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 2013 Performance Budget. The following pages detail our performance on our FY 2013 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.

NARA's organizational transformation, launched in 2010, realigned the organization to establish 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 the Washington, DC area, or in our Presidential Libraries or regional facilities around the country.   All references to NARA organizations in the FY 2013 PAR reflect the updated 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 nearly 15 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 demonstrate 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 NARA's 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.

FY 2013 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 2013 Objectives	☑	Conduct two records management inspections.
Results	✓	Records management inspections were conducted at the Department of Energy's National Nuclear Security Administration (NNSA) and the Department of Homeland Security (DHS).

Discussion   The *Managing Government Records Directive*, issued by the Director of OMB and the Archivist of the United States in FY 2012, identified ways to modernize the management of Government records and reform records management policies and practices in the Federal Government with emphasis on managing electronic records.   The Directive creates a robust records management framework that complies with statutes and regulations to achieve the benefits outlined in the Presidential Memorandum.

For several years, NARA has used our Records Management Self Assessment (RMSA) survey tool for agencies to conduct annual self-assessments of their records management programs. We use this data to monitor and assess the level of risks to agencies' records management programs, to make recommendations for areas of improvement, and as criteria for deciding which agency or records management program to inspect.

We found that annual self-assessments did not provide agencies' sufficient time to implement recommendations and evaluate their effectiveness. For these reasons, we extended the assessments to every other year.

Exercising NARA's oversight responsibilities and using data from the FY 2012 RMSA, we conducted two inspections in FY 2013. We examined elements of the records management program at three of the National Nuclear Security Administration's (NNSA) National Laboratories where we focused on access to historical records, issues with records retention scheduling, and records storage. The second inspection at the Department of Homeland Security (DHS) focused on the sharing of Alien Registration files between Citizenship and Immigration Services (CIS) and Immigration Customs Enforcement (ICE). We examined how well the two bureaus work together to ensure the safety of these records and how they share the same record series in a way that ensures their continued preservation until they are eligible for transfer to NARA. We also developed standard operating procedures (SOP) to streamline our inspection processes and created compliance documents to assist in the process of writing inspection plans and agency questionnaires to help focus the inspections and site visits.

The RMSA, inspections, and the implementation of the Managing Government Records Directive are the avenues NARA uses to oversee and measure the effectiveness of Federal records management programs. We inspect a limited number of agencies annually, targeting significant aspects of an agency's records management program. The inspections give us the opportunity to work directly with the staff at agencies and examine their policies, processes, and procedures. Our goal is to ensure the security and preservation of their permanent records and provide insight into how to tackle specific issues and concerns with recommendations to improve agencies' records management programs.

NARA developed a new records management approach known as *Capstone* to provide agencies with a practical solution to electronically manage their Federal record emails. The *Capstone* approach facilitates agencies' compliance with the requirement in the *Managing Government Records Directive* to "manage both permanent *and* temporary email records in an accessible electronic format" by December 31, 2016. *Capstone* provides agencies with the option to schedule email based on the work or position of an email account holder in a likely position to create or receive permanent email records (e.g., an authority or official at a high level in the organization). In this scenario, the *Capstone* records would be scheduled as permanent and all other email accounts would be temporary. Agencies must assess the benefits and risks when considering this approach for managing email records.

Performance Data	2009	2010	2011	2012	2013
Performance target for percent of agencies achieving a passing score for compliance with Federal records management policy.	–	*Establish baseline*	*15*	*10*	–
Percent of agencies that achieve passing scores for compliance with Federal records management policy.	22	6	10	20	–
Performance target for percent of agencies who submit records management self-assessments to NARA.	*50*	*50*	*93*	*89*	–
Percent of agencies records management self-assessments submitted to NARA.	91	93	89	88	–
Number of agencies polled in self-assessment.	242	271	277	272	–
Number of agencies responding to self–assessment survey.	220	251	247	240	–

FY 2014 Performance Plan Evaluation We will perform an RMSA survey and continue to work with the agencies to track their progress as they make improvements based on the findings and recommendations from the inspections.

1.2 NARA RECORDS MANAGEMENT SERVICES

FY 2013 Objectives	☑	Increase by 10 percent the number of distance learning course offerings over last year.
	☑	Achieve closure of 40 percent of open records schedules registered in FY 2010 or earlier.
Results	✔	We increased the number of online course offerings by more than 41 percent.
	✔	We reduced our backlog of schedules open prior to FY 2011 by 70 percent.

Discussion   We continue to look for ways to improve the records management services that we provide.   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.

NARA's Records Management Training Program continues to look at ways to enhance our distance learning program. With agencies limiting staff travel, online training is an economical way to reach Federal agency audiences with varying degrees of records management responsibilities. We provide a framework of distance learning options that reduces the number of resources needed to provide records management training, while preserving flexibility in delivery options. Our staff developed standard operating procedures (SOP) that deliver new content in new and creative ways. Through virtual training, we are able to reach more agency staff with current and relevant content delivered both in real-time and on a self-paced basis.

NARA's records management online content development team offered 21 topical briefings in 33 live online sessions. All briefings are posted with closed caption and are available on NARA's *YouTube* channel. We have also worked with our social media team to make these presentations accessible to the sight-impaired. Since posting began in February, we have had more than 9,900 views of 19 videos. Developing an online pilot of *Knowledge Area 6, Records Management Program Development* was a key project in FY 2013, as well as work performed to develop an E-Records Formats 101 course. Both courses will offer Federal agencies self-paced training online that allows for flexibility in meeting the records management training needs of their staff.

We continue to tackle the backlog of schedules two years old and older. To improve performance we established practices to shift schedules and balance the backlog workload among archival teams. Implementing valuable lessons learned from our backlog project last year, we enforced our policies, and returned schedules to agencies that could not provide needed information or could not accommodate appraisal visits within 40 days. By adopting these practices, we were able to exceed our target by the third quarter—ending the fiscal year with nearly 70 percent of records schedules in our backlog closed.

Performance Data	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**
Performance target for number of records schedules submitted using ERA.	—	—	—	*Establish baseline*	—	—
Number of records schedules submitted using ERA.	—	—	—	65	179	377
Performance target for percent of Federal agency customers highly satisfied with NARA records	—	*10*	—	—	*90*	—

Performance Data	2008	2009	2010	2011	2012	2013
Performance target for number of records schedules submitted using ERA.	—	—	—	*Establish baseline*	—	—
management services.						
Percent of Federal agency customers that are satisfied with NARA records management services.	—	81	—	—	**See footnote*	—
Percent of records management training participants taking a NARA records management course for the first time.	39	63	36	32	26	27
Number of records management training participants who are taking a NARA records management course for the first time.	2,524	7,625	2,619	1,913	990	638
Number of Federal agency staff receiving NARA training in records management and electronic records management.	6,422	12,114	7,233	5,971	3,772	2,366
Number of records management training participants that NARA certified this year.	310	242	282	338	347	258
Performance target for the percent increase in the number of distance learning course offerings.	—	—	*5*	*5*	*25*	*10*
Percent increase in the number of distance learning course offerings.	—	—	133	-43	156	41
Performance target for the percent decrease in the backlog of open schedules registered 3 fiscal years ago or earlier.	—	—	—	—	*5*	*40*
Decrease in the backlog of open schedules registered 3 fiscal years ago.	—	—	—	—	82	70
Median time for records schedule items completed (in calendar days).	291	302	287	767	673	595
Average age of schedule items completed (in calendar days).	443	415	443	927	869	672
Number of schedule items completed.	3,148	3,272	3,762	5,407	3,582	2,560
Number of open schedules in the backlog.	506	958	867	681	466	485

*We conducted two types of surveys and the results were not combined. Results indicated 60 percent of customers were satisfied with NARA appraisal and scheduling services and 56 percent of users expressed overall satisfaction with ERA services.

FY 2014 Performance Plan Evaluation We will continue to process requests for disposition authorities with a focus on schedules that have been open for two or more fiscal years. As part of our ongoing work with the *Managing Government Records Directive,* we will examine ways to streamline the appraisal process and we will continue to review the General Records Schedules (GRS) to provide more coverage of agency records.

1.3 FEDERAL RECORDS CENTERS PROGRAM

FY 2013 Objectives ☑ Make ready 95 percent of Federal agency reference requests within the promised time.

☐ Answer 80 percent of written requests to the National Personnel Records Center (excludes archival unit and burn records) within 10 working days.

☐ Achieve 90 percent customer satisfaction in servicing veterans' records at NPRC.

☐   Acquire Customer Relationship Management Software for FRCP.

☑   Records management transactions in the Federal Records Centers Program (FRCP) grow by 1 percentage point.

☑   Answer 95 percent of requests for separation documents from the military personnel records facility in 10 working days or less.

Results

*"You always give us
such wonderful service,
week after week,
and we appreciate that!"*

✔   NARA's Federal Records Centers fulfilled 95 percent of agency reference requests on time.

✔   We answered 69 percent of written requests to the National Personnel Records Center within 10 working days.

✔   Eighty-six percent of our customers are satisfied with NPRC services.

✔   We have developed a requirements document for Customer Relationship Management software.

✔   Customers' use of our Federal Records Centers services grew by 1.9 percent.

✔   We answered 95 percent of requests for separation documents from the military personnel records facility in 10 working days or less.

Discussion   NARA's Federal Records Centers Program (FRCP) safeguards and protects the nation's records and plays a vital role in the lifecycle of Federal records. The program provides numerous records management services to assist Federal agency customers with paper and electronic records they no longer need for current business. Customers' records management needs shifted as a result of the rise in electronic records from a traditionally paper records environment. As we re-examine and identify new services to meet the changing needs of customers, we also monitor performance with our current services. Our services include reference requests, shipping, and handling of records, records storage, photocopying, digital imaging, and records disposal.

Excellent customer service is crucial to customer retention and business growth in our Federal Records Centers. We routinely monitor timeliness in servicing customers' requests and satisfaction with our services. Weather emergencies—such as outages caused by Superstorm Sandy, moves to newer facilities, and equipment failures—often create challenges to our operations. We tackle these problems by assessing workflow, implementing corrective actions, and maintaining customer communications to frame customer expectations. Despite these obstacles that hindered our performance, we met our published customer service standard to respond to agency reference requests within the promised time.

We did not meet our target for answering written requests to the National Personnel Records Center within 10 working days. Our performance is lower than expected because we began the fiscal year with a backlog more than twice as high as normal. This backlog of 75,000 requests resulted from the unavailability of our Case Management and Reporting System (CMRS) for two weeks during a system upgrade in FY 2012. Although we worked diligently to address the backlog, an increase in demand and system downtime led to the growth in backlog. At the NPRC, military-related reference requests account for more than 95 percent of our work. Civilian- related requests account for the remainder. We actively monitor timeliness to detect problems early.

Customer satisfaction is closely linked to the timeliness of correspondence replies. With our rate of response to written requests within 10 working days at 67 percent, we fell four percentage points below our customer satisfaction target. To improve our performance, we established daily goals and response parameters such as ensuring that new requests are entered in the system within two working days and requests for separation records are completed within three working days. However, factors such as IT instability, funding limitations, time required to hire and train technicians, and fluctuations in demand challenged our ability to keep our backlog low.

NARA's Customer Relationship Management (CRM) team is responsible for marketing, sales, and customer support activities that cultivate new customer leads, strengthen individual relationships with customers, and markets FRCP services to customers. The CRM monitors industry trends to guide development of new services. Growth in customer transactions in our Federal Records Center Program services reached 1.9 percent in FY 2013. We reviewed and analyzed information on numerous CRM software products that would allow us to share and track various customer, project, and billing information throughout the Federal Records Center Program around the country. We prepared a requirements document, but the long-term costs of acquisition outweigh the benefits at this time, so we are considering existing NARA tools (e.g., Google Apps) to address our CRM needs.

The National Personnel Records Center receives more than one million written requests each year. Nearly 40 percent of these requests are for military separation documents needed by veterans to secure benefits. We exceeded our target of answering 95 percent of requests for separation documents from the military personnel records facility in 10 working days or less. This is an improvement from FY 2012 and puts us more in line with performance in FY 2011 and earlier. To improve our performance this year, we implemented four specific time-related activities in the response process. For example, we ensured that new requests go into production within two working days. We also ensured that non-fire-related requests are assigned within one working day of initial data entry. Focusing on these interim steps before actually responding to the requests is helping us improve performance.

Performance Data	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**
Performance target for percentage point growth in records management transactions in the Federal Records Centers Program.	—	—	*1*	*1*	*1*	*1*
Percentage point growth in the number of records management transactions serviced by the Federal Records Centers Program.	—	—	2.3	1.6	1.1	1.9
Performance target for percent of customers satisfied with NPRC services.	—	*Establish baseline*	*88*	*88*	*88*	*90*
Percent of customers satisfied with NPRC services.	—	85	86	92	90	86
Performance target for percent of Federal agency reference requests ready within the promised time.	*96*	*97*	*97*	*98*	*98*	*95*

Performance Data	2008	2009	2010	2011	2012	2013
Percent of Federal agency reference requests ready within the promised time.	93	94	97	95	95	95
Performance target for percent of written requests to the National Personnel Records Center answered within 10 working days.	*75*	*80*	*80*	*80*	*85*	*80*
Percent of written requests to the NPRC answered within 10 working days.	74	69	69	75	74	67
Number of written requests to the NPRC answered (in thousands).	1,150	1,221	1,320	1,094	974	1,010
Number of written requests to the NPRC answered within 10 working days (in thousands).	854	845	908	846	717	679
Number of written requests for civilian records to the NPRC answered within 10 working days (in thousands).	167	94	76	25	29	15
Number of written requests for military records to the NPRC answered within 10 working days (in thousands).	687	751	833	821	688	664
High Priority Measure: Performance target for percent of requests for military personnel records answered in 10 working days or less (target 85% by 2012).	*–*	*–*	*85*	*85*	*85*	*–*
Percent of requests for military personnel records answered in 10 working days or less.	72	70	70	77	73	68
Percent of requests for military service separation records at the NPRC answered within 10 working days.	95	95	94	93	92	95
Number of military service separation records (DD-214) requests answered (in thousands).	506	574	556	478	468	472
Average price per request for military service separation records.	$30.10	$31.70	$31.70	$33.00	$33.00	$35.00

* In FY 2008 and beyond, customer count includes customers with annual billings in excess of $5K.

