,432	423,301
Roosevelt	—	1,468	2,326	27,559	115,305	839,081
Truman	—	825	2,983	42,614	76,909	2,508,213
Eisenhower	—	1,369	2,928	28,665	177,333	908,878
Kennedy	—	1,352	2,502	121,929	206,485	4,041,074
Johnson	—	1,543	3,092	37,736	234,974	1,323,950
Nixon	—	194	1,337	13,100	69,612	995,970
Ford	—	744	1,416	17,518	116,014	1,201,307
Carter	—	671	953	11,550	51,812	2,213,944
Reagan	—	677	454	106,916	336,647	1,773,759
Bush 41	—	287	852	85,780	142,142	430,909
Clinton	—	136	2,037	87,949	233,345	523,348
Bush 43	—	0	1,043	0	0	376,407
Other*	—	—	162	—	—	10,578
<b>Presidential Libraries Total</b>	<b>—</b>	<b>9,691</b>	<b>23,139</b>	<b>611,783</b>	<b>1,826,010</b>	<b>17,570,719</b>
<i>Archives.gov</i>	—	—	—	—	—	18,880,833
<i>Our Documents.gov</i>	—	—	—	—	—	1,018,693
<b>TOTAL</b>	<b>28,546</b>	<b>100,352</b>	<b>1,392,889</b>	<b>728,464</b>	<b>2,843,681</b>	<b>37,470,245</b>

\* Other covers general requests to the Office of Presidential Libraries and visits to Clinton websites hosted centrally.

## Performance Overview

We break down our strategic goals into long-range performance objectives and set annual targets and goals in our Annual Performance Plan each year. The following chart provides a synopsis of our FY 2009 performance. Highlights of some of this year's major accomplishments under each strategic goal follow the chart.

### Snapshot of 2009 Performance

<b>Strategic Goal 1: As the nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.</b>						
1.1: By 2012, 85 percent of senior Federal agency managers view their records management program as a positive tool for risk mitigation. 1.2: By 2012, 90 percent of customers are highly satisfied with NARA records management services. 1.3: By 2012, the Federal Records Center Program annually retains 98 percent of its customers. 1.4: Within 30 days of the end of an administration, 100 percent of Presidential and Vice Presidential materials have been moved to NARA locations or NARA-approved facilities. 1.5: By 2009, 100 percent of our Continuity of Operations Plans (COOP) meet the requirements for viability. 1.6: By 2009, NARA has established a supportive partnership with FEMA in the national response to emergencies in 100 percent of FEMA regions.						
Performance Indicator	2005 Actual	2006 Actual	2007 Actual	2008 Actual	2009 Target	2009 Actual
Percent of senior Federal agency managers who view their records management programs as a positive tool for risk mitigation	–	81	–	64	–	–
Percent of Federal agency customers that are satisfied with NARA records management services	57	78	81	81	85	81
Percent of customers retained by Federal Records Centers annually	–	–	100	100	98	100
Percent of NARA Continuity of Operations Plans that achieve viability	–	–	0	0	100	0
Percent of FEMA regions in which we have established a supportive partnership in the national response to emergencies	–	–	60	80	100	100
<b>Strategic Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.</b>						
2.1: By 2016, 85 percent of scheduled transfers of archival records are received at the scheduled time. 2.2: By 2016, 95 percent of archival holdings have been processed to the point where researchers can have efficient access to them. 2.3: By 2012, 90 percent of agency declassification reviews receive high scores as assessed by ISOO. 2.4: By 2016, NARA archival holdings of 25-year-old or older records are declassified, exempted, or referred under the provisions of Executive Order 12958, as amended. 2.5: By 2016, 100 percent of archival holdings are stored in appropriate space. 2.6: By 2009, 100 percent of NARA records center holdings are stored in appropriate space. 2.7: By 2016, less than 50 percent of archival holdings require preservation action.						
Performance Indicator	2005 Actual	2006 Actual	2007 Actual	2008 Actual	2009 Target	2009 Actual
Percent of archival records received at the scheduled time	–	–	–	–	20	21
Percent of archival holdings that have been processed to the point where researchers can have efficient access to them	–	–	21	30	40	41
Percent of agency declassification reviews that receive high scores as assessed by ISOO	–	–	–	36	51	53

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Percent increase in the number of pages completed in the National Declassification Initiative (NDI) process	–	–	–	–	10	150
Annual number Presidential pages scanned (in thousands)	563	506	512	519	500	545
Percent of NARA archival holdings in appropriate space	53	57	80	81	–	82
Percent of archival holdings that require preservation action	–	–	65	65	≤ 65	65
<b>Strategic Goal 3: We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.</b>						
<p>3.1: By 2016, 95 percent of archival electronic holdings have been processed to the point where researchers can have efficient access to them.</p> <p>3.2: By 2012, 80 percent of archival electronic records are preserved at the planned level of service.</p> <p>3.3: By 2016, the per-megabyte cost of managing electronic records decreases each year.</p>						
<b>Performance Indicator</b>	<b>2005 Actual</b>	<b>2006 Actual</b>	<b>2007 Actual</b>	<b>2008 Actual</b>	<b>2009 Target</b>	<b>2009 Actual</b>
Percent of archival electronic accessions processed	80	80	81	86	80	88
Percent of NARA's electronic accessions stabilized in preparation for transfer to ERA	89	89	89	90	85	88
<b>Strategic Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime.</b>						
<p>4.1: By 2016, NARA customer service standards for researchers are met or exceeded.</p> <p>4.2: By 2012, 1 percent of archival holdings are available online.</p> <p>4.3: By 2016, 95 percent of archival holdings are described at the series level in an online catalog.</p> <p>4.4: By 2012, our web sites score at or above the benchmark for excellence as defined for Federal Government web sites.</p>						
<b>Performance Indicator</b>	<b>2005 Actual</b>	<b>2006 Actual</b>	<b>2007 Actual</b>	<b>2008 Actual</b>	<b>2009 Target</b>	<b>2009 Actual</b>
Percent of written requests answered within 10 working days.	96	97	95	94	92	95
Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	98	96	86	93	93	93
Percent of Freedom of Information Act requests for Federal records completed within 20 working days.	82	87	88	89	87	86
Percent of online archival fixed-fee reproduction orders completed in 20 working days or less (35 working days pre-2007)	99	97	72	68	90	90
Percent traditional holdings in an online catalog	43	51	56	64	65	69
Percent artifact holdings in an online catalog	43	57	57	61	65	74
Percent electronic holdings in an online catalog	63	98	99	98	65	95
<b>Strategic Goal 5: We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.</b>						
<p>5.1: By 2016, our museums score in the top 10 percent of all history museums nationally according to industry measures.</p> <p>5.2: By 2016, 95 percent of exhibit, public outreach, and education visitors are highly satisfied with their visit experience.</p>						
<b>Performance Indicator</b>	<b>2005 Actual</b>	<b>2006 Actual</b>	<b>2007 Actual</b>	<b>2008 Actual</b>	<b>2009 Target</b>	<b>2009 Actual</b>
Percent of education, public outreach, and exhibit visitors who are highly satisfied with their visit experience.	96	96	96	97	95	97

<b>Strategic Goal 6. We will equip NARA to meet the changing needs of our customers.</b>						
6.1: By 2016, 95 percent of employees possess the core competencies that were identified for their jobs. 6.2: By 2016, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force (CLF). 6.3: By 2016, public network applications are available 99 percent of the time.						
<b>Performance Indicator</b>	<b>2005 Actual</b>	<b>2006 Actual</b>	<b>2007 Actual</b>	<b>2008 Actual</b>	<b>2009 Target</b>	<b>2009 Actual</b>
Percent of staff having performance plans linked to strategic outcomes	94	95	97	98	95	96
Percent of permanent staff having staff development plans linked to strategic outcomes	77	76	96	88	95	67
Percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups	95	87	76	91	92	77
Percent of public network applications availability	98.9	98.9	99.4	99.5	98.84	99.5

*Goal 1: Managing the Government's Records*

We moved forward in implementing *Strategic Directions for Federal Records Management*, our roadmap to redesign Federal records management practices in the age of electronic records. Many of the initiatives of this plan are now standard practice across the Federal Government. In FY 2009, we examined the status of one of the redesign strategies – Flexible Schedules – and issued a report in which we analyzed nine Federal agencies that use flexible schedules to manage the disposition of their records. The report discusses areas such as planning and groundwork needed to develop a flexible schedule, motivation for employing a flexible schedule, training and outreach required, and the challenges and successes experienced. We also completed our effort to update and simplify Federal records management regulations and published the new regulations in the *Federal Register*.

