FISCAL YEAR 2005

ANNUAL PERFORMANCE PLAN

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Revised Final
January 11, 2005

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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

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

To ensure ready access to essential evidence, the National Archives and Records Administration (NARA) establishes policies and procedures for managing U.S. Government records. We assist and train Federal agencies in documenting their activities, administering records management programs, scheduling records, and retiring non-current records to regional records services facilities for cost-effective storage. We appraise, accession, arrange, describe, preserve, and make available to the public the historically valuable records of the three branches of Government. We manage a nationwide system of Presidential libraries, records centers, and regional archives. We administer the Information Security Oversight Office, which oversees the Government's security classification program, and make grants to non-Federal institutions to support historical documentation through the National Historical Publications and Records Commission. We publish the *Federal Register, Statutes at Large,* Government regulations, and Presidential and other public documents.

We serve a broad spectrum of American society. Genealogists and family historians; veterans and their authorized representatives; academics, scholars, historians, and business and occupational researchers; publication and broadcast journalists; the Congress, the Courts, the White House, and other public officials; Federal Government agencies and the individuals they serve; state and local government personnel; professional organizations and their members; supporters' groups, foundations, and donors of historical materials; students and teachers; and the general public all seek answers from the records we preserve.

To be effective, we must determine what evidence is essential for documentation, ensure that Government creates such evidence, and make it easy for users to access that evidence regardless of where it is, or where they are, for as long as needed. We also must find technologies, techniques, and partners worldwide that can help improve service and hold down costs, and we must help staff members continuously expand their capability to make the changes necessary to realize our goals.

Our Mission:

NARA ENSURES, FOR THE CITIZEN AND THE PUBLIC SERVANT, FOR THE PRESIDENT AND THE CONGRESS AND THE COURTS, READY ACCESS TO ESSENTIAL EVIDENCE.

Our Strategic Goals:

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

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

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

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

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

These goals and the strategies to achieve them are detailed in *Ready Access to Essential Evidence: The Strategic Plan of the National Archives and Records Administration, 1997-2008*, updated and reissued in September 2003. This annual performance plan is based on the goals, strategies, and long-range performance targets in our Strategic Plan, and builds on FY 2004 accomplishments. It details the actions and outcomes that must occur in FY 2005 for us to move forward on meeting the goals and targets in our Strategic Plan. In addition to listing performance goals and measures for evaluating our performance, the plan describes the processes, skills, and technologies, and the human, capital, and informational resources needed to meet the year's performance goals. We received no aid from non-Federal parties in preparing this plan.

Following is a summary of the resources, by budget authority, we have requested to meet our FY 2005 objectives. Our budget is linked to the performance goals in this plan.

Operating Expenses	$264,809,000
Electronic Records Archives	$35,627,000
Repairs/Restorations	$13,325,000
Grants	$4,960,000
Total Budget Authority	$318,721,000
Redemption of Debt	$8,488,000
Total Appropriation	$310,233,000
Total FTE	2,870

This is a high-level summary of our resource requirements. The numbers are linked to strategic goals in the pages that follow.

We continue using four mechanisms to measure actual performance: (1) periodic management reviews, (2) formal audits of operations, (3) expansion and refinement of our performance measurement system, and (4) systematic sampling of measurement system effectiveness. In FY 1999 we deployed our agency-wide Performance Measurement and Reporting System (PMRS). This system allows us to define and consistently measure data critical to the analysis of our performance objectives. Every year we integrate and expand the system further so that our strategic performance is measured using more of a balanced scorecard approach for tracking cycle times, quality, productivity, cost, and customer satisfaction for our products and services.

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

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

We must succeed in reaching our goals because the National Archives and Records Administration is not an ordinary Federal agency. Our mission is to ensure that Government officials and the American public have ready access to essential evidence, and this mission puts us at the very heart of homeland security, continuity of government, public trust, and the national morale. Whether publishing the emergency *Federal Register*, protecting the critical records assets of Federal agencies nationwide, serving American's veterans, solving the challenge of saving electronic information across space *and time*, or displaying our nation's Charters of Freedom—the Declaration of Independence, the Constitution, and the Bill of Rights—to inspire the American public, NARA plays a critical role in keeping America safe, secure, and focused on our democratic ideals. This performance plan is our 2005 road map for meeting the great expectations of our nation.

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

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

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

FY 2000 Resources Available to Meet This Goal:	$14,690,000; 136 FTE *
FY 2001 Resources Available to Meet This Goal:	$18,050,000; 144 FTE *
FY 2002 Resources Available to Meet This Goal:	$19,921,000; 150 FTE *
FY 2003 Resources Available to Meet This Goal:	$16,368,000; 141 FTE
FY 2004 Resources Available to Meet This Goal:	$17,607,000; 140 FTE
FY 2005 Resources Available to Meet This Goal:	$17,936,000; 143 FTE

Resources include a portion of the dollars and FTE for Goal 5.

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

FY 05 Projected Performance

- Deliver the results promised on 95 percent of targeted assistance partnership projects.