FY 2014 Performance Plan Evaluation We will begin the implementation of Google Apps as a tool to use for our CRM functions.

1.4 PRESIDENTIAL TRANSITIONS
FY 2013 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 focus of this objective is on 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 2016, 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 2013 Objectives

☐ 35 percent of annually targeted traditional archival records transfers arrive at NARA each fiscal year on time.

☐ 35 percent of annually targeted electronic archival records transfers arrive at NARA each fiscal year on time.

Results

✓ Twenty-five percent of targeted traditional archival records transfers arrived at NARA this year.

✓ Twenty-six percent of targeted electronic archival records arrived at NARA this year.

Discussion Scheduling Federal agency electronic records ensures permanent electronic records that protect citizens' rights, demonstrate Federal Government accountability, or document the history of our nation will transfer to NARA regularly and in an acceptable format for storage and

access in the Electronic Records Archives (ERA). Scheduling also ensures that records not deemed permanently valuable are retained until no longer needed.

In FY 2013, we made fully integrating ERA into our business process for transferring records to NARA a priority. This promotes a more controlled environment for transfer requests and makes it possible for agencies and NARA to follow each step of the accessioning process in ERA. To accommodate this business process change, NARA staff assisted agencies in preparing transfer documentation for direct offers of permanent electronic records.

Integrating ERA into our business process allows us to transition from a paper SF-258 based accession process to an electronic transfer process. Moving these processes to a digital environment allows us to capture new information about potential accessions early in the process and have them available for future use. Other improvements included a new process to barcode or label all incoming accessions. This process increases our physical control of the records once they enter NARA's custody.

Performance Data	2008	2009	2010	2011	2012	2013
Performance target for percent of high archival records transferred to NARA on time.	–	*20*	*30*	*40*	*30*	*35*
Percent of targeted traditional archival records transferred to NARA on time.	–	6	24	19	*Not available*	25
Percent of targeted electronic archival records transfers arriving at NARA on time.	40	44	35	26	37	26

FY 2014 Performance Plan Evaluation We will work with agencies to implement the goals outlined in the *Managing Government Records Directive*, which identifies strategies to reform records management policies and practices.

2.2 PROCESSING RECORDS

FY 2013 Objectives	☑	Process 65 percent of archival holdings to the point where researchers can have efficient access to them.
Results	✔	We met our target to process 65 percent of archival holdings to the point where researchers have efficient access.

Discussion Archival processing involves all of the steps needed to open a record to the public. These steps include establishing basic intellectual control, flagging records that have privacy or national security classifications, providing descriptions of the records content as well as context, and performing initial preservation actions so that we can serve the records to the public. We take these steps to help make records easier to search and use effectively. Although staffing constraints and substantial transfer of archival records prevent us from processing the holdings at the pace we would like to achieve, we were able to meet our target. With more than 30 percent of our holdings unprocessed, we continue to implement minimal processing activities so that records are processed quickly while ensuring that we take appropriate steps to establish physical and intellectual control over our holdings.

We established schedules with set milestones to complete each processing project. Following this project management process ensures that all projects remained on track for completion by the end of the fiscal year. Each quarter, supervisors conduct audits of five percent of the entries

processed to ensure that work is accurate and follows established standard operating procedures (SOP). For some projects that include temporary records for disposal, project leads will perform 100 percent audits. Although the volume of records is vast, we continue to make significant progress in reducing the backlog of unprocessed records.

In our Presidential Libraries, while we continue to face a substantial backlog of unprocessed records, we continue to seek more efficient ways to process Presidential materials for public access. Through close collaboration among our processing units and work with external stakeholders, we look to build on the increased rate of processing from the past two years to increase our productivity rates and minimize the backlog of FOIA requests.

Performance Data	2008	2009	2010	2011	2012	2013
*Performance target for percent of archival holdings processed to the point where researchers can have efficient access to them.**	*Establish baseline*	*40*	*51*	*55*	*60*	*65*
Percent of archival holdings processed to the point where researchers can have efficient access to them.	30	41	47	53	60	65
Number of records processed in Presidential Libraries (in cubic feet).	108,224	121,259	124,981	126,550	134,050	134,124
Number of series processed in our regional archives.	9,445	23,182	29,488	40,437	44,804	45,787
Number of processed Holdings Management System entries.	62,637	71,718	90,603	100,807	121,172	126,788

FY 2014 Performance Plan Evaluation   We will continue to implement minimal processing activities to increase the number of records processed.

2.3 GOVERNMENT-WIDE DECLASSIFICATION

FY 2013 Objectives	☑	Ninety percent of agency declassification programs assessed by ISOO receive high scores.
Results	✓	Each of the five agencies assessed by ISOO received high scores for their agency declassification program.

Discussion NARA administers the Information Security Oversight Office (ISOO) that 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.

ISOO follows a regimented program to improve oversight of Executive branch agencies' declassification review programs. The program is designed to evaluate agency decisions, identify best practices, and provide agencies with constructive recommendations to improve their programs. ISOO uses a scoring methodology and scoring tool to objectively evaluate agency declassification programs. Agencies receiving high scores have increased from 36 percent in FY 2008 to 100 percent in FY 2013. ISOO assessments of declassification programs and agency implementation of recommendations has resulted in overall improvement of declassification programs.

ISOO takes advantage of opportunities to share knowledge and pursue ways to advance the declassification review process. As agencies work to improve the effectiveness and efficiency of

their declassification programs, ISOO provides briefings on the declassification assessment program and offers to aid agencies as they establish their own internal quality control programs.

In FY 2013, based on feedback from agency stakeholders, ISOO revised the scoring process to reflect a risk management approach for declassification reviews. ISOO maintained its goal to sustain 90 percent of agencies with high scores. Budget constraints restricting travel limited the number of on-site assessment reviews to only five agencies—down from prior years where 10 to 20 or more reviews were performed. We adjusted to the travel constraint by limiting reviews to agencies that fell below the "high score" threshold or to those that previously scored high, but were at risk of sliding back into substandard practices. With all five agencies receiving high scores, the results indicate that agencies continue to benefit from ISOO's automatic declassification assessment program.

Performance Data	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**
Performance target for percent of agency declassification reviews that receive high scores as assessed by ISOO.	*Establish baseline*	*51*	*69*	*80*	*90*	*90*
Percent of agency declassification reviews that receive high scores as assessed by ISOO.	36	53	67	81	94	100
Number of agency declassification reviews that receive high scores as assessed by ISOO.	8	10	10	13	15	5
Number of agency declassification reviews assessed by ISOO.	22	19	15	16	16	5
Number of pages declassified government-wide (in millions of pages).	31.4	28.8	29.1	26.7	19.9	TBD

FY 2014 Performance Plan Evaluation   ISOO will closely monitor agency declassification programs through data calls conducted twice a year, assessments of agency reviews at the National Declassification Center, and selected assessments at the agencies.

2.4 NARA DECLASSIFICATION

FY 2013 Objectives	☑	Complete quality assurance in the National Declassification Center (NDC) on 300 million pages of classified documents 25 years old and older and accessioned into NARA.
	☐	Prepare for scanning 750,000 pages of Presidential records eligible for declassification review as part of the Remote Archives Capture Project.
Results	✓	We completed quality assurance (QA) on more than 120 million records in FY 2013, surpassing our overall target to complete QA on 300 million pages in our declassification backlog.
	✓	We prepared nearly 418,000 pages for scanning and we scanned more than 468,000 pages of Presidential records.

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. The backlog number has been progressively updated as we improved our database analysis and metrics capability. We now believe that the backlog was more than 350 million pages on January 1, 2010.

NARA's National Declassification Center (NDC), mandated by the President through Executive Order 13526, began operations in January 2010. The NDC encourages collaboration among agencies, standardizes data, and brings together disparate declassification processes and systems within the declassification community to expedite the review and declassification of classified records, 25-years old and older. Since the issuance of Executive Order 13526, we have worked vigilantly to meet the December 31, 2013, deadline to declassify records as quickly as possible while maintaining national security. Agencies have also focused their efforts on the 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.

The NDC's declassification review and release process has stabilized, and we are able to measure processes at each stage. Using these measurements the NDC examines the quality of equity identification and review, the quality of data entry, and how quickly we are moving toward our goals. The data helps us reallocate resources to critical points in the process and has been instrumental in helping to achieve the progress made by the NDC and our government agency partners. We have been able to successfully validate the effectiveness and efficiency of the NDC backlog process through an internal quality control audit team that samples the declassified product results.

Our greatest challenge continues to be working with agency partners to address page-level review required for all documents lacking Kyl-Lott certification for the identification of Restricted Data/Formerly Restricted Data (RD/FRD). At the end of FY 2013, we have fewer than 40 million backlog records that still require some type of page-level review, a "highly unlikely" certification, or additional documentation as to their Kyl-Lott review status. This is down from nearly 100 million backlog records requiring this type of review at the beginning of the calendar year.

Since standing up of the NDC, we successfully completed quality assurance on more than 300 million pages of classified information, completed processing on 127 million pages, and released 76 million pages to the public. We surpassed our goal to complete quality assurance on 300 million pages by the end of FY 2013, yet much of the focus in the NDC continues to be on addressing the backlog of classified documents 25 years old and older and accessioned into NARA. The government closure directly affects our ability to meet the December 31, 2013, presidentially mandated deadline and we anticipate accomplishing the goal in the second quarter of FY 2014.

NARA, in partnership with the Central Intelligence Agency (CIA) and all other classifying agencies in the Federal Government, continues to use the Remote Archives Capture (RAC) project to capture the classified materials held by the Presidential Libraries in digital format. The project involves digitizing materials that are then 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-years-old and older 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.

In FY 2013, we prepared nearly 418,000 pages for scanning and we scanned more than 468,000 pages of Presidential records eligible for declassification. As part of the sequestration, substantial funding was cut from the RAC budget, requiring the elimination of several contractors instrumental in preparing material for scanning at the Reagan Library. These constraints required us to scale back our scanning efforts at the Reagan Library and concentrate resources on the review and identification of RAC referral equities. We continue to work with agency partners to prioritize the scanning of select records of high public interest.

Performance Data	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**
(Cumulative) Performance target for number of pages completed quality assurance in the NDC for declassification processing effort since January 1, 2010.	–	–	–	*100*	*251*	*300*
(Cumulative) Number of pages completed quality assurance in the NDC for declassification processing effort (in millions) since January 1, 2010.	–	–	–	108*	202	302
Number of pages completed in the NDC declassification processing effort (in millions).	–	5.6	7.8*	20.2*	85.5*	TBD
Number of Federal pages declassified and made available to the public (in millions).	–	–	7.5*	18.3*	52.3*	TBD
Performance target for annual number of Presidential pages scanned (in millions).	*.5*	*.5*	*.5*	*.5*	*.5*	–
Annual number of Presidential pages scanned (in millions).	.519	.545	.531	.831	.079	.468
Performance target for annual number of Presidential pages prepared for scanning (in millions).	–	–	–	–	–	*.750*
Annual number of Presidential pages prepared for scanning (in millions).					.192	.418

* Data reported reflects activity beginning January 1, 2010 based on establishment of National Declassification Center (NDC). Adjustments to the total cumulative backlog number are explained in the Bi-Annual report of NDC Operations found at www.archives.gov.

FY 2014 Performance Plan Evaluation   NARA's NDC plans to implement the 50 and 75-year automatic declassification guidelines on records previously reviewed and referred at NARA during the 1970s. The NDC will complete the review and declassification of classified records 25-years-old records and older. We expect to meet the EO 13526 deadline during the second quarter FY 2014.

2.5 ARCHIVAL HOLDINGS IN APPROPRIATE SPACE

FY 2013 Objectives	☑	Complete the collections storage and exhibit space renovations portion of the second phase of the Roosevelt Library renovations.
	☑	Open George W. Bush Library to the public.
	☑	Complete National Archives Experience Phase II infrastructure renovations to Freedom Hall (David M. Rubenstein Gallery).
	☑	Eighty-three percent of archival holdings are in NARA 1571 compliant space.
Results	✓	We completed significant renovations to the Roosevelt Library making the space compliant

with standards for archival holdings.

✓ We opened the newly constructed George W. Bush Library and Museum to the public on May 1, 2013.

✓ We reconfigured space for the new David M. Rubenstein Gallery and completed infrastructure renovations to the Visitor Orientation Plaza to support installation of exhibits.

✓ Slightly more than 95 percent of our archival holdings are 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. We strive to ensure that our facilities maintain appropriate storage conditions for the long term protection and preservation of these historical records.

