

FISCAL YEAR 2006

ANNUAL PERFORMANCE PLAN

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**Revised Final**  
**February 24, 2006**

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

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## PREFACE

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

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

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

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

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

***Our Mission:***

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

***Our Strategic Goals:***

- *One:* Essential evidence is created, identified, appropriately scheduled, and managed for as long as needed.
- *Two:* Electronic records are controlled, preserved, and made accessible as long as needed.
- *Three:* Essential evidence is easy to access regardless of where it is or where users are for as long as needed.
- *Four:* All records are preserved in an appropriate environment for use as long as needed.
- *Five:* NARA strategically manages and aligns staff, technology, and processes to achieve our mission.

These goals and the strategies to achieve them are detailed in *Ready Access to Essential Evidence: The Strategic Plan of the National Archives and Records Administration, 1997-2008*, updated and reissued in September 2003. This annual performance plan is based on the goals, strategies, and long-range performance targets in our Strategic Plan, and builds on performance in FY 2005. It details the actions and outcomes that must occur in FY 2006 for us to move forward on meeting the goals and targets in our Strategic Plan. In addition to listing performance goals and measures for evaluating our performance, the plan describes the processes, skills, and technologies, and the human, capital, and informational resources needed to meet the year's performance goals. We received no aid from non-Federal parties in preparing this plan.

Following is a summary of the resources, by budget authority, that we received to meet our FY 2006 objectives. Our budget is linked to the performance goals in this plan.

<b>Operating Expenses</b>	\$272,990
<b>Electronic Records Archives</b>	\$37,535
<b>Repairs/Restorations</b>	\$9,585
<b>Grants</b>	\$5,425
<b>Total Budget Authority</b>	\$325,535
<b>Redemption of Debt</b>	\$9,225
<b>Total Appropriation</b>	\$334,760
<b>Total FTE</b>	2,890

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

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

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

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

We must succeed in reaching our goals because the National Archives and Records Administration is not an ordinary Federal agency. Our mission is to ensure that Government officials and the American public have ready access to essential evidence, and this mission puts us at the very heart of homeland security, continuity of government, public trust, and the national morale. Whether publishing the emergency *Federal Register*, protecting the critical records assets of Federal agencies nationwide, serving American's veterans, solving the challenge of saving electronic information across space *and time*, or displaying our nation's Charters of Freedom—the Declaration of Independence, the Constitution, and the Bill of Rights—to inspire the American public, NARA plays a critical role in keeping America safe, secure, and focused on our democratic ideals. This performance plan is our 2006 road map for meeting the great expectations of our nation.

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**STRATEGIC GOAL 1 ESSENTIAL EVIDENCE IS CREATED, IDENTIFIED, APPROPRIATELY SCHEDULED, AND MANAGED FOR AS LONG AS NEEDED.**

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- Long Range Performance Targets**
- 1.1. By 2008, 95 percent of agencies view their records management program as a positive tool for asset and risk management.
  - 1.2. By 2008, 95 percent of approved capital asset plans have approved records schedules by the time those systems begin creating records.
  - 1.3. By 2008, 95 percent of customers are satisfied with NARA scheduling and appraisal services.

**FY 2001 Resources Available to Meet This Goal:** \$18,050,000; 144 FTE \*  
**FY 2002 Resources Available to Meet This Goal:** \$19,921,000; 150 FTE \*  
**FY 2003 Resources Available to Meet This Goal:** \$16,368,000; 141 FTE  
**FY 2004 Resources Available to Meet This Goal:** \$17,607,000; 144 FTE  
**FY 2005 Resources Available to Meet This Goal:** \$16,811,000; 150 FTE  
**FY 2006 Resources Available to Meet This Goal:** \$17,186,000; 151 FTE

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

<b>FY 2006 Budget Linkage</b>	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
1.1. By 2008, 95 percent of agencies view their records management program as a positive tool for asset and risk management.	✓							
1.2. By 2008, 95 percent of approved capital asset plans have approved records schedules by the time those systems begin creating records.	✓							
1.3. By 2008, 95 percent of customers are satisfied with NARA scheduling and appraisal services.	✓							

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

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**FY 06 Projected Performance**

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

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

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

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

In FY 2004, we developed criteria and internal procedures for records management studies with the objective of finding and validating best practices. We will use these studies to focus on cross-Government issues and to identify and analyze best practices and develop Government-wide recommendations and guidance. Studies will usually involve multiple agencies within a related line of business or function. In exceptional cases, there might be one agency whose records management practices could be replicated elsewhere for Government-wide benefit. We completed our first, a records management study of the headquarters offices of the United States Air Force, in FY 2005, and we expect to complete two more studies by the end of FY 2006.