- Survey Federal agencies to establish baseline percentage of agencies that view their records management programs as a positive tool for asset and risk management.

- Increase by 10 percent the number of records management training participants who are taking a NARA records management course for the first time.

- Conduct a records management study.

Outcome   Federal agencies can economically and effectively create and manage records necessary to meet business needs. Records are kept long enough to protect rights and assure accountability. Records of archival value are preserved.

Significance   We must protect records from the time of their creation to ensure their accessibility for as long as they are needed to meet the needs of Government agencies and the public. Moreover, better front-end records management will help agencies fulfill their legal responsibilities for recordkeeping and will result in more efficient and responsive records and information services, which will improve performance and save money for the agencies themselves and the Federal Government as a whole.

Means and Strategies Based on the strategies and tactics we put forth in our *Strategic Directions for Federal Records Management*, we are creating mutually supporting relationships with agencies that advance agency missions and effective records management. We are demonstrating that effective records management adds value to agency business processes, and our guidance, training, and assistance to agencies focuses on using records management as an important tool for supporting agency business processes.

In FY 2004, we developed criteria and internal procedures for records management studies with the objective of finding and validating best practices. We will use these studies to focus on cross-Government issues and to identify and analyze best practices and develop Government-wide recommendations and guidance. Studies will usually involve multiple agencies within a related line of business or function. In exceptional cases, there might be one agency whose records management practices could be replicated elsewhere for Government-wide benefit. We will conduct a records management study of the headquarters offices of the United States Air Force in FY 2005.

Another way we help agencies is through targeted assistance. Targeted assistance means that we work together with agencies to solve specific records management problems. Since the program began in FY 1999, we have established 361 projects, completed 266 projects, and assisted 103 Federal agencies and field offices. Through these partnerships, we have inventoried and scheduled at-risk records, trained agency personnel in records management, and assisted in the development of records management systems.

With Federal agency input and contractor support, we are revamping our records management training program. By making training and a variety of tools available over the Internet, we will be able to reach far more Federal agencies, at more locations nationwide, and reach a wider variety of people within the agencies than is possible with live classroom instruction. We also are developing a certification program for anyone giving technical assistance to agencies in records management. We do not have sufficient resources to respond to all agency requests for records management assistance. This program will leverage contractor and agency resources to provide that assistance while giving agencies assurance that the individuals they turn to for help have demonstrated their knowledge of Federal records management requirements.

Key external factors Federal agencies must implement their part of the targeted partnerships. Records management professionals must be self-motivated to attend training and complete certification.

<u>**Verification and Validation**</u>

Performance Data	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Performance target for annual percent of targeted assistance partnership projects delivering the results promised.	*N/A*	*75*	*85*	*90*	*95*	*95*
Annual percent of targeted assistance partnership projects delivering the results promised.	100	100	100	100	100	
Annual number of targeted assistance partnership projects initiated.	123	63	77	58	13	
Annual number of targeted assistance partnership projects completed.	37	58	76	67	26	
Annual number of successful targeted assistance partnership projects completed.	37	58	76	67	26	
Cumulative number of targeted assistance partnership projects established with Federal	156	213	290	348	361	

Performance Data	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
agencies.						
Cumulative number of targeted assistance partnership projects completed with Federal agencies.	39	97	173	240	266	
Number of Federal agency staff receiving NARA training in records management and electronic records management.	3,506	2,506	3,746	3,392	2,997	
Performance target for percent increase in the number of records management training participants who are taking a NARA records management course for the first time.	—	—	—	—	*Establish baseline*	*10*
Number of records management training participants who are taking a NARA records management course for the first time.	—	—	—	—	297	
Number of distance-learning participants who are taking a NARA records management course for the first time.	—	—	—	—	—	Establish baseline

Milestones

FY 2000
- Contract to gather and analyze information about the views and perceptions of Federal agencies concerning the creation, maintenance, use, and disposition of their records awarded.
- Prototype methodology for the analysis of Federal agency business processes and the records they generate developed.
- Process and activity models of the records lifecycle and scheduling and appraisal process completed.

FY 2001
- Draft report for study of the creation, maintenance, use and disposition of records in Federal agencies completed and optional task for additional analysis exercised.
- Analysis of Federal agency business processes and the records they generate completed for 11 agencies.

FY 2002
- Hiring of senior records analysts positions for targeted assistance completed.
- Final report for study of the creation, maintenance, use, and disposition of records in Federal agencies completed.
- Analysis of 3 Federal agency business processes and the records they generate completed.
- Records scheduling, appraisal, and accessioning policies reviewed and revised, and a *Proposal for a Redesign of Federal Records Management* issued.

FY 2003
- Policy review of NARA's record management policy and guidance completed.
- NARA's *Strategic Directions for Federal Records Management* released.

FY 2004
- NARA's records management training program redesigned and distance-learning component established.
- Certification program for records management professionals established.
- Criteria and internal procedures for records management studies developed.