In FY 2012, we completed several renovations to the Franklin D. Roosevelt Library; the first Presidential Library built in the United States. We made renovations to the exterior of the building, the historic stacks, and the research rooms. This two phased construction continued in FY 2013 with renovations to storage rooms for archival textual records and collections, improvements to staff and public support areas, renovations of exhibit areas on the main and lower floors, and modernization of office areas. Materials temporarily stored in the visitor center and offsite were all returned to the Library. We were able to complete these renovations while never closing to visitors or researchers. These renovations bring the Library's archives and museum up to the archival standards for preservation. In addition, with funding provided by our private, non-profit partner, the Roosevelt Institute, all new state-of-the-art permanent museum exhibits opened to the public.

The George W. Bush Library and Museum proudly opened its doors to the public on May 1, 2013. The Library is located in Dallas, Texas, on the campus of Southern Methodist University, and was constructed with George W. Bush Presidential Foundation funds. The Library dedication ceremony with former President Bush and the other living Chief Executives— Presidents Jimmy Carter, George H.W. Bush, Bill Clinton, and Barack Obama—was held on April 25, 2013. With the opening of this Library, we were able to move holdings consisting of Presidential records and artifacts from a temporary facility located in Lewisville, Texas to their permanent home at the Library. More than 29,000 cubic feet of Presidential traditional holdings and 42,500 artifacts were transferred to the Library, increasing NARA's percent of archival holdings stored in appropriate space to more than 95 percent.

The National Archives Experience Phase II will further improve visitor flow and access to the exhibits and create space for a new exhibit gallery, *Freedom Hall* (David M. Rubenstein Gallery), at the National Archives in Washington, DC. This gallery will create the opportunity for visitors to connect our country's 18th century struggle for liberty with our world today. By improving the existing space, we can enhance the experience of our visitors each year. This year we made

substantial progress toward the completion of the David M. Rubenstein Gallery and the Visitor Orientation Plaza infrastructure to support the installation of exhibits managed by the Foundation for the National Archives. We expect to open the gallery in early FY 2014.

Appropriate physical and environmental storage conditions are essential to ensure that archival records are preserved and available for use by the public for as long as needed.   NARA 1571 establishes environmental conditions that will help achieve maximum life expectancy of the textual records stored in NARA's field sites. This year, we took two significant steps toward this goal. We moved archival records from the Varick Street and Market Street facilities into a new archival bay in our Philadelphia Customs House field facility. Moving from these two facilities and returning the space to GSA also resulted in a rent savings.

Performance Data	2008	2009	2010	2011	2012	2013
Percent of artifact holdings in appropriate space.	40	37	40	40	40	39
Number of artifact holdings (in thousands).	582	628	600	600	600	597
Percent of electronic holdings in appropriate space.	100	100	100	100	100	100
Number of electronic holdings in appropriate space (in terabytes).	–	–	110.0	156.1	515.2	521.4
High Priority Measure: Percent of archival holdings in NARA 1571 compliant space (target 85% by 2012).	–	–	–	–	*85*	*83*
Percent of archival holdings in NARA 1571 compliant space.	73	70	71	78	94	95
Number of archival traditional holdings (in thousands of cubic feet).	3,729	3,937	4,043	4,248	4,482	4,619
Cost of archival storage space per cubic feet of traditional holdings stored.	$5.85	$5.83	$6.16	$7.19	$6.64	$7.82

FY 2014 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.

2.6 NARA FEDERAL RECORDS CENTER HOLDINGS IN APPROPRIATE SPACE

FY 2013 Objectives   ☑   House 90 percent of NARA's non-archival
                                              holdings in appropriate space.

Results   ✓   We store nearly 97 percent of NARA's temporary
                                              holdings in appropriate space.

Discussion: In accordance with 36 CFR Part 1234, the Archivist is responsible for specifying the facility standards 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. The facilities within NARA's nationwide network of Federal Records Centers (FRC) are held to the same standards.

Last year, we completed a major renovation at the Washington National Records Center (WNRC), which added a pipe protection and leak detection system to overhead piping. This was the last modification required for this facility to be fully compliant. In FY 2013, we completed the documentation that chronicles multiple years' worth of facility improvements to the WNRC. With the final certification inspection completed, WNRC was officially certified as compliant in January 2013.   Expansion storage bays added to the Lenexa and Lee's Summit facilities were inspected and certified in late FY 2013. The facilities received conditional certifications in August

because shelving repairs at both facilities are in progress and are estimated for completion in late FY 2014. Another improvement project to NARA's FRC facilities is a pipe protection and leak detection system for the San Bruno FRC. The system has already been designed; however, delays with building the system result from funding constraints.

Performance Data	2008	2009	2010	2011	2012	2013
High Priority Measure: Performance target for percent of NARA records center holdings stored in appropriate space (target 85% by 2012).	—	*100*	—	—	*85*	*90*
Percent of NARA records center holdings stored in appropriate space.	—	—	59	65	80	97
Volume of records center holdings (cubic feet in millions).	26.6	27.2	27.8	27.9	28.4	28.8
Storage price per cubic foot for records center holdings.	$2.40	$2.40	$2.52	$2.52	$2.64	$2.76

FY 2014 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 2013 Objectives	☑	Appropriately treat 65,000 cubic feet of NARA's archival holdings requiring preservation action.
	☑	Conduct preservation reviews at six NARA locations.
	☑	Deploy Holdings Management System (HMS) in National Personnel Records Center and the National Archives at Denver.
Results	✓	We treated and removed more than 73,000 cubic feet of NARA's archival holdings from the preservation backlog.
	✓	We conducted 7 preservation reviews at NARA facilities to improve the preservation of original records.
	✓	We successfully deployed the Holdings Management System (HMS) at the National Personnel Records Center and the National Archives at Denver.

Discussion: NARA must preserve a variety of formats and media in our holdings—paper records, motion pictures, audio recordings, videotapes, still photography, aerial photography, microfilm and other microforms, maps, charts, and artifacts. Preservation is complex and challenging as a result of many factors. Rapid changes in technology used to create non-textual records, time-induced deterioration and instability of the media, equipment and media obsolescence, handling of the records by researchers or the public, the size of our holdings, and tools and knowledge to support the records are just some of the challenges that exist with preservation. Accomplishing our preservation goals extends the life of our holdings and makes records accessible to the public. Despite the challenges we face with significant increases in new

record formats, increased demand for digitization, and fluctuating demand for use of archival records, we continue to examine multiple strategies to address the preservation needs of our holdings.

This year we treated and removed more than 73,000 cubic feet of records from our preservation backlog. Although we were able to surpass our target this year, the increase in holdings continues to outpace the completion of preservation work. Balancing the competing demand of preserving a high number of cubic footage while substantially lowering our preservation backlog remains a significant challenge. We continue to focus on making our work flows more efficient, provide storage for electronic records, identify requirements for holdings maintenance and other preservation actions, and establish contracts for special media formats that we are unable to preserve in-house.

NARA initiated a program to review preservation aspects of holdings and programs nationwide on a five-year cycle. This is the fourth year of the current cycle; this year we conducted site reviews at seven facilities. The preservation review site visits provide opportunities to develop effective working relationships and collaborative planning, and identify specific support requirements at each facility. Shortening the length of time between the onsite visit and issuance of the draft report was achieved this year. In addition, we updated preservation review site visit procedures at NARA field locations to include greater emphasis on discussions with GSA and landlords to improve building maintenance and HVAC management. These areas help to reduce risks to records, provide the required storage conditions, and achieve energy savings.

Preservation reviews at the Presidential Libraries continue to focus attention on the most pressing preservation needs at each Library and serve as an important planning tool. We are looking at ways to streamline support that will assist multiple Libraries.

NARA's Holdings Management System (HMS) provides the capability to record assessments and track the location and progress of treatment of NARA's non-electronic archival holdings. In FY 2013, the system was implemented at the National Archives at Denver and at the National Personnel Records Center (NPRC). HMS addresses long-standing issues and inefficiencies with storage and management of hardcopy archival holdings. This move centralizes information on our non-electronic holdings and allows staff to view information across all our regional and Washington area archives.

Performance Data	2008	2009	2010	2011	2012	2013
Performance target for percent of archival holdings that require preservation action.	*≤65*	*≤65*	*≤65*	*≤65*	*≤65*	*≤65*
Percent of archival holdings that require preservation action.	65	65	64	62	55	53
Holdings requiring preservation action (in thousands of cubic feet).	2,425	2,571	2,578	2,636	2,460	2,440
Archival holdings that received preservation treatment this year (thousands of cubic feet).	125	116	110	79	107	98
Cumulative volume of archival holdings in cold storage needing preservation (thousands of cubic feet).	91	93	94	97	98	107
Performance target for NARA's archival holdings treated and removed from preservation backlog this year (thousands of cubic feet).	*–*	*–*	*85*	*90*	*65*	*65*
NARA's archival holdings treated and removed from preservation backlog this year (thousands of	91	46	56	96	75	73

Performance Data	2008	2009	2010	2011	2012	2013
cubic feet).						

FY 2014 Performance Plan Evaluation   We will begin our next cycle of five year reviews at Presidential Libraries and regional archive locations.

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 2016, 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 2013 Objectives	☑	Sustain 88 percent of archival electronic holdings processed to the point where researchers can have efficient access to them.
	☑	Achieve 85 percent migration of unclassified legacy holdings to ERA.
Results	✓	We processed more than 88 percent of archival electronic holdings to the point where researchers can access them.
	✓	More than 90 percent of NARA's unclassified legacy holdings are in ERA.

Discussion   NARA's mission to provide public access to government records requires that we guarantee continued accessibility to the permanent electronic records of all three branches of our Government. Without this assurance, we risk the loss of essential evidence necessary to protect citizens' legal rights; the Government would suffer loss of accountability and credibility, and our ability to discover and learn from our documented national experience would be substantially decreased.

The public uses a variety of tools to access electronic information and expects government information and services to be accessible through their channel of choice. To meet these expectations, our holdings must be preserved, available, and accessible by the public online. Challenged this year with the loss of several key staff, we prioritized our efforts on specific processing initiatives (e.g., State Department Cables, FBI Field Office index cards, and pre-FY2009 accessions) to meet our target. We reached 88 percent for our permanent electronic holdings that are fully processed, described, and available for researcher access.

NARA's Electronic Records Archives (ERA) is designed to address the continued availability of permanent electronic records transferred to NARA. The system handles the unique needs of electronic records from Federal agencies, Presidential Administrations, and the U.S. Congress. The Online Public Access, a component of ERA, makes our permanent electronic records searchable and accessible by the public.

Efforts remain underway to prepare and transfer our legacy holdings for ingest into ERA. A systematic procedure is in place to ensure an accurate and secure migration. This year, we successfully reached the 92 percent mark in migrating our unclassified legacy holdings to ERA.

Performance Data	2008	2009	2010	2011	2012	2013
Performance target for percent of archival electronic accessions processed to the point where researchers can have efficient access to them.	*80*	*80*	*80*	*83*	*85*	*88*
Percent of archival electronic accessions processed.	86	88	88	83	87	89
Number of accessions received.	2,328	2,476	2,674	2,938	3,143	3,360
Number of accessions processed.	2,004	2,188	2,349	2,429	2,743	2,982
Unprocessed accessioning backlog (in accessions).	324	288	325	509	400	378
Performance target for per-megabyte cost of managing electronic records each year.	*<$0.37*	*<$0.39*	*<$0.36*	*<$0.1*	*<$0.12*	*–*
Per-megabyte cost of managing electronic records each year.	$0.39	$0.36	$0.15	$0.12	$0.03	$0.03
Median time (in calendar days) from the transfer of archival electronic records to NARA until they are available for access.	2,127*	1,842*	2,209*	274	414	403

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

FY 2014 Performance Plan Evaluation   We will complete the migration of unclassified legacy holdings to ERA Base.

3.2 PRESERVING ELECTRONIC RECORDS

FY 2013 Objectives   ☑   Establish a scalable methodology for evaluating preservation risk for archival electronic records based on technical white papers.

Results   ✓   Effort was completed at the end of FY 2012.

Discussion   In the long term, the ERA system will allow NARA to preserve and maintain electronic records using the analysis of information in our preservation and access plans. The ERA system enables NARA to preserve permanent holdings to maximize the number of records available to researchers. 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. This work will be carried out based on the technical characteristics of the records, expected customer demands or interests, the needs of the records' originators, the laws and regulations requiring differing levels of control, and NARA's business strategies and priorities.

FY 2014 Performance Plan Evaluation   We will assess the digital preservation needs of the archival electronic formats in NARA's custody.

3.3 COST OF ELECTRONIC RECORDS MANAGEMENT

FY 2013 Objectives	☑	Carry out corrective and adaptive maintenance tasks.
Results	✓	We reduced the footprint of our production systems through consolidation and movement to the cloud.

Discussion   As of October 1, 2012, Federal agencies were required to use ERA for scheduling records and transferring their permanent records to NARA. In FY 2012, the push to get agencies registered and trained to use ERA proved successful. With ERA in full operation, the emphasis for FY 2013 was operations and maintenance as well as corrective and adaptive work to ensure the system met the records management business needs of NARA and the Federal agencies.

NARA continued to improve operational performance with increased system uptime. We made great strides in upgrading ERA instances and reducing the footprint of our production systems through consolidation and movement to the cloud. We worked to stabilize the Base system but were challenged with stability issues with the application. We will continue to prioritize and address improvements needed to the system to improve the experience for our customers through NARA's IT governance process. Work continues on the Online Public Application (OPA) pilot application to make President George W. Bush email records available in January 2014.