We made progress in responding to the FY 2008 GAO audit on Federal Records Management of E-Mail (GAO-08-742) and the critique that NARA needed to carry out more oversight activities.

Because we had developed a body of electronic records management policy and guidance that could effectively support our statutory responsibilities around compliance, NARA developed a program for annual agency self-assessments, targeted inspections by

Torben Jenk of Philadelphia, PA, contacted the National Archives at College Park looking for a specific entry in the journal of Charles Mason and Jeremiah Dixon, the surveyors who established the Mason-Dixon Line. He was trying to find the location of Mason and Dixon's first Observatory for the Pennsylvania-Maryland Border. NARA staffer Patricia Anderson located the journal in NARA's vault, scanned the page Jenk needed, and sent it to him on a DVD.

"Now we can exactly define Mason and Dixon's Observatory for the historic record, and for the proposed historic marker to be installed before the 250<sup>th</sup> Anniversary in 2013," wrote Jenk. "Without your care, conservation, and sharing of these foundation documents, history would sink to hearsay."



*Torben Jenk examines historic maps and surveys of Philadelphia, including research on Mason and Dixon's Observatory. (Photo courtesy Torben Jenk)*

NARA staff, and reporting standards for making public our findings. Parts of this work were started in late FY 2008, and piloted and launched throughout FY 2009.

We worked to address the many challenges in getting agencies to schedule their electronic records systems by September 30, 2009, to meet the requirement in Section 207(e) of the E-Government Act of 2002. This Act imposes a statutory requirement for all Executive agencies to schedule their electronic information systems in existence since December 17, 2005. To assist with this effort, we offered several free electronic records scheduling workshops to agencies as well as other offers to partner with agencies.

The deployment of the Archives and Records Center Information System (ARCIS) was a major accomplishment this year. ARCIS is a tool designed to electronically manage records storage and improve efficiency of storage processes for temporary records stored in our Federal Records Centers. The final site scheduled for deployment was St. Louis in October 2009. With the deployment of ARCIS throughout the regions, our customers are able to submit electronic reference requests to those sites. We are working on additional system enhancements to improve administrative access and allow customers to



*On July 4, the National Archives regional facility in Morrow, GA, in partnership with the Department of Homeland Security's US Citizenship and Immigration Services, hosted a naturalization ceremony. Eighty-eight new citizens took the oath of allegiance to the United States. (Photo by Ashley Judy)*

electronically submit their transfer requests. ARCIS' deployment will also allow us to terminate several old systems that have become costly to maintain.

Throughout the last several years, we have worked closely with the White House and the Department of Defense to fully prepare for the transfer of the largest volume of electronic Presidential records in NARA's history. With the first shipment of Presidential records transferred in October 2008, our efforts culminated in

the successful transfer of nearly 329 tons of George W. Bush Presidential records and artifacts from Washington, DC, to the temporary library site in Lewisville, Texas, on January 20, 2009. To date, all of the administration's unclassified electronic records have been ingested to our Executive Office of the President (EOP) instance of the Electronic Records Archives. The classified Presidential records transferred to NARA are secured in a legacy system until a classified instance of ERA is ready.

*Goal 2: Preserve and Process the Nation's Records*

We continue to aggressively address our backlog of unprocessed records. Archival processing involves a series of steps that establish physical and intellectual control of records and culminates in describing records in our online catalog, making them easier

and faster to locate for research. The processing backlog of textual and audiovisual records has grown over the decades. In addition, new processing challenges have arisen with the increasing number of electronic records accessions. Nevertheless, we continue to meet our targets while addressing the challenges.

The processing of Presidential records differs from processing Federal records because of requirements in the Presidential Records Act. We have implemented steps to simplify processes and have developed the capability to measure the impact of systematic processing at the libraries. In FY 2009, we made steady progress in the processing of our backlog of records; however, once the George W. Bush Presidential records are added to the count of holdings, the backlog will significantly increase. With the addition of new staff this year, we will continue to process holdings as quickly as possible.

We made progress in planning a National Declassification Center (NDC), a critical element in reforming the Executive Branch's declassification program. Working closely with staff of national security agencies and the intelligence community, NARA developed a concept of operations for a national center that would work collaboratively with agencies to efficiently and effectively manage the referral of classified equities between the various equity holders. The purpose of the NDC is to efficiently provide the public with as many declassified records as possible in the shortest time without jeopardizing national security.

For classified materials in the Presidential Library system, we continued our partnership with the Central Intelligence Agency (CIA) through our Remote Archives Capture (RAC) project. Our partnership involved working with the CIA and classifying agencies in the Government to declassify materials held in the Presidential Libraries. Using the RAC project as a vehicle to scan classified materials held by Presidential Libraries throughout the country, we expect to exceed our FY 2009 goal of scanning 500,000 pages of classified Presidential records eligible for declassification.

In FY 2009 we established the Controlled Unclassified Information (CUI) Office within ISOO in response to the Presidential Memorandum issued on May 9, 2008, designating NARA as the Executive Agent responsible for implementation of the CUI Framework. The CUI Office, working in collaboration with the CUI Council and interagency working groups, developed implementation guidance covering topics such as Dispute Resolution, Safeguarding, Designation, Dissemination, to name a few. During this time, a



Presidential Task Force was established to examine CUI and make recommendations to the President.

Our efforts to process records and make them available to the public resulted in the achievement of a major milestone this year – the opening of more than 15 million individual personnel files of former civilian employees dating from the mid-1800s

The Eisenhower Presidential Library and Museum's D-Day commemoration in June gave visitors an opportunity to both celebrate and mourn family members who served in WWII. During the event, a woman approached Library Director, Karl Weissenbach. Her eyes welled with tears as she explained that she had just lost her husband, a Normandy veteran, and that she had come to Abilene for closure. She hugged Karl and thanked him for organizing the event. This gratitude was expressed many times throughout the event by family members of other WWII veterans.



*World War II veterans and their families attend commemoration events marking the 65<sup>th</sup> anniversary of D-Day at the Eisenhower Library. (Photo courtesy Eisenhower Library)*

through 1951. This corpus of records adds to the collection of more than nine million military personnel files that are already available to researchers and other members of the public. These newly opened records included personnel records from famous figures such as Walt Disney, Ansel Adams, and Albert Einstein.

We continued efforts to work through GSA to upgrade our facilities to comply with 36 CFR 1228 Subpart K storage standards for Federal records. The upgrades for nine of our Federal Records Centers are in varying stages. The National Archives at Kansas City moved to a renovated building in the cultural district of Kansas City. We recently awarded a construction contract to make improvements to our Waltham facility and awarded design and construction contracts for our Seattle archival facility. We are moving forward with the design of a new National Personnel Records Center (NPRC) facility, now

scheduled for initial occupancy in 2011, and dedicated its new annex facility, an underground structure, in Valmeyer, IL. The facility will store nearly two million cubic feet of temporary civilian personnel records, postal money orders, and trans-shipments of regional records from other records centers.