FY 2005 Projected
- Survey of Federal agencies to assess their view of their records management programs completed.
- Records management study of a Federal agency conducted.

Data source Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions Targeted assistance partnership: A targeted assistance partnership is established with an underlying written agreement between NARA and a Federal agency to identify and agree upon a specific project or projects to solve the agency's records management problems. The agreement must take the form of a project plan, memorandum of understanding (MOU), or similar written documentation that performs the same function as a project plan. The agreement has mutually agreed upon

criteria for successful completion of the targeted assistance project or projects. An agreement can include several projects, each with its own success criteria. For this performance target, we count TA projects. <u>Asset and risk management</u>: Determining the value of information as a business asset in terms of its primary and secondary uses in the business process; identifying potential risks to the availability and usefulness of the information; estimating the likelihood of such risks occurring; evaluating the consequences if the risk occurs; and managing the information based on that analysis.

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

FY 05 Projected Performance

- In coordination with Office of Management and Budget (OMB), develop a multi-pronged approach to embedding records management requirements into the capital planning and acquisition processes.

- Conduct needs assessment of Government and IT industry for the development of select records management service components for the Federal Enterprise Architecture (FEA).

- Develop high-level requirements for candidate records management service components.

- Complete a cooperative records project for at least one FEA Business Reference Model Subfunction.

Outcome   Federal agencies can economically and effectively create and manage records necessary to meet business needs. Records are kept long enough to protect rights and assure accountability. Records of archival value are preserved.

Significance Our nation's records are needed to document citizens' rights, actions for which Federal officials are responsible, and the historical experience of our nation. With more of these records being created electronically, we must address realistically a future in which most government recordkeeping will be electronic and develop practical solutions for dealing with electronic records. If we do not address this issue, our nation's records will be at risk of loss, deterioration, or destruction. In particular, we must protect records from the time of their very creation to ensure their accessibility for as long as they are needed to meet the needs of Government agencies and the public. Having approved records schedules by the time records systems begin to create records, and service components that identify records early in their lifecycle and assure that the appropriate information and attributes stay with records throughout their lifecycles, are important early steps in electronic records management.

Means and Strategies   We will partner with Federal agencies and others to develop, adapt, or adopt products and practices that support good records management. Our experience shows that we are more effective in partnerships than working alone. Potential partners and sources will include standards organizations, other governments, and the private sector. We will provide leadership, in partnership with other key stakeholders, to focus agency attention on electronic records needs and to guide and support solutions to electronic records issues and problems. We will also support the development of automated tools that will help agencies manage Federal records.

OMB's Federal Enterprise Architecture Business Reference Model (BRM) describes the Federal Government by the business operations it performs. The BRM identifies 4 business areas that provide a

high-level view of the operations the Federal Government performs. These 4 business areas comprise a total of 39 external and internal lines of business and 153 subfunctions. NARA is using this model to develop cooperative records management projects for agencies with common lines of business. These projects may produce common records schedules, standardized records management processes, or other common products. The outcome of cooperative records projects across multiple agencies with common lines of business is that records management will support the business need, making it easier for agencies to create and manage the records they need to carry out their mission and collaborate with other agencies performing the same line of business.

Electronic records management is a critical component of e-Government. As the managing partner for one of the Administration's e-Government initiatives, NARA is collaborating with the Department of Defense, the Environmental Protection Agency, and other agencies to develop practical recordkeeping guidance and solutions for managing electronic records. In FY 2003 and FY 2004, NARA's Electronic Records Management (ERM) Initiative developed guidance for agencies implementing records management applications and began expanding the formats of permanent electronic records that agencies can transfer to NARA. In FY 2005, the ERM Initiative will continue to promote the transition to Government-wide electronic records management with additional guidance products. NARA will work with the Department of Defense (DoD) to extend the DoD 5015.2-STD to include transfer to NARA and interoperability specifications. Future transitional products will be developed under the auspices of the Interagency Committee on Government Information and its Electronic Records Policy Working Group, whose members are drawn from Interior, Justice, Defense, Veterans Administration, Homeland Security, Education, Treasury, Environmental Protection Agency, General Services Administration, and the Administrative Offices of the U.S. Courts. One of these products is an online toolkit for agencies, which will include references to ERM system requirements, checklists, citations to applicable standards, best practices, guidance, a revised general records schedule, flexible and front-end scheduling, promotion of new transfer formats, and targeted ERM assistance to Federal agencies.

The Records Management Service Components (RMSC) project is designed to place records management functionality into daily business processes to assure that records are identified as early as possible and that the information and attributes needed to manage them throughout their lifecycle are maintained. In FY 2005, we will obtain agency stakeholder participation and develop and document requirements for the acquisition or development of records management service components. The documentation of requirements by participating agency stakeholders will be the basis for the procurement of records management service components submitted for certification into the Federal Enterprise Architecture (FEA) Component Repository. Components certified by the FEA Component Repository will be available for use and reuse by the Federal agencies and the vendor/technology communities in the products that service and support the Federal Government.

