

## SECTION 2 PERFORMANCE SECTION

### Measuring and Reporting Our Performance

This annual performance report is based on the goals, strategies, and long-range performance objectives set forth in our 2009 Strategic Plan and the annual objectives in our FY 2011 Performance Budget. The following pages detail our performance on our FY 2011 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 links to the report's performance goals. We received no aid from non-Federal parties in preparing this report.

Throughout much of FY 2011, NARA has undergone a significant organizational transformation. We have realigned ourselves to establish a greater focus on our customers and improve the way we interact and deliver services to our customers. We centralized our functions and services to leverage efficiencies and present "One NARA" whether staff are located at NARA headquarters in Washington, DC, or in our Presidential Libraries or regional facilities around the country. All references to NARA organizations in the FY 2011 PAR will reflect the transformed organizational structure.

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. For more than ten years, we have collected agency-wide data in our 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, addressing our strategic performance using a balanced approach for tracking cycle times, quality, productivity, cost, and customer satisfaction for our products and services. This report also updates some of our prior year statistics that we corrected because of these improvements. These ongoing refinements indicate that this report, our annual plans, and our Strategic Plan are living documents and an integral part of our operations.

Our performance measurement system takes advantage of web infrastructure to collect performance data from the more than 70 organizational units that send data to PMRS from all over the country. We also use robust, enterprise-level databases to store the data and generate reports, instead of 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. We have leveraged this technology and operationally integrated data collection to create a performance measurement database that serves the entire agency and is the single strategic performance data source for the agency.

Our program management system (PROMT) helps us control the cost and schedule for the Electronic Records Archives (ERA) program and other programs. 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.

## FY 2011 Performance by Strategic Goal

### ***Strategic Goal 1: Our Nation's Record Keeper***

*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*

#### **Long-Range**

#### **Performance Targets**

- 1.1 By 2016, 50 percent of agencies achieve passing scores for compliance with Federal records management policy.
- 1.2 By 2012, 90 percent of customers are highly satisfied with NARA records management services.
- 1.3 By 2016, records management transactions serviced by the Federal Records Centers Program grow by 6 percent.
- 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.

#### 1.1 FEDERAL RECORDS MANAGEMENT

#### **FY 2011 Objectives**

- Agency self-assessment responses meet or exceed 93 percent (the response rate in FY 2010).
- 15 percent of agencies achieve a passing score for compliance in targeted areas of Federal records management.
- Conduct one records management inspection based on evaluation of agency self-assessment results.

#### **Results**

- ✓ Eighty-nine percent of agencies responded to the records management self-assessment survey.
- ✓ Agencies with passing scores for compliance to targeted areas of Federal records management reached 10 percent.
- ✓ We completed an inspection of the transfer of permanent textual mapping products at DoD's National Geospatial-Intelligence Agency (NGA) to NARA.

*Discussion* In GAO’s FY 2008 report entitled “Federal Records – National Archives and Selected Agencies Need to Strengthen E-Mail Management,” GAO recommended that NARA exercise its statutory authority, as defined in the Federal Records Act, and implement oversight mechanisms to ensure that Federal records are not lost or destroyed. In response to the recommendation, we developed a methodology and process for conducting records management oversight activities of Federal agencies and established mechanisms for reporting the results to Congress and OMB. One of these activities is annual online mandatory records management self-assessments by Federal agencies. Our goal is to determine agencies’ compliance with records management regulations and guidance and regularly assess the level of risks to their records management programs.

Since FY 2009, we have conducted three self-assessment exercises and achieved a high level of annual participation. Each year we make refinements to improve the reliability and validity of the assessment. The variance in the percentage of agencies responding is related in part to the number of agencies responding to the self-assessment. We make refinements in defining agencies as we gain experience from year to year in managing the assessment. In FY 2011, we concentrated some of the questions in the survey on how well agencies monitor compliance with records management policies and directives, and the timely transfer of permanent records to NARA. This year, 10 percent of agencies fell into the low risk category. While agency compliance with Federal records management regulations appears to be improving, the change is slow. Obtaining senior management support at agencies is challenging, especially during times of austere budgets where attention is on mission-related work. With a focus on training and continued advocacy of records management at the highest levels within agencies, we will work with agencies to decrease the risk to their records or help them improve their records management programs. We will monitor these results over time to understand how quickly agencies implement or benefit from new guidance.

As part of NARA’s oversight activities, we perform inspections of Federal agency records management programs to ensure compliance with the NARA’s regulations on records management. Criteria for selecting agencies for inspection are found in 36 CFR Part 1239 and states that we will conduct an inspection when an agency fails to address specific records management problems involving high risk to significant records. Other circumstances leading to an inspection include a request from an agency head that NARA conduct an inspection to address specific significant records management issues in the agency.

This year, we inspected the National Geospatial-Intelligence Agency, focusing on the transfer of permanent, hard copy maps and charts to NARA’s physical and legal custody. The inspection extended to 20 offices in three regional areas. We continued our inspection of elements of the records management program of the Office of the Secretary (OSD), which began in the second half of FY 2010. We approved OSD’s action plan and advised the Office on implementation. The reports found at *Management of Hard Copy Mapping Products in the National Geospatial-Intelligence Agency* and *Records Management in the Office of the Secretary of Defense* highlight our reasons for conducting the inspections, the scope of our work, the recommendations resulting from the inspections, and plans for follow-up activity.

<b>Performance Data</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>Performance target for percent of agencies achieving a passing score for compliance with Federal records management policy.</i>	–	<i>Establish baseline</i>	15
Percent of agencies that achieve passing scores for compliance with Federal records management policy.	22	6	10
<i>Performance target for percent of agencies records who submit records management self-assessments to NARA.</i>	50	50	93

Percent of agencies records management self-assessments submitted to NARA.	91	93	89
Number of agencies polled in self-assessment.	242	271	277
Number of agencies responding to self-assessment survey.	220	251	247

*FY 2012 Performance Plan Evaluation* Using data from the annual self-assessments and inspections, we will continue to monitor trends and identify and evaluate strategies to improve the state of Federal records management in the Government.

1.2 NARA RECORDS MANAGEMENT SERVICES

**FY 2011 Objectives**

- Increase by 5 percent the number of distance learning course offerings over last year.
- Establish baseline for records schedules submitted using ERA.

**Results**

- ✓ We delivered 24 records management related webinars throughout the year.
- ✓ We received more than 50 records schedules in ERA due to our push to accelerate user adoption.

*Discussion* NARA’s ability to provide agency records managers and records management staff with tools to assist them in identifying and managing their records is critical to ensuring that the permanent records of the Federal Government are preserved and made available to the public. Equally critical are the principles outlined in the Open Government Directive, issued by the Obama Administration in December 2009. This Directive outlined the need for transformation in Government, where transparency, participation, and collaboration are the principles by which Government operates. We continue to look for ways to improve the records management services that we provide while ensuring that the principles of Open Government are an inherent part of our process.

Records managers are the most important audience for NARA’s records management services, and they are best able to judge our success. We recognize the important role they play to advocate, instill, and implement good records management practices within their agencies. Partnering with records managers, we strive to capture the attention of senior leaders, such as the heads of agencies, General Counsels, and Chief Information Officers, to advance the importance of records management throughout an agency. Every spring, we present our Records Administration Conference (RACO) where we focus on topics such as meeting the challenges of electronic records in an open government. We host regular meetings of the Federal Records Council and the broader records officer community. We also produce guidance products, such as [Managing Mixed Media Files](#), to address records management implications when records in various types of media are intermixed in one file.

The NARA Records Management Training Program provides a curriculum designed to enhance and improve the knowledge and skills of Federal records managers while also offering general training to familiarize staff at agencies with records management ([Records Management for Everyone](#)). Although records management training is integral to effective records management, we realize that time commitments, travel restrictions, and decreased budgets inhibit face-to-face participation in classroom instruction. To mitigate these limitations, we want to increase the

availability of distance learning training classes, including those offered through webinars. Competing priorities did not allow us to make these changes in FY 2011.

As noted earlier, NARA began a fundamental transformation of the agency to become more responsive and nimble. NARA's reorganization revolves around being a *customer-focused* organization—one of our six key transformational goals. Customer satisfaction is key to the success of NARA's transformation and crucial to the records management services NARA provides. A critical tactic for improving customer satisfaction is the redesign of the processes by which Federal records overall are identified, appraised, scheduled, and tracked while in agency custody. Part of the strategy for carrying out this plan was the development of the Electronic Records Archives, an application that supports the scheduling and accessioning of Federal records. We focused our activity this year on pushing agencies to actively engage in using our Electronic Records Archives system. Concentrated efforts to accelerate ERA agency adoption resulted in increased schedule submissions in ERA from one in FY 2010 to 54 in FY 2011. With more agencies slated to use ERA in FY 2012, we expect user adoption for electronic scheduling will continue to increase. Although ERA agency adoption is not close to completion, we are well on our way to achieve mandatory ERA use by agencies by the end of FY 2012.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>Performance target for number of records schedules submitted using ERA.</i>	—	—	—	—	—	<i>Establish baseline</i>
Number of records schedules submitted using ERA.	—	—	—	—	—	57
<i>Performance target for percent increase in the number of Federal agency customers that are satisfied with NARA records management services.</i>	10	10	—	10	—	—
Percent of Federal agency customers that are satisfied with NARA records management services.	78	81	—	81	—	—
Percent of records management training participants taking a NARA records management course for the first time.	35	43	39	63	36	32
Number of records management training participants who are taking a NARA records management course for the first time.	1,484	2,162	2,524	7,625	2,619	1,905
Number of Federal agency staff receiving NARA training in records management and electronic records management.	4,234	5,047	6,422	12,114	7,233	5,958
Number of records management training participants that NARA certified this year.	275	269	310	242	282	335
<i>Performance target for the percent increase in the number of distance learning course offerings.</i>	—	—	—	—	5	5
Percent increase in the number of distance learning course offerings.	—	—	—	—	133	-68
Median time for records schedule items completed (in calendar days).	301	282	285	307	285	709
Average age of schedule items completed (in calendar days).	368	451	443	416	438	907
Number of schedule items completed.	4,057	2,992	3,148	3,248	3,673	5,058
Number of open schedules in the backlog.	297	363	500	955	874	706

*FY 2012 Performance Plan Evaluation* We will continue work to revamp existing courses to improve content, delivery and interactivity. As Federal agencies depend on our assistance and guidance to improve their records management programs, we will assess their level of satisfaction with ERA in facilitating their work. We will move agencies toward mandatory ERA use by the end of the fiscal year.

1.3 FEDERAL RECORDS CENTERS PROGRAM

**FY 2011 Objectives**

- Make ready 98 percent of Federal agency reference requests within the promised time.
- Answer 80 percent of written requests to the National Personnel Records Center (NPRC) within 10 working days.
- Achieve 88 percent customer satisfaction at NPRC.
- Implement Increment 4 of ARCIS at Federal Records Centers.
- Records management transactions in the Federal Records Centers Program (FRCP) grow by 1 percentage point.
- Answer 85 percent of requests for military personnel records in 10 working days or less.

**Results**

*"The customer focused attitude and sense of urgency was astounding!"*

- ✓ We provided 95 percent of Federal agency reference requests within the promised time.

*"I am completely satisfied with the entire process!"*

- ✓ We answered 77 percent of written requests to the National Personnel Records Center (NPRC) within 10 working days.

*"This was simple and easy and fast! Thank you!"*

- ✓ We achieved 92 percent customer satisfaction at NPRC.
- ✓ We completed development of the customer portal as part of Increment 4 of ARCIS.
- ✓ We exceeded our target and increased the number of records management transactions in the Federal Records Centers Program (FRCP) by 1.5 percent.
- ✓ We answered 77 percent of requests for military personnel records in 10 working days or less.

*Discussion* NARA's recent reorganization realigned our reimbursable Federal Records Centers Program (FRCP) and the records management services we provide to agencies into one office—*Agency Services*. This alignment, designed to improve coordination between records management and FRC services, supports one of the agencies transformational goals, *One NARA*. No longer separating the Washington operation from those across the country, we can operate more efficiently and work toward common goals to achieve customers' expectations. The FRC program safeguards and protects the nation's records, and plays a vital role in the lifecycle of Federal records. This includes a host of services to assist Federal agency customers with the

transfer, storage, and service of records to ensure the protection and availability of non-current records. As the nature of the business shifts from traditionally paper records to electronic records, the services we provide must adjust to the changing environment. We determine our success by the growth of our business and the number of service transactions used by our customers. These services include reference requests, shipping and handling of records, records storage, photocopying, digital imaging, records disposal, and more

Although that we fell 3 percentage points short of our goal to respond to written requests to the National Personnel Records Center within 10 working days, we improved our performance by 8 percentage points between FY 2010 and FY 2011. This spring, nearly 600 staff and support equipment were relocated from our National Personnel Records Center in St. Louis, to our new facility in St. Louis County. This move consolidated staff and equipment located across three facilities to one new location. Effective planning for the move allowed us to experience only a slight decline in our timeliness in responding to customers' requests during that period; however, once we achieve stability after our major relocation effort, we expect our performance to improve. Although the bulk of the staff has relocated, a significant number of records are still located at the old NPRC. The record migration process will continue at roughly 1,000 cubic feet per day until approximately September 2012. During this lengthy migration, a synchronization process is in place to ensure the physical location of each record is accounted for. The relocation process adds to the overall complexity of request processing, and undoubtedly, may affect overall customer satisfaction.

We did not reach our target of 98 percent for the timeliness of Federal agency reference requests. Although our performance was high—96 percent—our overall timely performance was affected by three separate flooding incidents at our Federal records center in Suitland, MD. Our facility also suffered damages from an earthquake, followed by a hurricane, and then a tropical storm all occurring in the fourth quarter of FY 2011. These weather conditions resulted in facility closures, multiple days of power outages, and once restored, we experienced several days of internet failure. Performance at Suitland fell to 44 percent impacting the overall performance for the agency.

Each year, the Military Personnel Records unit of our National Personnel Record Center responds to more than one million requests from veterans, government agencies, and the public for information from many of the 50 million official military personnel files in its custody. Our customers depend on timely responses to requests for this information, which is used primarily to obtain veterans' rights and benefits, including health care, home loan guarantees, education, employment, and burial allowances. Achieving our timeliness target is dependent on eliminating the backlog of written correspondence requests, which began to climb in January 2008.

Despite a second consecutive year of larger than expected growth in demand, we accomplished significant backlog reduction by bringing on additional staff. One continuing challenge to meeting our target has been securing World War II and Korean War records where thousands were lost or damaged in a record center fire in 1973. We rebuild the records only upon request due to the length of time—often months—it takes to reconstruct a single record. As long as we include the time-intensive burn record reconstruction in our timeliness measure, we are unlikely to reach our target of 85 percent in 10 working days or less. Looking at our responsiveness to military separation requests (DD-214's), which make up 54 percent of the military requests, we answer 93 percent in 10 working days or less.

Contrary to our slight decline in responding to written requests, we achieved a 92 percent customer satisfaction rate for NPRC services, exceeding our target by seven percentage points. Our survey also helps us confirm the validity of efforts and initiatives designed to improve both the quality and timeliness of our responses to requests. The gains we witnessed to overall customer satisfaction can be attributed to our intense effort to drive down the backlog of requests during FY 2010 before moving to our new building. Through additional staff and significant overtime, the backlog was essentially eliminated by the end of FY 2010.

In FY 2011, we decided to close 12 FRCP public research rooms at the end of the fiscal year. Declining workload and the reassignment of staff and space were some of the factors that led to this decision. Monitoring trends over a 10-year period, we noted a significant decline in requests to review agency records at NARA. In the last several years, we stopped receiving new transfers of bankruptcy case files from the courts because of newer, electronic filing capabilities. How we are reusing the space varies among each location. Many of the facilities provided shared services or multiple purposes for the room. These facilities will continue to use the space for their other intended use. For example, research rooms that served both the public and agency research will continue to support agency research.