### *Goal 3: Managing Electronic Records*

The Electronic Records Archives (ERA) is our cutting-edge system that captures electronic records and information, regardless of format, saves them permanently, and makes them accessible on whatever hardware or software is currently in use. This year, we achieved a major milestone in the deployment of the ERA system for Presidential records, enabling us to ingest and store the more than 70 Terabytes of unclassified electronic records of the Executive Office of the President (EOP) transferred at the end of the George W. Bush Administration. A smaller volume of classified and Federal electronic records are securely stored in standalone systems until they can be moved into ERA. The figure (next) shows the significant increase the Bush Administration records made in NARA's total electronic holdings. We also made significant progress in

developing the requirements and prototypes for online public access to the electronic records in ERA and examining the larger vision of how NARA holdings will be accessed online.

*Goal 4: Providing Access to Records*

We continually strive to make our holdings accessible to the public as soon as possible. One indication of the quality and interest in the information we provide is the number of visitors to our web sites – more than 37 million visits in FY 2009. Through partnerships and collaborative efforts, we continue to increase the number of digital records available to the public through our online catalog of NARA’s nationwide holdings, the Archival Research Catalog (ARC). ARC contains more than 152,000 digital records, and 130 million records from

our holdings are hosted online by our partners. We have partnered with Familysearch.org (GSU) to digitize the first 500,000 Civil War Widows Pension Certificates; we have multi-party projects digitizing the Homestead land entry files for Nebraska City and Lincoln; and, we are working with Footnote to digitize and describe various Holocaust Assets Records microfilm publications. These digital partnership projects are essential to augmenting our in-house ability to make holdings available online.

The Access to Archival Databases (AAD), a search and retrieval tool that provides online access to electronic records in databases, is now in its sixth year. At the end of FY 2009, it offered online access to 83.8 million “born” digital records from 58 electronic records series.

In addition, we adopted Web 2.0 and social networking as a way to deliver information to the public as soon as possible. We successfully launched social media and networking tools such as YouTube, Flickr, Twitter, and Facebook to reach new audiences, capture useful information, and receive timely feedback on our holdings.

We also augmented the physical Public Inspection Desk at the Office of the Federal Register with an electronic Public Inspection Desk where, for the first time in the 73-year history of the *Federal Register*, documents to be published the next day can be viewed by anyone, anywhere, and anytime. We also converted the printed weekly set of

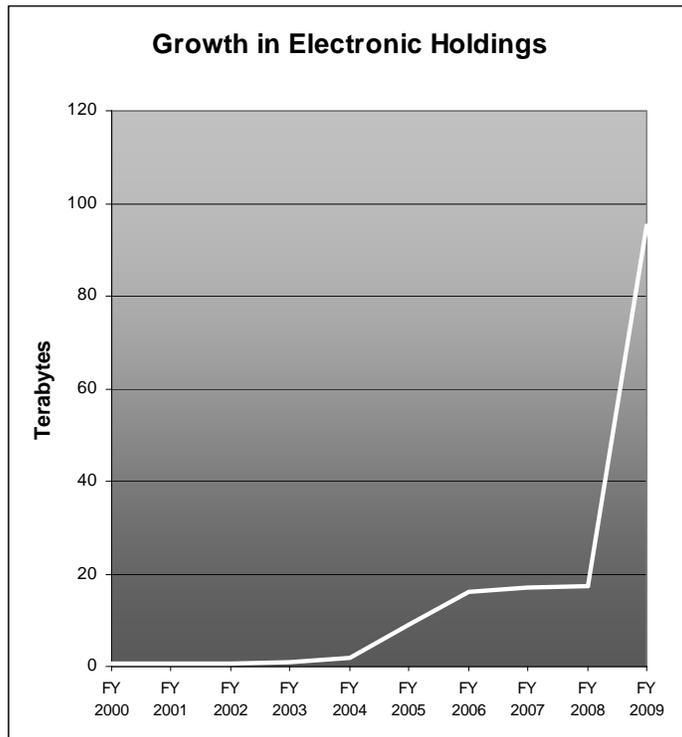


Figure 2. Growth in Electronic Records in NARA’s Legal Custody

Presidential documents into a new daily online *Compilation of Presidential Documents*, opening up these key primary resources to immediate access by the public.

We continued to provide outstanding customer service exceeding our FY 2009 targets in almost every area. To date, 95 percent of the written requests we received from customers were answered within 10 working days, exceeding our target of 92 percent. Ninety-three percent of the items requested in our research rooms were provided within one hour of the request, meeting our target. Eighty-six percent of Freedom of Information Act (FOIA) requests for Federal records were completed within 20 working days, nearly meeting our target of 87 percent. Ninety percent of the online orders we received were completed within 20 working days.

*Goal 5: Increasing Civic Literacy*

We celebrated our 75th anniversary in 2009 and engaged in a host of activities across the country to commemorate the 1934 establishment of the National Archives. We



*At the BIG! exhibit, visitors view a 21-foot-long drawing of the SS Leviathan, once the world's largest ocean liner. (Photo by Karen Hibbit)*

developed educational programs, public outreach activities, exhibits, and workshops to reach diverse audiences and share treasures from our vast holdings in an effort to promote civic literacy. We launched an exhibition called BIG! at which we featured big records, big events, and big ideas – in their original format in full scale – selected to remind us of the challenges and sacrifices experienced in building this country. Our commitment to civic literacy

has always extended beyond the walls of our archival facilities to touch the communities across the country. Sometimes our efforts include projects that go beyond the expected approaches to reach citizens in new ways, such as our partnership with New Jersey's Papermill Playhouse to support the play *1776* with our exhibit "Documenting Our Nation's Founding." We are open to new avenues to reach and serve American citizens as we seek to advance civic literacy.

Our Presidential Libraries continue to host robust museum, education, and public program offerings. The libraries share a common goal of educating the public about how government works and how Administration policy and programs are developed as shown in the records of our Presidents. In FY 2009, every Presidential Library held a series of national issues forums to engage community-based peaceful and deliberate discussions about difficult community challenges and their solutions. The Libraries also hosted a number of special exhibits including the highly popular "School House to White House" exhibit.

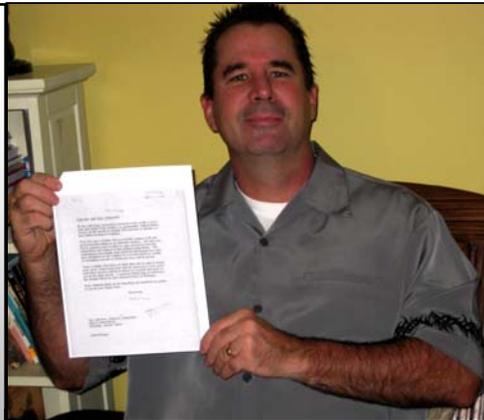
Our education team conducted numerous workshops and Learning Labs throughout the year for teachers and students, exposing this audience to the relevance of American history today while introducing students to the archival field through role play exercises and activities. We presented a program in partnership with the White House Historical Association, “The White House: Moving Out/Moving In;” we premiered the 90-minute PBS documentary film, “Legacy: Black and White in America;” and we hosted a special program about the creation and importance of the National Museum of American Jewish History.