We also are working with OMB to ensure that agencies consider records management requirements when planning IT systems. By scheduling records at the time they are created by IT systems, Federal agencies can mange their records more economically and effectively, thus meeting their business needs, ensuring that records are kept long enough to protect rights and assure accountability, and preserving records of archival value. In FY 2005 we are exploring different ways to better embed records management requirements in the capital asset planning and acquisition processes to ensure that records are scheduled earlier rather than later in their lifecycle.

Key external factors   The Office of Management and Budget must support using the capital planning process to promote records management.

Verification and Validation

Performance Data	FY 2003	FY 2004	FY 2005
Number of Federal Enterprise Architecture Business Reference Model functions.	137	153	
Performance target for number of Federal Enterprise Architecture Business Reference Model functions covered by cooperative records projects.	—	—	*1*
Number of Federal Enterprise Architecture Business Reference Model functions covered by cooperative records projects.	0	0	

Milestones

FY 2000
- Three documents on electronic recordkeeping for Federal agencies drafted.

FY 2001
- Department of Defense software certification process endorsed.

FY 2002
- ERM e-Gov initiative vision, goals, and objectives developed and confirmed by OMB. Detailed workplan and financing strategy developed.
- Transfer guidance for 1 electronic records format issued (email with attachments).

FY 2003
- Transfer guidance for 2 more electronic record formats issued (scanned images of textual records and PDF).
- Version 2 of DOD 5015.2 standard endorsed.
- Records management application pilot in two NARA units deployed.

FY 2004
- Transfer guidance for 3 more electronic records formats issued (digital photography, geographical information systems, web pages).
- Language for the FY 2006 Exhibit 300 guidance was developed, but not incorporated by OMB at this time.
- Records management application in two NARA units piloted.

FY 2005 Projected
- In coordination with OMB, a multi-pronged approach to embedding records management requirements into the capital planning and acquisition processes developed.
- Needs assessment of government and IT industry for the development of select records management service components for the Federal Enterprise Architecture conducted.
- High-level requirements for candidate records management service components developed.
- Cooperative records project for the "criminal investigations and surveillance" subfunction under the "law enforcement" line of business, in the "Services for Citizens" business area of the FEA BRM conducted.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist.   The Federal Enterprise Architecture Program Management Office Business Reference Model, version 2.0.

Definitions   Capital asset planning: is part of the decision-making process for ensuring that IT investments integrate strategic planning, budgeting, procurement, and the management of IT in support of agency missions and business needs. Records management service components (RMSC): an application or system software that incorporates interfaces for interacting with other programs, and that is made available to all Federal agencies for use in their enterprise architecture. The RMSC would provide the ability to embed records management functionality in the IT structure of the enterprise. Cooperative records project: a project that results in a model schedule, a standardized process, or other common product that standardizes records management for a specific FEA Business Reference Model subfunction across multiple agencies performing that subfunction. For example, agencies engaged in providing investigative services would be considered as one cooperative records project.

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

FY 05 Projected Performance
- Process records schedule items within a median time of 200 calendar days or less.

- Prototype automated workflow and collaboration tools to support the redesigned scheduling and appraisal process.

- Increase by 10 percent the number of Federal agencies that are satisfied with NARA scheduling and appraisal services.

Outcome   Federal agencies can economically and effectively create and manage records necessary to meet business needs. Records are kept long enough to protect rights and assure accountability. Records of archival value are preserved.

Significance   We must make the records scheduling process more effective and efficient, and decrease the time it takes to get schedules approved. Taking a long time to process schedules delays action on the disposition of records and discourages agencies from submitting schedules, potentially putting essential evidence at risk.

Means and Strategies   A key strategy outlined in our Strategic Plan is the redesign of the processes by which Federal records overall are identified, appraised, scheduled, and tracked while in agency custody. The aim of this redesign is to create mutually supporting relationships with agencies whereby NARA's records management program adds value to agency business processes, records are managed effectively for as long as needed, and records of continuing value are preserved and made available for future generations. Part of the strategy for carrying out this plan is to build automated tools for NARA and Federal agencies to support the inventorying, scheduling, and accessioning of Federal records. Such tools will make it easier for agencies to inventory their records and for NARA to review and approve records schedules and ensure that essential evidence is not lost.

In FY 2003 we undertook a Business Processing Reengineering effort for the records scheduling, appraisal, and accessioning process, and developed a high-level improved, future model of all records lifecycle business processes at NARA. Many of these processes will be built into the Electronic Records Archives (ERA), which will be designed in FY 2005. In the meantime, with contractor support, we are articulating key process business rules which need to be incorporated into the system to enable automation and support effective workflow. Because achievement of the "to-be" model will take several years, and will require the maturation of NARA's enterprise architecture, we are focusing early attention on the scheduling and appraisal process. In FY 2004, we analyzed stakeholder needs for automated workflow and collaboration tools to support the redesigned process. This analysis will inform the prototyping of these tools in FY 2005. In addition, the data required to support NARA's records lifecycle processes needs to be comprehensively reviewed to identify how data collected via the major lifecycle transaction forms (current SF-115, SF-135, OF-11, and SF-258) can be better utilized. Once this analysis has been completed, the content of revised forms can be finalized and approved, templates for forms created, and online versions of forms implemented. In FY05, we will also analyze the impact of NARA's redesigned processes on agencies, collect agency feedback, and modify NARA's processes to better respond to agency needs.