Performance Data	2008	2009	2010	2011	2012	2013
Performance target for megabyte cost to manage archival electronic records.	–	*Establish baseline*	*<$0.36*	*<$0.15*	*<$0.12*	–
Per megabyte cost to manage archival electronic records.	$0.39	$0.36	$0.15	$0.12	$0.03	$0.03
*Number of terabytes of archival electronic records managed by NARA (includes pre-accessioned electronic records).	18.2	19.2	110.4	156.1	515.2	521.4

* Note on the unit of measure for electronic holdings. In FY2012, NARA switched from the gigabyte defined as $1,024^3$ bytes, a common practice in the computer industry, to gigabyte defined as $1,000^3$ bytes, to be in alignment with the international SI standard. The effect of this alignment is that numbers previously reported in gigabytes have all increased by 7.4 percent and numbers reported as terabytes have increased by 10 percent over what was reported before FY 2012.

FY 2014 Performance Plan Evaluation   We will focus on operational efficiency and will look at additional ways to support the Federal cloud computing initiatives.

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 2016, 1.4 percent of NARA's traditional 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 2013 Objectives

☑ 94 percent of written requests are answered within 10 working days;

☑ 95 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;

☐ 90 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;

☑ 93 percent of online archival fixed-fee reproduction orders are completed in 20 working days or less.

☑ Identify ways to reduce OGIS's average case closure rate of 90 days.

Results

"I am proud that our country takes its history so seriously, and goes to extraordinary efforts to preserve its hard-earned lessons for future generations."

"Your service sets a good example that might be followed elsewhere."

✓ We answered 97 percent of written requests within 10 working days.

✓ We provided 98 percent of items requested in our research room within 1 hour of request or scheduled pull time.

✓ We answered 83 percent of Freedom of Information Act requests for Federal records within 20 working days or less.

✓ We completed 93 percent of online archival fixed-fee reproduction orders in 20 working days or less.

> ✓ We identified ways to reduce OGIS's average
> case closure rate of 90 days.

Discussion   We successfully met or exceeded most of our customer service targets in FY 2013. In our research rooms, our customers received requested research materials within one hour 98 percent of the time. Assistance provided by part-time student employees continues to be a contributing factor to our success in this area. We responded to customers' written requests within 10 working days 97 percent of the time. Ninety-three percent of the time we responded to online archival reproduction orders within 20 working days and we answered 83 percent of FOIA requests for Federal records within 20 working days. We focus our customer service efforts on facilitating communication with researchers and when possible, provide estimated dates on when to expect a final response on a FOIA request. We have also established a triage process with incoming FOIAs. Prompt replies to inquiries from our customers are a valuable aspect of good service and our staff continually considers ways to meet customers' expectations.

The Office of Government Information Services (OGIS), established in September 2009, reviews FOIA policies and procedures of administrative agencies, 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 mediation services to resolve disputes between FOIA requesters and Federal agencies, which is an innovative approach to reduce litigation and improves the FOIA process for the public and the Government. Since opening in September 2009, OGIS closed 1,528 cases through the end of FY 2013. OGIS reduced the average time to close a case from 89.5 working days in FY 2012 to 82 working days in FY 2013. Additionally, the number of cases OGIS received in FY 2013 grew by 40 percent (i.e., from 361 to 508); however, OGIS also closed 40.7 percent more cases in FY 2013 than in FY 2012.

One way OGIS was able to reduce its case closure rate was by directly addressing an issue that affects the length of time a case is open. The Privacy Act of 1974 protects FOIA and Privacy Act request and appeal files, prohibiting agencies from sharing information contained in those files without prior written consent of the requestor or the existence of a routine-use procedure allowing such disclosure. Before OGIS facilitators can contact most departments or agencies to discuss a FOIA or Privacy Act request or appeal, the facilitator must first obtain a signed and dated consent from the requestor. This consent authorizes OGIS and any Federal department, agency, or component to share with one another information and records related to the request. This step increases the time to begin facilitating a resolution to a dispute. Since opening the OGIS office four years ago, OGIS has obtained the consent from more than 1,000 requesters. To date, nine departments and agencies have revised their Privacy Act system of records notices to include an OGIS routine-use procedure. OGIS has requested that Chief Privacy Officers for all agencies that do not have a routine-use in their Privacy Act System of Records Notices (SORN) amend their Privacy Act SORNs similarly to those revised by the nine departments and agencies. OGIS has shared model language for such a routine-use procedure. These changes would assist facilitators and reduce delays in beginning the information gathering process.

Performance Data	2008	2009	2010	2011	2012	2013
Performance target for written requests answered within 10 working days.	*91*	*92*	*93*	*94*	*94*	*94*
Percent of written requests answered within 10 working days.	94	95	93	95	97	97
Performance target for Freedom of Information Act requests for Federal records completed within 20 working days.	*86*	*87*	*87*	*88*	*89*	*90*

Performance Data	2008	2009	2010	2011	2012	2013
Percent of Freedom of Information Act requests for Federal records completed within 20 working days.	89	86	89	89	83	83
Number of FOIAs processed (Federal and Presidential).	13,485	17,512	15,771	17,182	13,745	13,246
Annual cost to process FOIAs (in millions).	$2.34	$2.76	$2.97	$3.16	$3.08	$3.23
Annual per FOIA cost.	$173	$157	$189	$184	$224	$244
Performance target for items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	*90*	*93*	*94*	*94*	*95*	*95*
Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	93	93	96	97	98	98
Number of researcher visits to our research rooms (in thousands).	140	129	137	129	123	114
Number of items furnished in our research rooms (in thousands).	577	553	564	578	549	533
Number of items furnished on time in our research rooms (in thousands).	538	515	539	560	536	522
Performance target for archival fixed-fee reproduction orders through SOFA are completed in 20 (35 pre-2007) working days or less.	*85*	*90*	*90*	*91*	*92*	*93*
Percent of archival fixed-fee reproduction orders through SOFA are completed in 20 working days or less.	68	90	96	96	95	93
Average per order cost to operate fixed-fee ordering.	$30.59	$38.06	$40.49	$39.59	$39.82	$45.62
Average order completion time (days).	22	18	13	13	7	10

FY 2014 Performance Plan Evaluation   We expect to meet or exceed our published standards for customer service.

4.2 ONLINE ACCESS TO ARCHIVAL HOLDINGS

FY 2013 Objectives   ☑   Make 1.2 percent of NARA's traditional archival holdings accessible online.

Results   ✓   We made 1.2 percent of NARA's traditional archival holding accessible online. More than 1.9 million digital objects linked to nearly 774,000 descriptions are in our online catalog.

Discussion   NARA's *Strategy for Digitizing Archival Materials for Public Access, 2007-2016*, lays out our commitment to expanding public access to our important historical holdings through digitization. Our Office of Innovation oversees the National Archives' Open Government and Digital Government Strategy efforts and leads NARA's efforts to create innovative ways to serve our customers and increase access to and delivery of records through all forms of media.

In FY 2013, we implemented the Digital Government Strategy and we joined GSA's Digital Analytics Program. As part of this program, we evaluated the shared analytics tool and completed our implementation of the government-wide tool (Google Analytics) on Archives.gov.

We continued to work on the implementation of NARA's Open Government for 2012-2014, including the flagship initiative to provide innovative digital access to the records of the National Archives. Throughout the year, we expanded electronic datasets available on *Data.gov*, including datasets from the Office of the Federal Register and grants data from the National Historical and

Publications Records Commission spanning almost 50 years. We feature 48 NARA datasets on *Data.gov*.

We made efforts this year to improve the safety and productivity in our labs. We analyzed current processes, proposed future processes, and developed new processes for NARA internal offices to request digitization work and for moving new content from our digitization labs to the online catalog. Our new processes will increase both the quantity and quality of digitization at the agency.

In addition to our internal digitization projects, we work to establish external digitization partnerships to further increase the volume of digitized holdings online. We continue to develop and launch collaborative projects, public challenges, and partnerships with the archival community, industry, and academic institutions to support innovation activities. Our partners are currently digitizing at NARA facilities around the country. Two partnerships established this year include a new digitization agreement with American University to digitize a sample of bankruptcy case files that will provide us with the digital images and metadata to facilitate researcher use and a digitization agreement with the Fish and Wildlife Service to digitize narrative reports created by the service. Currently, we have six active digitization partnerships.

NARA has an expanding social media presence and we use these tools and sites to create new ways of communicating with the public. NARA's statistics illustrate a growing popularity of our sites with millions of views performed each month. Many of our digitized holdings are accessed through these sites. We have collaborated with *Wikipedia* and *Wikimedia* since 2010, and since that time, we have added 127,368 digital copies of our records to Wikimedia Commons and other Wikimedia users have added 2,415 NARA images to the Commons. More than 5,700 of these media files have been used in more than 44,000 articles in Wikipedia, and pages that contain NARA images were viewed approximately 1.2 billion times in FY 2013.

Our Presidential Libraries social network continues to thrive as a dynamic resource. The social media channels that we publish feature timely content and relevant interactions with our customers. To simplify access for customers, we collected content from across the Presidential Libraries' social media pages to target a national audience. This communication is published through *Our Presidents* on *Twitter* and *Tumblr;* and *USNatArchives* on *Facebook*. As our social network grows, we focus on staying current with developing social media, mobile, and interactive technology while ensuring that we maintain a consistently high standard for our content.

Engaging the public in our digitization efforts through NARA's Citizen Archivist Dashboard, the portal for NARA's crowd sourcing activities has proven effective. We invited public participation in tagging, transcription, editing articles, uploading images, including presentations at Social Media Week 2013. Using the dashboard, we showcased, "Old Weather," featuring nearly 70,000 images of Arctic ship logs from our holdings digitized in a partnership with the National Oceanic Atmospheric Administration (NOAA). These are available on the dashboard for citizens to transcribe and index. The transcriptions help scientists recover Arctic and worldwide weather observations made by U.S. ships.

Performance Data	2008	2009	2010	2011	2012	2013
Performance target for percent of traditional archival holdings accessible online.	–	–	*.30*	*.65*	*1*	*1.2*
Percent of traditional archival holdings available online.	.04	.04	.6	.8	1.2	1.2
Performance target for percent increase in online catalog visits.	*10*	*10*	*–*	*–*	*–*	*–*
Percent increase in online catalog visits.	131	-6	-4	9	2	8
Number of online catalog visits (in thousands of visits).	671	631	603	657	673	734

FY 2014 Performance Plan Evaluation   We will continue to increase the number of archival holdings accessible online by streamlining processes and engaging the public in social media projects that facilitate access.

 4.3 ONLINE CATALOG

FY 2013 Objectives	☐	Describe 85 percent of NARA traditional holdings in the online catalog.
	☑	Describe 85 percent of NARA artifact holdings in the online catalog.
	☑	Describe 85 percent of NARA electronic holdings in the online catalog.
Results	✓	We described 83 percent of NARA traditional holdings in the online catalog.
	✓	We described 95 percent of NARA artifact holdings in the online catalog.
	✓	We described 93 percent of NARA electronic holdings in the online catalog.

Discussion   NARA's Online Public Access (OPA) is the agency's online catalog. OPA provides access to descriptions of holdings, artifacts, and electronic records held by the National Archives. This comprehensive, self-service tool ensures that anyone with an internet connection has access to the descriptions of more than 3.6 million cubic feet of traditional holdings (e.g., historical documents, videos, photographs), 568,000 artifacts, and more than 12 billion born-digital records currently described in the online catalog.

In addition to review processes to ensure high quality descriptions, we offer numerous description training opportunities to staff. We completed development activities for the next generation description and authority service (DAS) that staff will use to create descriptions of the agency's records for the online catalog. The tool will also allow us to add millions of descriptions and digital objects from our partnership projects. DAS underwent extensive user acceptance in FY 2013 and will be deployed to staff that create descriptions for NARA's online catalog in FY 2014. DAS will streamline the description review process and impose automated business rules up front rather than as part of the manual review process.

Performance Data	2008	2009	2010	2011	2012	2013
Performance target for traditional holdings in an online catalog.	*60*	*65*	*70*	*75*	*80*	*85*
Percent of traditional holdings in an online catalog.*	71	73	72	74	81	83
Number of traditional holdings described in an online catalog (millions of cubic feet).	2.4	2.7	2.8	3.0	3.4	3.7
Number of traditional holdings described in NARA (millions of cubic feet). **	3.7	3.9	4.0	4.2	4.5	4.6
Performance target for artifact holdings described in an online catalog.	*60*	*65*	*70*	*75*	*80*	*85*
Percent of artifact holdings described in an online catalog.*	65	80	74	78	88	95
Number of artifact holdings described in an online catalog (thousands of items).	353	465	466	466	528	568
Number of artifact holdings described in NARA (thousands of items).	582	628	600	600	600	600
Performance target for electronic holdings in an online catalog.	*60*	*65*	*70*	*75*	*80*	*85*
Percent of electronic holdings described in an online catalog.	98	95	96	96	87	93
Number of electronic holdings described in an online catalog (billions of logical data records).	5.4	6.4	6.7	6.9	10.0	12.2
Number of electronic holdings in NARA (billions of logical data records).	5.5	6.7	6.9	7.2	11.4	13.1
Number of online catalog users (in thousands of visits).	671	631	603	657	673	734

*Percent of holdings described in an online catalog may differ from previous PARs because percent is now based on a start of year inventory. ** The figures for traditional holdings are less than reported in previous years by about 3,600 cubic feet (1/10th of 1 percent) due to the re-allocation of a collection stored at the Library of Congress.*

FY 2014 Performance Plan Evaluation   We will continue to expand our online holdings and identify innovative ways using social media to increase access.

4.4 WEB SITES

FY 2013 Objectives	☐	Develop a proposal and project plan to host NARA web sites in the cloud.
Results	✓	We prepared a business case to procure Content Delivery Network (CDN) services.