The Archives and Records Center Information System (ARCIS) is a system designed to electronically manage records storage and improve the efficiency of storage processes in Federal records centers. It supports streamlined business processes and at full implementation will allow customers to receive real-time, web-enabled access to their holdings and transaction information. In FY 2011, we developed new modules in the ARCIS customer portal that provide capabilities such as records transfer, user management, and access control based on user profile. These new modules achieve several desirable goals for ARCIS customers, such as self-management of agency access controls; self-configuration of agency access controls; and the entire workflow for creating, submitting, and approving transfer documents can be achieved through ARCIS. HUD began submitting reference requests through an automated process that requires no human data entry, saving NARA hundreds of hours of staff time that used to be spent on this exchange. Increment 4 of ARCIS includes the capability for bulk load customer upload requests. We did not complete this capability due to the need to acquire a server to receive requests. We completed our training platform and successfully conducted our first end user training. We will continue training and complete the bulk load capability to deploy the customer portal in FY 2012.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>Performance target for percentage point growth in records management transactions in the Federal Records Centers Program.</i>	–	–	–	–	1	1
Percentage point growth in the number of records management transactions serviced by the Federal Records Centers Program.	–	–	–	–	2.3	1.6
<i>Performance target for percent of customers satisfied with NPRC services.</i>	–	–	–	<i>Establish baseline</i>	88	88
Percent of customers satisfied with NPRC services.	–	–	–	85	86	92
<i>Performance target for percent of Federal agency reference requests ready within the promised time.</i>	95	95	96	97	97	98
Percent of Federal agency reference requests ready within the promised time.	93	90	93	94	97	95
Percent of customers with appointments for whom records are waiting at the appointed time.	99.8	99.9	99.9	99.9	99.8	99.9
Number of customers with appointments for whom	21,367	17,879	13,527	10,331	9,081	6,977

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
records are waiting at the appointed time.						
<i>Performance target for percent of written requests to the National Personnel Records Center answered within 10 working days.</i>	–	75	75	80	80	80
Percent of written requests to the NPRC answered within 10 working days.	67	65	74	69	69	77
Number of written requests to the NPRC answered (in thousands).	1,110	1,139	1,216	1,314	1,421	1,206
Number of written requests to the NPRC answered within 10 working days (in thousands).	739	740	854	845	908	835
Number of written requests for civilian records to the NPRC answered within 10 working days (in thousands).	179	174	167	94	76	14
Number of written requests for military records to the NPRC answered within 10 working days (in thousands).	559	566	687	751	833	821
<i>High Priority Measure: Performance target for percent of requests for military personnel records answered in 10 working days or less (target 85% by 2012).</i>	–	–	–	–	85	85
Percent of requests for military personnel records answered in 10 working days or less.	61	59	72	70	70	77
Percent of requests for military service separation records at the NPRC answered within 10 working days.	91	90	95	95	94	93
Number of military service separation records (DD-214) requests answered (in thousands).	401	426	483	546	524	445
Average price per request for military service separation records.	\$29.70	\$29.70	\$30.10	\$31.70	\$31.70	\$33.00

*\*In FY 2007, the customer count excluded customers with annual billings less than \$10K. In FY 2008 and beyond, the bar was lowered and customer count includes customers with annual billings in excess of \$5K.*

*FY 2012 Performance Plan* We will develop strategies to address marketing electronic Federal Records Center services and work to expand business to new and existing customers. We will expand ARCIS to include additional enhancements to workflow engineering, integration with billing, and integration of retrieval tools for military and civilian personnel and medical records in the NPRC.

1.4 PRESIDENTIAL TRANSITIONS

**FY 2011 Objectives**  References LRPT 2.2

*Discussion* On January 20, 2009, NARA became the legal custodian of the records and artifacts documenting the Presidential Administration of George W. Bush. The work to process and store these records is tracked under Goal 2. The work of this objective focuses on the planning that occurs before and during a Presidential transition.

## **Strategic Goal 2: Preserve and Process**

*We will preserve and process records to ensure access by the public as soon as legally possible*

### **Long-Range Performance Targets**

- 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 the Information Security Oversight Office (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 13526.
- 2.5 By 2016, 100 percent of archival holdings are stored in appropriate space.
- 2.6 By 2014, 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.

### 2.1 ACCESSIONING RECORDS **FY 2011 Objectives**

- Identify and schedule 10 percent more Federal agency electronic records series or systems than were scheduled in FY 2010.
- 40 percent of targeted archival records transfers arrive at NARA on time.

### **Results**

- ✓ We scheduled 1,031 Federal agency electronic records series or systems achieving 26 percent more scheduled than in FY 2010.
- ✓ We received 19 percent of targeted traditional records and 26 percent of electronic archival records transfers on time.

*Discussion* Our commitment to ensuring access to the records of our nation is largely dependent on the timely transfer of records to the National Archives. Without the proper

identification, schedule, disposition, and transfer of these important records to the National Archives, the Federal Government is subject to increased risks of losing important information protecting citizens' rights, demonstrating Federal Government accountability, or recording our nation's history.

The volume of records produced in agencies has grown tremendously, specifically with electronic records. We witnessed the steepest climb in electronic records transferred to NARA from FY 2008 to FY 2009 where we saw growth go from 17 terabytes to approximately 95 terabytes primarily due to taking in the George W. Bush Presidential records. Around this time agencies were also responding to NARA's *Electronic Records Project* initiative for which we established a September 2009 deadline (in compliance with section 207(e) of the E-Government Act of 2002) for agencies to submit records schedules to NARA for all their existing electronic records. Since then, the volume has surpassed 142 Terabytes.

To support the timely transfer of records, we targeted CFO Act agencies and worked with agency records officers to identify and schedule their records. We observed a wide variability on the timeliness and frequency of the transfers of electronic records that agencies actually send during any given period. We learned, however, that increased communication between NARA and the agencies enhanced the likelihood that agencies identified other nontargeted items for transfer. Although increased communications resulted in higher numbers of non-targeted archival records transfers in FY 2011, it did not always result in our getting certain high value records we had targeted. While we did not meet our target to receive 40 percent of targeted traditional and electronic archival records, we want to ensure that agencies transfer their permanent records, while we continue to pursue specific records.

We expect the level of activity to continue to rise as more agencies begin using our Electronic Records Archives. In FY 2011, we devoted considerable resources to encourage Federal agency adoption of ERA. While much of the initial agency interest with ERA was records scheduling, ten agencies used ERA to initiate the transfer of their permanent electronic records. This trend will continue as ERA becomes mandatory for all agencies by the end of FY 2012. So, while we are not meeting our target to initiate targeted transfers, enhanced communication with agencies contributed to an overall higher rate of transfers to date.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>Performance target for percent of high value archival records transferred to NARA at the scheduled time.</i>	–	–	–	20	30	40
Percent of targeted traditional archival records transferred to NARA at the scheduled time.	–	–	–	6	24	19
Percent of targeted electronic archival records transfers arriving at NARA on time.	–	–	40	44	35	26
<i>Performance target for percent increase in number of Federal agency electronic records series or systems scheduled than prior year.</i>	–	10	10	10	10	10
Percent increase in number of Federal agency electronic records series or systems scheduled than prior year.	10	33	31	60	3	26
Number of Federal agency electronic records series or systems scheduled.	612	423	496	794	820	1,031

*FY 2012 Performance Plan Evaluation* We will continue to monitor trends and work with agencies to increase the volume of electronic records scheduled while also developing new strategies and approaches for promoting awareness of scheduling in agencies.

## 2.2 PROCESSING RECORDS

### **FY 2011 Objectives**

- Increase by 8 points the percent of archival holdings processed to the point where researchers can have efficient access to them.
- Train new archival staff in the processing of Presidential records.

### **Results**

- ✓ We increased archival holdings available to researchers by 6 percentage points.
- ✓ We trained new archival staff in all aspects of making NARA's holdings available to the public.

*Discussion* Eliminating the backlog of unprocessed archival records is an agency priority. With accessions increasing in number or volume each year, we have shifted and increased resources, refocused priorities, and redefined business processes to manage the workload. Processing this backlog of records will result in increased access for the public, greater intellectual control of the holdings, and enhanced preservation and physical protection of the records.

Archival processing is a multi-step process that involves all the steps needed to open a record to the public. It includes establishing basic intellectual control, flagging records that have privacy or national security classifications, providing enhanced descriptions of the records content as well as the context in which the records were created, and performing initial preservation so that we can serve the records to the public.

We fell slightly short of meeting this year's target to increase by 8 percentage points processed archival holdings available for access by researchers. Trends since FY 2008 show a steady improvement in the number of records that we process for researchers, almost doubling the amount from year to year, in some cases. While we realize gains in processing efficiencies, we have not been able to process nearly as fast as records are accessioned into the National Archives. We continue to experience large accessions – a goal we work towards – and, with the amount of records that we must process always increasing, the measure may not clearly reflect our improvements over time. Although we have streamlined our business processes to process holdings more efficiently, and adjusted resources to support this initiative, we will continue to be challenged in meeting our processing targets. One large accession at the end of the fiscal year can easily skew our results. We will re-examine ways to more accurately demonstrate improvements in our processing times and the measures we are taking to more quickly make Federal records available to researchers.

Archivists hired in FY 2010 participated in NARA's Archival Development Program (ADP) to provide them with background information on numerous areas within NARA's organizational structure. They participated in 40 hours of training providing an overview of NARA as a whole. Topics covered included acquisitions; building repairs and renovations; safety and physical, personnel and information security; performance budgets, and career development – numerous facets of work at NARA. Another 40 hours of training specifically focused on all aspects of

making NARA's holdings available to the public, from accessioning through processing and release. Lastly, 40 hours were devoted to leadership training and a 30-day rotational assignment that provided the trainees with hands on experience. Meeting the Office of Personnel Management's (OPM) policy to complete 160 hours of training over the two-year period of their program, fully equipped this new cadre of archivists with the information and knowledge they need to be productive staff within their offices.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>Performance target for percentage point increase in the number of archival holdings that have been processed to the point where researchers can have efficient access to them.</i>	—	<i>Establish baseline</i>	10	10	10	8
Percentage point increase in the number of archival holdings processed to the point where researchers can have efficient access to them.	—	—	<i>Establish baseline</i>	11	6	6
Percent of archival holdings processed to the point where researchers can have efficient access to them.	—	21*	30	41	47	53
Number of records processed in Presidential Libraries (in cubic feet).	—	—	108,224	121,259	124,981	126,550
Number of series processed in our regional archives.	—	—	9,445	23,182	29,488	40,449
Number of processed Holdings Management System entries.	—	—	62,637	71,718	90,603	100,807

\* Data reported in 2007 reflects only Washington, DC, area work. Data beginning in 2008 reflects results for the agency.

*FY 2012 Performance Plan Evaluation* We are exploring ways to engage citizens in adding descriptions to NARA holdings through social media tagging. We are undertaking an effort to seek approval from the representatives of former and incumbent Presidents to waive their right to receive notification of NARA's intent to release certain series of Presidential or Vice Presidential records.

### 2.3 GOVERNMENT-WIDE DECLASSIFICATION

**FY 2011 Objectives**  Eighty percent of agency declassification programs receive high scores as assessed by ISOO.

**Results** ✓ We highly rated 81 percent of agency declassification programs.

*Discussion* The Information Security Oversight Office (ISOO), administered by NARA, oversees the Government-wide security classification program and reports annually to the President on its status. ISOO collects data about agencies' programs and conducts on-site reviews to assess those programs.

Since FY 2008, ISOO follows a regimented program to improve our oversight of Executive branch agencies' declassification review programs. The program was designed to evaluate agency decisions, identify best practices, and provide agencies with constructive recommendations to improve their programs. ISOO developed a scoring methodology and used a scoring tool to objectively evaluate agency declassification programs. Annually, ISOO performs declassification review assessments for agencies with the goal to increase the percent of those achieving a high score.

Trends since the implementation of this program are positive. We find that agencies typically implement NARA's recommendations and improve their review for declassification. This year,

81 percent of the agency declassification reviews received high scores, exceeding last year's result by 14 percentage points. We learned, however, that even minor developments in the area of personnel turnover can have a dramatic impact on agency performance, moving an agency from a category of high to low in just one year. ISOO continued its individual agency training and education efforts, focusing on improving individual agency performance using the assessment results.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>Performance target for percent of agency declassification reviews that receive high scores as assessed by ISOO.</i>	—	—	<i>Establish baseline</i>	51	69	80
Percent of agency declassification reviews that receive high scores as assessed by ISOO.	—	—	36	53	67	81
Number of agency declassification reviews that receive high scores as assessed by ISOO.	—	—	8	10	10	13
Number of agency declassification reviews assessed by ISOO.	—	—	22	19	15	16
Number of pages declassified government-wide (in millions of pages).	—	37.2	31.4	28.8	29.1	TBD

*FY 2012 Performance Plan Evaluation* ISOO will continue to implement the requirements of Executive Order 13526. We will also continue to issue formal notifications that seek to improve the classified national security information program by disseminating consistent guidance to agencies on a periodic basis. We will review agency declassification programs and recommend ways to improve the quality of reviews.

2.4 NARA DECLASSIFICATION

**FY 2011 Objectives**

- Complete quality assurance in the National Declassification Center (NDC) on 100 million pages of classified documents 25 years old and older and accessioned into NARA.
- Scan 500,000 pages of Presidential records eligible for declassification review as part of the Remote Archives Capture Project.

**Results**

- We completed quality assurance on 108.6 million pages of classified documents 25 years old and older and accessioned into NARA.
- We scanned 830,735 pages of Presidential records eligible for declassification review as part of the Remote Archives Capture Project.

*Discussion* The Government protects millions of classified documents at great expense, including a backlog, initially inventoried at more than 400 million pages of Federal records in our Washington, DC, area facilities. Millions of pages of classified records in our holdings are also in the Presidential Libraries. Since the issuance of Executive Order 13526, issued by the President on December 29, 2009, we have worked vigilantly to meet the December 31, 2013, deadline to declassify records as quickly as possible while maintaining national security. Agencies as well are focusing their efforts and limited resources on the significant implementation requirements of

the Executive Order and 32 CFR Part 2001, and in meeting the December 31, 2013, deadline concerning the backlog of classified documents 25 years old or older, requiring action.

NARA's National Declassification Center (NDC), mandated by the President through Executive Order 13526, was stood up in January 2010. The NDC is charged with promoting collaboration among agencies, standardizing data, and bringing together disparate declassification processes and systems within the declassification community to expedite the review and declassification of the 25-year old and older classified records. Our declassification review and release process has stabilized. We track end-to-end NDC operations, allowing us to pinpoint chokepoints in our processes, report accurate production statistics at each step in our process, and streamline all of our data capture efforts. End-to-end tracking of NDC operations assisted our efforts to successfully evaluate and complete quality assurance on 108 million pages of classified information, complete processing on 22.6 million pages, and release 20.2 million pages to the public in FY 2011. Improvements in our database analysis and metrics capability led us to reassess our original backlog, initially estimated at 400 million pages, and redefine the original backlog to approximately 386 million pages on January 1, 2010.

During FY 2011, we also coordinated and completed the declassification and release of material associated with the 40<sup>th</sup> anniversary of the publication of the Pentagon Papers. The release marks the first authorized availability of the complete report to the Vietnam taskforce. We are currently processing supporting documentation and will make that available in the future. We also completed the declassification review and processing of information relating to construction of the Berlin Wall. We will host a panel discussion related to the opening of the records in early FY 2012.

We crafted a potential process that we will pilot for the review and release of the limited number of classified electronic records accessioned to NARA. New work processes to address Freedom of Information Act/Mandatory Declassification Review requests include the digitization of requested records in the review process. Using these processes, we noted a 50 percent improvement rate in case-handling.

NDC has been at the forefront of Open Government initiatives, in facilitating collaboration between other government agencies, offering the public transparent declassification processes, providing regular informational updates to the public, and providing declassified records to the public in the most efficient yet secure manner possible. We held both small and large public interest group sessions in response to the release of our semi-annual reports on the status of our backlog processing.