Verification and Validation

Performance Data	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Performance target for median time for records schedule items completed (in calendar days)	—	*260*	*240*	*225*	*220*	*200*
Median time for records schedule items completed (in calendar days)	283	237	470	155	253	
Average age of schedule items at completion (in calendar days)	461	410	532	274	332	
Number of schedule items completed	5,664	4,728	9,374	4,686	3,182	
Number of records schedule items completed within 120 calendar days of submission to NARA	1,229	659	2,163	1,638	541	
Percent of records schedule items completed within 120 calendar days of submission to NARA	22	14	21	34	16	
Cost to process records schedule item	—	—	—	—	—	
Performance target for increase in percent of Federal agencies that are satisfied with NARA scheduling and appraisal services	—	—	—	—	*Establish baseline*	*10*
Percent of Federal agencies that are satisfied with NARA scheduling and appraisal service	—	—	—	—	57	
Percent of records schedule items submitted and approved electronically	—	—	—	—	—	

Milestones

FY 2003
- "To-be" model for the redesigned scheduling, appraisal, and accessioning process developed.

FY 2004
- Detailed workflows for scheduling and appraisal; processing of Federal electronic records; transfer of records to Federal Records Centers; and carrying out disposition of records by Federal Records Centers developed.
- Concept of operations for automated workflow and collaboration tools to support the redesigned scheduling and appraisal process developed.
- Federal agencies surveyed to determine baseline satisfaction with NARA scheduling and appraisal services.

FY 2005 Projected
- Automated workflow and collaboration tools to support the redesigned scheduling and appraisal process prototyped.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions   Records schedule: a document, having legally binding authority when approved by NARA, that provides mandatory instructions (i.e., disposition authority) for what to do with records no longer needed for current business; Schedule item: records subject to a specific disposition authority that appear on a records schedule.

STRATEGIC GOAL 2   **ELECTRONIC RECORDS ARE CONTROLLED, PRESERVED, AND MADE ACCESSIBLE AS LONG AS NEEDED.**

Long Range Performance Targets   2.1. By 2008, NARA's Records Center Program accepts and services electronic records.

2.2.   By 2008, 80 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.

2.3. By 2008, 80 percent of archival electronic records are managed at the appropriate level of service.

2.4. By 2008, the median time from the transfer of archival electronic records to NARA until they are available for access is 35 days or less.

2.5. By 2008, the per megabyte cost managing archival electronic records through the Electronic Records Archives decreases each year.

FY 2003 Resources Available to Meet This Goal: $20,105,000; 67 FTE
FY 2004 Resources Available to Meet This Goal: $46,377,000; 83 FTE
FY 2005 Resources Available to Meet This Goal: $48,048,000; 88 FTE

Long Range Performance Target 2.1.   By 2008, NARA's Records Center Program accepts and services electronic records.

FY 05 Projected Performance
- Enhance remote servicing capability for electronic Official Military Personnel Files for Army.

- Establish detailed requirements for the eventual migration of electronic Official Military Personnel Files to the Electronic Records Archives system.

- Expand programs to store backup and inactive copies of agency electronic media to additional records center locations.

- Complete a pilot assessment for converting agency records into digital formats on electronic record media.

- Develop concept of operations and functional requirements for a Records Center Program Operations System.

- Award contract for building a Records Center Program Operations System.

Outcome   Federal agencies can economically and effectively create and manage electronic records necessary to meet business needs, and electronic records of archival value are preserved.

Significance   The NARA Records Center Program plays a vital role in the lifecycle of Federal records. The program helps agencies manage the transfer, storage, and servicing of their non-current records and works closely with NARA's records management program to ensure that essential evidence is efficiently and appropriately managed for as long as needed. As more and more Federal records are created and managed in electronic formats, NARA needs to respond by providing economical and effective electronic records services at our records centers.

Means and Strategies   Since 1999, NARA's Records Center Program (RCP) has been fully reimbursable, which allows us to be more flexible in responding to agency records needs and requires us to meet those needs in a cost-effective and efficient way.   Our ability to provide our records center customers with responsive services for electronic records is closely tied to our Electronic Records Archives (ERA) program.   Until ERA is ready and can provide complete online servicing, we will test the delivery of new offline services for electronic records, including digitizing records into electronic formats, storage of agencies' electronic records media, and remote servicing of electronic records such as electronic Official Military Personnel Files (OMPF). As experience is gained through pilot services, the RCP will expand those services to more complex or advanced electronic records-related activities, such as data migration and vital records services.