Discussion   In 2011, the United States Chief Information Officer issued the *Federal Cloud Computing Strategy* to address the Federal government's fragmented information technology environment. This strategy moves agencies to adopt a *Cloud First* policy whereby agencies evaluate secure cloud computing options before making any new information technology investments. Cloud computing leverages a shared network infrastructure and provides agencies with an opportunity to more efficiently manage their information technology investments.

Like many other Federal agencies, NARA is developing needs and requirements for meeting the "cloud first" initiative.   In early 2012, we moved the archives.gov web site to the cloud due to high public interest in the 1940 Census data release. Lessons learned from this experience helped us as we developed our business case to move other NARA web sites to a cloud computing

service model.   Our business case outlined a phased approach to procure Content Delivery Network (CDN) services to ensure content is delivered to users at level of high availability and high performance when we experience increased web traffic for services.

Performance Data	2008	2009	2010	2011	2012	2013
Online visits to NARA's web sites (in thousands).	37,807	37,470	41,058	33,600	43,969	49,603
Performance target NARA web site scores as percent of benchmarked score for other Federal web sites.	*Establish baseline*	*67*	*72*	*75*	*75*	*—*
Percentage point improvement in web sites scores.	—	3	5	-2	-1	NA
Web sites score at or above the benchmark for excellence as defined for Federal Government web sites.*	66	69	74	72	71	NA

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

FY 2014 Performance Plan Evaluation   We will propose an approach to migrate all of NARA web sites internally managed to the cloud. We will examine the costs, benefits, and trade-offs for adopting cloud computing and address the challenges such as privacy, security, costs, etc.

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 2013 Objectives

☑ 88 percent of NARA education program visitors are satisfied with their visit.

☑ 88 percent of NARA public program visitors are highly satisfied with their visit.

Results

✔ One hundred percent of our education program visitors were satisfied with their visit.

✔ Ninety-eight percent of our public program visitors were satisfied with their visit.

Discussion: As the keeper of the records of the Federal government, the National Archives literally safeguards the documentary record of American history. From the Charters of Freedom, to the census records that enumerate our country's population, to the records of Congress, and Presidential Administrations that document political developments, our holdings are vast and uniquely diverse. Our museums offer thought-provoking and entertaining permanent exhibits that combine documents and artifacts, photographs and films to immerse visitors in the sights and sounds of the past.

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. While each Library has unique initiatives, they also collaborate on system-wide efforts to educate the public. The Libraries create programs for the public and student classrooms centered on such topics as Presidential decision making. Throughout our Libraries we conduct special workshops and teacher outreach programs, as well as programs for adults and families.

Our Presidential Libraries support open government through a variety of social media tools that encourage two-way conversations with our audiences. We focus on quality content to maximize customer engagement. We manage and facilitate access to our digital holdings on more than 30 social media pages that include *Facebook, Flickr, History Pin, Pinterest, Twitter, Tumblr, YouTube,* and several others. Teachers are now able to participate in our National Archives Education blog updates and other social media pages to learn about resources and opportunities at NARA.

Our National Archives in St. Louis presented a new exhibition titled, *Through America's Lens: Focusing on the Greatest Generation 1920-1945.* This exhibit featured some of America's most memorable photographic images, along with documents from the personnel folders of those who created those images. Two public outreach events were held in association with the exhibit that addressed historical photographs impact on time and memory and poverty issues related to the images featured in the exhibit. We strive to provide high quality public programs although we had to cancel several due to the current fiscal climate. One popular event, our annual genealogy fair, was canceled and reformatted as a very successful, live Internet event. This Virtual Genealogy Fair, held over two days, showcased the diversity of Federal records located at the National Archives as resources for family history research. Finding new and creative ways to offer quality services in a changing environment is key to maintaining high levels of satisfaction with our customers.

DocsTeach, one of our highly successful open government initiatives, is an award-winning education web site designed to provide instruction to teachers in the best practices of teaching with primary sources. Using documents in our holdings as teachable resources, *DocsTeach* strongly supports our goal to promote civic literacy. This tool provides teachers with access to primary sources, instruction in best practices, and opportunities to interact with teachers across the nation. We conduct evaluations of our summer institute, *Primarily Teaching*, which requires teachers to develop lesson plans for posting on *DocsTeach*. Customer satisfaction is typically rated at 100 percent for this workshop. Consistent use of feedback forms for our workshops, conferences and presentations provides us with more accurate information about customer satisfaction and helps to uncover where improvements are needed.

National Archives Experience Phase II renovations were identified to improve our visitor's exhibit experience. Results from an FY 2010 AASLH survey indicated that visitors had concerns navigating some of our exhibits and touring the National Archives in Washington, DC. In FY 2012, we increased the number of signs throughout our building, offering directions and instructions to our visitors. This year, we achieved substantial progress toward completion of the David M. Rubenstein Gallery and the Visitor Orientation Plaza infrastructure to support the installation of exhibits managed by the Foundation for the National Archives. Opening of the gallery is scheduled for early FY 2014.

Performance Data	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**
Number of physical visitors to NARA museums, exhibits, research rooms and programs (in millions).	3.2	3.6	3.6	4.0	3.8	4.1
Performance target for percent of NARA education program visitors satisfied with their visit.	–	–	*85*	*86*	*87*	*88*
Percent of NARA education program visitors satisfied with their visit.*	–	–	–	–	–	100
Performance target for percent of NARA public program visitors satisfied with their visit.	–	–	*85*	*86*	*87*	*88*
Percent of NARA public program visitors satisfied with their visit.	100	99	99	99	100	98

*An evaluation instrument developed in FY 2012 will be used to capture survey data in FY 2013 and beyond.

FY 2014 Performance Plan Evaluation   We will continue to survey our customers to identify areas where we can improve service.

5.2 NHPRC-ASSISTED PROJECTS

FY 2013 Objectives   ☑   85 percent of all NHPRC-assisted grants produce the results expected.

Results

"We are immensely grateful for the support the NHPRC has given…"

✓   More than 90 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.

The NHPRC closed 104 grant projects with a 91 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 typically challenged with simultaneously managing more than 200 ongoing grant projects and more than 100 additional projects funded each year. The NHPRC continues to provide training to grantees using its 2012 publication *Introduction to Financial Management for Grant Recipients* available online, recognizing that when grantees manage their grant funds well it improves overall success rates. A major enhancement this year was the implementation of the Accounting Systems and Financial Capability Questionnaire. Recipients of grants awarded in November 2012 and June 2013 completed the questionnaire, which helps NHPRC educate recipients about specific financial requirements. Determining the effect this new tool has on grantee performance may take some time to discern; however, it is already providing NHPRC staff with valuable information about areas where grantees need better procedures and training. Additionally, NHPRC hosted webinars for nearly 80 financial agents, project directors, and authorized representatives on "*Managing the Finances of Your NHPRC Grant."*

This year, more than 90 percent of the grants made by the NHPRC were successful. As a result, archives around the country preserved and described more than 38,900 cubic feet of historical records; historians published 20 volumes of authoritatively-transcribed and annotated documents; and various repositories made nearly 1,417,000 digital facsimiles of historic records available for free research online.

The NHPRC successfully launched the web resource, *Founders Online*, on June 13, 2013, and response to its release was overwhelmingly positive from both the press and visitors to the site. Through close cooperation with the University of Virginia Press, we are able to provide the public with free online access to more than 120,000 documents written by or to the Founding Fathers. This easy to use website, *Founders Online* (www.founders.archives.gov), provides access to the words of the founders of our nation. *Founders Online* rests on the hard work of dozens of scholars, archivists, and funders who have undertaken and supported the research for over 50 years. These letters and other writings capture the crucial debates about independence, government, and freedom as well as document the daily struggles and joys of those who lived through those critical times. Web server statistics report more than 122,000 unique visits with

promising numbers for visitors returning to the site. A second part of our Founders Online Initiative is to provide early access to transcripts of Founders documents that have not yet been authoritatively transcribed and published. In support of this effort, thousands of unpublished documents from the Founding Fathers were transcribed and put into a format so they can be searched as part of *Founders Online*. Though the documents do not have the notes that enrich the previously published volumes, this effort provides immediate public access to these not-yet-published materials.

Performance Data	2008	2009	2010	2011	2012	2013
Performance target for percent of all NHPRC-assisted grants produce the results expected.	—	—	*82*	*85*	*85*	*85*
Percent of all NHPRC-assisted grants produce the results expected.	81	82	92	84	89	91

FY 2014 Performance Plan Evaluation   We will complete the second part of our Founders Online Initiative to improve existing rough transcriptions or prepare original transcriptions of 68,000 historical documents from the unpublished Founders' papers and release verified transcripts of these materials on *Founders Online*.

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 their respective availability levels in 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 2013 Objectives

☑ Establish competency models for 85 percent of NARA's positions.

☑ Complete competency gap analysis throughout all NARA organizations.

☐ Rollout electronic Individual Development Plan (eIDP) and mentor program.

Results

✓ We have established competency models for more than 87 percent of the jobs at NARA.

✓ We completed competency gap assessments for core competencies, leadership competencies, and a general technical credibility competency.

✓ We piloted an eIDP and mentoring program.

Discussion: Vital to the success of fulfilling NARA's mission is having staff with the necessary sets of skills, knowledge, and abilities to meet current and future organizational goals. To ensure that staff have the appropriate competencies to perform their work, we examined NARA's occupations throughout the agency to identify competencies required at all levels and use this as the groundwork to understand what we have and what we need to develop. Competency models describe the set of skills, knowledge, and abilities necessary for successful performance in a given job. Well-crafted competency models reduce legal exposure in hiring practices as well as improve the efficiency, consistency, and continuity across human resource functions. As

competency requirements are identified, we use them as the basis for recruitment, selection, performance management, training, succession planning, and staff development.

By FY 2013, we established competency models and other related assessment material for nearly 87 percent of the various occupations within NARA. In addition to the competency models, we created competency-based assessments such as interview guides and occupational questionnaires. Using these tools, we performed an agency-wide gap analysis. This essential component of the workforce planning process helped us identify whether we have the skills and expertise needed to meet strategic goals and effectively respond to future requirements. Agency leaders determined desired proficiency levels for competencies relevant to their areas, and rated employees on their current level of core competencies and technical credibility. The results helped inform training and development decisions and key actions needed to close the gaps. This exercise increased awareness among leadership about staff competency gaps and revealed that the largest agency-wide gaps exist in organizational awareness and communication.

We piloted an electronic Individual Development Plan (eIDP) tool designed to allow employees to create and monitor training and development activities online. Management can use the tool to understand training and development needs around the agency. While we piloted the tool to nearly 80 percent of NARA's managers and supervisors, we experienced a few integration challenges with some of the human resource systems currently used by NARA that we must resolve before a full rollout to staff.

Mentoring and coaching is a popular method to retain and develop talent, improve productivity and performance ratings, develop leaders, and improve diversity. We promoted our new mentoring program at NARA through a communication campaign across the agency titled "KNECT," which stands for "Knowledge, Engagement, Connection, and Trust." This program where experienced staff are paired with more junior employees is designed to enhance the professional and personal development of both groups of participants. Mentoring information sessions were conducted resulting in 17 participants joining the pilot.

Performance Data	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**
Performance target for percent of NARA's positions that have a competency model.	–	–	–	–	*85*	*85*
Percent of NARA's positions with competency models.	–	–	–	–	42	87

FY 2014 Performance Plan Evaluation   NARA will launch a process to build career paths at the agency with a focus on adjusting and creating career paths, documenting career paths, and identifying resources and developing programs to support career growth.

6.2 WORKFORCE DIVERSITY

FY 2013 Objectives

  ☐ Increase the participation rate of employees in underrepresented groups relative to their representation in the CLF.

  ☐ Achieve 65 percent positive response rate in Annual Employee Survey (AES) questions referencing workforce diversity.

Results

✓ The percent of employees in 3 out of 8 underrepresented groups matched or exceeded their rate in the Civilian Labor Force.

✓ Fifty-four percent of NARA employees responded positively to workforce diversity questions on the Annual Employee Survey.

Discussion: The Archivist is committed to making a better workplace culture at NARA. NARA strives to achieve a diverse and inclusive workforce that reflects the demographics of our nation. We engage in a number of activities to maximize employee talent through an expansion of targeted efforts in outreach, recruitment, and hiring. In addition, we conduct annual benchmark efforts to identify, adopt, and implement successful practices in other Federal agencies and organizations. By promoting and valuing workforce diversity, we create a work environment where employees with a variety of experiences can offer varied perspectives and viewpoints to improve the 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, two or more races, and persons with disabilities), we met or exceeded the Civilian Labor Force rate for women, Blacks/African Americans, and employees of two or more races. Despite the strides NARA made to ensure diversity, we remain committed to further improving our efforts as we endeavor to ensure our workplace mirrors the diversity of the nation we serve.

This year, NARA began a number of coordinated efforts to cultivate diversity in the workplace. NARA developed and introduced a Diversity and Inclusion Toolkit to assist managers, supervisors, and employees with integrating diversity and inclusion values and practices into agency processes. Information sessions were held with several agencies to identify and benchmark best practices within the Federal government. We developed guidance on establishing employee affinity groups as a result of these Federal agency interactions and sharing of best practices. We successfully garnered participation from around the agency in a video challenge promoting diversity. Thirteen submissions were received and footage will be used to create a video for NARA staff, new hires, and shared with the Office of Personnel Management as a successful practice in cultivating a diverse and inclusive workplace.