*Goal 6: Developing our Infrastructure*

We completed and issued our new five-year Strategic Human Capital Plan. This plan provides direction for NARA’s most significant workforce management challenges and opportunities and is aligned to NARA’s Strategic Plan. The new plan offers five strategic human capital goals to recruit, develop and strengthen, and retain our human capital resources to achieve mission success. As we implement the strategies and activities to meet these goals, we will monitor performance results and assess our human capital programs, decisions, and actions.

Growing up, David Nelson of Hendersonville, TN, did not know who his father was. His mother told him only that his father's name was “Ken,” that he came from Honolulu, and that he had been in the National Guard. Through research, Nelson found the man he believes to be his father—a soldier by the name of Wallace Kenji Matayoshi who died in Vietnam in 1966—but he did not know how to find Matayoshi’s family to confirm that the man was his father.

When a member of the armed services died during the Johnson administration, the President sent a condolence letter to the next of kin. Attached to the letter was usually a military form showing the next of kin. Nelson contacted the Johnson Library, and an archivist there was able to give him a copy of the letter of condolence and the attached form showing the names of his grandparents. With this information, Nelson had a starting point to search for his father’s family and confirm his heritage.



*David Nelson with a letter of condolence from President Johnson, originally sent to the family of the man he believes to be his father. (Photo courtesy David Nelson)*

**National Archives and Records Administration**  
**Performance and Accountability Report, FY 2009**

*Linking Our Budget to Our Objectives*

Our long-term objectives are tied directly to our budget. The chart on the next page illustrates, by strategic goal and long-term objective, the resources allocated to each of these goals. (The resources obligated to each of these goals are shown in figure 4 on p. 22.) The chart also links the major budget functions to each of our long-term objectives.

NARA Goals and Long-Term Objectives (\$ and FTE allocated to each Goal)	Records Services	Archives – Related Services	Electronic Records Archives	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
<b>Goal 1: \$46,501,000 and 1,589 FTE</b>							
1.1: By 2012, 85 percent of senior Federal agency managers view their records management program as a positive tool for risk mitigation.	✓						
1.2: By 2012, 90 percent of customers are highly satisfied with NARA records management services.	✓						
1.3: By 2012, the Federal Records Center Program annually retains 98 percent of its customers.				✓			
1.4: Within 30 days of the end of an administration, 100 percent of Presidential and Vice Presidential materials have been moved to NARA locations or NARA-approved facilities.	✓						
1.5: By 2009, 100 percent of our Continuity of Operations Plans (COOP) meet the requirements for viability.	✓						
1.6: By 2009, NARA has established a supportive partnership with FEMA in the national response to emergencies in 100 percent of FEMA regions.	✓					✓	
<b>Goal 2: \$183,445,000 and 679 FTE</b>							
2.1: By 2016, 85 percent of scheduled transfers of archival records are received at the scheduled time.	✓		✓				
2.2: By 2016, 95 percent of archival holdings have been processed to the point where researchers can have efficient access to them.	✓						
2.3: By 2012, 90 percent of agency declassification reviews receive high scores as assessed by ISOO.	✓						
2.4: By 2016, NARA archival holdings of 25-year-old or older records are declassified, exempted, or referred under the provisions of Executive Order 12958, as amended.	✓						
2.5: By 2016, 100 percent of archival holdings are stored in appropriate space.	✓						✓
2.6: By 2009, 100 percent of NARA records center holdings are stored in appropriate space.				✓			
2.7: By 2016, less than 50 percent of archival holdings require preservation action.	✓						
<b>Goal 3: \$78,689,000 and 102 FTE</b>							
3.1: By 2016, 95 percent of archival electronic holdings have been processed to the point where researchers can have efficient access to them.	✓		✓				

**National Archives and Records Administration**  
Performance and Accountability Report, FY 2009

<b>NARA Goals and Long-Term Objectives</b> (\$ and FTE allocated to each Goal)	Records Services	Archives – Related Services	Electronic Records Archives	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
3.2: By 2012, 80 percent of archival electronic records are preserved at the planned level of service.	✓		✓				
3.3: By 2016, the per-megabyte cost of managing electronic records decreases each year.			✓				
<b>Goal 4: \$50,412,000 and 274 FTE</b>							
4.1. By 2016, NARA customer service standards for researchers are met or exceeded.	✓						
4.2. By 2012, 1 percent of archival holdings are available online.	✓		✓				
4.3. By 2016, 95 percent of archival holdings are described at the series level in an online catalog.	✓		✓				
4.4. By 2012, our web sites score at or above the benchmark for excellence as defined for Federal government web sites.	✓				✓		
<b>Goal 5: \$23,638,000 and 191 FTE</b>							
5.1. By 2016, our museums score in the top 10 percent of all history museums nationally according to industry measures.	✓				✓		
5.2. By 2016, 95 percent of exhibit, public outreach, and education visitors are highly satisfied with their visit experience.	✓			✓	✓		
<b>Goal 6: \$38,287,000 and 184 FTE</b>							
6.1. By 2016, 95 percent of employees possess the core competencies that were identified for their jobs.	✓	✓	✓	✓			
6.2. By 2016, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force (CLF).	✓	✓	✓	✓			
6.3. By 2016, public network applications are available 99 percent of the time.	✓	✓	✓	✓			

## Financial Highlights

Fiscal Year 2009 is the sixth year that NARA prepares and submits our consolidated financial statements to the Office of Management and Budget (OMB) and U.S. Congress in accordance with the Chief Financial Officers (CFO) Act, subject to the Accountability of Tax Dollars Act (ATDA) of 2002. The financial statements presented in this report have been prepared from NARA's accounting records in accordance with the generally accepted accounting standards prescribed for Federal entities by the Federal Accounting Standards Board (FASAB), and presentation standards prescribed by OMB Circular A-136, *Financial Reporting Requirements*.

### Sources of Funds

NARA's operations are funded through appropriated budget authority which includes annual, multi-year and no-year appropriations available for use within certain specified statutory limits. In addition, the National Archives Trust Fund, Gift Fund, and Revolving Fund revenues fund their respective operations.

FY 2009 budget authority from NARA's operating appropriation was \$460 million. We carried over \$26 million in multi-year and no-year funds available for obligation. Total appropriated budget authority for FY 2009 was \$486 million (see Figure 3).