The RCP also needs to replace legacy systems for inventory and space management with modern systems that provide enhanced functionality at a reasonable cost. All of the current RCP applications are mainframe-based and written in COBOL and have been operational for 15-25 years. Most importantly, these systems no longer support the new RCP reimbursable financial environment. An RCP Operations System (RCPOS) will provide robust inventory and space management for more than 20 million cubic feet of records; web-based, real-time support for all business transactions such as the recall of records by Federal agencies; a management information system to measure all facets of RCP performance; and easy to use data sharing capabilities with the RCP customers. NARA's RCP and ERA, when available, will work in harmony to deliver a complementary suite of services to agencies for their temporary long-term electronic records. RCPOS will provide the asset management and billing functionality for those services.

Key external factors   The Records Center Program operates in a competitive business environment, which allows Federal agencies to choose their records center services provider. Testing and enhancing remote servicing capability for electronic OMPFs is contingent on agreements with military service departments for NARA to access their systems.

<u>**Verification and Validation**</u>

Milestones

FY 2004	• Pilot for remote servicing capability for electronic OMPFs for Army established and tested.
	• Two sites to pilot electronic records media in NARA Federal Records Centers identified.
FY 2005 Projected	• Remote servicing capability for electronic Official Military Personnel Files for Army enhanced.
	• Detailed requirements for the eventual migration of electronic Official Military Personnel Files to the Electronic Records Archives system established.
	• Programs to store backup and inactive copies of agency electronic media to additional records center locations expanded.

- Pilot assessment for converting agency records into digital formats on electronic record media completed.
- Concept of operations and functional requirements for a Records Center Program Operations System developed.
- Contract for building a Records Center Program Operations System awarded.

Data source   Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Long Range Performance Target 2.2.   By 2008, 80 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.

FY 05 Projected Performance
- Establish business rules and priorities for putting legacy records control schedules into an ERA repository, and develop a plan for doing the work.

- Pre-accession two transfers of electronic records.

- Continue to identify and schedule Federal agency systems that generate electronic records.

Outcome   Electronic records of archival value are preserved for future generations.

Significance   Technology and the movement of the computing environment to Federal workers' desktops have led to a decentralized records management environment. While this enables workers to create and manage their own records (such as e-mail), it has also resulted in a proliferation of both electronic records formats and locations where records are created and stored. In this new environment, traditional paper-based records management control techniques and procedures are often no longer appropriate, resulting in a Federal records management approach that is not well integrated into agency business process, systems development, information technology infrastructure, and knowledge management. This undermines the authenticity, reliability, integrity, and usability of Federal records and information essential for Government business, particularly electronic Government, and public use. We must guarantee the continuing accessibility of the electronic records of all three branches of our Government.

Means and Strategies   The Electronic Records Archives (ERA) will provide a vehicle for implementing the records management improvements that result from the NARA's Records Lifecycle Business Process Reengineering, the Electronic Records Management (ERM) e-Government Initiative, and NARA's Records Management Initiatives. We will improve the development and implementation of records disposition schedules by automating and improving the quality of interactions between NARA and other agencies and the workflow within NARA. We will reduce cycle time for NARA's review and approval of records disposition authorities requested by other agencies and increase the number of acceptable formats for transfer of electronic records to NARA.

The first increment of the ERA system will enable NARA to accession, preserve, and provide access to electronic records in the additional digital formats for which transfer standards were developed in the ERM Initiative. These include e-mail with attachments, scanned images, PDF files, still digital photography, Geographic Information Systems, and web pages. In the long term, ERA will allow NARA to accession, preserve, and provide access to electronic records in any format.

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To assist us in setting priorities for helping Federal agencies deal with records management, we developed a set of criteria, procedures, and a handbook for identifying the functional areas within the Government that contain the greatest records management challenges. These areas will be our highest priorities for allocating NARA records management resources. The criteria used focuses our attention on records that are at greatest risk of not being managed effectively, records that document citizens' rights and Government accountability, and records of archival value. Through Federal agency surveys, NARA is identifying electronic systems in Federal agencies that are generating electronic records, and we are working to get more of those systems' records scheduled. In FY 2005 we will continue collecting information from Federal agencies to identify more systems and learn more about the electronic records challenges Federal agencies face. In addition, by pre-accessioning electronic records into NARA, we will have more accurate descriptions, earlier transfers, and better preservation, while avoiding the loss of records that may occur with lengthy agency retention.

Early in FY 2005, at the end of the current Presidential term, we will take a "snapshot" of Federal Government web sites. These snapshots will help future researchers understand how today's Federal Government uses the Internet to provide services and share information with the public.

Key external factors   Federal agencies must schedule their electronic records.

Performance Data	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Performance target for percent of archival electronic records accessioned by NARA at the scheduled time.	—	—	—	—	*20*
Number of electronic files transferred in one of the new transfer formats	—	—	—	100	
Size of accessioning backlog (in millions of logical data records)	—	—	—	529	
Number of electronic records transferred (in thousands of files)*	2.1	7.8	68.3	432.9	

*Numbers for 2001-2004 represent the number of files transferred to NARA. The number of electronic records transferred, in logical data records, which is the preferred unit of measure, was not available until the Accession Management Information System upgrade was completed in 2004. We will continue to show the number of files for several years so that trends can be observed.