We continued to pursue strategies to enhance underrepresented groups at NARA. Examples of our strategies include expanding partnerships with minority-serving universities, education associations, and professional organizations; promoting student employment opportunities through social media; and partnering with the Department of Interior to provide managers with Diversity Change Agent training. In addition, we established a Special Emphasis Program (SEP) within the agency with the goal of giving employees the opportunity to help the agency become a model workplace of choice. More than 80 staff applied to become SEP Managers, a collateral-duty assignment, and will serve as a line of support and resource for NARA managers, supervisors, employees, and prospective applicants. The SEP Managers will be trained and equipped to develop action plans that are specific to the needs of individual organizations, nationwide. The program is open to all employees, regardless of job title or grade level, and provides them an opportunity to play a vital role in NARA's future.

NARA participates in the annual, government-wide Employee Viewpoint Survey (EVS) administered by OPM as part of its 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. We analyze the responses to four specific questions that reference workforce diversity to determine employee perception. The EVS results give us one data point in the overall assessment of how well diversity and inclusion is viewed at NARA. We provide a wide variety of tools, techniques and experiences designed to assist employees at all levels of the agency to effectively lead and thrive in a diverse and inclusive workplace.

FY 2014 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. We will analyze methods to better understand our applicant data as we work to model the Civilian Labor Force. We will place more emphasis on working closely with all levels of NARA employees regarding awareness of diversity and inclusion efforts.

6.3 RECRUITING EMPLOYEES

FY 2013 Objectives	☑	40 percent of NARA's positions are filled within 80 days.
Results	✓	We filled 40 percent of NARA's positions within 80 days.

Discussion: NARA's ability to attract the best talent in a competitive market is enhanced by an effective hiring process. Proper workforce planning decreases delays experienced when agency program offices need to commence, resume, or properly staff work vital to the agency's mission. Instituting hiring processes that simplify, facilitate, and support both manager and job applicant reduces the risk of losing potential NARA job seekers to positions external to the agency, which may happen when potential candidates accept positions elsewhere because of the lengthy hiring time. NARA is committed to meeting the goal set by the Office of Personnel Management to fill vacancies within 80 days. This 80-day process begins when the hiring manager receives approval to fill a vacancy and ends on the employee's entrance on duty date.

This year, we experienced an increased volume in workload because of several factors. We were required to formally announce all Pathway student intern positions and an increased number of applicants meeting job certifications required more qualifications and eligibility review time by our staff. We continued to streamline our processes and met routinely with executives and senior managers to address issues and concerns to mitigate delays that may impact timeliness. Additionally, we are implementing new performance plans that clearly lay out the roles and responsibilities of each employee in our Human Capital office involved in the 80 days to hire process.

Performance Data	2008	2009	2010	2011	2012	2013
Number of applicants.	—	—	18,524	30,732	23,083	32,404
Number of applicants hired.	—	—	157	317	206	564
Average number of days to fill position.	—	—	152.2	144.0	109.4	TBD
Performance target for percent of NARA's positions filled within 80 days.	—	—	*30*	*40*	*25*	*40*
Percent of NARA's positions filled within 80 days.	—	—	12	10	27	40

FY 2014 Performance Plan Evaluation   Within our Human Capital office, we will identify ways to improve the customer's experience when working with subject matter experts.

6.4 NONTRADITIONAL WORK ARRANGEMENTS

FY 2013 Objectives	☑	30 percent of NARA's eligible staff participates in the telework program.
Results	✓	Nearly 32 percent of NARA's eligible staff participates in the telework program.

Discussion: NARA's telework program serves to improve the quality of work life, recruit job seekers, retain talented staff, and support our continuity of operations program. Telework is a tool that affords the employee a balanced work life while also allowing both the agency and employee to accomplish the mission of the agency.

Results from the 2012 Employee Viewpoint Survey indicated a need for more communication and education about telework throughout NARA. To facilitate understanding of the telework policy, we provided additional guidance on telework-related requirements following dismissals and closures. We are also implementing a telework agreement database to track agreements and inform employees and supervisors of renewal agreements. To prepare for emergencies, we conducted a continuity of operations (COOP) telework preparedness assessment and plan to routinely remind our COOP staff--Emergency Relocation Group (ERG) members and Devolution Emergency Response Group (DERG) members—of the requirement to have an active telework agreement in place in case of emergency.

Performance Data	**2009**	**2010**	**2011**	**2012**	**2013**
Percent of NARA's staff eligible to telework.	–	28	29	29	45
Performance target for percent of NARA's eligible staff in telework program.	*–*	*15*	*15*	*12*	*30*
Percent of NARA's eligible staff participating in the telework program.	–	16	23	32	32
Number of telework hours worked by NARA employees (in thousands).	–	63.7	112.6	74.1	TBD

FY 2014 Performance Plan Evaluation We will monitor the telework program for increased participation rates within NARA offices where staff meet eligibility requirements.

6.5 INFORMATION TECHNOLOGY

FY 2013 Objectives	☑	Public network applications are available 98.88 percent of the time.
	☑	Implement at least two cloud-based solutions for applications.
	☑	Create governance infrastructure for improving storage management.
Results	✓	Our public network applications were available 99.8 percent of the time.
	✓	We migrated NARA's email services and implemented NARA's Description and Authority Service in the cloud.

✓ We created a governance infrastructure for improving enterprise storage management at NARA.

Discussion: We rely heavily on technology to conduct business with the public, perform our jobs, and facilitate communications. Technology 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. These tools offer flexibility and consistency in work processes and operations.

NARA hosts several applications that are available to the public through the Internet. These include the 1930 Census, Access to Archival Databases (AAD), eVetRecs, and Order Online!—to name a few. This year, we exceeded our target to have these applications available to the public no less than 98.88 percent of the time. 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 available 24/7. 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 our resources and services to ensure optimal performance.

We completed several technical projects to improve overall performance, stability, and availability of NARA's internal network. We enabled security features to protect publicly available sites from unauthorized Domain Name Service (DNS) changes and attacks. In addition, we completed a DNS redesign project to provide a redundant and stable DNS environment to support web access for all NARA systems in case of network failure at any of our archives or Federal records centers located throughout the nation. Testing is underway to test circuit redundancy which will allow us to provide a redundant connection for wide area network and internet connectivity at the National Archives, College Park location.

In FY 2010, OMB recommended that agencies consider cloud-based solutions when making technology-related decisions. Their recommendation to focus on a "cloud first" approach and use shared service providers led us to select two projects to consider for cloud implementation. Our first effort was the migration of NARA's email service to the cloud. This project involved the migration of email, management of email accounts, directories, help desk support, and the establishment of security requirements. In FY 2013, we rolled out a cloud-based solution, *Google Cloud*, to all NARA users. The new tool provides a user-friendly email system with enhanced features and lower operational costs.

Our second project was the implementation of the Description and Authority Service (DAS) in the cloud. NARA's DAS is a complex system that will replace NARA's legacy Archival Description Catalog (ARC) system, which contains more than 6 million archival descriptions. Although we encountered issues during the development activities for the DAS (e.g., connecting NARA to the Amazon Web Service cloud infrastructure), we resolved these problems and successfully implemented the DAS training and test environments in the cloud. By the end of the fiscal year, we deployed the DAS to production for a subset of users.

NARA's need to improve our information technology infrastructure for business needs requires that we improve digital storage management within the agency. We addressed this problem with an effort to create a governance infrastructure for improving our storage management processes. We identified our baseline configuration through an analysis to identify NARA's existing storage systems. Enterprise storage business requirements were captured from our

internal business stakeholders. These requirements will help us establish standard operating procedures for maintaining our storage environments. Managing through technology transformations, such as the move of email to the cloud, presents challenges. While we have a baseline configuration for the agency's existing storage systems and a charter for the governance formation team, we need to identify the processes and architectures that will support our business needs.

Performance Data	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**
Percent of public network availability.	100	100	100	99.8	92.5	98.7
Performance target for percent availability of public applications.	*98.83*	*98.84*	*98.85*	*98.86*	*98.87*	*98.88*
Percent of public network applications availability.	99.5	99.5	99.7	99.5	99.1	99.8
Number of total hours that any public network application was unavailable.	424	414	305	459	780	116
Percent of customers highly satisfied with NARA helpdesk services (average for year).	83	87	87	83	83	88

FY 2014 Performance Plan Evaluation   We will continue expanding our technological infrastructure by finishing the implementation of the DNS redesign and DNS Security Extensions (DNNSEC) projects. We will also continue to maintain our public facing applications through proactive scheduling of maintenance windows, increased redundancy of infrastructure to better support publicly available applications, and transitioning to cloud services for critical systems.

FY 2013 PROGRAM EVALUATIONS

Strategic Goal 2: Preserve and Process

Office of Inspector General, OIG Report 13-08, *Audit of NARA's Preservation Program*, July 9, 2013

> The objectives of this audit were to determine if (1) recommendations in the *Evaluation of NARA's Preservation Program (OIG Audit Report 05-13, dated June 2005)* were adequately implemented; and (2) program controls were adequate to meet the mission of preserving Federal records. There are six recommendations associated with this audit, all of which remain open.

Office of Inspector General, OIG Report 13-14, *Audit of Processing of Textual Records,* September 18, 2013

> The objective of this audit was to evaluate and assess the process of making archival records available to the public in a timely manner. There are eight recommendations associated with this audit, all of which remain open.

Strategic Goal 3: Electronic Records

Office of Inspector General, Management Letter 13-02, *Status of the Upgrade to the Electronic Records Archives Executive Office of the President System,* October 18, 2012

> This management letter informs the Archivist of concerns with the effort to upgrade the Electronic Records Archives Executive Office of the President System. There are no recommendations associated with this management letter.

Office of Inspector General, OIG Report 13-03, *Audit of the Electronic Records Archives System's Ability to Preserve Records,* February 15, 2013

> The objective of this audit was to evaluate and report on NARA's capability in preserving electronic records to ensure the continued existence, accessibility, and authenticity of electronic records over time. There are five recommendations associated with this audit, all of which remain open.

Office of Inspector General, Advisory Report 13-07, *Status Update of the Electronic Records Archives Executive Office of the President System Upgrade*, January 31, 2013

> This advisory report is to update the Archivist on the upgrade effort for the Electronic Records Archives Executive Office of the President System. There are no recommendations associated with this advisory report.

Office of Inspector General, OIG Report 13-11, *Audit of the Base ERA System's Ability to Ingest Records,* September 19, 2013

The objective of this audit was to evaluate and report on the capability of NARA's Base ERA System to ingest records presently and in the near future. There are three recommendations associated with this audit, all of which remain open.

Strategic Goal 6: Infrastructure

Office of Inspector General, Management Letter 13-04, *Vulnerabilities in Managing the Student Workforce at the National Personnel Records Center*, December 4, 2012

This management letter is to inform the Archivist of vulnerabilities regarding student employment at the National Personnel Records Center. There are no recommendations associated with this management letter.

Office of Inspector General, Audit Memorandum 13-06, *Audit of NARA's Compliance with the Improper Payment Elimination and Recovery Act of 2010*, January 31, 2013

As required by Section 3(b) of the Improper Payments Elimination and Recovery Act of 2010, the OIG reviewed NARA's improper payment reporting and accompanying materials to determine compliance. The OIG concluded that NARA is in compliance with the intent of the Improper Payments Information Act of 2002, as amended. There are no findings associated with this audit memorandum.

Office of Inspector General, OIG Report 13-09, *Audit of NARA's Data Backup Operations*, July 9, 2013

This audit was to determine whether NARA had a systematic, accountable, and documented process for restoring original data after a data loss event. There are 11 recommendations associated with this audit, all of which remain open.

Office of Inspector General, OIG Report 13-12, *Audit of NARA's Intrusion Detection and Prevention Systems and Incident Response*, September 10, 2013

The objective of this audit was to determine whether (1) NARA's IDPSs had been properly implemented and are operating effectively, (2) appropriate logical and physical security and environmental protection controls are in place, and (3) NARA's computer security incident response process is effective and efficient, and the incident response staff are adequately trained. There are 18 recommendations associated with this audit, all of which remain open.

Office of Inspector General, Audit Memorandum 13-15, *NARA's Handling of Paper-Based Disclosure of Personally Identifiable Information (PII)*, September 25, 2013

This audit memorandum is a follow-up to OIG Report 13-12 on NARA's IDPSs. It addresses issues related to handling paper-based disclosure events identified during the course of the earlier audit. There are two recommendations associated with this audit memorandum, both of which remain open.

Multi-Goal Evaluations

Office of Inspector General, OIG Report 13-01, *Audit of NARA's Internal Control Program,* December 10, 2012

> The objectives of this audit were to evaluate (1) NARA's compliance with guidance contained in FMFIA and Circular A-123, and the adequacy of the agency's assurance statement, (2) NARA's progress towards development of a formalized and comprehensive Internal Control Program (ICP), and (3) the status of open recommendations made in prior year reports. There are nine recommendations associated with this audit, all of which remain open.

Office of Inspector General, OIG Report 13-05, *Cotton & Company's NARA FY 2012 Financial Statements Independent Audit Report,* December 10, 2012

> The Inspector General contracted with Cotton & Company to conduct an audit of NARA's FY 2012 financial statements. There are seven new recommendations associated with this audit, as well as nine pending from prior year reports. A final determination on open recommendations will be included in the FY 2013 Financial Statement Independent Report.

Office of Inspector General, Audit Memorandum 13-10, *NARA Archival Facilities,* July 19, 2013

> The objectives of this audit were to determine if (1) recommendations in the *Evaluation of NARA's Preservation Program* (OIG Audit Report 05-13, dated June 2005) were adequately implemented; and (2) program controls were adequate to meet the mission of preserving Federal records. This audit memorandum that follows OIG Report 13-08 (above) focuses on the results related to NARA's archival facilities. There are five recommendations associated with this audit memorandum, all of which remain open.