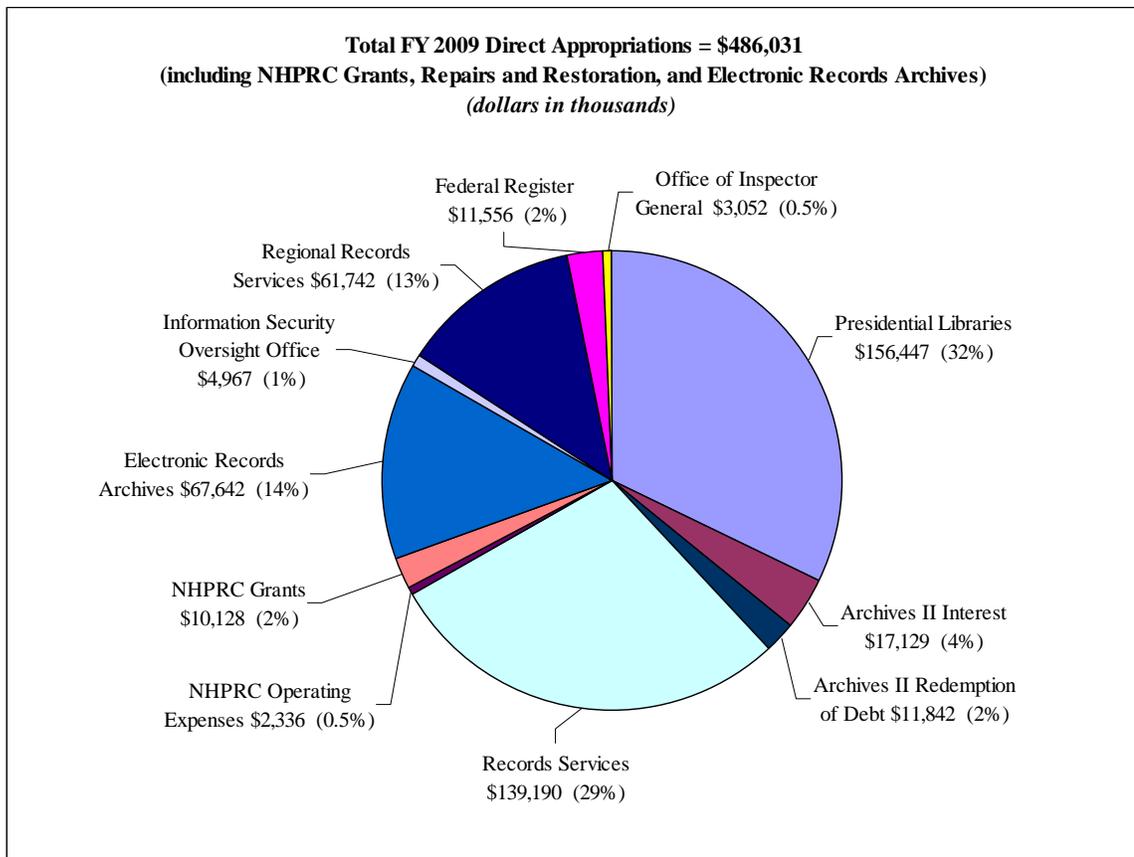


Figure 3. Appropriated Budget Authority, FY 2009

The major operating appropriation funds basic operations, comprising records services, archives-related services, and the redemption of debt, and associated interest, stemming from the construction of National Archives Building at College Park. Records services provides for selecting, preserving, describing, and making available to the general public, scholars, and Federal agencies the permanently valuable historical records of the Federal Government and the historical materials and Presidential records in Presidential Libraries; for preparing related publications and exhibit programs; and for conducting the appraisal of all Federal records. Archives-related services provides for the publications of the *Federal Register*, the *Code of Federal Regulations*, the *U.S. Statutes at Large*, and Presidential documents, and for a program to improve the quality of regulations and the public's access to them. The \$302 million cost of construction of the National Archives at College Park, which serves as a major archival facility as well as the center for NARA's administrative offices, was financed by Federally-guaranteed debt issued in 1989. Annually, the Archivist seeks appropriations for the payment of interest and redemption of that debt.

In addition to the general operating expenses appropriation, NARA receives other appropriations that are more specific. The Electronic Records Archives appropriation funds NARA's effort to ensure the preservation of and access to Government electronic records. The Repairs and Restoration appropriation funds the repair, alteration, and improvement of archives facilities to provide adequate storage for holdings. The National Historical Publications and Records Commission program provides grants to state, local, and private institutions to preserve and publish records that document American history. Figure 3 demonstrates the allotment of total available appropriated funds.

The National Archives Trust Fund and Presidential Library Trust Funds budget authority includes revenues generated from the sale of publications, museum shop sales, paper reproductions, audio visual reproductions, library admissions, educational conferences, and interest income. Expenditures are made for the cost of museum shop inventory, personnel, operational and financial systems, equipment, and reproduction supplies. The National Archives Trust Fund and Presidential Library Trust Funds earned revenue of \$18 million in FY 2009.

The Gift Fund's budget authority includes donations and interest earned on those gifts and endowments. It was established to administer incoming gifts and bequests for the benefit of, or in connection with, the archival and records activities of the National Archives and Records Administration. Expenditures are made for various programs, including historical research, conferences, archival and cultural events, and publications. In FY 2009, the gift fund received donations of \$2 million.

The Revolving Fund's budget authority includes revenue generated from the temporary Federal agency records stored in NARA service facilities. It provides storage, transfer, reference, re-file, and disposal services for a standard fee. The Revolving Fund earned revenue of \$152 million, after intra-entity eliminations in FY 2009.

### ***Uses of Funds by Function***

NARA incurred new general fund obligations of \$420 million in FY 2009. Of this, \$3.3 million is for reimbursable work. The chart below represents obligations by strategic goals.

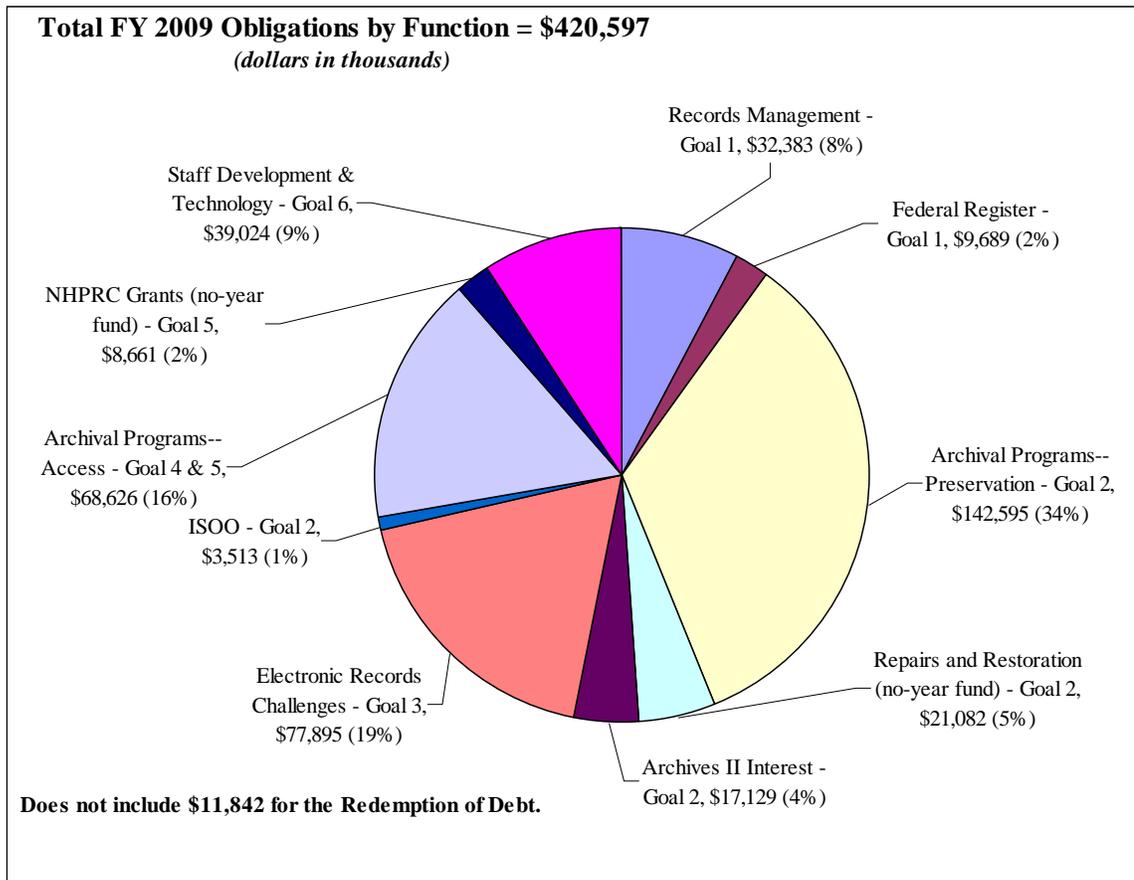


Figure 4. Obligations by Function, FY 2009

**Audit Results**

NARA’s FY 2009 financial statements were audited by Cotton and Co. under contract to NARA’s Office of the Inspector General. NARA received an unqualified audit opinion on its FY 2009 and FY 2008 financial statements. The auditors identified two significant deficiencies – Information Technology and Property Management.