Our biggest challenge continues to be our work with agency partners and the Department of Energy to address the page-level review mandated for all documents lacking Kyl-Lott certification for the identification of Restricted Data/Formerly Restricted Data (RD/FRD). The lack of proper documentation affects nearly half of the remaining records within the backlog. Near the end of FY 2011, we initiated an inter-agency approach to identify RD/FRD in the backlog records. We based this process on the evaluation process we currently use to judge the quality of review in the backlog records. We will pilot this collaborative approach in FY 2012.

NARA, in partnership with the Central Intelligence Agency (CIA) and all other classifying agencies in the Federal government, is using the Remote Archives Capture (RAC) project to capture the classified materials held by the Presidential Libraries in digital format. Once digitized, the materials are reviewed in a centralized location in Washington by equity-holding agencies. We use this vehicle to facilitate declassification review and to comply with EO 13526 by

ensuring that we refer all 25-year-old classified documents to the appropriate equity agencies. The primary classifying agency uses a classified review system for review and declassification of their equities and transmits their decisions to a CIA center. The CIA center subsequently provides the Library with its declassification decisions. We have surpassed our target of scanning 500,000 pages of Presidential records eligible for declassification in each of the past six years. The staff at the Reagan Presidential Library scanned more than 780,000 pages for the Remote Archives Capture project, higher than any volume scanned since tracking this measure. By scheduling multiple scanning trips to the Library to stagger the scanning effort, we were able to exceed the performance goal.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>(Cumulative) Performance target for number of pages completed quality assurance in the NDC for declassification processing effort.</i>						100
(Cumulative) Number of pages completed quality assurance in the NDC for declassification processing effort (in millions).	–	–	–			108*
Number of pages completed in the NDC declassification processing effort (in millions).				5.6	9.6*	22.6*
Number of Federal pages declassified and made available to the public (in millions).	–	–	–	–	8.7*	20.2*
<i>Performance target for annual number of Presidential pages scanned (in thousands).</i>	500	500	500	500	500	500
Annual number of Presidential pages scanned (in thousands).	506	512	519	545	531	831

\* Data reported reflects activity beginning January 1, 2010 based on establishment of National Declassification Center.

*FY 2012 Performance Plan Evaluation* NARA plans to manage and improve processes to eliminate our declassification backlog by the December 2013 deadline per the President’s memorandum of December 29, 2009, and in accordance with Executive Order 13526.

2.5 ARCHIVAL HOLDINGS IN APPROPRIATE SPACE

**FY 2011 Objectives**

- Complete award of construction contract for second phase of Roosevelt Library renovation.
- Open National Personnel Records Center Dunn Road facility for occupancy.
- Complete move of Nixon Library holdings into new space.
- House 85 percent of archival holdings in NARA 1571 compliant space.

**Results**

- We received proposals for the second phase of construction at the Roosevelt Library.
- We completed construction of the National Personnel Records Center in St. Louis County and opened the doors for occupancy to more than 600 NARA employees.

- ✓ We completed the move of Nixon Presidential holdings from College Park, MD, to the Nixon Library in Yorba Linda, CA.
- ✓ We store 78 percent of archival holdings in NARA 1571 compliant space.

*Discussion:* NARA has an inventory of 16 NARA-owned buildings – the National Archives Building, the National Archives at College Park, 13 Presidential Libraries and Museums, and the National Archives at Atlanta. The National Archives Building and the Roosevelt Library are on the National Register of Historic Places, and all of the Presidential Libraries are considered by the State Historic Preservation Officers to be eligible. All of these buildings are archival storage facilities and house historically valuable and irreplaceable documents.

The renovation of the aging Franklin D. Roosevelt Library will provide environmentally appropriate, safe, and secure space for the long-term care of archival and artifact collections. The renovation also improves conditions for the staff, researchers, and visitors and helps to increase productivity and satisfaction of the facility as a place for work and research. We continue to perform the first phase of the construction which includes site work to support new mechanical and electrical equipment and second floor renovations. The first phase is scheduled for completion in early FY 2012.

Last year, we completed a substantial portion of the design work for the second phase of construction at the Roosevelt Library, however, obstacles in completing the design for the second phase resulted from delays in developing the exhibit design. Resolution to design issues took longer than expected and resulted in revisions to the shelving design. Arriving at a resolution impacted our target date for issuing the request for proposal (RFP) and pushed forward the due date for proposals. We expect to award the construction contract and begin the 540 day renovation project in early FY 2012. Because the second phase of construction cannot begin until the completion of the first phase, we are closely monitoring phase one construction activities to anticipate and quickly resolve any issues.

Construction of the new National Personnel Records Center (NPRC) building in St. Louis, MO, designed to house more than two million cubic feet of permanent and archival records in fully compliant space, was completed in early FY 2011. This building replaced the old NPRC, also in St. Louis, MO. The old NPRC was the largest operation outside the Washington, DC area with facilities that did not meet our storage standards for temporary and archival records. We were plagued with numerous facility problems that could not cost effectively be resolved to meet storage standards. The new building will house approximately 9 billion textual, digital, and microfilm records of the military and civilian personnel files. The design will facilitate communications, training, and records processing, to name a few of the benefits. We successfully managed the logistics of moving more than 600 NARA employees to the new building with very little impact to providing service to our customers. Although our performance slightly declined in responding to customers written requests during this period – we receive nearly 20,000 requests for documents from military folders per week – the response to overall customer satisfaction with our services was significantly higher (see performance measure 1.3). We will complete the move of all records by the end of FY 2012.

We did not reach our target to store 85 percent of archival holdings in NARA 1571 compliant space. NARA 1571 establishes environmental conditions that will help achieve maximum life expectancy of the textual records stored in the regional archives system. Previous performance

reports mistakenly included the records in our NPRC in St. Louis as being in appropriate space, accounting for approximately 465,000 cubic feet of records. We expect the move of records from the old NPRC to the new, compliant facility will be completed in FY 2012, resulting in a higher percentage of our records in appropriate space in FY 2012.

Creation of the Federally-operated Nixon Presidential Library allows us to advance public access to materials of the highest historical significance, streamline existing archival and museum activities by combining operations in one location, and preserve these invaluable historical resources in appropriate and secure space. The Library completed a renovation project of the existing Nixon Library in Yorba Linda, California. The renovation was completed in FY 2007. We transferred Nixon Presidential holdings to that facility from two of our facilities. With the transfer of artifact holdings and additional staff to operate the Library, we encountered inadequate storage space and required an additional expansion to hold all the materials stored in other archival space. We successfully completed the expansion in FY 2010—adding 15,000 square feet to the Library—and moved the remainder of Nixon holdings in FY 2011.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
Percent of artifact holdings in appropriate space.	42	42	40	37	40	40
Number of artifact holdings (in thousands).	544	544	582	628	600	600
Percent of electronic holdings in appropriate space.	100	100	100	100	100	100
Number of electronic holdings in appropriate space (in millions of logical data records).	4,611	4,737	5,523	6,704	6,944	7,171
Number of electronic holdings in appropriate space (in terabytes).	—	—	—	—	100.4	142.0
<i>High Priority Measure: Percent of archival holdings in NARA 1571 compliant space (target 85% by 2012).</i>	—	—	—	—	—	—
Percent of archival holdings in NARA 1571 compliant space.	57	80	73	70	71	78
Number of archival traditional holdings (in thousands of cubic feet).	3,296	3,346	3,729	3,937	4,043	4,248
<i>Performance target for cost of compliant archival storage space per cubic foot of traditional holdings stored (adjusted for inflation).</i>	—	\$5.78	\$5.84	\$6.06	\$5.84	\$6.28
Cost of archival storage space per cubic feet of traditional holdings stored.	\$6.65	\$6.20	\$5.85	\$5.83	\$6.16	\$7.19

*FY 2012 Performance Plan Evaluation* We will continue to focus on maintaining storage facilities that meet archival requirements while keeping costs for archival storage as low as possible. We will complete various stages of renovation activities at the Roosevelt and Kennedy Presidential Libraries, to improve services to researchers and the public. We will improve visitor flow and access as part of the National Archives Experience as well as complete the move of permanent and archival records to the new National Personnel Records Center facility in St. Louis County.

**2.6 NARA FEDERAL RECORDS CENTER HOLDINGS IN APPROPRIATE SPACE**

**FY 2011 Objectives**

- Achieve initial occupancy of Denver records storage facility.
- Achieve initial occupancy of National Personnel Records Center (NPRC).
- House 85 percent of NARA’s non-archival holdings in appropriate space.

**Results**

- ✓ We completed site work for the Denver records storage facility.
- ✓ We completed construction and moved more than 600 NARA staff to the new National Personnel Records Center.
- ✓ We occupied new palletized facilities outside of Chicago, IL, and Dayton, OH.

*Discussion:* In accordance with 36 CFR Part 1234, the Archivist is responsible for specifying the facility standard and approval processes that apply to all records storage facilities Federal agencies use to store, service and dispose of their Federal records. In this role, we often advise Federal agencies or inspect their facilities to bring their facility under regulatory storage compliance. We hold our facilities to the same standards.

Over the past two years, we continued to make improvements to or replace regional records centers with the opening of the new NPRC and the lease for a replacement build-to-suit facility for the Denver Federal Records Center. In addition, NARA leased two new palletized storage facilities in appropriate conditions for the storage of records with low reference activity. These are long term projects that span multiple years from design through completion. To satisfy the increasing demand for appropriate space, NARA is working with GSA for the lease of another multi-bay storage facility.

Several upgrade or renovation projects were conducted in FY 2011 to advance NARA in records storage facility compliance. We attained facility certification at one of three facilities in our FRC in Dayton, OH, after mailroom upgrades to achieve fire separation were completed. Working through GSA, we received approval for revised design drawings for upgrades to the Washington National Records Center (WNRC) in Suitland. Work began in late FY 2011. We performed proof-of-concept leak detection work at the FRC in Chicago, using this work as a benchmark for consideration of a similar design to the FRC in San Bruno. In Seattle, GSA contracted for the necessary modifications to bring that facility into compliance with the new standards. We lease these facilities through GSA, who is responsible for contracting the work required to upgrade the facilities. GSA, however, manages a large portfolio of facilities in each region. Communicating and negotiating our priorities against those of other Federal agencies with similar needs often presents scheduling challenges.

To meet our requirements for monitoring the storage of federal records in commercial facilities by other agencies, NARA continued its review and approval process of several commercial facilities submitted by agencies. As part of the review, NARA randomly selected several commercial facilities that had previously been approved based on an agency's certification for a compliance review. During these reviews NARA found very few items that were not in compliance indicating that the agencies are doing a reasonably good review of the facilities for compliance with the standards before submitting them to NARA for approval.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>High Priority Measure: Performance target for percent of NARA records center holdings stored in appropriate space (target 85% by 2012).</i>				100	—	—
Percent of NARA records center holdings stored in appropriate space.	—	—	—	—	62	67

Performance Data	2006	2007	2008	2009	2010	2011
Volume of records center holdings (cubic feet in millions).	25.1	25.7	26.6	27.2	27.6	27.7
Storage price per cubic foot for records center holdings.	\$2.28	\$2.28	\$2.40	\$2.40	\$2.52	\$2.52

*FY 2012 Performance Plan Evaluation* Our Federal Records Centers Program continues to implement infrastructure upgrades and compliant storage solutions as required for Federal temporary records.

2.7 PRESERVATION  
**FY 2011 Objectives**

- ☑ Appropriately treat and remove 90,000 cubic feet of NARA's at-risk archival holdings from preservation backlog.
- ☑ Conduct preservation reviews at six NARA locations.
- ☑ Deploy Holdings Management System (HMS) in three additional regional archives.

**Results**

- ✓ We treated and removed more than 95,000 cubic feet of at risk archival holdings from our preservation backlog.
- ✓ We conducted preservation reviews at three of our regional facilities and at four of our Presidential Libraries.
- ✓ We implemented HMS at our regional archives in Riverside, CA; Fort Worth, TX; New York, NY; Atlanta, GA, and Kansas City, MO.

*Discussion:* NARA's mission is rooted in preserving and providing access to the permanent records of the Federal Government – now, and in the future. Approximately two-thirds of NARA's textual and non-textual records are at risk of not being preserved and available for future generations. We are tackling a wide variety of formats and media in our holdings, from paper records, videotapes, and microfilm, to maps, charts, and artifacts. We consistently examine our holdings to assess their preservation needs, provide storage conditions that retard deterioration, and treat, duplicate or reformat records at high risk for loss or deterioration. Our at-risk records include acetate-based still photography and microfilm, audio recordings that require obsolete equipment, videos, brittle and damaged paper records, and motion pictures.

This year we treated and removed more than 95,000 cubic feet of at-risk holdings from our preservation backlog. We completed work on more than 2,900 cubic feet of special media, performed holdings maintenance work, and transferred a large amount of our at-risk records to offsite cold storage. However, we continue to experience significant increases in new at-risk records, increased demand for digitization, and large increases or shifts in the public demand for use of at-risk records. Although we were able to meet our target this year, balancing the competing demand of limited resources available to enable the preservation of a high number of cubic footage and substantially lowering our preservation backlog remains a significant

challenge. Efforts to improve our progress include the development of a NARA five-year preservation plan to prioritize preservation work on non-textual, special media records at-risk. We continue to focus on implementing efficiencies in work flows, provide storage for electronic records, identify the requirements for holdings maintenance and other preservation actions, and establish contracts for special media formats that we are unable to preserve in-house.

Approximately 57 percent of our preservation backlog consists of holdings in our Presidential Libraries. Many of the at-risk holdings are audiovisual materials that offer priceless insight into the lives of Presidents and their families. These materials typically require more resource intensive preservation treatments, resulting in low volumes of holdings treated. Over the past five years our preservation backlog has grown, primarily due to the transfer of the George W. Bush records and other large bodies of material to our custody. These records, entirely unprocessed, carry varying levels of risk that the staff is addressing through holdings maintenance and other preservation projects.

The implementation of our Holdings Management System (HMS) allows us to better manage the at-risk backlog. HMS provides the capability to record assessments and track the location and progress of treatment of at-risk records. The initial implementation included space management, circulation of records to staff, preservation risk assessment, and work requests for preservation and other activities. We developed this system to address long-standing issues and inefficiencies that we experience with storage and management of hardcopy archival holdings. HMS provides a common, integrated solution that when fully deployed, will provide greater physical control over non-electronic archival holdings across all NARA facilities. We exceeded our goal and deployed HMS at five regional archives facilities (i.e. Riverside, Fort Worth, New York, Atlanta, and Kansas City) in FY 2011, and began preparations for the rollout of HMS to the Anchorage regional archives. As part of the rollout to Atlanta, functionality to allow users to scan shelf and asset barcode tags was deployed, creating the capability to update asset location without manual entry. We also began deployments for motion picture and audiovisual holdings with completion expected in FY 2012.

Initiated in FY 2010, we implemented a program to review preservation aspects of holdings and programs nationwide on a five-year cycle. Preservation program reviews were held at six facilities in FY 2010, and another six (i.e. three regional archives and four Presidential Libraries) in FY 2011. Preservation reviews are the primary mechanism used to identify broad preservation priorities for each NARA storage and access location for original records and holdings. Each review results in a five-year preservation plan with a written summary of findings and preservation priorities. Progress on preservation recommendations are managed and tracked to advance long-term preservation of NARA holdings.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>Performance target for percent of archival holdings that require preservation action.</i>	–	<i>Establish Baseline</i>	≤65	≤65	≤65	≤65
Percent of archival holdings that require preservation action.	–	65	65	65	64	62
Backlog of holdings requiring preservation action (in thousands of cubic feet).	2,182	2,163	2,425	2,571	2,578	2,636
At-risk archival holdings that received preservation treatment this year (thousands of cubic feet).	28	56	125	116	110	79
Cumulative volume of at-risk archival holdings in cold storage (thousands of cubic feet).	90	90	91	93	94	97

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<i>Performance target for NARA's at-risk archival holdings treated and removed from preservation backlog this year (thousands of cubic feet).</i>	–	–	–	–	85	90
NARA's at-risk archival holdings treated and removed from preservation backlog this year (thousands of cubic feet).	–	–	91	46	56	96

*FY 2012 Performance Plan Evaluation* We will continue to treat our at-risk records to prevent loss of historically, valuable information in addition to conducting preservation reviews at six NARA locations. We will deploy HMS at six additional regional archives.