Milestones
FY 2001
- 3 terabytes of data from Federal agency web sites "snapshot" collected and preserved.

FY 2002
- Transfer guidance for 1 electronic records format issued (email with attachments).

FY 2003
- Transfer guidance for 2 more electronic record formats issued (scanned images of textual records and PDF).
- Transfer standards for permanent electronic records in the following formats: email with attachments, scanned images of permanent textual records, and Portable Document Format established and issued.

FY 2004
- Transfer guidance for 3 more electronic records formats issued (digital photography, geographical information systems, web pages).
- Select Federal agencies surveyed to identify electronic systems that generate electronic records, and priorities for scheduling these records developed.

FY 2005 Projected
- Web snapshots of Federal Government web sites at end of current Presidential term collected and preserved.

Data source   The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions   Accessioned: Legal custody of archival materials is transferred to NARA.

Long Range Performance Target 2.3.   By 2008, 80 percent of archival electronic records are managed at the appropriate level of service.

FY 05 Projected Performance

- Establish criteria for levels of service for archival electronic records.

- Identify and respond to results of online survey to improve customer usability of Access to Archival Databases system.

- Add State Department cables and digital photographs to AAD.

- Improve AAD's customer satisfaction score to 65 on customer survey tool.

Outcome   Electronic records of archival value are effectively preserved for future generations.

Significance   We must guarantee the continuing accessibility of the electronic records of all three branches of our Government. If we cannot do this, citizens, corporations, and the Government will lose the essential evidence necessary to document their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially. Moreover, as the business of government shifts more and more to electronic government and reliance on information technology, activities such as collecting taxes, providing veteran's benefits, and protecting our environment will suffer in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records.

Means and Strategies   To meet an immediate need to provide online access to high-volume and high-demand electronic records from the Department of State, the Executive Office of the President, and other agencies, NARA launched the Access to Archival Databases (AAD) project. AAD made its debut to the public in FY 2003, and we are continuing to increase the number of records available to the public. This function will eventually be provided by ERA.

During FY 2004 we conducted an online survey, using the American Customer Satisfaction Index, that is helping us better understand our online customers' needs. In addition, we contracted with two independent experts to perform laboratory-based usability testing and provide an assessment on the extent to which AAD met industry standards for a user-friendly web site. All of these sources pointed to the same conclusion—we need to make significant revisions in the AAD user interface.   NARA contracted with a web designer to help us implement many of the recommendations that came out of the reports. NARA expects to launch the revised AAD user interface in FY 2005.

In the long term, ERA will allow NARA to preserve and maintain at the appropriate level of service any electronic record in any format. NARA plans to categorize holdings into three levels of service—basic, medium, and persistent—based on the technological characteristics of the records, the needs of the records' originators, laws and regulations requiring differing levels of control, expected customer demands or interests, and NARA's business strategies and priorities. The technology and access capabilities will differ in the system based on the service level. The ERA system will enable the National Archives and Presidential libraries to preserve permanent holdings, and the Records Center Program to

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provide storage and access services to other agencies. To prepare for these capabilities, in FY 2005, we will establish criteria for levels of service for select electronic records.

Key external factors   The results of existing and future research and development into electronic records preservation may change the requirements for an electronic records preservation system.

<u>**Verification and Validation**</u>

Performance Data	**FY 2001**	**FY 2002**	**FY 2003**	**FY 2004**	**FY 2005**
Performance target for percent increase in number of archival electronic holdings accessible online	—	—	—	*50*	*20*
Percent increase in number of archival electronic holdings accessible online.	—	—	—	51	
Number of archival electronic holdings accessible online (cumulative logical data records in millions)	0	0	47	71	
Number of archival electronic holdings (cumulative logical data records in millions)	—	3,714	4,743	5,629	
Percent of electronic records available online	0	0	1	1.4	
Number of AAD users (in thousands of visits)	—	—	489	551	

Milestones
FY 2000
- Capability to preserve document image files achieved.
- Installation and analysis of prototype system for online access to electronic records completed.

FY 2001
- Analysis of requirements and ability to copy raster and vector files from geographic information systems completed. Capability to preserve raster and vector files from geographic information systems achieved.
- Online access to select accessioned data files achieved.

FY 2002
- AAD pilot version made operational.

FY 2003
- AAD production version made operational, with 344 file units available to customers online.

FY 2004
- Online survey of customer satisfaction with online access to electronic records through Access to Archival Databases system conducted.

FY 2005 Projected
- Criteria for levels of service for archival electronic records established.
- Results of online survey to improve customer usability of Access to Archival Databases system identified and responded to.
- State Department cables and digital photographs added to AAD.
- AAD's customer satisfaction score improved to 65 on customer survey tool.

Data source   The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

Definitions   <u>File units:</u> a data file of electronic records, most often in the form of a database. <u>Logical data record:</u> 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. <u>Visits:</u> 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.