**Financial Statement Highlights**

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

**Limitations of the Financial Statements**

The principal statements have been prepared to report the financial position and results of operations of NARA, pursuant to the requirements of 31 U.S.C. 3515 (b). While the statements have been prepared from NARA’s books and records in accordance with generally accepted accounting principles (GAAP) for Federal entities and the formats prescribed by the Office of

Management and Budget, the statements are additional to the financial reports used to monitor and control budgetary resources, which are prepared from the same books and records. The statements should be read with the realization that they are for a component of the U.S. Government, a sovereign entity.

***Analysis of the Balance Sheet***

**ASSETS:** NARA’s assets were \$729.2 million as of September 30, 2009, an increase of \$53.6 million from the end of FY 2008. The majority of this increase resulted from an increase in the annual appropriations and capitalization of software in development costs for ERA project. The assets reported in NARA’s balance sheet are summarized in the accompanying table.

<b>Asset Summary (in millions)</b>	<b>FY 2009</b>	<b>FY 2008</b>
Fund balance with Treasury and cash	\$ 256.9	\$ 213.1
General property, plant, and equipment, net	420.4	415.9
Investments	34.9	31.5
Accounts receivable, net	15.0	13.0
Inventory	1.0	1.1
Other	1.0	1.0
<b>Total assets</b>	<b>\$ 729.2</b>	<b>\$ 675.6</b>

The fund balance with Treasury and cash represents approximately 35 percent of total assets. Property, plant, and equipment constitute 58 percent of total assets, with the National Archives facility at College Park representing the greater part of the balance.

**LIABILITIES:** NARA’s liabilities as of September 30, 2009, amounted to \$269 million. A decrease of \$9.2 million from the end of FY 2008 is due mainly to scheduled repayments of Debt held by the public during the year. The liabilities reported in NARA’s balance sheet are summarized in the accompanying table.

<b>Liabilities Summary (in millions)</b>	<b>FY 2009</b>	<b>FY 2008</b>
Debt held by the public	\$ 193.9	\$ 205.9
Accounts payable	35.0	32.5
Other	41.0	40.7
<b>Total liabilities</b>	<b>\$ 269.9</b>	<b>\$ 279.1</b>

Debt held by the public accounts for approximately 71.8 percent of total liabilities and represents certificates of participation issued to the public through a trustee to cover the construction costs of the National Archives at College Park. Liabilities totaling \$216 million, or 80 percent of total liabilities, are unfunded, i.e., budgetary resources are not yet available as of September 30, 2009. For most unfunded liabilities, budgetary resources will be made available in the years balances are due, in accordance with OMB funding guidelines. The major

elements of unfunded liabilities are \$193.9 million for debt held by the public, \$12 million for workers' compensation, and \$10.1 million for unfunded annual leave.

**NET POSITION:** The difference between total assets and total liabilities is net position of \$459.3 million as of September 30, 2009. The net position reported in NARA's balance sheet is summarized in the accompanying table.

<b>Net Position Summary (in millions)</b>	<b>FY 2009</b>	<b>FY 2008</b>
Unexpended appropriations	\$ 193.4	\$147.7
Cumulative results of operations	265.9	248.8
<b>Total net position</b>	<b>\$ 459.3</b>	<b>\$396.5</b>

Net position is affected by changes in its two components – Cumulative Results of Operations and Unexpended Appropriations. Unexpended appropriations are the amount of authority granted by Congress that has not been expended. Cumulative results of operations reflect funding of capital needs of the agency since NARA's inception and net results of the revolving fund operations. The increase in net position of \$62.8 million from FY 2008 to FY 2009 comprises the increase in cumulative results of operations of \$17.1 million and an increase in unexpended appropriations of \$45.7 million. The overall increase is due mainly to the increase in budget authority in FY 2009 and the capital expenditures during FY 2009, of which ERA software development costs are the most significant.

### *Analysis of the Statement of Net Cost*

The statement of net cost presents the net cost of NARA's six major programs. NARA's net cost of operations for the year ended September 30, 2009, is \$412.9 million. The increase of \$76.2 million in the net cost of operation is due largely to the higher operating costs, such as utilities and rent, and major restoration and improvements projects at the libraries; especially the Nixon, Carter, and Kennedy libraries in FY 2009, as well as operation and maintenance costs on the ERA segments already moved to production.

Net costs by program are shown in the accompanying table.

<b>Net Cost of Operations (in millions)</b>	<b>FY 2009</b>	<b>FY 2008</b>
Records and archives-related services	\$356.4	\$306.9
Trust and gift funds	(3.5)	(3.9)
Electronic records archives	17.6	9.9
National historical publications and records commission grants	6.4	5.5
Archives facilities and presidential libraries repairs and restoration	23.9	11.3
Records center storage and services	12.1	7.0
<b>Net cost of operations</b>	<b>\$ 412.9</b>	<b>\$336.7</b>

### *Analysis of the Statement of Budgetary Resources*

The statement of budgetary resources presents the sources of budgetary resources and their status at the end of the period, as well as demonstrates the relationship of obligations to outlays. For FY 2009, NARA had budgetary resources available of \$716 million, an increase of

11.2 percent over \$644 million in FY 2008. The majority of the increase resulted from new budget authority.

### ***Debt Management***

The Bureau of Public Debt (BPD) and the General Services Administration (GSA) assist NARA with the management of employee debts. NARA contracts with GSA for payroll services. Under this cross-servicing agreement, GSA tracks employee debts and pursues delinquent debts from NARA employees through salary offset and administrative wage garnishment. NARA has a cross-servicing agreement with BPD for accounting services. In compliance with the Debt Collection Improvement Act of 1996, BPD actively pursues delinquent non-Federal claims and, upon request by NARA, transmits delinquent claims to the U.S. Department of the Treasury Financial Management Service (FMS) for collection cross-servicing.

### ***Erroneous Payments Management***

NARA does not have any high risk programs, as defined by OMB and the Improper Payments Information Act, or programs and activities that meet the \$10 million and 2.5-percent threshold established by the Office of Management and Budget as a definition of significant erroneous payments.

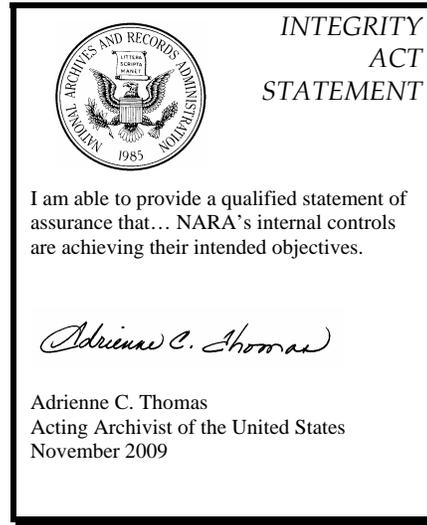
## Systems, Controls, and Legal Compliance

This section provides information about NARA's compliance with the

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

### ***Federal Managers' Financial Integrity Act***

The Federal Managers' Financial Integrity Act mandates that agencies establish controls that reasonably ensure that (i) obligations and costs comply with applicable law; (ii) assets are safeguarded against waste, loss, unauthorized use, or misappropriation; and (iii) revenues and expenditures are properly recorded and accounted for. This act encompasses operational, program, and administrative areas, as well as accounting and financial management. It requires the Archivist to provide an assurance statement to the President on the adequacy of internal controls and conformance of financial systems with Government-wide standards. (See Section 4 of the full report for NARA's FY 2009 FMFIA Report.)