Office of Inspector General, Management Letter 13-13, *Management Control Environment over Archival Operations at the National Archives at San Bruno, CA.* July 29, 2013

> This management letter brings to the Archivist's attention management control weaknesses observed during a limited visit to the National Archives at San Bruno, CA. There are no specific recommendations associated with this management letter.

Government Accountability Office, GAO-13-650, *Freedom of Information Act: Office of Government Information Services (OGIS) Has begun Implementing Its Responsibilities, but Further Actions are Needed*, September 2013

> To evaluate how effectively OGIS is meeting its responsibilities, GAO assessed actions that the office has taken to (1) implement its responsibilities for reviewing agencies' policies, procedures, and compliance with FOIA; (2) mediate disputes between FOIA requesters and Federal agencies; and (3) recommend policy changes and best practices to improve the administration of FOIA. There are two recommendations associated with the audit, both of which remain open.

Government Accountability Office, GAO-13-668, *National Archives and Records Administration: Actions Needed to Ensure Facilities That Store Federal Records Meet Standards*, September 2013

GAO's objectives were to (1) determine the types of facilities agencies use to store Federal records and the extent to which NARA's data on agencies use of storage facilities is complete, (2) evaluate the extent to which NARA has determined these facilities to be compliant with 36CFR Part 1234, (3) determine what actions NARA has taken to minimize damage to records in Federal records centers and the extent to which it documents such efforts, and (4) determine how NARA determines storage fees and whether fees differ among facilities. There are three recommendations associated with this audit all of which remain open.

Office of Presidential Libraries, *Archival Review*, May 2013

The office conducted a program review of the Richard Nixon Library in Yorba Linda, CA. The review resulted in 57 findings, all of which remain open.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, February 2013

The office conducted an inspection at the Ronald Reagan Presidential Library in Simi Valley, CA. The inspection resulted in 19 findings, seven of which remain open.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, March 2013

The office conducted an inspection at the John F. Kennedy Presidential Library and Museum in Boston, MA. The inspection resulted in 11 findings, all of which remain open.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, March 2013

The office conducted an inspection at the Montgomery Plaza Learning Center in Ft. Worth, TX. The review resulted in three findings total, all of which remain open.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, May 2013

The office conducted an inspection at the Kansas City Records Center in Lee's Summit, MO. The inspection resulted in 19 findings, four of which remain open.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, June 2013

The office conducted an inspection at the Denver Archives and Records Center in Broomfield, CO. The inspection resulted in nine findings, all of which remain open.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, June 2013

The office conducted an inspection at the Fairfield Palletized Storage Facility in Dayton, OH. The review resulted in four findings, all of which remain open.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, June 2013

The office conducted an inspection at the Great Lakes Palletized Storage Facility in Chicago, IL. The inspection resulted in five 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 NARA's activities related to records management oversight of Federal agencies; records management training; identifying, scheduling, and transferring electronic records to NARA; and reporting on allegations of unauthorized disposal or removal of Federal records.

Records Management Oversight

The Records Management Oversight Section of the Policy Analysis and Enforcement program of the Office of the Chief Records Officer is responsible for conducting the annual Records Management Self Assessment and evaluations of records management programs targeting specific agencies or topics. Major activities in FY 2013 included issuing a report based on results from the FY 2012 annual agency Records Management Self-Assessment (RMSA), conducting two records management inspections, and two records management program reviews.

Agency Records Management Self Assessments

The annual agency RMSA has proven to be an effective way for NARA to gather information from Federal agencies and give feedback they can use to improve their programs. The goal of the RMSA 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 and compliance with Federal records management regulations and NARA guidance.

In FY 2013, the timing of the RMSA was moved from the third quarter FY 2013 to the first quarter FY 2014 to accommodate the reporting requirements of the *NARA/OMB Managing Government Records Management Directive (M-12-18).* In October 2013, we will send the assessment to 274 agencies; the analysis and report will be completed in FY 2014.

In July 2013, we issued the annual RMSA report based on the data from 2012. The data indicates that there has been some improvement in agency scores over the previous RMSAs. There was an increase in agencies scoring in the low and moderate risk categories, which indicates that agencies are making gradual improvements in their records management programs to comply with the statutes and regulations governing Federal records.

The first two self assessments were conducted in FY 2010 (one in October 2009, the other in May 2010). The third self assessment was conducted in May 2011. The fourth self assessment was conducted in June 2012. With each subsequent self-assessment we continue to improve the quality of the questions based on results and feedback from responders. The reports from these assessments can be found at http://www.archives.gov/records-mgmt/resources/self-assessment.html.

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 2013, NARA completed inspections of two agencies each with a particular focus: Department of Energy/National Nuclear Security Administration (NNSA) Records Management Practices at National Laboratories and Department of Homeland Security (DHS) Shared Use of Alien Registration Files by U.S. Citizenship and Immigration Services and U.S. Immigration and Customs Enforcement. NARA's inspection reports for previous inspections are available at: http://www.archives.gov/records-mgmt/resources/inspections.html.

Also in 2013, NARA followed up on a previous inspection with the National Geospatial-Intelligence Agency to develop a plan of corrective action that includes measurable steps and milestones to complete the improvements. NARA tracks similar plans developed by agencies following each inspection to ensure that the action items included in the plans are done.

NNSA Inspection

The NNSA inspection concentrated on Los Alamos, Lawrence Livermore and Sandia National Laboratories with a focus on access to historical records still maintained by NNSA, records retention scheduling and records storage. The general purpose of this inspection was to verify that the records management programs at the NNSA national laboratories have sufficient policies, processes, and procedures for: managing active records; ensuring that the storage of inactive records at the laboratories meet regulatory standards; and ensuring that temporary and permanent records are being handled according to their approved retention schedules. The inspection report for this inspection is completed and available at http://www.archives.gov/records-mgmt/resources/inspections.html.

DHS Inspection

The DHS inspection was very narrowly scoped and focused exclusively on the sharing of Alien Registration Files, (more commonly known as A-Files) which are a highly valued records series documenting immigrates to the United States, by the Department of Homeland Security's Citizenship and Immigration Services (USCIS) and Immigration Customs Enforcement (ICE) bureaus. The purpose of this inspection was to determine if DHS had established sufficient business processes, policies, and procedures to ensure the safety, security, and preservation of the high volume, highly active, and permanently valuable A-Files record series with a concentration on the sharing of files among the various components of DHS and whether such sharing posed undue risk to the records. This inspection focused solely on A-Files. We did not review the records management programs for USCIS, ICE, or DHS as a whole. We were interested in how these two agencies share the same record series in a way that ensures their continued preservation until such time as they are eligible for transfer to NARA. NARA chose to inspect the handling of A-Files because of the importance of the records to DHS business processes, as well as, to the genealogy community and other researchers. We are pleased to report that both agencies are working diligently to ensure the survival of these records. The report for this inspection will be finalized in FY 2014.

Managing Government Records Directive

The Managing Government Records Directive (M-12-18) was issued on August 24, 2012. This important guidance set in motion numerous, substantial, activities as NARA and Federal agencies began to implement the goals and actions contained in the Directive. The Directive covers the period from 2012 through full implementation at the end of this decade.

This Directive creates a robust records management framework that complies with statutes and regulations to achieve the benefits outlined in the 201l Presidential Memorandum. This Directive was informed by agency reports submitted pursuant to Sec. 2 (b) of the Presidential Memorandum and feedback from consultations with agencies, interagency groups, and public stakeholders.

This Directive requires that to the fullest extent possible, agencies eliminate paper and use electronic recordkeeping. It is applicable to all executive agencies and to all records, without regard to security classification or any other restriction.

This Directive also identifies specific actions that will be taken by NARA, the Office of Management and Budget (OMB), and the Office of Personnel Management (OPM) to support agency records management programs. In addition, NARA is undertaking a review to update relevant portions of the Code of Federal Regulations to take into account the provisions of this Directive.

Two central goals are contained in this Directive along with numerous actions. These two goals are:

1.1 *By 2019, Federal agencies will manage all permanent electronic records in an electronic format,* and

1.2 *By 2016, Federal agencies will manage both permanent <u>and</u> temporary email records in an accessible electronic format.*

In support of these two goals, NARA conducted a wide range of outreach activities that included the following:

- Archivist of the U.S. presided over an inaugural meeting of the Senior Agency Officials (SAOs) on November 28, 2012, at the National Archives. This was the one year anniversary of the issuance of the Presidential Memorandum – Managing Government Records signed by President Obama. SAOs are designated to ensure that the department or agency efficiently and appropriately complies with all applicable records management statutes, regulations, and NARA policy, and the requirements of this Directive.

- Revised NARA transfer guidance for permanent electronic records (Transfer Guidance Bulletin) is to be released soon.

- Email guidance (Capstone Email Bulletin) was released in August. Numerous training sessions – both live and virtual followed the issuance of the bulletin. A recording of the training will also be posted to the NARA website to reach a wider audience.

- At the January meeting of the Federal Records Council, NARA invited agency participation in an Electronic Records Management Automation Working Group. The group organized a series of agency presentations on innovative automation projects, best practices, and lessons learned. It also organized a series of vendor presentations to gather and share information about products and services that agencies can use in automating electronic records management.

- On September 10, NARA hosted an industry day event, "The Managing Government Records Directive: A Grand Challenge for Industry," at The National Archives Building in Washington, DC, and streamed it to a remote audience. The event educated the vendor community about what Government records and information managers need to automate records management and meet the goals of the Directive. The event culminated with the announcement of a Request for Information (RFI) intended to gather information about relevant products and services for the Federal records management community.

- OPM held three focus groups on creating the Records Management Occupational Series. They are in the analysis phase now leading to the release of a draft product to be distributed to all agencies for a 60 day comment period.

- Working to develop a Community of Interest for the records management community. Includes Federal records management professionals, legal and IT leaders.

- Senior Agency Official Annual Report Template was sent to SAOs in August. SAOs will report on key records management activities in their departments / agencies, including the use of cloud services, between October 1st and December 31st.

- Discussed the actions in Table 1 at numerous conferences and events including SAA, ARMA (national conference and multiple local chapter events), FOSE and NAGARA. Additionally, held numerous briefings for Federal agencies on the Managing Government Records Directive including high-level onsite meetings at DHS and DoD.

Table 1: M-12-18 Managing Government Records Directive Action Status

No.	Due Date	Directive Action Item	Status
2.1	2012 ongoing	By November 15, 2012 and for each subsequent year, all agencies will designate and reaffirm a Senior Agency Official (SAO) to oversee a review of their records management program.	2012 Completed 2013 In Progress
2.2	2013	By December 2013, the SAO shall identify permanent records that have been in existence for more than 30 years and report them to NARA.	In Progress
2.3	2014	By December 2014, the designated Agency Records Officer for each agency must hold the NARA certificate of Federal Records Management Training.	In Progress
2.4	2014	By December 2014, all Federal agencies must establish a method to inform all employees of their records management responsibilities in law and policy, and develop suitable records management training for appropriate staff.	In Progress
2.5	2013 2016	By December 2016, agency SAOs shall ensure records schedules have been submitted to NARA for all existing paper and other non-electronic records. By December 2013, agency Records Officers will identify all unscheduled records to NARA.	In Progress
A1	2013	By December 2013, NARA will complete, and make available, revised guidance, including metadata requirements, for transferring permanent electronic records, to include additional sustainable formats commonly used to meet agency business needs.	In Progress
A2	2013	By December 2013, NARA will issue new guidance that describes methods for managing, disposing, and transferring email.	Completed

No.	Due Date	Directive Action Item	Status
A3.1	2013	By December 2013, NARA will produce a comprehensive plan in collaboration with its stakeholders to describe suitable approaches for the automated management of email, social media, and other types of digital record content, including advanced search techniques.	In Progress
A3.2	2014	By December 2014, the Federal Chief Information Officers Council, and the Federal Records Council, working with NARA, will obtain external involvement for the development of open source records management solutions.	Tied to A3.1 completion
A4.1	2013	By December 2013, NARA will incorporate into existing reporting requirements an annual agency update on new cloud initiatives, including a description of how each new initiative meets Federal Records Act obligations and the goals outlined in this Directive.	Completed
A5	2013	By December 2013, NARA will determine the feasibility of establishing a secure cloud-based service to store and manage unclassified electronic records on behalf of agencies.	In Progress
B1	2012 2013	By December 2012, the Archivist of the United States will convene the first of periodic meetings of all SAOs. Additionally, NARA will complete a review of all of its records management reporting requirements by December 2012, and produce a report template for a single annual report that each SAO will send to the Chief Records Officer for the U.S. Government commencing on October 1, 2013.	2012 Completed 2013 Completed
B2	2013	By December 2013, NARA, in cooperation with the Federal Chief Information Officers Council, the Federal Records Council, and other Government-wide councils that express interest, will establish a Community of Interest (COl) to bring together leaders from the information technology, legal counsel, and records management communities to solve specific records management challenges.	Completed
B3	2013	By December 2013, OPM will establish a formal records management occupational series to elevate records management roles, responsibilities, and skill sets for agency records officers and other records professionals.	In Progress
B4	2013	By December 2013, NARA will identify a government-wide analytical tool to evaluate the effectiveness of records management programs.	In Progress
C1	2015	By December 2015, NARA will improve the current Request for Records Disposition Authority process.	In Progress
C2	2017	By December 2017, to reduce the need for unique records schedules submitted for approval to the Archivist, NARA, in consultation with appropriate oversight agencies, will make substantive changes to the General Records Schedules (GRS).	In Progress

Electronic Records Scheduled

In FY 2013, NARA continued its partnerships with Federal agencies to schedule electronic records series and systems 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 and permanently valuable records are transferred to NARA. NARA's continuing efforts to monitor the scheduling and transfer of agency electronic records (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.