### **Strategic Goal 3: Electronic Records**

*We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era*

#### **Long-Range**

#### **Performance Targets**

3.1 By 2016, 95 percent of archival electronic holdings have been processed to the point where researchers can have efficient access to them.

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.

#### 3.1 PROCESSING ELECTRONIC RECORDS

#### **FY 2011 Objectives**

- Sustain 83 percent of archival electronic holdings processed to the point where researchers can have efficient access to them.
- Migrate remaining legacy holdings eligible for transfer to ERA (Base instance) for Federal records.

#### **Results**

- ✓ We processed 83 percent of our archival electronic holdings to the point where researchers have efficient access to them.
- ✓ We continue to migrate legacy holdings into ERA although challenges persist.

*Discussion* We must guarantee the continuing accessibility of permanent electronic records of all three branches of our Government despite the fact that the volume, variety, and complexity of records coming to the National Archives is increasing. The goal of the Electronic Records Archives (ERA) is to address this changing environment. We understand that the public expects government information and services to be available online and delivered through their channel of choice. To meet these expectations, our holdings must be preserved, available, and accessible by the public online.

We experienced tremendous growth in our electronic holdings in the past ten years, with the sharpest spike seen from 2008 through 2011. Volumes of electronic holdings transferred at the end of the Clinton Administration followed by the Bush Administration, increased NARA's electronic holdings by the end of FY 2010 to more than 100 terabytes, and of those, 83 terabytes managed by ERA. At the end of FY 2011, our total volume of electronic records managed in ERA grew to more than 140 terabytes with 124 terabytes managed in ERA. During this time, the Census Bureau transferred electronic images comprising more than 300 terabytes of data from the 2010 Census. We are currently performing archival verification on this data to begin ingest into ERA in FY 2012.

The number of archival electronic holdings fully processed and available for researcher access increased by slightly more than 3 percent in FY 2011, and conversely, the percent of archival

electronic accessions processed declined. The trends are clear indicators of the impact of substantial increases in the volume of electronic records produced and accessioned. We are making more holdings available to researchers; however, our backlog of unprocessed holdings is also growing. Our ability to process archival electronic records will be enhanced by ERA. As ERA becomes more widely used, our goal is to more efficiently manage electronic records, expediting their availability for use.

After successfully implementing the initial operating capability of ERA in FY 2008, we began migrating accessions from our existing holdings into ERA. We identified an initial set of legacy electronic holdings accessions and have continued to move those electronic holdings along with related metadata in the system. Finally, we run dual operations – both ERA and portions of our legacy systems – as we migrate the remaining legacy holdings to ERA.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>Performance target for percent of archival electronic accessions processed to the point where researchers can have efficient access to them.</i>	80	95	80	80	80	83
Percent of archival electronic accessions processed.	80	81	86	88	88	83
Number of accessions received.	2,010	2,153	2,328	2,476	2,674	2,938
Number of accessions processed.	1,615	1,738	2,004	2,188	2,349	2,429
Unprocessed accessioning backlog (in accessions).	395	415	324	288	325	509
Median time (in calendar days) from the transfer of archival electronic records to NARA until they are available for access.	259	467	2,127*	1,842*	2,209*	274

*\*Processing completed for numerous electronic record holdings received more than 5 years ago.*

*FY 2012 Performance Plan Evaluation* We will continue to migrate data from the legacy media to ERA Base. In addition, we will strive to process new transfers of electronic records using both ERA and our legacy processes for transfers not eligible for ERA processing.

### 3.2 PRESERVING ELECTRONIC RECORDS

#### **FY 2011 Objectives**

- Define and implement criteria and policy for planned levels of service to preserve and make available archival electronic records.
- Preserve 50 percent of archival electronic records at the planned level of service.
- Implement criteria and policy for transforming standard EBCDIC files to ASCII.

#### **Results**

- ✓ We defined the process to document format transformation criteria and requirements in preservation and access plans.
- ✓ We redefined how we will evaluate progress on this measure, eliminating the use of the term “planned levels of service.”
- ✓ We deployed software in ERA with the capability to transform standard EBCDIC to ASCII.

*Discussion* NARA currently provides one level of service for its electronic records: we preserve the records in the format in which we receive them, ensuring that the data remains unchanged and uncorrupted over time. We accomplish this using the ERA system, enabling NARA to preserve permanent holdings. Moving away from the concept of “planned levels of service” which was prone to varying interpretations within NARA, we have outlined a more systematic approach for preserving our records in ERA. We identified criteria for prioritizing formats that require transformation, and will develop a more robust methodology in FY 2012. We have developed technical white papers for a number of NARA’s most vulnerable formats. Following this effort, we plan to complete Preservation and Access Plans for formats most at risk of obsolescence in FY 2012. The plans will allow us to analyze the extent to which we need to transform these records to more sustainable formats. Once priorities are established, we will preserve and maintain permanent electronic records in any format and transform these records to the most appropriate format needed, or to a persistent format or state when possible.

In FY 2011, we implemented the capability for transforming NARA’s standard EBCDIC records to ASCII using ERA. We completed the software development effort, beginning with requirements definition up through the development of actual code. Deployment of EBCDIC to the ASCII transformation solution provides NARA with a benchmark to address preservation of various types of obsolete formats and serves as a guide for future long-term preservation efforts.

*FY 2012 Performance Plan Evaluation* We will assess the digital preservation needs of the archival electronic formats in NARA’s custody and establish criteria to prioritize the development of Preservation and Access plans and implement recommendations for all archival electronic holdings requiring action for long term preservation and accessibility.

### 3.3 COST OF ELECTRONIC RECORDS MANAGEMENT

#### **FY 2011 Objectives**

- Complete ERA Base architecture realignment.
- Identify requirements and conduct software design for meeting Freedom of Information Act (FOIA) requests in the EOP instance of ERA.
- Implement initial phase of transformation (preservation) framework.
- Conduct analysis for handling restricted information in ERA.
- Deploy Online Public Access.
- Award ERA Operations and Maintenance contract.

#### **Results**

- ✓ System enhancements and new hardware were delivered as part of the Increment 3 deployment of the ERA Base.
- ✓ We completed software development for EOP FOIA to include the capability to transfer, ingest, and search electronic records.

- ✓ We developed a strategy that will use the ERA Transformation Framework to transform EBCDIC assets to ASCII for public use.
  - ✓ We deployed Classified ERA (CERA) to manage classified electronic records in a cost-effective manner.
  - ✓ We deployed the Online Public Access prototype to the public.
  - ✓ We awarded the ERA follow on operations and maintenance contract.
- “This is a simpler, faster way to find a variety of NARA records.”*

*Discussion* We successfully developed a strategy using the ERA transformation framework that addresses the capability to plan, execute, and monitor a preservation process on a set of identified assets in EBCDIC, an obsolete, proprietary format, to an open format, ASCII. This is the first step to ensure that ERA stakeholders, customers and the public can access ERA holdings regardless of whether the software used to create the records still exists. We will apply the lessons learned and develop functionality to address preservation of other types of obsolete formats.

We achieved initial operating capability for the ERA Base instance in FY 2008. While we have released several increments with enhancements since that time, we most recently updated the ERA Base instance with newer technology. The newer technology is less dependent on proprietary software and facilitates the evolution of the system in accordance with business process changes and user requirements. ERA will impact nearly all of NARA’s processes for lifecycle management of electronic records. The system will serve as the catalyst for conversion to the target business architecture from the legacy applications NARA currently uses to support the processes for lifecycle management of electronic records. This conversion will include process improvements designed to lower the overall cost of doing business with the public and other stakeholder groups.

NARA developed capabilities to support Freedom of Information Act (FOIA) processing under the terms of the Presidential Records Act (PRA) and the ability to redact copies of records and store the redacted versions with their originals in archival storage. The PRA establishes a process for restriction and public access to these records, allowing public access to Presidential records through FOIA beginning five years after the end of the Administration. In FY 2009, we deployed the Executive Office of the President (EOP) instance of ERA which provides for the transfer, ingest into the system, and search capability for the Bush Administration records now resident in the system. A standalone desktop redaction tool was not procured, but is currently under evaluation for feasibility.

We completed analysis for handling restricted information in ERA. Our analysis included considerations such as designing the classified instance to support incremental deployment, assessing scalability to accommodate larger volumes of classified electronic records, and examining the cost effectiveness of providing the required functionality. Because NARA has electronic records with national security classification levels above the Controlled Unclassified Information (CUI) level, specific storage requirements were also analyzed. Although not in full use, we achieved deployment of a classified instance of ERA.

NARA's flagship initiative in our Open Government plan is to develop online services to meet the 21<sup>st</sup> century needs of the public. NARA's Online Public Access (OPA), is our first step in providing a resource with an improved federated search capability and an enhanced display. OPA is a prototype of the online public portal to our records and information about our records. The OPA prototype provides access to nearly one million electronic records currently in ERA, with more planned in the coming year. OPA searches all web pages on Archives.gov, eliminating the need for researchers to perform separate searches for finding aids or other information related to our records on Archives.gov. Researchers can also search our current online catalog and selected series from NARA's Access to Archival Databases (AAD). We developed a web page that included an [OPA explanatory video](#) describing OPA's purpose and use. Throughout the year we added functionality to refine searches, introduced capability for registered users to save search results to lists, added printer-friendly features for printing brief and full results, public tagging, and enhanced zoom capability. We will move from prototype to full implementation of OPA in FY 2012.

In FY 2011, we awarded a 10-year operations and maintenance contract for ERA. The breadth of responsibilities range from support and maintenance of the development and test environment, performance of corrective and adaptive software maintenance, sustaining engineering, and technology refresh tasks, to all support necessary to maintain the instances. This transition signals the end of ERA development activities and moves us to an operations and maintenance phase.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>Performance target for megabyte cost to manage archival electronic records.</i>	–	–	–	<i>Establish baseline</i>	<\$0.36	<\$0.15
Per megabyte cost to manage archival electronic records.	\$0.43	\$0.37	\$0.39	\$0.36	\$0.15	\$0.12
*Number of terabytes of archival electronic records managed by NARA (includes pre-acquisitioned electronic records).	16.8	17.8	18.2	19.2	100.4**	142.0
Number of terabytes of archival electronic records managed in ERA (includes pre-acquisitioned electronic records).	–	–	–	–	83	124

*\* These figures represent terabytes in the sense more specifically called tebibytes (TiB), the International Electrotechnical Commission standard unit based on a multiplier of 1024 bytes as a measure for a Kilobyte, as opposed to the International System of Units (SI) standard unit, which uses a multiplier of 1000 bytes as a measure for Kilobyte. \*\* Figures prior to FY 2009 do not include ERA.*

*FY 2012 Performance Plan Evaluation* We will mandate ERA use by Federal agencies in scheduling and transferring permanent records to NARA. We will fully implement OPA for public use. We will transition ERA to operations and maintenance.

## Strategic Goal 4: Access

*We will provide prompt, easy, and secure access to our holdings anywhere, anytime*

### Long-Range Performance Targets

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 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.

### 4.1 NARA CUSTOMER SERVICE STANDARDS

#### FY 2011 Objectives

- 94 percent of written requests are answered within 10 working days;
- 94 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
- 88 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
- 91 percent of online archival fixed-fee reproduction orders are completed in 20 working days or less.
- Recommend improvements to government-wide FOIA administration process through the Office of Government Information Services (OGIS).
- Establish mediation program to resolve FOIA disputes.

#### Results

- We answered 95 percent of written requests within 10 working days.

*"This is a gem of a place. I've learned a lot about the process of research."*

- We provided 97 percent of items requested in our research rooms within 1 hour of the request or scheduled pull time.

*“...the fact that you are able to retrieve two specific sheets of paper from one Navy ship that sailed 60 years ago is truly, practically unbelievable...”*

- ✓ We answered 89 percent of Freedom of Information Act (FOIA) requests for Federal records within 20 working days.
- ✓ We completed 96 percent of our online archival fixed-fee reproduction orders in 20 working days or less.
- ✓ We made recommendations to the President on how to improve the FOIA administration process.
- ✓ We facilitated hundreds of disputes without the need to convene formal mediation.

*Discussion* We successfully met or exceeded most of our customer service targets in FY 2011. In our research rooms, our customers received requested research materials within one hour 97 percent of the time. We increased the number of items that we furnished in our research room by 2.5 percent over last year, despite a 3.6 percent decrease in researcher visits, indicating that our researchers are requesting more material at each visit. We responded to customers' written requests within 10 working days 95 percent of the time. Ninety-six percent of the time we responded to online archival reproduction orders within 20 working days and we answered 89 percent of FOIA requests for Federal records within 20 working days. Many staff were challenged with meeting the targets and balancing the work required for multiple tasks and new initiatives. Some of these tasks included the implementation of our Holdings Management System (HMS) at several of our facilities, the migration to our Electronic Records Archives, digital processing initiatives, assistance with tasks associated with an ongoing Inspector General investigation of stolen materials, as well as a staff-driven reorganization of the entire agency. Although we were able to meet our targets, these efforts tested the ability of staff to maintain our high standards of service.

The Office of Government Information Services (OGIS), established in September 2009, reviews policies and procedures of administrative agencies under FOIA, reviews agency compliance with FOIA, and recommends policy changes to the Congress and the President to improve the administration of FOIA. OGIS's mission also includes providing services to mediate disputes between FOIA requesters and Federal agencies, developing an innovative approach to reduce litigation, and improving the FOIA process for the public and the Government. Since establishment of the OGIS, 675 cases out of 764 were closed. Our cases include requests for dispute resolution for specific FOIA requests as well as more general inquiries. None of the cases that OGIS has handled to date have resulted in formal mediation. Harvard Law School Negotiation and Mediation Clinical Program approved an OGIS project proposal to assist OGIS in developing methods to evaluate our effectiveness.

In February 2011, OGIS sent recommendations to the President on how to improve the FOIA administration process. To help set up a formal mediation program, OGIS consulted with experts inside and outside the government to develop requirements and had hoped to bring in additional expertise through a detailee from another agency. We were not able to do that in FY 2011, but expect to do so in FY 2012.

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<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>Performance target for written requests answered within 10 working days.</i>	95	90	91	92	93	94
Percent of written requests answered within 10 working days.	97	95	94	95	93	95
<i>Performance target for Freedom of Information Act requests for Federal records completed within 20 working days.</i>	90	85	86	87	87	88
Percent of Freedom of Information Act requests for Federal records completed within 20 working days.	87	88	89	86	89	89
Number of FOIAs processed (Federal and Presidential).	8,889	12,406	13,485	17,512	15,771	17,182
Annual cost to process FOIAs (in millions).	\$2.62	\$2.72	\$2.34	\$2.76	\$2.97	\$3.16
Annual per FOIA cost.	\$295	\$219	\$173	\$158	\$189	\$184
<i>Performance target for items requested in our research rooms furnished within 1 hour of request or scheduled pull time.</i>	95	95	90	93	94	94
Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	96	86	93	93	96	97
Number of researcher visits to our research rooms (in thousands).	132	136	140	129	137	131
Number of items furnished in our research rooms (in thousands).	421	520	577	553	564	578
Number of items furnished on time in our research rooms (in thousands).	405	449	538	515	539	560
<i>Performance target for archival fixed-fee reproduction orders through SOFA are completed in 20 (35 pre-2007) working days or less.</i>	85	85	85	90	90	91
Percent of archival fixed-fee reproduction orders through SOFA are completed in 20 (35 pre-2007) working days or less.	84	72	68	90	96	96
Average per order cost to operate fixed-fee ordering.	\$28.74	\$26.67	\$30.59	\$38.06	\$40.49	\$39.59
Average order completion time (days).	14	17	22	18	13	13

*FY 2012 Performance Plan Evaluation* We expect to meet or exceed our published standards for customer service. The Office of Government Information Services (OGIS) will continue planning a formal mediation program. OGIS will implement an information technology solution to manage OGIS cases.