### ***Internal Controls Program***

NARA's internal controls worked to ensure the attainment of our mission and FY 2009 goals, maintain efficient operations, and reduce fraud and the misuse of taxpayer-provided resources. NARA managers submitted an annual assurance statement, along with an internal control plan, to the Acting Archivist of the United States at the end of the fiscal year. These statements were based on various sources and included

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

- Senior Staff reviews and briefings
- Internal oversight groups for agency programs
- Monthly reporting in NARA's Performance Measurement Reporting System
- Reports and other information provided by the congressional committees of jurisdiction.

### ***FY 2009 Internal Controls***

NARA evaluated its internal control systems for the fiscal year ending September 30, 2009. This evaluation provided reasonable assurance that, except for three material weaknesses, the agency's internal controls achieved their intended objectives. No material weaknesses in internal controls over financial reporting have been identified this year or in the past year by management assessments or the independent auditors.

Pursuant to Section 2 of the Integrity Act, we identified a material weakness in our holdings security program in FY 2001. We have made progress in our actions to remedy the holdings security weakness, but still have substantive work to accomplish. In FY 2007, we declared a material weakness related to NARA's Information Technology (IT) Security Program. Based on the scope of that material weakness, sufficient work has been done to mitigate the risk and we will be monitoring this in FY 2010 as a significant deficiency. In FY 2008, we declared a material weakness in artifact inventory processes at our Presidential Libraries. New this year, we have added a material weakness in IT security specific to the misalignment of policy and contract language regarding the handling of personally identifiable information (PII) on NARA-owned storage devices, specifically hard drives. NARA will continue to address significant deficiencies in the areas of our preservation program and textual records processing. Details on the three material weaknesses are found in our Federal Managers' Financial Integrity Act Report in Section 4 of the full PAR.



*A participant at a Genealogy Fair held at the National Archives Building in Washington, DC, seeks assistance with a research problem. (Photo by Jermaine Scott)*

### ***Federal Information Security Management Act***

The Federal Information Security Management Act (FISMA) requires Federal agencies to conduct an annual self-assessment review of their information technology security program, to develop and implement remediation efforts for identified security weaknesses and

vulnerabilities, and to report to OMB on the agency's compliance. This year's FISMA submission is required no later than November 18, 2009.

### ***Federal Financial Management Improvement Act***

As an Accountability for Tax Dollars Act (ATDA) agency, NARA is not subject to the requirements of FFMIA, per OMB bulletin #07-04, *Audit Requirements for Federal Financial Statements*.

### ***Prompt Payment Act***

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

### ***Inspector General Act***

In FY 2009 NARA satisfied 2 percent of the remaining audit recommendations opened in audits between FY 2006 and FY 2008 (131 recommendations remain for closure), and 9 percent of audit recommendations opened during this fiscal year (excluding 18 recommendations that were issued on September 29 and 30). We are committed to resolving and implementing open audit recommendations presented in OIG reports. Section 5(b) of the Inspector General Act requires agencies to report on final actions taken on OIG audit recommendations. This information is included in the Archivist's transmittal of the OIG semi-annual report to Congress.



*Truman reenactor Niel Johnson greeted visitors to the former President's 125<sup>th</sup> birthday celebration at the Truman Library. The 125-foot cake is on the right. (Photo by Amy Elrod)*

## A Message from the Chief Financial Officer



I am pleased to present the National Archives and Records Administration (NARA) consolidated financial statements for fiscal year 2009 Performance and Accountability Report. I am proud to report that for the fourth consecutive year, an independent auditor has rendered an unqualified opinion on the NARA financial statements.

During FY 2009 we continued to make steady improvements by further strengthening our financial management practices across the organization. We have recently completed an intensive business process re-engineering effort to implement essential internal controls addressing our deficiency in the area of personal property management.

We also resolved our challenge of complying with Federal reporting requirements for Heritage Assets for FY 2009 by identifying an appropriate level of presentation for Heritage Assets that is relevant and meaningful to an external reader yet cost-effective both for the reporting and the program staff.

With the rapid pace of technological change, NARA, along with other Federal and private entities, faces an ongoing, constantly evolving, challenge in Information Technology security.

I wish to acknowledge our staff and financial service provider for their dedication to NARA's mission and their diligent efforts in maintaining the unqualified opinion on our financial statements.

Even as financial oversight and accountability requirements grow more complex and challenging, NARA is steadfastly committed to improving financial management and producing accurate and reliable financial statements.

A handwritten signature in black ink, appearing to read 'RJ', with a stylized flourish extending to the right.

Richard Judson  
Acting Assistant Archivist for Administration and  
Chief Financial Officer

## Auditor's Reports (FY 2009)

### *Inspector General's Summary*

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
ANNUAL FINANCIAL STATEMENT  
FISCAL YEAR 2009

OFFICE OF THE INSPECTOR GENERAL  
COMMENTARY AND SUMMARY

This audit report contains the Annual Financial Statements of the National Archives and Records Administration (NARA) for the fiscal years ended September 30, 2009, and 2008. We contracted with the independent certified public accounting firm of Cotton & Company, LLP (C&C) to perform the fiscal year 2009 audit. The fiscal year 2008 audit was performed by Clifton Gunderson LLP. The audit was done in accordance with U.S. generally accepted auditing standards, the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; applicable provisions of the OMB Bulletin No. 07-04 *Audit Requirements for Federal Financial Statements*, as amended, and the GAO/PCIE *Financial Audit Manual*.

In its audit of NARA's financial statements, C&C's opinion states that the financial statements present fairly, in all material respects, the financial position of NARA as of September 30, 2009, and its net cost, changes in net position, budgetary resources for the year then ended in conformity with accounting principles generally accepted in the United States of America.

C&C reported two significant deficiencies<sup>1</sup> in internal control over financial reporting in the areas of Personal Property and Information Technology. C&C reported no material weaknesses<sup>2</sup> and disclosed no instances of noncompliance with certain provisions of laws and regulations.

In connection with the contract, we reviewed C&C's report and related documentation and inquired of its representatives. Our review, as differentiated from an audit in accordance with U.S. generally accepted government auditing standards, was not intended to enable us to express, as we do not express, opinions on NARA's financial statements or conclusions about the effectiveness of internal control; or conclusions on compliance with laws and regulations. C&C is responsible for the attached auditor's report dated November 12, 2009, and the conclusions expressed in the report. However, our review disclosed no instances where C&C did not comply, in all material respects, with generally accepted government auditing standards.

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<sup>1</sup> Significant deficiency is defined as a deficiency in internal control, or combination of deficiencies, that adversely affects the entity's ability to initiate, authorize, record, process, or report financial data reliably in accordance with generally accepted accounting principles such that there is more than a remote likelihood that a misstatement of the entity's financial statements that is more than inconsequential will not be prevented or detected.

<sup>2</sup> Material weakness is defined as a significant deficiency, or combination of significant deficiencies, that results in more than a remote likelihood that a material misstatement of the financial statements will not be prevented or detected.