Long Range Performance Target 2.4.   By 2008, the median time from the transfer of archival electronic records to NARA until they are available for access is 35 days or less.

FY 05 Projected Performance   • Process transfers of archival electronic records within a median time of 250 calendar days or less.

Outcome   Electronic records of archival value are available promptly for use.

Significance   We must guarantee the continuing accessibility of the electronic records of all three branches of our Government. If we cannot do this, citizens, corporations, and the Government will lose the essential evidence necessary to document their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially. Moreover, as the business of government shifts more and more to electronic government and reliance on information technology, activities such as collecting taxes, providing veteran's benefits, and protecting our environment will suffer in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records.

Means and Strategies   The growth in the volume of electronic records is enormous. At the end of the last Administration, the White House transferred several terabytes of electronic records to NARA for storage and preservation. During the next two years, the Census Bureau will be transferring electronic images of up to 600 million pages of information, comprising more than 48 terabytes of data, from the 2000 Census. Digital Military Personnel Files represent estimated transfers of a billion files over 10 years. The National Commission on Terrorist Attacks Upon the United States and the Columbia Shuttle Accident Investigation Board will transfer voluminous records to the National Archives during the next year. NARA expects to receive 32.5 terabytes and 51 terabytes of electronic records in 2005 and 2006, respectively. The transfer volume projected for 2007 is more than a thousand times greater than all the electronic record volume NARA has processed since the first such transfer in 1971. After surveying Federal agencies, we have concluded that the rate of growth of electronic records in the Federal Government is about 50 percent per year. At that rate, by the time we have a fully functional Electronic Records Archives (ERA), even greater quantities of information will have been transferred to NARA by Federal agencies.

Our ability to promptly process archival electronic records will be significantly enhanced by the creation of an Electronic Records Archives (ERA). While NARA's existing capacity to process electronic records is higher than it has ever been, it still lags woefully behind what we anticipate agencies will be sending to NARA over the next several years. NARA's existing systems and staff are able to copy about 385 gigabytes of data per year. Until the ERA system is operational, we will extend and expand our existing systems to attempt to keep up.

In FY 2004 we added electronic tape autoloaders and modified software to increase the capacity and speed of initial preservation (i.e., making an exact copy onto archivally acceptable media) of records through our existing Archival Preservation System (APS). We further integrated digital linear tape into the archival tape copying process by purchasing software that will analyze and certify new digital linear tapes as free of errors and defects. Finally, we contracted for a study of the existing processing capabilities and capacities of both APS and the Archival Electronic Records Inspection and Control System (AERIC). The study will be completed in FY 2005. During FY 2005 will begin to purchase and implement the new technologies needed to support the copying and verifying of larger volumes of

diversely formatted records. However, even with these steps, we expect that our ability to keep up with the volume of archival electronic records transferred to NARA in the near future will be overwhelmed.

Key external factors The results of existing and future research and development into electronic records preservation may change the requirements for an electronic records preservation system.

Verification and Validation

Performance Data	**FY 2001**	**FY 2002**	**FY 2003**	**FY 2004**	**FY 2005**
Performance target for median time to make archival electronic accessions available for access (in calendar days)	—	—	—	*250*	*250*
Median time (in calendar days) from the transfer of archival electronic records to NARA until they are available for access	—	—	450	736	
Number of electronic records transferred (in thousands of files)*	2.1	6.8	68.3	432.9	
Number of electronic records transferred (in millions of logical data records)*	—	—	—	519	
Cost per electronic record transferred	—	—	—	$0.01	

*Figures represent the number of files transferred to NARA. The number of electronic records transferred, in logical data records, which is the preferred unit of measure, was not available until the Accession Management Information System upgrade was completed in FY 2004. We will continue to show the number of files for several years so that trends can be observed.

FY 2000	• Functional, system, and capacity requirements for enhanced Archival Preservation System completed.
FY 2001	• Transfer of records via Files Transfer Protocol (FTP) completed. • Ability of the current Archival Preservation System to copy digital images and raster and vector files completed.
FY 2002	• Study of the archival properties of high-density media and conclusion that the Digital Linear Tape was an appropriate medium for the storage of permanent electronic records completed. • Change to Code of Federal Regulations making Digital Linear Tape and Files Transfer Protocol appropriate media for transferring electronic records to NARA completed.
FY 2003	• Accession Management Information System redesigned. • Version 6.0 of the current Archival Preservation System application developed and installed.
FY 2004	• New Accession Management Information System installed. • Certification software for new Digital Linear Tapes on the current Accession Preservation System installed. • Copying capacity of the current Accession Preservation System expanded. • Technologies that can support copying and verifying electronic records in the following formats studied: email with attachments, scanned images, Portable Document Format, digital images, World Wide Web files, and Geographic Information System files.
FY 2005 Projected	• New technologies to support the copying and verifying the electronic records in the following formats purchased: email with attachments, scanned images, Portable Document Format, digital images, World Wide Web files, and Geographic Information System files.

Data source The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.