**4.2 ONLINE ACCESS TO ARCHIVAL HOLDINGS**

**FY 2011 Objectives**  Meet 65 percent of the 2012 target for archival holdings accessible online.

**Results**  We achieved 81 percent of the 2012 target for making archival holdings accessible online.

*Discussion* The Obama Administration issued the *Open Government Directive* which promotes new lines of communication and cooperation between the Federal Government and the American people. In response to the directive, and with input from both NARA staff and the public, we crafted NARA's *Open Government Plan*. Our flagship initiative, *Develop Online Services to meet our 21<sup>st</sup> Century Needs*, addresses the following four areas of focus: a social media strategy, improved search capabilities, a website designed for staff and public participation, and a strategic approach to digitization.

We actively engage in four major strategies to increase the amount of archival material that we provide online. These strategies include partnerships to digitize selected traditional archival material, collecting existing digital copies of traditional archival material, exploring innovative NARA-led projects for digitizing archival material, and making electronic records which are “born digital” available online, as appropriate. In FY 2011, we added 81,000 1940 Census maps and enumeration district descriptions, 8,000 pages of the Report of the Office of the Secretary of Defense Vietnam Task Force (Pentagon Papers), 68 full length digitized films from the Clinton Library, nearly 2,000 digitized films held by our Motion Pictures office and 4,300 NARA images from the Mercury and Gemini projects. This is only a sampling of the digital copies of records added to our online catalog.

NARA holds the records of the 1940 Census, scheduled for public release on April 2, 2012. The Census release is widely anticipated by the genealogical and family history communities with the expectation that users will be able to search the information on the Internet. The 1940 Census schedules were transferred to NARA custody in microfilm format and could have been made available for use in that format. In keeping with government-wide goals, however, NARA decided to create opportunities for expanded online access to Census information by digitizing the microfilmed 1940 schedules. NARA’s digitization lab completed digitizing 3.8 million 1940 Census schedules, maps, and enumeration district descriptions. The maps and enumeration district descriptions were added to NARA’s Online Public Access portal this year. We are on target to open the records to the public in April 2012.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>Performance target for percent of archival holdings accessible online.</i>	–	–	–	–	.30	.65
Percent of traditional archival holdings available online.	–	–	.04	.04	.6	.8
Percent of electronic archival holdings available online.	2.1	1.6	1.4	1.3	1.4	TBD
<i>Performance target for percent increase in online catalog visits.</i>	–	–	10	10	–	–
Percent increase in online catalog visits.	-11	15	131	-6	-4	9
Number of online catalog visits (in thousands of visits).	254	291	671	631	603	657

*FY 2012 Performance Plan Evaluation* We will continue to increase the number of archival holdings accessible online, whether through NARA or our partners. We will open the 1940 Census records to the public.

#### 4.3 ONLINE CATALOG

##### **FY 2011 Objectives**

- Describe 75 percent of NARA traditional holdings in the online catalog.
- Describe 75 percent of NARA artifact holdings in the online catalog.
- Describe 75 percent of NARA electronic holdings in the online catalog.

- Results**
- ✓ We described 71 percent of NARA traditional holdings in the online catalog.
  - ✓ We described 78 percent of NARA artifact holdings in the online catalog.
  - ✓ We described 96 percent of NARA electronic holdings in the online catalog.

*Discussion* NARA’s online catalog provides descriptions of holdings, artifacts, and electronic records in the custody of the National Archives. The online catalog is a comprehensive, self-service, catalog of descriptions of our nationwide holdings. The catalog contains more than 5 million descriptions and links to more than 400,000 digital images of some of our most sought after archival materials. Each year we progress to make more of our holdings accessible online, however, it is difficult to consistently improve due to the sheer volume of records received each year. We anticipate that full capacity of our current description system ranges between 8 and 10 million descriptions, and descriptive metadata received from our partners has already surpassed this limitation. In FY 2010, we awarded a contract for a new description tool that would provide for the addition to NARA’s catalog of all metadata and images created by our partners. We are developing the next generation descriptive service that will allow us to add millions of descriptions and digital objects to the online catalog.

We began using new software that allowed us to reduce the time needed to prepare images for the catalog by 90 percent. This time savings enabled us to increase the number of digital objects in the catalog by over 160 percent. Additional storage to provide access to the digital copies created at NARA, and eventually, to those created through our digitization partnerships is needed. As part of OPA, we procured a storage solution and will be working with the new ERA operations and maintenance contractor to develop processes to add new digital content in FY 2012.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>Performance target for traditional holdings in an online catalog.</i>	50	55	60	65	70	75
Percent of traditional holdings in an online catalog.	51	56	64	70	70	71
Number of traditional holdings described in an online catalog (millions of cubic feet).	1.7	1.9	2.4	2.7	2.8	3.0
Number of traditional holdings in NARA (millions of cubic feet). *	3.3	3.3	3.7	3.9	4.0	4.2
<i>Performance target for artifact holdings in an online catalog.</i>	50	55	60	65	70	75
Percent of artifact holdings in an online catalog.	57	57	61	74	78	78
Number of artifact holdings described in an online catalog (thousands of items).	309	309	353	465	466	466
Number of artifact holdings in NARA (thousands of items).	544	544	582	628	600	600
<i>Performance target for electronic holdings in an online catalog.</i>	20	55	60	65	70	75
Percent of electronic holdings in an online catalog.	98	99	98	95	96	96

Number of electronic holdings described in an online catalog (billions of logical data records).	4.5	4.7	5.4	6.4	6.7	6.9
Number of electronic holdings in NARA (billions of logical data records).	4.6	4.7	5.5	6.7	6.9	7.2
Number of online catalog users (in thousands of visits).	254	291	671	631	603	657

\* The figures for traditional holdings are less than reported in previous years by about 3,600 cubic feet (1/10<sup>th</sup> of 1 percent) due to the re-allocation of a collection stored at the Library of Congress.

*FY 2012 Performance Plan Evaluation* We will continue to expand our online holdings and the percentage of our holdings described in our online catalog. The new description tool will be available to staff, replacing the existing data entry system for the online catalog. We will expand OPA's storage capacity.

#### 4.4 WEB SITES

##### FY 2011 Objectives

- ❑ Improve NARA's score against the benchmark for excellence by 3 percentage points.
- ❑ Implement *Archives.gov* in new content management system.

##### Results

*"The site index. It cuts my search time to minimal. Nicely organized..."*

- ✓ We successfully launched a redesigned *Archives.gov* website.
- ✓ We launched NARA@work, NARA's internal web site, in the new content management system.

*Discussion* NARA measures our success in providing excellent web sites to ensure our customers experience straightforward and effortless access to our services and information. We use the American Customer Satisfaction Index (ACSI) to determine how satisfied our online customers are with our web sites. The ACSI helps us to measure satisfaction by customer groups (e.g. genealogists, veterans, educators, students, etc.) and use this valuable feedback to understand their experience on our web sites. We identify customer-focused strategies to develop, modify, or remove web content to improve customer satisfaction levels. We apply this benchmark for excellence to our *archives.gov* web site and compare it against other Federal Government portal sites as a gauge to understand how we compare to other agencies.

We launched the redesigned *archives.gov* web site in early FY 2011. Past history shows that satisfaction scores typically go down immediately after a redesign as customers become acquainted with the new design. We noticed a decline in our third quarter where our score dropped to 69 percent, lowering our average to 72 percent. Contrary to the score results, we won the 2011 ClearMark award in the category of dynamic media - public sector. We were recognized for clearly identifying key audiences, for having a simple to use site, easy access to top tasks, and having a clean look and feel.

The survey invitation to assess customer satisfaction of our public web site presents randomly to two percent of visitors who view three or more pages. Dissatisfaction is noted among our veteran customers seeking to obtain their military service records primarily through eVetRecs. Feedback indicates that there may be difficulty in using the application. We will monitor

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customer feedback to determine if the newness of the site is a factor in our decreased score, or if other factors, account for this feedback.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
Online visits to NARA's web sites (in thousands).	31,897	34,871	37,807	37,470	39,036	33,600
<i>Performance target NARA web site scores as percent of benchmarked score for other Federal web sites.</i>	–	–	<i>Establish baseline</i>	67	72	75
Percentage point improvement in web sites scores.			–	3	5	-2
Web sites score at or above the benchmark for excellence as defined for Federal government web sites.*	69	67	66	69	74	72

\* Website score reflects data up through the third quarter. Fourth quarter ACSI data is typically available in December.

*FY 2012 Performance Plan Evaluation* To improve workflow we will implement *archives.gov* in a new content management system. NARA@work will be redesigned to reflect the transformed agency structure.

## Strategic Goal 5: Civic Literacy

*We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs*

### Long-Range

### Performance Targets

5.1. By 2016, 90 percent of NARA's visitors are satisfied with their visit experience.

5.2 By 2016, a minimum of 85 percent of NHPRC-assisted projects produce the results required, employing rigorous standards and milestones approved by the Commission.

### 5.1 CUSTOMER SATISFACTION WITH OUR PROGRAMS

#### FY 2011 Objectives

- 86 percent of NARA education program visitors are satisfied with their visit.
- 86 percent of NARA exhibit visitors are satisfied with their visit.
- 86 percent of NARA public program visitors are highly satisfied with their visit.
- Identify and establish priorities on recommendations from FY 2010 AASLH study results.
- Identify and establish priorities on recommendations from longitudinal study of the Public Vaults.

#### Results

*"Best interactive history site I've seen in awhile!"*

*"What a blessing to all generations past and present to have this history preserved."*

*"I consider the Digital Vaults to be an effective way to engage students with change over time..."*

- ✓ We have more than 10,000 registered users using DocsTeach.
- ✓ We reached an 89 percent overall satisfaction rate by museum visitors with their visit to the exhibits at the National Archives Building based on results from the AASLH Survey coupled with the Public Vaults Survey.
- ✓ We met the expectations of nearly 100 percent of visitors rating our public programs.
- ✓ We analyzed the results of the FY 2010 AASLH survey.
- ✓ We received the results for the Public Vaults survey where feedback was compared to a study completed five years earlier.

*Discussion:* Our monthly workshop, *The Federal Register: What It Is and How To Use It,* is a means of educating the public and Federal agency regulation-writers about the Federal regulatory

process embodied in the Federal Register Act and the Administrative Procedure Act, with an aim towards increasing participation in the notice-and-comment process, and improving regulation-writing.

The Presidential Libraries play a vital role in promoting an understanding not only of the Presidency, but also American history and democracy. Our Presidential Libraries host robust museum, outreach, and education programs. From Hoover through Clinton, the museums offer thought-provoking and entertaining permanent exhibits that combine documents and artifacts, photographs and film to immerse visitors in the sights and sounds of the past. While each Library has its own unique initiatives, they also collaborate on system-wide efforts to educate the public. The Libraries create programs for the public and student classrooms centered around such topics as presidential decision making. Throughout our Libraries we conduct special workshops and teacher outreach programs, and programs for adults and families.

The Presidential Libraries support open government through a variety of social media tools that encourage two-way conversations with our audiences. Web 2.0 tools in use include social networking sites, blogging, microblogging, media sharing, and a mobile application that all serve to extend online and mobile access to the Presidential Libraries. Simultaneously, these communication channels provide more opportunities for the public to learn about Presidential Library holdings, public programs, and educational content.

We want to gain insight to the degree in which our exhibits and programs have had a meaningful impact on visitors and participants. We received feedback on two surveys in FY 2011 – the AASLH survey and a longitudinal survey of our Public Vaults. The AASLH survey focused on the visitor experience and the degree to which our exhibits and programs have had a meaningful impact. Initial review suggests that while overall performance remains strong, there are areas of improvement to be explored – especially in how we communicate with our visitors.

The longitudinal survey compared feedback with the previous study of the Public Vaults completed five years earlier. We are on schedule to complete analysis of the data in early FY 2012 and adjust business practices to improve visitor experience and satisfaction rates, if the data suggests a need.

Data from the FY 2011 AASLH survey coupled with the Public Vaults survey reveal that most museum visitors are satisfied with their visit to the exhibits and satisfaction significantly increases when the Public Vaults are included in the visit. The data indicates that the public feels more welcomed, has an improved perception of staff and volunteers, shows increased satisfaction with navigating the facility, and suggests that visitors' wait times to enter the building and the Rotunda have decreased. The ratings also increased in several areas because visitors were stimulated, learned new information, and felt the exhibits and materials were trustworthy. We will closely analyze the results to identify indicators for improvement. To improve the overall satisfaction level, we are taking measures now to gather more specific feedback from visitors in key areas in FY 2012. We want to understand, for example, what people learned, how they felt about the overall presentation, and their reactions to the exhibits. Obtaining this information will enable us to better understand visitors' expectations. In addition, the National Archives Experience Phase II is a project to create space for a new exhibit gallery at the National Archives in Washington, DC. With renovations planned for the research center and exhibit gallery in the next two years, we expect to significantly improve the experience of our visitors.

Performance Data	2006	2007	2008	2009	2010	2011
Number of physical visitors to NARA museums, exhibits, research rooms and programs (in millions).	3.1	3.2	3.2	3.6	3.6	4.0
Percentage of NARA education program visitors satisfied with their visit.	–	–	–	–	85	86
NARA education program visitors satisfied with their visit.	–	–	–	–	–	–
Percentage of NARA exhibit visitors satisfied with their visit.	–	–	–	–	85	86
NARA exhibit visitors satisfied with their visit.	–	–	–	–	–	–
Percentage of NARA public program visitors satisfied with their visit.	–	–	–	–	85	86
NARA public program visitors satisfied with their visit.	96	96	97	97	99	99

*FY 2012 Performance Plan Evaluation* We will implement prioritized recommendations from the FY 2010 AASLH study results and recommendations from the 2011 longitudinal study of the Public Vaults. We will complete renovations to the research center as part of National Archives Experience Phase II renovation activities.

## 5.2 NHPRC-ASSISTED PROJECTS

### FY 2011 Objectives

- ☑ 85 percent of all NHPRC-assisted grants produce the results expected.

### Results

*“Providing free online access to these rare documents will help Americans gain insight into critical figures who created our country...”*

- ✓ Nearly 84 percent of all NHPRC-assisted grants successfully reached their goal and produced the results expected.

*Discussion:* The National Historical Publications and Records Commission (NHPRC), a statutory body affiliated with the National Archives, supports a wide range of activities to preserve, publish, and encourage the use of documentary sources relating to the history of the United States. The NHPRC grant programs fund projects that promote the preservation and use of America’s documentary heritage essential to understanding our democracy, history, and culture.

In FY 2011, the NHPRC closed 98 grant projects with an 84 percent success rate. The NHPRC employs a rigorous competitive review process to determine which projects receive funds. Grant recipients come from a host of communities including colleges and universities, state, local, and tribal government archives, and nonprofit organizations. Grant projects typically range in duration from one to three years; therefore, grants awarded in any given year will not yield results until the following year at the earliest.

The NHPRC is challenged with managing grantee performance of typically more than 260 ongoing projects at any given time. To meet the challenge of managing performance of projects at various stages in the grant process, the NHPRC continues to seek ways to improve communication—specifically to applicants and grantees—about NHPRC programs, specific performance objectives, and general expectations of all Federal grantees to continuously improve our success rate. The NHPRC also provides guidance and oversight of overall grant management requirements to ensure grantees understand the relationship between achieving project objectives and careful financial management. In FY 2011, we introduced new guidance to enhance grantees’ capacity to meet their performance and financial management requirements.

In FY 2011, a total of 61,500 cubic feet of archival collections were preserved by NHPRC funded projects. The NHPRC also supported the publication of six volumes of documentary editions. In addition, an electronic records project that developed a preservation strategy for 1.2 million logical data records was completed.