**Independent Auditor's Report (FY 2009)**



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**Independent Auditor's Report**

The Inspector General  
National Archives and Records Administration

We have audited the accompanying consolidated balance sheet of the National Archives and Records Administration (NARA) as of September 30, 2009, and the related statement of net cost, changes in net position and budgetary resources, for the year then ended (hereinafter collectively referred to as the "financial statements"). These financial statements are the responsibility of NARA's management. Our responsibility is to express an opinion on these financial statements based upon our audit. The financial statements of NARA, as of September 30, 2008, were audited by other auditors whose report dated November 12, 2008, expressed an unqualified opinion on those statements.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America; standards applicable to financial statement audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and Office of Management and Budget (OMB) audit guidance. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles and significant estimates made by management, as well as evaluating the overall financial statements' presentation. We believe our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above, present fairly, in all material respects, the financial position of NARA as of September 30, 2009, and its net cost, changes in net position, and budgetary resources for the year then ended, in conformity with accounting principles generally accepted in the United States of America.

In accordance with *Government Auditing Standards*, we have also issued our reports dated November 12, 2009, on our consideration of NARA's internal control over financial reporting, and on our tests of NARA's compliance with certain provisions of laws and regulations and other matters. The purpose of those reports is to describe the scope of our testing on internal control over financial reporting and compliance, and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. Those reports are an integral part of an audit performed in accordance with *Government Auditing Standards* and should be read in conjunction with this report, in considering the results of our audit.

The information in the Management Discussion and Analysis and Required Supplementary Information sections is not a required part of the consolidated financial statements, but is supplementary information required by accounting principles generally accepted in the United States of America. We have applied certain limited procedures, which consisted principally of inquiries of management regarding the methods of measurement and presentation of this information. However, we did not audit this information and, accordingly, we express no opinion on it.

Our audits were conducted for the purpose of forming an opinion on the consolidated financial statements taken as a whole. The information in the Message from the Archivist, Performance Section, and Other Accompanying Information is presented for purposes of additional analysis and is not required as part of the consolidated financial statements. This information has not been subjected to auditing procedures and, accordingly, we express no opinion on it.

COTTON & COMPANY LLP

Jeffrey A. Long, CPA, CISA, CGFM  
Partner



November 12, 2009  
Alexandria, VA

**Management Response to Auditor's Report (FY 2009)**



*National Archives and Records Administration*

8601 Adelphi Road  
College Park, Maryland 20740-6001

Date: November 12, 2009  
To: Paul Brachfeld, NARA Inspector General  
From: Adrienne Thomas, Acting Archivist of the United States  
Subject: Response to Draft Independent Auditor's Report on NARA's Internal Controls and Compliance with Laws and Regulations for FY 2009

Thank you for the opportunity to review and comment on the draft reports entitled, Independent Auditor's Report on Internal Control and Independent Auditor's Report on Compliance with Laws and Regulations. We appreciate your efforts and cooperation throughout this audit process.

NARA has worked hard to improve financial management processes and to resolve the information technology control issues. We are pleased that your reports recognize the notable progress that has been made.

While we generally agree with the assessments contained in the report, we offer the following comments on the Personal Property Significant Deficiency:

NARA had recognized that its Property Management internal controls needed improvement. To that end, it initiated a Business Process Reengineering effort in FY 2008. New processes and procedures have been developed as a result of the Business Process Re-engineering effort. Many have already been implemented through various interim policy directives and the remainder will be implemented by the new Property Management Directive and Standard Operating Procedure, currently under review. These new procedures more clearly define roles, place a greater emphasis on training, and hold management accountable for property under their control, closing many of the loopholes found in the old procedures.

Full implementation of the newly developed processes, coupled with ongoing implementation of the new Personal Property Management System (projected timeline for completion is April 2010) should address the audit finding on stewardship for accountable items.

In closing, while challenges remain, I believe NARA has demonstrated its commitment to producing accurate and reliable financial statements. NARA will continue its efforts to further improve its financial management processes and related internal controls.

*Adrienne C. Thomas*

ADRIENNE C. THOMAS  
Acting Archivist of the United States

NARA's web site is <http://www.archives.gov>

## Facilities

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

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

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

**Office of the Federal Register**  
 Suite 700  
 800 North Capitol Street, NW  
 Washington, DC 20002  
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**National Archives and Records Administration**  
Performance and Accountability Report, FY 2009

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Ronald Hindman, *Director*

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NARA-National Personnel  
Records Center  
(Military Personnel Records)  
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St. Louis, MO 63132  
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**Herbert Hoover Library**

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**Franklin D. Roosevelt Library**

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**Harry S. Truman Library**

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**Dwight D. Eisenhower Library**

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**John Fitzgerald Kennedy  
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Thomas Putnam, *Director*  
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**Lyndon Baines Johnson  
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Mark Updegrave, *Director*  
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Museum**

Elaine K. Didier, *Director*

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Gerald R. Ford Museum  
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**George Bush Library**

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**William J. Clinton Library**

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**George W. Bush Library**

Alan C. Lowe, *Director*  
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## Copies of This Report

This report is available on our web site at—

*[www.archives.gov/about/plans-reports/performance-accountability/](http://www.archives.gov/about/plans-reports/performance-accountability/)*

Links are provided to both the full report (Management’s Discussion and Analysis [MD&A], Performance and Financial sections, and Other Accompanying Information) as well as the summary report (MD&A and auditor’s report). Also located on that page are links to our Strategic Plan, annual performance plans, and past performance reports.

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

*[www.archives.gov/contact/inquire-form.html](http://www.archives.gov/contact/inquire-form.html)*

or by writing to National Archives and Records Administration, Policy and Planning Staff, 8601 Adelphi Road, Room 4100, College Park, MD 20740-6001. Please specify whether you are interested in the summary report or the full report. Also, we welcome your comments on how we can improve this report for FY 2010. Please e-mail any comments to [Vision@nara.gov](mailto:Vision@nara.gov).

## Other Web Pages of Interest

<b>Reports, Strategic Documents, Messages from the Archivist:</b> Find the latest information regarding our mission, vision, and strategic initiatives.	<i><a href="http://www.archives.gov/about/">www.archives.gov/about/</a></i>
<b>The National Archives Experience:</b> Participate in an interactive, educational experience about the power of records in a democracy.	<i><a href="http://www.archives.gov/national-archives-experience/">www.archives.gov/national-archives-experience/</a></i>
<b>Archival Holdings:</b> Find records of interest in Washington, DC, the regional archives, and Presidential libraries.	<i><a href="http://www.archives.gov/research/arc/">www.archives.gov/research/arc/</a></i>
<b>Presidential Libraries:</b> Explore the history of our nation through the leaders who helped shape the world.	<i><a href="http://www.archives.gov/presidential-libraries/">www.archives.gov/presidential-libraries/</a></i>
<b>Public Documents:</b> By law, the U.S. Government Printing Office and the Office of the Federal Register at NARA partner to publish and disseminate the official text of Federal laws, Presidential documents, administrative regulations and notices, and descriptions of Federal organizations, programs and activities.	<i><a href="http://www.federalregister.gov">www.federalregister.gov</a></i> <i><a href="http://www.gpoaccess.gov/nara/">www.gpoaccess.gov/nara/</a></i> <i><a href="http://www.archives.gov/federal-register/">www.archives.gov/federal-register/</a></i> <i><a href="http://www.gpoaccess.gov/ecfr/">www.gpoaccess.gov/ecfr/</a></i>
<b>Careers at NARA:</b> Review current job openings and learn how to apply.	<i><a href="http://www.archives.gov/careers/">www.archives.gov/careers/</a></i>
<b>Visit NARA:</b> Learn how to prepare for a research visit, about facility hours and locations, and more.	<i><a href="http://www.archives.gov/research/">www.archives.gov/research/</a></i>
<b>Prologue Magazine:</b> Keep up to date on NARA activities through its quarterly journal. View selected articles and subscribe online.	<i><a href="http://www.archives.gov/publications/prologue/">www.archives.gov/publications/prologue/</a></i>