As of September 30, 2013, NARA approved records schedules for 340 electronic records series and systems. Of this total, 95 were determined to be permanent and appropriate for transfer to the National Archives. By comparison, in FY 2012, NARA approved a total of 418 electronic records series and systems. 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 and Directive Requirement 2.5 (*Senior Agency Official Shall Ensure that Records are Scheduled*). In CY 2014, NARA will review the agency-reported submissions for the above Directive Requirement 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 the Directive, NARA Bulletins, and the E-Government Act.

Electronic Records Transferred to NARA

In FY 2013, NARA registered 204 transfers of permanent electronic records from 54 separate agencies, plus one transfer of electronic donated historical materials. In FY 2012, NARA received 217 transfers from Federal agencies. The table below lists the agencies that have transferred electronic records to the National Archives for permanent preservation in FY 2013.

Agency	Number of Transfers Received FY 2013
Administration on Aging	1
Agricultural Marketing Service	1
Agricultural Research Service	1
Army Staff	2
Bureau of Economic Analysis	1
Bureau of Indian Affairs	2
Bureau of Labor Statistics	11
Bureau of Land Management	1
Bureau of Naval Personnel	5
Bureau of Public Debt	1
Bureau of Reclamation	8
Census, Bureau of the	27
Centers for Disease Control and Prevention	12
Centers for Medicare and Medicaid Services	2
Cooperative State Research, Education and Extension Service	3
Defense Intelligence Agency	1
Defense, Office of the Secretary of	24
Donated Material	1
Education, Department of	1
Employment and Training Administration	3

Agency	Number of Transfers Received FY 2013
Environmental Protection Agency	12
Federal Aviation Administration	1
Federal Communications Commission	4
Federal Highway Administration	9
Federal Railroad Administration	2
Federal Reserve System	2
Fish and Wildlife Service	2
Food and Drug Administration	2
Government Accountability Office	1
Historic American Building Survey (HABS)\Historic American Engineering Record (HAER) Division	1
Housing and Urban Development, Department of	1
Internal Revenue Service	1
Interstate Commerce Commission	3
Justice, Department of	1
Labor, Department of	2
Merit Systems Protection Board	1
Mine Safety and Health Administration	1
National Aeronautics and Space Administration	8
National Agricultural Statistics Service	7
National Institute of Standards and Technology	1
National Labor Relations Board	2
National Park Service	2
National Science Foundation	1
Naval Operating Forces	1
Navy, Department of	1
Office of the Chief of Engineers	1
Office of the Director of National Intelligence	1
Office of Thrift Supervision	1
Presidio Trust	1
Securities and Exchange Commission	1
Social Security Administration	1
State, Department of	14
Substance Abuse and Mental Health Services Administration	1
Temporary Committees, Commissions and Boards	2
U.S. Citizenship and Immigration Services	4
TOTAL	**204**

Records Scheduling Backlog Project

In FY 2013, NARA continued specific actions begun in FY 2011 to reduce the number of unprocessed records schedules that are two years old and older (i.e., FY 2010 and earlier). In FY 2013, NARA placed additional emphasis on processing "pre-backlog" records schedules, which are defined as those schedules that are one year old, but not yet two years old or older. (i.e., FY 2011 records schedules). This effort included the entire appraisal staff and was conducted in response to a Government Accountability Office report (GAO-11-15) that highlighted the risks of bringing in more schedules than NARA could process due to successful promotion of records scheduling. Increasing efforts to reduce the existing backlog and developing strategies for proactive backlog prevention will allow NARA to minimize the risk of being overwhelmed by agency schedule submissions.

The initiative began in May 2012, using a database to track the progress on backlog schedules in detail, as well as collect data on reasons why a schedule was not completed within two years. NARA announced the initiative to agencies through meetings and communications. Agencies were responsive to quickly turning around requests for information and scheduling appraisal meetings with program offices. The backlog was reduced 40 percent prior to the start of the initiative, and by the end of FY 2012, 85 percent of the backlog schedules were closed. The initiative created momentum for schedules due to become backlog in FY 2013, resulting in a backlog of less than half that of FY 2012.

Over the past two fiscal years, NARA has made steady progress in reducing the backlog.

Backlog Status	FY 2012	FY 2013*
Goal (percentage closed)	85	75
Start	210	232
Closed	181	176
Percent Closed	86	76%
Remaining	29	56
Projected FY 2014 backlog: 56 schedules **(FY 2014's starting backlog is 38 percent smaller than FY 2013)**		

*The FY 2013 numbers include one additional year of "pre-backlog" schedules added to the initiative to provide a head start on the FY 2014 backlog.

Reducing the records scheduling backlog will be an ongoing project. NARA's goal is to reduce the number of records schedules that become backlog each fiscal year. In order to achieve this goal, only those schedules that meet the minimum requirements for registration per 36 CFR 1225 will be accepted. Use of NARA's Electronic Records Archives (ERA) system for records scheduling was mandatory for all agencies beginning in FY 2013. The structured form for schedules in ERA will assist agencies in submitting schedules containing the required information. NARA will remind agencies of records schedule requirements and the timeline for appraisal and processing of records schedules, and will increase enforcement of our own procedures for withdrawing schedules when agencies are non-responsive, or an outside event prevents them from being responsive in a timely manner (i.e., 40 days).

NARA will continue prioritizing those schedules that are or will become backlog in the next fiscal year, and will track those records schedules more closely to facilitate their completion before the end of the fiscal year. NARA will continue to partner with agencies to prioritize schedules and to increase the number of schedules completed within two years. In addition, in FY 2014, as part of NARA's ongoing work related to the Directive, NARA will be reviewing the appraisal process to

determine where it might be streamlined and more efficient at managing the records scheduling workload. NARA is also continuing work on revising the General Records Schedules to provide for more coverage of agency records so that Federal agencies will not be required to submit as many agency-specific records schedules.

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 2013 cases are as follows:

<pre>
Open cases, start of FY 2013:   40 *
Cases opened in FY 2013:   19
Cases closed in FY 2013:   19
Open cases, end of FY 2013:   40
</pre>

* Includes two cases for Administrative Conference of the United States opened in FY 2012 but inadvertently not reported in the FY 2012 PAR.

Of the 40 cases open at the end of FY 2013, eleven cases are involved in ongoing litigation and one case is under investigation by the agency. NARA monitors the status of such cases and does not report them individually here. Table 1 lists the 28 cases that are open and are pending action by the agency or review by NARA. Table 2 lists the 19 cases closed in FY 2013.

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

Case Opened	Agency	Records	Status
August 1998	**Dept. of Army**, Office of Deputy Chief of Staff for Operations and Plans	Records of action officers	Pending agency response or follow-up
March 1999	**Dept. of Interior**, Bureau of Indian Affairs	Records of Crow Agency, Montana	Pending agency response or follow-up
August 2006	**Dept. of Navy,** U.S. Marine Corps ***	Records relating to 2005 incident in Haditha, Iraq	Pending agency response or follow-up
May 2008	**Dept. of Defense,** Defense Intelligence Agency	Video recordings of interrogations of terrorism suspect	Pending agency response or follow-up
December 2008	**Dept. of Defense,** Office of Secretary of Defense	Documents relating to torture issue	Pending agency response or follow-up
November 2009	**Dept. of Defense,** Office of Secretary of Defense	Email and electronic records of Coalition Provisional Authority, Iraq	Pending agency response or follow-up
March 2010	**Dept. of Interior,** Bureau of Indian Affairs, Office of Special Trustee for	Records at agency locations in western U. S.	Pending agency response or follow-up

Case Opened	Agency	Records	Status
	American Indians		
June 2010	**Securities and Exchange Commission**	Matter Under Inquiry files	Pending agency response or follow-up
December 2010	**Dept. of Energy**	Oil shale research records	Pending NARA review
April 2011	**Dept. of Energy**	Records relating to Yucca Mountain site	Pending agency response or follow-up
April 2011	**Dept. of Homeland Security**	Water-damaged records of Office of Intelligence & Analysis	Pending agency response or follow-up
April 2011	**Dept. of Homeland Security,** Federal Emergency Management Agency	Remedial Action Management Program records	Pending agency response or follow-up
September 2011	**Securities and Exchange Commission**	Investigative case files	Pending agency response or follow-up
October 2011	**Office of Personnel Management**	Electronic records relating to USAStaffing system	Pending agency response or follow-up
December 2011	**Dept. of Defense,** Joint Staff	Emails of Lt. General Stanley McChrystal	Pending agency response or follow-up
December 2011	**Dept. of Navy,** U.S. Marine Corps ***	Interrogations relating to 2005 incident in Haditha, Iraq	Pending agency response or follow-up
January 2012	**Administrative Conference of the United States**	Alienation of records	Pending NARA review
February 2012	**Administrative Conference of the United States**	Financial disclosure forms	Pending NARA review
June 2012	**Dept. of Agriculture,** Farm Service Agency	Records destroyed by fire in Enterprise, Oregon	Pending NARA review
September 2012	**Dept. of Defense,** U.S. Central Command	Records of fuel supply and delivery in Afghanistan	Pending NARA review
September 2012	**Dept. of Energy**	Use of personal email for official business	Pending agency response or follow-up
October 2012	**Department of Homeland Security**	Emails relating to FEMA grant funds	Pending agency response or follow-up
February 2013	**Peace Corps**	High-level officials' daily activity schedules	Pending agency response or follow-up
March 2013	**Equal Employment Opportunity Commission**	Records relating to job vacancy	Pending agency response or follow-up
June 2013	**Dept. of Veterans**	Loan and grant files	Pending agency response or

Case Opened	Agency	Records	Status
	Affairs		follow-up
July 2013	**Dept. of Navy**	Ship plans and blueprints	Pending agency response or follow-up
August 2013	**Dept. of Army**	Wartime awards records	Pending NARA review
August 2013	**U.S. Agency for International Development**	Records in South Africa post	Pending agency response or follow-up

** The Dept. of Health and Human Services case involving email of the Secretary, which was listed in previous PARs, is not listed because it is now involved in litigation.

*** The two Dept. of Navy cases involving the Haditha, Iraq, incident, which were not listed in previous PARs, are no longer under investigation and therefore are listed.

Table 2 covers cases of alleged unauthorized disposition closed in FY 2013. 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 2013

Case Opened	Agency	Records	Resolution
May 2007	**National Aeronautics and Space Administration** ****	Video recordings of meeting of NASA Administrator	Allegation founded – corrective action taken
July 2007	**Federal Labor Relations Authority**	Records of FLRA Chair	Allegation not founded
April 2008	**Dept. of Defense,** Office of Secretary of Defense	Video recordings of interrogations	Allegation not founded
October 2011	**Dept. of Interior**	Records on registration of aliens in Northern Mariana Islands	Allegation founded – corrective action taken
July 2012	**Peace Corps**	Records from overseas post in Mauritania	Allegation founded – corrective action taken
September 2012	**Dept. of Air Force**	Mental health record at Kirtland AFB	Allegation founded – corrective action taken
September 2012	**Dept. of Homeland Security,** U.S. Citizenship and Immigration Services	Duplicate original naturalization record	Allegation not founded
October 2012	**U.S. Marshals Service**	Records damaged by flooding in Cedar Rapids, Iowa	Allegation founded – corrective action taken
December 2012	**Depart. of Agriculture,** Farm Service Agency	Records destroyed by water in Stanford, Montana	Allegation founded – corrective action taken
January 2013	**Environmental Protection Agency**	Data on cancer deaths	Allegation founded – corrective action taken
February 2013	**Dept. of Air Force**	Electronic data relating to facility access	Allegation founded – corrective action taken

Case Opened	Agency	Records	Resolution
February 2013	**Dept. of State**	Tokyo embassy records lost due to earthquake	Allegation founded – corrective action taken
February 2013	**Dept. of Treasury,** Office of Comptroller of Currency	Travel vouchers	Allegation founded – corrective action taken
March 2013	**Environmental Protection Agency**	Microfiche damaged by flood	Allegation founded – corrective action taken
April 2013	**Dept. of Interior,** Office of Secretary	Data on shared drives	Allegation founded – corrective action taken
April 2013	**Dept. of Interior,** Office of Solicitor	Records related to Cowlitz Fee-to-Trust applications	Allegation founded – corrective action taken
April 2013	**Dept. of Interior,** Office of Valuation Services	Administrative records in Hadley, Massachusetts	Allegation founded – corrective action taken
June 2013	**Dept. of Agriculture,** Farm Service Agency	Noninsured Assistance Program files	Allegation founded – corrective action taken
August 2013	**Environmental Protection Agency**	National Pollution Discharge Elimination System files	Allegation founded – corrective action taken

**** The NASA case involving video recordings was not listed in previous PARs because it was under investigation.

Definitions

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

Goal 1	Our Nation's Record Keeper
Federal agency reference request	A request by a Federal agency to a records center requesting the retrieval of agency records.

Goal 2	Preserve and Process
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.

Goal 3	Electronic Records
Gigabyte	An International System of Units (SI) standard unit. A measure of computer data size. A gigabyte is one thousand megabytes, $1,000^3$ bytes.
Megabyte (Mb)	An International System of Units (SI) standard unit. A measure of computer data size. A megabyte is one million bytes, $1,000^2$ bytes.
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, $1,000^4$ bytes.

Goal 4	Access
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.

Goal 6	Infrastructure
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, Two or more races); Women; Persons with Disabilities.

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