The NHPRC continues to develop the web resource, *Founders Online*, a multi-year undertaking to place online over 170,000 historical documents from the nation’s Founding Era. When completed in FY 2015, the public will be able to access the full, annotated transcriptions of the papers of John Adams, Benjamin Franklin, Alexander Hamilton, Thomas Jefferson, James Madison, and George Washington. Our principal partner, the University of Virginia, is gathering materials, designing a user-friendly website, and testing it with users. A preliminary version of the website will be available to the public in June 2012.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>Performance target for percent of all NHPRC-assisted grants produce the results expected.</i>	–	–	–	–	82	85
Percent of all NHPRC-assisted grants produce the results expected.	88	86	81	82	92	84

*FY 2012 Performance Plan Evaluation* We expect to launch the public version of the Founders Online website ([www.founders.archives.gov](http://www.founders.archives.gov)) by June 2012.

## Strategic Goal 6: Infrastructure

*We will equip NARA to meet the changing needs of our customers*

### Long-Range

### Performance Targets

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 that of the Civilian Labor Force (CLF).

6.3. By 2016, 60 percent of NARA's positions are filled within 80 days.

6.4. By 2016, NARA's telework rate is 100 percent of the Federal Government average rate.

6.5. By 2016, public network applications are available 99 percent of the time.

### 6.1 DEVELOPING EMPLOYEES

#### FY 2011 Objectives

- Maintain 95 percent of staff development plans linked to strategic outcomes.
- Maintain 95 percent of employee performance plans linked to strategic outcomes.
- Identify core competencies for 60 percent of NARA's occupations.

#### Results

- ✓ We maintained 75 percent of staff development plans linked to strategic outcomes.
- ✓ We maintained 91 percent of employee performance plans linked to strategic outcomes.
- ✓ We identified core competencies for nearly 61 percent of NARA's occupations.

*Discussion:* Each year we align employee performance plans and staff development plans to our agency's mission and strategic goals. These plans document the connection between the work of an employee and how it ties, either directly or indirectly to the agency's mission, and in large part, to the NARA Strategic Plan.

Staff use the development plans to identify training requirements, navigate career paths, experience different parts of the organization, understand Government operations, or close or narrow skill gaps in core competencies. Having the internal staff capabilities to execute the strategies in our strategic plan is vital to the success of the plan and the achievement of our mission. However, in FY 2011, we did not meet our targets for all staff to have performance plans and staff development plans because of the significant movement of staff during NARA's restructuring.

To ensure that we have the staff capacity that we need both now and in the future, we are systematically examining NARA’s mission critical occupations and using this as the groundwork to improve many human capital functions. As competency requirements are identified, we use them as the basis for recruitment, selection, performance management, training, succession planning, and staff development.

For NARA, competency models describe the set of skills, knowledge, and abilities necessary for successful performance in a given job. We developed competency based assessments using tools such as occupational questionnaires and interview guides. We found that implementing tools such as these expedites assessments and postings. Our initial competency work focused on competency models for mission critical occupations in the archival series. In FY 2011, we expanded our competency development work to other critical positions. We developed a comprehensive rollout plan to prioritize competency modeling work throughout FY 2012 and beyond. Adhering to an aggressive schedule, we held numerous competency modeling focus groups and developed competency models and assessment content for NARA occupations across the agency. Our experiences last year taught us ways to improve and streamline the competency modeling process. Leaders throughout the agency are enthusiastic about the potential to decrease the time-to-hire based on the availability of assessments. Competency modeling allows us to increase efficiency, consistency, and continuity across our human resource systems, while also enabling NARA to identify and close the gaps between the competencies employees possess with those required for a job.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<i>Performance target for percent of permanent staff having staff development plans that link to strategic outcomes.</i>	95	95	95	95	95	95
Percent of permanent staff having staff development plans that link to strategic outcomes.	76	96	88	67	71	75
Number of permanent staff having staff development plans that link to strategic outcomes.	1,970	2,373	2,223	1,748	1,920	2,075
Number of permanent staff who should have a staff development plan.	2,579	2,481	2,516	2,598	2,693	2,751
<i>Performance target for percent of staff having performance plans that link to strategic outcomes.</i>	95	95	95	95	95	95
Percent of staff having performance plans that link to strategic outcomes.	95	97	98	96	97	91
Number of staff having performance plans that link to strategic outcomes.	2,530	2,480	2,510	2,570	2,734	2,613

*FY 2012 Performance Plan Evaluation* NARA will continue to develop competency modeling and adhere to best practices that ensure high quality competency definitions and performance standards.

**6.2 EQUAL EMPLOYMENT OPPORTUNITY**

**FY 2011 Objectives**

- Increase the number of employees in underrepresented groups relative to their representation in the CLF.
- Increase by 5 points the percent of positive responses to Annual Employee Survey (AES) questions referencing workforce diversity.

## Results

- ✓ The percent of employees in three underrepresented groups increased in their representation rates.
- ✓ Our positive responses to Annual Employee Survey questions referencing workforce diversity improved by 0.61 percentage points.

*Discussion:* NARA strives to achieve a workforce that reflects the demographics of our nation's diverse workforce. This objective relates directly to a major goal in our Strategic Human Capital Plan, "Sustain a productive, diverse workforce and achieve results by valuing and recognizing performance in an environment in which all employees are encouraged to contribute." A diverse workforce enhances our agency by ensuring that we can draw from a variety of viewpoints and experiences to improve planning and actions we take to achieve our mission and goals. In our underrepresented groups (i.e. Women, Black/African American, Latino/Hispanic, Asian, Native Hawaiian /Pacific Islander, American Indian/Alaskan Native, and persons with targeted disabilities), we achieved modest increases in representation in three groups – Asians, Latinos/Hispanics, and American Indian/Alaskan Natives. The percentage increases have been marginal for these groups. In only one of these groups, American Indian/Alaskan Native, we have met our target. We also met or exceeded our target for Blacks and Hawaiian/Pacific Islanders.

We continued to focus on improving our performance in hiring and promoting people in underrepresented groups through efforts to expand recruiting techniques. NARA's efforts in this area are guided by our annual Federal Equal Opportunity Recruitment Program (FEORP) plan. The FEORP contains multi-year strategic goals that together form the foundation of NARA's recruitment strategy for women and minorities. The plan also includes an annual Hispanic Employment Program plan, as mandated by the Office of Personnel Management. The FEORP plan contains 16 strategies designed to increase the number of women and minorities – especially Latino/Hispanics – who currently constitute 1.67 percent of our workforce. We continued with a program initiated several years ago through which we host interns for our Summer Diversity Internship Program, placing a particular emphasis on groups and organizations that support the Hispanic community. In addition, we established a "Diversity Champions" initiative this year, with 31 staff serving as Diversity Champions, who volunteer their time to help identify and attend local diversity recruitment and outreach events, and to make recommendations for improving NARA's diversity and outreach efforts.

NARA participates in the annual, government-wide Employee Viewpoint Survey administered by OPM as part of their ongoing effort to assess and improve human capital management in the Federal government. The survey is designed to measure Federal employees' perceptions about how effectively agencies are managing their workforces. Analysis shows that NARA employees continually express dissatisfaction in the area of promoting diversity in the workplace. We analyze the responses to four specific questions that reference workforce diversity to determine employee perception. This year, we witnessed a slight increase – 0.61 percent – in the rate of positive responses to diversity questions. Improving employee perceptions and attitudes about diversity is a complex and multi-faceted proposition that will require sustained effort over the course of many years. To strengthen NARA's focus on diversity, we created a Diversity and Inclusion Division within our Office of Human Capital. Our goal is to develop a diversity and inclusion strategic plan for the agency as well as launch a formal, agency-wide mentoring program. We also developed a strategic plan for the recruitment, hiring, and retention of

individuals with disabilities. In an effort to fully engage managers and supervisors in NARA's diversity efforts, new critical elements focused on diversity were added to their responsibilities to help NARA build stronger working relationships between supervisors and employees and cultures of accountability for managing performance. We will continue to assess our progress and remain diligent in our efforts to create a workforce more reflective of the diversity of our nation.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
Number of applicants.	5,040	4,690	5,559	6,362	6,803	8,735
Number of applicants in underrepresented groups.	1,790	1,744	2,515	2,808	647	TBD
Percent of applicants in underrepresented groups.	36	37	45	44	23	TBD
Number of qualified applicants.	2,315	2,857	3,099	3,735	4,027	6,678
Percent of qualified applicants in underrepresented groups.	53	42	52	48	31	TBD
Number of best qualified applicants.	—	1,001	1,533	1,643	1,488	1,495
Percent of best qualified applicants in underrepresented groups.	—	51	52	48	27	TBD
Number of applicants hired.	256	236	334	309	199	116
Percent of applicants hired in underrepresented groups.	51	50	49	57	44	TBD
<i>Percent of Civilian Labor Force rate used to determine if underrepresented groups met employment target.</i>	80	90	100	100	100	100
Underrepresented groups of employees meeting target (checkmark indicates target met or exceeded)						
– Women						
– Black	✓	✓	✓	✓	✓	✓
– Latino-Hispanic						
– Asian American						
– Hawaiian/Pacific Islander						✓
– American Indian/Alaskan Native	✓	✓	✓	✓	✓	✓
– Targeted disability						

*FY 2012 Performance Plan Evaluation* Improving performance in hiring and promoting people in underrepresented groups is an ongoing effort to achieve a workforce reflective of the society in which we live. When applying for NARA jobs, applicants are no longer using NARA's paper form where they have the option to answer questions about race, national origin, and gender. Instead, applicants are using OPM's online application, *USA Jobs*. We will work with OPM to capture this data to better understand the diversity of NARA's pool of applicants. We will develop a NARA Diversity and Inclusion Strategic Plan.

**6.3 RECRUITING EMPLOYEES**

**FY 2011 Objectives**

- 40 percent of NARA's positions are filled within 80 days.
- Fully implement an automated hiring solution.
- Implement NARA hiring reform action plan.

**Results**

- ✓ We filled 9 percent of NARA’s positions within 80 days.
- ✓ We fully implemented USA Staffing for NARA’s automated hiring solution.
- ✓ We successfully implemented NARA’s hiring reform action plan.

*Discussion:* The Presidential Memorandum – *Improving the Federal Recruitment and Hiring Process*– issued by the Obama Administration, directed agencies to overhaul the way Federal Government recruits and hires the civilian workforce. As part of the Administration’s agenda to implement comprehensive recruitment and hiring reform, agencies were specifically required to improve the quality and speed of the hiring process.

NARA strives to be a model for hiring efficiency and customer service among small Federal agencies. We implemented a hiring reform action plan that addresses all of the government-wide hiring reform requirements including improving the quality and speed of the hiring process, adopting streamlined hiring procedures, providing training for hiring managers and having hiring managers more involved in and accountable for the hiring process. An effective hiring process increases NARA’s ability to reach the best talent in a competitive market. It mitigates the risk of lost opportunity, which happens when potential candidates accept positions elsewhere because of the lengthy hiring time.

The Federal standard for “time-to-fill” is 80 days, starting from the hiring manager’s initial request to fill a vacancy to the employee’s start date. NARA is committed to meeting this standard; however, we must continue to work to improve our current status. In 2011, it took an average of 144.2 days to fill a position. This is an improvement from our 2010 average of 152.2 days. To improve the hiring process, NARA fully implemented an automated hiring solution using *USA Staffing*, the Office of Personnel Management’s (OPM) staffing tool. *USA Staffing*, a web-enabled software, completely automates NARA’s recruitment, assessment, referral, and notification processes. This hiring solution transformed our manual, labor-intensive application process to a cost-effective, user-friendly hiring environment. It allows applicants to apply for NARA positions on-line and provides applicants with instant application acknowledgement and status updates. To further improve the hiring process, NARA is migrating to a new personnel system, *the Federal Personnel & Payroll System (FPPS)*, hosted by the Department of the Interior (DOI) National Business Center (NBC), and *Quicktime*, an integrated payroll and timekeeping system. We also plan to pilot the use of Open Continuous announcements for high turnover positions at select NARA sites.

<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
Number of applicants.	5,040	4,690	5,559	6,362	6,803	8,735
Number of applicants hired.	256	236	334	309	199	
Average number of days to fill position.	–	–	–	–	152.2	144.2
<i>Performance target for percent of NARA’s positions filled within 80 days.</i>	–	–	–	–	30	40
Percent of NARA’s positions filled within 80 days.	–	–	–	–	12	9

*FY 2012 Performance Plan Evaluation* We will continue to improve the quality and speed of the hiring process.

6.4 NONTRADITIONAL WORK ARRANGEMENTS

**FY 2011 Objectives**  15 percent of NARA’s eligible staff participates in the telework program.

**Results**  Twenty-three percent of NARA’s eligible staff participates in the telework program.  
*“I am able to have a solid day a week of uninterrupted work.”*

*Discussion:* Non-traditional work arrangements are valuable tools to enhance the quality of employee work life. In addition, telework is a tool we can use to help recruit potential candidates, retain talented staff, and improve the productivity of our workforce. A significant number of NARA's staff are ineligible to telework due to the nature of their work. For example, staff that handle classified materials or are in positions that require face-to-face personal contact, are ineligible to participate. Of the 29 percent of staff that are eligible, 23 percent are participating.

In November 2010 we hired a Worklife Wellness Coordinator/Telework Program Manager. Following guidance of the Telework Enhancement Act, the Coordinator drafted a comprehensive telework directive, which will be revised in FY 2012. The directive will make the process, participation, and training easier to understand and follow for both employees and supervisors.

In an effort to better identify those *positions* that are eligible for telework (instead of those *employees* eligible), we will work to build a classification library and ensure that a statement is included in all newly developed or newly revised positions descriptions to indicate whether a *position* is eligible. After we migrate to a new personnel system, the Federal Payroll and Personnel System (FPPS) – a human resource information system – in April 2012, we will be able to identify specific work units that do not have reasonable telework participation rates and offer constructive intervention tactics.

<b>Performance Data</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
Percent of NARA’s staff eligible to telework.	–	28	26
<i>Performance target for percent of NARA’s eligible staff in telework program.</i>	–	15	15
Percent of NARA’s eligible staff participating in the telework program.	–	16	23
Number of telework hours worked by NARA employees (in thousands).	–	63.8	112.9

*FY 2012 Performance Plan Evaluation* We will issue a revised telework directive and we will identify positions that are eligible for telework to more accurately track telework participation rates.

6.5 INFORMATION TECHNOLOGY

- FY 2011 Objectives**
- Public network applications are available 98.86 percent of the time.
  - Conduct the Local Area Network (LAN) services review and implement upgrades as necessary.
  - Conduct cloud-based pilot e-mail solution with GSA and OMB.

- Results**
- ✓ Public network applications are available 99.6 percent of the time.
  - ✓ We upgraded our storage network infrastructure, NARA's server environment, and *Remedy*, the tool used to track our help desk work.
  - ✓ We explored partnership options to conduct the cloud-based pilot e-mail solution.

*Discussion:* We rely heavily on technology to conduct business with the public, to perform our jobs, and to facilitate communications. Our technological tools are essential resources that we use to communicate with our customers, provide access to digital records and research, and create venues for customers to visit our facilities and experience our exhibits through virtual worlds. The tools offer flexibility and consistency in work processes and operations.

NARA hosts several applications that are available to the public through the Internet. These systems support a variety of business applications and must be available to the public at all times. The requirements of both NARA's customers and staff using our public network applications necessitates that these tools remain stable, secure, and continuously available (i.e. 24 hours a day and 7 days a week). System upgrades and scheduled maintenance do require us to take systems off-line; however, we target off-peak times to lessen the impact to our customers. Maintaining this level of efficiency requires monitoring of our resources and services to ensure optimal performance. Last year we exceeded our target to ensure availability of public network applications.

Our public network availability fell below 100 percent, to 99.8 percent, for the first time in five years due to an unscheduled outage at Archives II in September. To address this issue, we are conducting research on solutions to provide redundant Internet access. Also, a redesign of critical DNS infrastructure is underway to ensure it is also redundant.

In addition to supporting NARA's public network applications and ensuring their security, the successful implementation and deployment of many NARA initiatives is dependent upon a robust, reliable, stable, scalable, and high performing technology infrastructure. To provide this infrastructure and based on the results of our services review, we implemented a storage network infrastructure and upgraded NARA's server environment and *Remedy*. We implemented wireless capability at seven of the remaining eight Presidential Libraries. The Franklin D. Roosevelt Library could not be upgraded this year due to the facility's renovation, but will gain wireless capability in FY 2012.

We took steps toward performing a pilot program for a cloud-based e-mail program, to determine technical issues and challenges. When our partner informed us that it would be unable to fulfill its obligations described in the inter-agency agreement, we began exploring new partnership options, but also ran into roadblocks. We will continue to look into potential partnership opportunities with other agencies who have successfully completed a migration to cloud e-mail. Additionally, we will consider options for deploying our own cloud e-mail solution directly with a solution provider.

**National Archives and Records Administration**  
 Performance and Accountability Report, FY 2011

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<b>Performance Data</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
Percent of public network availability.	100	100	100	100	100	99.8
<i>Performance target for percent availability of public applications.</i>	98.9	98.80	98.83	98.84	98.85	98.86
Percent of public network applications availability.	98.9	99.4	99.5	99.5	99.7	99.5
Number of total hours that any public network application was unavailable.	830	504	424	414	305	459
Percent of customers highly satisfied with NARA helpdesk services (average for year).	–	65	83	87	87	83

*FY 2012 Performance Plan Evaluation* We will continue expanding our technological infrastructure by finishing implementation of wireless capability at the remaining Presidential Libraries. For the cloud-based e-mail pilot, we will continue exploring partnership opportunities with other agencies or a solution directly with a solution provider.

## FY 2011 PROGRAM EVALUATIONS

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

Government Accountability Office, GAO-11-605, *Social Media: Federal Agencies Need Policies and Procedures for Managing and Protecting Information They Access and Disseminate*, June 2011

This audit served to review Federal agencies' use of commercially provided social media services. Specifically, the objectives were to (1) describe how Federal agencies are currently using commercially provided social media services, and (2) determine the extent to which Federal agencies have developed and implemented policies and procedures for managing and protecting information associated with this use. There is one recommendation associated with this report, which remains open.

### **Strategic Goal 3: Electronic Records**

Office of Inspector General, OIG Report 11-08, *Management Letter: Electronic Records Archive Lacks Ability to Search Records' Contents*, January 5, 2011

This management letter describes to the Archivist concerns with the ability of ERA users to conduct a content search of the system's electronic records. There are no specific recommendations in this management letter.

Office of Inspector General, OIG Report 11-12, *Management Letter: Limitations on the ability to ingest, search and access records in the Electronic Records Archives*, May 4, 2011

This management letter describes to the Archivist concerns with limitations on the ability to ingest, search and access records in the Electronic Records Archives. There are no specific recommendations in this management letter.

Office of Inspector General, OIG Report 11-13, *Management Letter: Potential LMC Award Fee for the Period April 1, 2010-September 30, 2010 for the Electronic Records Archives Development Contract*, June 15, 2011

This management letter describes to the Archivist concerns with the potential award fee for Lockheed Martin Corporation for the period April 1, 2010-September 30, 2010 for the Electronic Records Archives development contract. There are no specific recommendations in this management letter.

Office of Inspector General, OIG Report 11-16, *Advisory Report: Implementation Status of the Electronic Records Archives System Requirements*, July 15, 2011

This management letter describes to the Archivist concerns with the implementation status of Electronic Records Archives system requirements. There are no specific recommendations in this management letter.

Government Accountability Office, GAO-11-86, *Electronic Records Archives: National Archives Needs to Strengthen Its Capacity to Use Earned Value Techniques to Manage and Oversee Development*, January 2011

The purpose of this audit was to assess whether NARA is adequately using earned value management (EVM) techniques to manage the acquisition for the Electronic Records Archives (ERA) and to evaluate the earned value data to determine ERA's cost and schedule performance. There are eight recommendations associated with this audit, all of which remain open.

Government Accountability Office, GAO-11-299, *Electronic Government: National Archives and Records Administration's Fiscal Year 2011 Expenditure Plan*, March 2011

The purpose of this audit was to review the Fiscal Year 2011 Electronic Records Archives (ERA) funding plan to determine whether the plan satisfies legislative conditions; to determine the extent to which NARA has implemented prior GAO recommendations; and to provide any other observations on the plan or the ERA acquisition. There are six recommendations associated with this audit, all of which remain open.

### **Strategic Goal 5: Civic Literacy**

Office of Inspector General, OIG Report 11-03, *Audit of NARA's Oversight of Selected Grantees' Use of Grant Funds*, February 16, 2011

The objective of this audit was to determine whether management controls are adequate to ensure (1) grants are properly administered, (2) grant goals and objectives are met, and (3) grant funds are adequately accounted for and appropriately used. There are four recommendations associated with this audit, all of which remain open.

### **Strategic Goal 6: Infrastructure**

Office of Inspector General, OIG Report 11-01, *Audit of NARA's Movement of Freight*, November 3, 2010

The objective of this audit was to determine if controls are effective and efficient to ensure that NARA obtains the best value and most economical prices for the movement of freight. There are three recommendations associated with this audit, two of which remain open.

Office of Inspector General, OIG Report 11-02, *Network Vulnerability Assessment and Penetration Testing*, October 18, 2010

The Inspector General contracted with Clifton Gunderson LLP to conduct vulnerability assessment and penetration testing of NARA's internal and external network infrastructure and environment. The purpose of this testing was to assist NARA in the protection of its IT infrastructure, environment, and digital assets.

Office of Inspector General, OIG Report 11-05, *Audit of NARA's Security Guard Contract for AI and All*, February 18, 2011

The purpose of this audit was to determine whether NARA was properly administering the security contract for the physical protection of the NARA properties located in Washington, DC, and College Park, MD, and whether the contractor was performing in accordance with contract requirements. There are seven recommendations associated with this audit, six of which remain open.

Office of Inspector General, OIG Report 11-06, *Audit of the NARANet Server Upgrade Project*, November 30, 2010

The objective of this audit was to assess whether the NARANet Server Upgrade Project was developed in accordance with NARA requirements and system development was adequately managed and monitored to ensure requirements were met in the most economical and efficient manner. Additionally, the audit focused on the decision to upgrade to the latest versions of Novell products. There are seven recommendations associated with this audit, all of which remain open.

Office of Inspector General, OIG Report 11-07, *Audit of NARA's Photocopier Security*, March 22, 2011

The objective of this audit was to determine if appropriate security measures were in place to safeguard and prevent inappropriate release of sensitive information and Personally Identifiable Information (PII) residing on NARA photocopiers that contain hard drives. There are seven recommendations associated with this audit, all of which remain open.

Office of Inspector General, OIG Report 11-09, *Audit Memorandum: Follow-up of NARA's Work at Home System (WAHS)*, January 31, 2011

The objective of this audit was to determine whether the RSA tokens were fully used; whether terminated employees were still assigned tokens for remote access; and whether token holders were susceptible to social engineering. There are no specific recommendations associated with this audit.

Office of Inspector General, OIG Report 11-10, *Audit of the Controls over Inappropriate Personal Use of the Internet at NARA*, March 9, 2011

The objective of this audit was to assess the effectiveness of the controls and procedures NARA has in place to fully implement its policy over the staff's usage of the internet.

Office of Inspector General, OIG Report 11-14, *Audit of NARA's Foreign and Premium Travel*, July 7, 2011

The objective of the audit was to determine whether premium and foreign travel was appropriately authorized and properly managed in accordance with Federal Travel Regulations (FTR) and agency policies. There are six recommendations associated with this audit, all of which remain open.

Office of Inspector General, OIG Report 11-15, *Audit of NARA's Drug Testing Program*, July 7, 2011

The objective of this audit was to determine whether controls were adequate to facilitate an effective drug testing program.

Office of Inspector General, OIG Report 11-17, *Audit of the Trusted Internet Connections Initiative at NARA*, September 30, 2011

The purpose of this audit was to assess NARA's efforts to meet the Trusted Internet Connections (TIC) initiative and determine whether NARA had adequately prepared and planned to meet the goals of the TIC initiative.

Office of Inspector General, OIG Report 11-18, *Management Letter: Continued Security Concerns at AI and All*, August 2, 2011

This management letter describes to the Archivist concerns with the failure to implement appropriate corrective action in response to the audit recommendations in OIG No. 11-05. There are no specific recommendations in this management letter.

Office of Inspector General, OIG Report 11-19, *Management Letter: Review of Applied Polymorphism Subcontract Costs*, August 11, 2011

This management letter brings to the Archivist's attention a contracting situation that may place NARA at risk for improper and unsupported payments to a contractor. There are two audit reports to follow at a later date.

Office of Inspector General, OIG Report 11-20, *Audit of NARA's Telework Policy*, September 30, 2011

The objective of this audit was to determine whether NARA is fully capitalizing on the identified benefits of telework and administering its telework program in accordance with Federal regulation and NARA policy.

Office of Inspector General, OIG Report 11-21, *Review of Costs for Lockheed Martin Corporation Subcontracts with Applied Polymorphism, LLC*, September 30, 2011

Pursuant to a request made by NARA's ERA contracting officials, the OIG completed a review of selected aspects of subcontracts awarded to Applied Polymorphism, LLC. This is the first of two reports detailing results of the review of subcontract costs. A second report, to be issued in FY 2012, will contain a discussion of other aspects of the contract, such as the selection used by Lockheed Martin and subcontract deliverables.

Office of Inspector General, OIG Report OI 11-01, *Management Letter: Unsupported Desktop Operating System*, June 28, 2011

The purpose of this management letter is to advise the Archivist on the results of an inquiry into whether the desktop operating software used to operate most of the PCs on NARA's network would no longer receive software updates including critical security upgrades. There are no specific recommendations in this management letter.

## **Multi-Goal Evaluations**

Office of Inspector General, OIG Report 11-04, *Cotton & Company, Independent Auditor's Report on Internal Control*, November 12, 2010

The Inspector General contracted with Cotton & Company to conduct an audit of NARA's FY 2010 financial statements. There are four recommendations associated with this audit, all of which remain open, as well as several pending from prior year reports.

Government Accountability Office, GAO-11-15, *National Archives and Records Administration: Oversight and Management Improvements Initiated, but More Action Needed*, November, 2010

The objective of this audit was to assess NARA's effectiveness in overseeing the governmentwide management of records. There are six recommendations associated with this audit, all of which remain open.

Government Accountability Office, GAO-11-20, *Information Security: National Archives and Records Administration Needs to Implement Key Program Elements and Controls*, November, 2010

The purpose of this audit was to determine whether NARA has effectively implemented appropriate information security controls to protect the confidentiality, integrity, and availability of the information and systems that support its mission.

Government Accountability Office, GAO-11-390, *National Archives: Framework Governing Use of Presidential Library Facilities and Staff*, February 2011

The purpose of this audit was to describe the principal laws, regulations, and NARA policies that govern library-foundation relationships and the appropriate use of library facilities and staff. There are no specific recommendations associated with this audit.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, March-April 2011

The office conducted an inspection at the National Archives Building in Washington, DC. The inspection resulted in three findings, all of which remain open with planned completion dates in FY 2012.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, April 2011

The office conducted an inspection at the San Bruno Records Center in San Bruno, CA. The inspection resulted in three findings, two of which remain open with planned completion dates in FY 2012.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, July 2011

The office conducted an inspection at the Herbert Hoover Library in West Branch, IA. The review resulted in two findings, with responses due in the first quarter of FY 2012.

Office of Presidential Libraries, *Program Review*, March 2011

The office conducted a program review of the Presidential Materials Staff in Washington, D.C. The review resulted in fifteen findings, all of which remain open.

Office of Presidential Libraries, *Program Review*, April 2011

The office conducted a program review of the George W. Bush Library in Lewisville, TX. The review resulted in twenty-four findings, all of which remain open.

## Federal Records Management Evaluations

Under 44 U.S.C 2904(c)(8), the Archivist of the United States is required to report to Congress and the Office of Management and Budget (OMB) annually on the results of records management activities. NARA fulfills this requirement through the Performance and Accountability Report. This report focuses on Federal agency activities related to identifying, scheduling, and transferring electronic records to NARA, as well as reporting on allegations of unauthorized disposal or removal of Federal records. We also recognize the two agencies that received special awards for effective records management at NARA's Records Administration Conference (RACO) in May 2011.

### ***Records Management Achievement***

In FY 2011, NARA presented Archivist Achievement Awards to the Department of Agriculture, Risk Management Agency (RMA), and to the National Mediation Board (NMB). Both agencies have demonstrated success in implementing innovative technological solutions to electronically managing electronic records.

RMA has deployed a Sharepoint electronic recordkeeping solution to more than 500 users in 27 locations around the country. Their system, called eRMS (Electronic Records Management System), manages the capture, maintenance, categorization, and disposition of electronic records. It is a model that other agencies can follow that includes a strong training program with mandatory re-training requirements.

NMB received an award for its mature electronic recordkeeping solution designed for a paperless office called the Corporate Memory System (CMS). For the past six years, all records have been created and maintained in the CMS, with no new paper records created. Filing into CMS is mandatory and they are pushing toward 100% compliance. To help accomplish this, a performance evaluation element for managers includes successful enforcement of staff using the CMS. The retention periods in the system aligns to a 2005 NARA-approved big-bucket schedule for all electronic records in the agency.

### ***Agency Records Management Self-Assessments***

In 2009, we developed a methodology and a process for conducting and reporting oversight activities on Federal agencies' records management programs. This methodology includes inspections, agency self-assessments, surveys, studies, and other tools for collecting and reviewing information about Federal records management activities. NARA's annual records management self-assessment is one such oversight mechanism. The goal of the records management self-assessment is to measure how effective Federal agencies are in meeting the statutory and regulatory requirements for records management. The self-assessment gathers data about agencies' records management policies and practices.

In May 2010, we issued a second records management self-assessment. We distributed the self-assessment to 270 Federal agencies and received 251 completed responses for a response rate of 93 percent. The report on the FY 2010 self-assessment is available at <http://www.archives.gov/records-mgmt/pdf/rm-self-assessment.pdf>.

In May 2011, we issued the third annual second records management self-assessment. This time we distributed the self-assessment to 279 Federal agencies and received 247 completed responses for a response rate of 89 percent. This year's self-assessment focused on agencies' oversight of

their records management activities and the transfer of permanent records to NARA. We also conducted more extensive validation of agencies' responses to 13 questions. The report on the FY 2011 self-assessment will be published on the NARA website in early FY 2012.

### ***Records Management Inspections***

Under 44 U.S.C 2904(c)(7) and 2906, NARA is authorized to inspect the records management programs of Federal agencies for the purpose of recommending improvements. NARA currently inspects a limited number of agencies annually, targeting highly significant aspects of the agency's records management program.

In 2011, NARA completed inspections of two important components of the Department of Defense: the Office of the Secretary of Defense (OSD) and the National Geospatial-Intelligence Agency (NGA). NARA's inspection report for each agency, including findings and recommendations, is available at: <http://www.archives.gov/records-mgmt/resources/inspections.html>.

#### ***OSD Inspection***

The OSD inspection covered three high-profile elements of the agency's records management program. The first involved recordkeeping practices in the Office of the Under Secretary of Defense for Intelligence [OUSD(I)]. The second was Evault, an "electronic archives" used by OSD for both e-mail and electronic files on the shared drive. The final element was the Executive Archives, a body of largely permanent, high-level OSD policy records in electronic format, and a separate collection of scanned copies of similar records.

NARA's inspection report presented a number of findings and made nine recommendations for actions by OSD. An important finding was that some OSD offices are not regularly storing e-mail records in a records management application (or printing and filing) or consistently ensuring the proper disposition of electronic records on shared drives. To address this issue, the report recommended that OSD submit a plan to NARA outlining how proper management will be carried out for the e-mails and shared-drive files in Evault.

In FY 2011, OSD submitted, and NARA approved, an Action Plan for carrying out the report's recommendations. In FY 2012 and later, NARA will track OSD's execution of the recommendations and provide advice on this effort.

#### ***NGA Inspection***

The NGA inspection focused on the transfer of permanent hard copy map products from NGA to the physical and legal custody of NARA. The inspection also included a review of NGA's records management program, particularly as it operates within the Directorates responsible for developing map products.

NARA's inspection report presented a number of findings and made 19 recommendations for actions by NGA, including one regarding NGA locating legacy maps in its holdings and transferring them to NARA. The report also requires NGA to provide a report of a major flood in 1993 of the St. Louis facilities of NGA's predecessor agency, the Defense Mapping Agency, during which permanently valuable maps may have been lost.

During the first quarter of FY 2012, NGA will be submitting its Action Plan to address these recommendations. Electronic versions of hard copy map products and any unique electronic products will be covered by a separate inspection and subsequent report scheduled for completion in FY 2012.

### ***Records Management Guidance***

NARA develops policy guidance on records creation, management, and disposition that drives continuous improvement of management of Federal records and information. During FY 2011, NARA developed guidance on managing records created on Web 2.0 and social media platforms, maintenance of mixed media case files, and maintenance of records created in a telework environment.

NARA promulgated a [Bulletin](#) that provides guidance on managing records produced when Federal agencies use web 2.0/social media platforms for Federal business and further expands on NARA's existing web guidance. The Bulletin discusses how open and transparent government increasingly relies on the use of these technologies, and as agencies adopt these tools, how they must comply with all records management laws, regulations, and policies. The Bulletin also details the records management challenges associated with the use of web 2.0/social media and discusses potential strategies for addressing them.

NARA promulgated a [Bulletin](#) that provides agencies with guidance about the records management implications when records in various types of media are intermixed in one file (e.g., case files consisting of part hardcopy and another part electronic). The Bulletin defines mixed media, reminds agencies of lifecycle management requirements for electronic records per NARA regulations, discusses how Federal agencies are currently creating and managing mixed-media files, and details some of challenges associated with mixed-media files.

NARA promulgated a records management [FAQ](#) in support of Office of Personnel Management (OPM) statutory requirements detailed in the Telework Enhancement Act of 2010. The FAQ reiterates basic records management guidance from NARA to agencies and their employees that applies in a telework environment.

### ***Electronic Records Scheduled***

In FY 2011, NARA continued its partnerships with Federal agencies to increase the number of electronic records series and systems scheduled across the Government and to increase the number of permanent electronic records transferred to the National Archives. Continuing the approach begun in 2004 following the passage of the E-Government Act of 2002, NARA concentrated on the important electronic records of the CFO Act agencies to ensure that all existing records are scheduled even though the September 30, 2009, deadline established by NARA in accordance with the Act has passed. NARA's continuing efforts to monitor agency electronic record scheduling progress (as described in NARA Bulletin 2010-02) will ensure that agency business assets are maintained for as long as needed to protect the legal and financial rights of the Government and its citizens, and to preserve records of enduring historical value.

In FY 2011, NARA continued to provide support to agencies to help them schedule their electronic records. For FY 2011, NARA set a goal to work with Federal agencies to schedule 902 electronic records series and electronic systems from the following CFO Act agencies and their components and bureaus. Additionally, as part of the FY 2011 deployment of NARA's Electronic Records Archives (ERA) system, NARA required these agencies to use ERA to submit their records schedules to NARA:

Department of Homeland Security  
 Department of Health and Human Services  
 Department of Transportation  
 Department of Justice  
 Department of the Treasury  
 Environmental Protection Agency  
 Department of Commerce  
 Department of Interior  
 Department of Education  
 Department of Agriculture  
 Department of Labor  
 Central Intelligence Agency  
 Department of Defense  
 Department of State  
 Nuclear Regulatory Commission

As of September 30, 2011, NARA met 114 percent of this goal, and approved schedules for 1,031 electronic systems and series of records. Although the deployment of ERA to all Federal agencies will not be completed until the end of FY 2012, in FY 2011, NARA established a baseline for records scheduled submitted in ERA of 54 records schedules, from which NARA will work with agencies to increase beginning in FY 2012.

NARA will continue to advocate for the scheduling of electronic records, including requesting data from agencies on their scheduling efforts consistent with NARA Bulletin 2010-02. As of the date of this report, we are in the process of reviewing submissions from agencies to determine where follow up or supplemental information is needed. NARA views electronic record scheduling as an ongoing activity and we will continue to provide oversight, guidance, and training to ensure that all Federal agencies are compliant with the requirements in NARA Bulletins and the E-Government Act.

***Electronic Records Transferred to NARA***

In FY 2011, NARA registered 257 transfers of permanent electronic records from 51 separate agencies, which represents an increase of 65 transfers from FY 2010. Forty-four percent of all electronic records transfers in FY 2011 were received through the ERA system. The table below lists the agencies that have transferred electronic records to the National Archives for permanent preservation in FY 2011.

<b>Agency</b>	<b>Number of Transfers Received FY 2011</b>
Administration on Aging	1
Agency for Health Care Research and Quality	1
Agricultural Marketing Service	3
Agricultural Research Service	1
Bureau of Labor Statistics	2

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<b>Agency</b>	<b>Number of Transfers Received FY 2011</b>
Bureau of Naval Personnel	1
Bureau of Public Debt	1
Bureau of Reclamation	1
Census, Bureau of the	32
Centers for Disease Control and Prevention	7
Central Command	1
Citizenship and Immigration Services, U. S.	1
Defense Information Systems Agency	1
Defense, Office of the Secretary of	3
Department of Justice	2
Department of State	3
Education, Department of	1
Environmental Protection Agency	16
Equal Employment Opportunity Commission	4
Executive Office of the President	8
FBI	30
Federal Aviation Administration	4
Federal Communications Commission	3
Federal Highway Administration	1
Federal Railroad Administration	1
Federal Reserve System	16
Food and Drug Administration	1
Foreign Agriculture Service	2
Health Resources and Services Administration	4
Housing and Urban Development, Department of	2
Labor-Management Services Administration	1
Marine Corps	1
Mine Safety and Health Administration	1
National Aeronautics and Space Administration	67
National Agricultural Statistics Service	7
National Geospatial - Intelligence Agency	1
National Institute of Standards and Technology	1
National Labor Relations Board	1
National Mediation Board	1
National Oceanic and Atmospheric Administration	2
National Park Service	1
National Science Foundation	2

Agency	Number of Transfers Received FY 2011
Nuclear Regulatory Commission	1
Office of Surface Mining	1
Office of the Judge Advocate General (Army)	1
Patent and Trademark Office	1
Small Business Administration	1
Temporary Committees, Commissions and Boards	4
U. S. Attorneys	6
U.S. Information Service	1
USGS	1
<b>TOTAL</b>	<b>257</b>

***Alleged Unauthorized Disposition of Federal Records***

Under 44 USC 3106, Federal agencies are required to notify the Archivist of the United States of any alleged unauthorized disposition of the agency’s records. NARA also receives notifications from other sources such as the news media and private citizens. NARA establishes a case to track each allegation and communicates with the agency until the issue is resolved. Summary statistics on FY 2011 cases are as follows:

Open cases, start of FY 2011: 28  
 Cases opened in FY 2011: 12  
 Cases closed in FY 2011: 7  
 Open cases, end of FY 2011: 33

Of the 33 cases open at the end of FY 2011, nine cases are involved in ongoing litigation and three cases are under investigation by the agency. NARA monitors the status of these cases and is not reporting them here. Table 1 lists the 21 cases that are open and are pending action by the agency or review by NARA. Table 2 lists the seven cases closed in FY 2011.

**Table 1: Open cases pending agency action or NARA review**

Case Opened	Agency	Records	Status
August 1998	<b>Dept. of Army,</b> Office of Deputy Chief of Staff for Operations and Plans	Records of action officers	Pending agency response or follow-up
March 1999	<b>Dept. of Interior,</b> Bureau of Indian Affairs	Records of Crow Agency, Montana	Pending agency response or follow-up
July 2007	<b>Federal Labor Relations Authority</b>	Records of FLRA Chair	Pending agency response or follow-up
April 2008	<b>Dept. of Defense,</b>	Video recordings of	Pending NARA review

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<b>Case Opened</b>	<b>Agency</b>	<b>Records</b>	<b>Status</b>
	Office of Secretary of Defense	interrogations	
May 2008	<b>Dept. of Defense,</b> Defense Intelligence Agency	Video recordings of interrogations of terrorism suspect	Pending agency response or follow-up
December 2008	<b>Dept. of Defense,</b> Office of the Secretary of Defense	Documents relating to torture issue	Pending agency response or follow-up
February 2009	<b>Dept. of Homeland Security</b>	Hard copies of Secretary's briefing books	Pending agency response or follow-up
August 2009	<b>Federal Trade Commission</b>	Consumer complaint letters	Pending NARA review
November 2009	<b>Dept. of Defense,</b> Office of Secretary of Defense	E-mail and electronic records of Coalition Provisional Authority, Iraq	Pending agency response or follow-up
November 2009	<b>Dept. of Veterans Affairs</b>	Records destroyed by flood	Pending agency response of follow-up
March 2010	<b>Dept. of Interior,</b> Bureau of Indian Affairs, Office of the Special Trustee for American Indians	Records at agency locations in western U. S.	Pending agency response or follow-up
June 2010	<b>Securities and Exchange Commission</b>	Matter Under Inquiry files	Pending agency response or follow-up
August 2010	<b>Dept. of Interior,</b> Bureau of Indian Affairs, Office of the Special Trustee for American Indians	Records in agency facility in Albuquerque, NM	Pending agency response or follow-up
October 2010	<b>Dept. of Labor,</b> Bureau of Labor Statistics	LabStat electronic records	Pending NARA review
December 2010	<b>Dept. of Energy</b>	Oil shale research records	Pending NARA review
February 2011	<b>Dept. of Health and Human Services</b>	E-mail of the Secretary	Pending agency response or follow-up
April 2011	<b>Dept. of Energy</b>	Records relating to Yucca Mountain site	Pending agency response or follow-up
April 2011	<b>Dept. of Homeland Security</b>	Water-damaged records of Office of Intelligence & Analysis	Pending agency response or follow-up
April 2011	<b>Dept. of Homeland Security,</b> Federal Emergency Management Agency	Remedial Action Management Program records	Pending agency response or follow-up
August 2011	<b>Dept. of Justice,</b>	U.S. Attorney subject files	Pending NARA review

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Case Opened	Agency	Records	Status
	Executive Office for U.S. Attorneys		
September 2011	<b>Securities and Exchange Commission</b>	Investigative case files	Pending agency response or follow-up

Table 2 covers cases of alleged unauthorized disposition closed in FY 2011. The table specifies those allegations that are founded, for which the agency takes corrective action to prevent additional unauthorized dispositions.

**Table 2: Cases closed in FY 2011**

Case Opened	Agency	Records	Resolution
January 2010	<b>Dept. of Agriculture,</b> Food and Nutrition Service	Records relating to food stamp program	Allegation not founded
February 2010	<b>Dept. of Justice,</b> Office of Legal Counsel	E-mail records	Allegation founded - corrective action taken
July 2010	<b>Environmental Protection Agency</b>	E-mails concerning contaminated site, Nebraska	Allegation founded - corrective action taken
October 2010	<b>Dept. of Justice,</b> Executive Office for U.S. Attorneys	U.S. Attorney records from 12 Districts	Allegation founded - corrective action taken
October 2010	<b>Dept. of Labor</b>	Office of Workers Compensation Programs case file	Allegation not founded
February 2011	<b>Environmental Protection Agency</b>	Radiation and Indoor Environments National Laboratory records	Allegation founded - corrective action taken
March 2011	<b>Dept. of Justice,</b> Federal Bureau of Investigation	Buffalo Field Office file	Allegation founded - corrective action taken

## Definitions

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

<b>Goal 1</b>		<b>Our Nation's Record Keeper</b>	
Federal agency reference request		A request by a Federal agency to a records center requesting the retrieval of agency records.	
<b>Goal 2</b>		<b>Preserve and Process</b>	
Accession		Archival materials transferred to the legal custody of NARA.	
Appropriate space		Storage areas that meet physical and environmental standards for the type of materials stored there.	
At-risk		Records that have a media base near or at the point of deterioration to such an extent that the image or information in the physical media of the record is being or soon will be lost, or records that are stored on media accessible only through obsolete or near-obsolete technology.	
Declassification Program review		An evaluation by the Information Security Oversight Office (ISOO) of the declassification aspects of an executive branch agency's security classification program to determine whether an agency has met the requirements of Executive Order 13526. The review may include the appropriateness of agency declassification actions, the quality of agency actions to identify classified equities of other agencies, and the appropriateness of agency action to exempt records from automatic declassification based upon application of declassification guidance or the application of file series exemptions approved by the Interagency Security Classification Appeals Panel (ISCAP). The results of a declassification program review, along with any appropriate recommendations for improvement, are reported to the designated agency senior official for Executive Order 13526.	
Equity-holding agency		An agency that may have classified information in a document, whether or not it created the document. Without providing a waiver for the declassification of its equities, only the equity-holding agency can declassify information in the document.	
<b>Goal 3</b>		<b>Electronic Records</b>	
Gigabyte		An International System of Units (SI) standard unit. A measure of computer data size. A gigabyte is one thousand megabytes, 1,000 <sup>3</sup> bytes.  Referred to as gibibyte when using the <b>International Electrotechnical Commission standard unit</b> based on a multiplier of 1024 bytes as a measure for a Kilobyte.	
Logical data record		A set of data processed as a unit by a computer system or application independently of its physical environment. Examples: a word processing document; a spreadsheet; an email message; each row in each table of a relational database or each row in an independent logical file database.	
Megabyte (Mb)		An International System of Units (SI) standard unit. A measure of computer data size. A megabyte is one million bytes, 1,000 <sup>2</sup> bytes.	

Referred to as mebibyte when using the **International Electrotechnical Commission standard unit** based on a multiplier of 1024 bytes as a measure for a Kilobyte).

Preserved (1) The physical file containing one or more logical data records has been identified and its location, format, and internal structure(s) specified; (2) logical data records within the file are physically readable and retrievable; (3) the media, the physical files written on them, and the logical data records they contain are managed to ensure continuing accessibility; and (4) an audit trail is maintained to document record integrity.

Terabyte (Tb) An International System of Units (SI) standard unit. A measure of computer data size. A terabyte is one million megabytes, 1,000<sup>4</sup> bytes

Referred to as tebibyte when using the **International Electrotechnical Commission standard unit** based on a multiplier of 1024 bytes as a measure for a Kilobyte.

<b>Goal 4</b>	<b>Access</b>
Artifact holdings	Object whose archival value lies in the thing itself rather than in any information recorded upon it.
Electronic holdings	Born digital records on electronic storage media.
Logical data record	A set of data processed as a unit by a computer system or application independently of its physical environment. Examples: a word processing document; a spreadsheet; an email message; each row in each table of a relational database or each row in an independent logical file database.
Online visit	One person using our web site is counted as one "visit." It is a count of the number of visitors to our web site, and is similar to counting the number of people who walk through our front door. In contrast, it does not count "hits," which refers to the number of files used to show the user a web page. A visit in which a user accessed a web page comprising 35 files would count as 1 visit and 35 hits. Counting visits is a more accurate way of showing how much use our web site is getting than counting hits.
Traditional holdings	Books, papers, maps, photographs, motion pictures, sound and video recordings, and other documentary material that are not stored on electronic media.
Written requests	Requests for services that arrive in the form of letters, faxes, email 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.

<b>Goal 6</b>	<b>Infrastructure</b>
Applicant	Any U.S. citizen who completed an application for a specific position.

Leadership position	A supervisory position at grade GS-13 or above and non-supervisory positions at grade 15 or above.
NARANET	NARANET is the primary general support system of NARA, providing standard desktop applications, email and calendaring functions, network transport and Internet access to NARA staff and support personnel.
Staff development plan	An individualized plan to enhance employees' knowledge, skills, and abilities and improve performance in their current jobs or of duties outside their current jobs, in response to organizational needs and human resource plans.
Underrepresented groups	Groups of people tracked by the U.S. Equal Employment Opportunity Commission: Minority groups (Black/African American, Latino-Hispanic, Asian, Native Hawaiian/Pacific Islander, and American Indian/Alaskan Native); Women; People with Disabilities.