Another way we help agencies is through targeted assistance. Targeted assistance means that we work together with agencies to solve specific records management problems. Since the program began in FY 1999, we have established 371 projects, completed 276 projects, and assisted 107 Federal agencies.

Through these partnerships, we have inventoried and scheduled at-risk records, trained agency personnel in records management, and assisted in the development of records management systems.

With Federal agency input and contractor support, we are revamping our records management training program. By making training and a variety of tools available over the Internet, we will be able to reach far more Federal agencies, at more locations nationwide, and reach a wider variety of people within the agencies than is possible with live classroom instruction. We have developed a certification program for anyone giving technical assistance to agencies in records management. This program will leverage contractor and agency resources to provide assistance in the most critical areas while giving agencies assurance that the individuals they turn to for help have demonstrated their knowledge of Federal records management requirements.

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

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
<i>Performance target for annual percent of targeted assistance partnership projects delivering the results promised.</i>	75	85	90	95	95	99
Annual percent of targeted assistance partnership projects delivering the results promised.	100	100	100	100	100	
Annual number of targeted assistance partnership projects initiated.	63	77	58	13	11	
Annual number of targeted assistance partnership projects completed.	58	76	67	26	13	
Annual number of successful targeted assistance partnership projects completed.	58	76	67	26	13	
Cumulative number of targeted assistance partnership projects established with Federal agencies.	213	290	348	361	372	
Cumulative number of targeted assistance partnership projects completed with Federal agencies.	97	173	240	266	279	
<i>Performance target for percent increase in the number of agencies who view their records management programs as a positive tool for asset and risk management.</i>	—	—	—	—	—	<i>Establish baseline</i>
Number of agencies who view their records management programs as a positive tool for asset and risk management.	—	—	—	—		
<i>Performance target for percent increase in the number of records management training participants who are taking a NARA records management course for the first time.</i>	—	—	—	—	10	10
Percent of records management training participants taking a NARA records management course for the first time.	—	—	—	11	32	
Number of Federal agency staff receiving NARA training in records management and electronic records management.	2,506	3,746	3,392	2,997	3,366	
Number of records management training participants who are taking a NARA records management course	—	—	—	442	1,069	

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
for the first time.						
Number of distance-learning participants who are taking a NARA records management course for the first time.	—	—	—	—	—	
Number of records management training participants certified this year.	—	—	—	—	47	

***Milestones***

**FY 2001**

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

**FY 2002**

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

**FY 2003**

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

**FY 2004**

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

**FY 2005**

- Records management study of Headquarters Office of the U.S. Air Force completed.

**FY 2006 Projected**

- Two records management studies of Federal agencies completed.
- Survey of Federal agencies to assess their view of their records management programs completed.

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

**Definitions** Targeted assistance partnership: A targeted assistance partnership is established with an underlying written agreement between NARA and a Federal agency to identify and agree upon a specific project or projects to improve the agency’s records management practices. The agreement must take the form of a project plan, memorandum of understanding, or similar written documentation that performs the same function as a project plan. The agreement has mutually agreed upon criteria for successful completion of the targeted assistance project or projects. An agreement can include several projects, each with its own success criteria. For this performance target, we count targeted assistance projects. Asset and risk management: Determining the value of information as a business asset in terms of its primary and secondary uses in the business process; identifying potential risks to the availability and usefulness of the information; estimating the likelihood of such risks occurring; evaluating the consequences if the risk occurs; and managing the information based on that analysis.

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

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**FY 06 Projected Performance**

- Issue guidance to agencies on recordkeeping policies and procedures for Federal Government information on the Internet and other electronic records.
- Develop a Request for Information for industry to respond to requirements for development of one or more records management service components.
- Complete flexible schedule pilots with two more Federal agencies.
- Participate in cooperative records project for an additional FEA Business Reference Model Sub-functions.
- Launch Toolkit for Managing Electronic Records “proof-of-concept” and solicit agency comments.

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

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

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

OMB’s Federal Enterprise Architecture Business Reference Model (BRM) describes the Federal

Government by the business operations it performs. The BRM identifies four business areas that provide a high-level view of the operations the Federal Government performs. These four business areas comprise a total of 39 external and internal lines of business and 163 sub-functions. NARA is using this model to develop cooperative records management projects for agencies with common lines of business.

In FY 2005 we began our participation in the Office of Personnel Management (OPM)'s electronic Official Personnel File (e-OPF) project. Over the course of this project we will appraise and update the General Records Schedule for Civilian Personnel Folders (GRS 1). We also plan to update NARA-related guidance in the OPM Guide to Recordkeeping and will develop Frequently Asked Questions (FAQs) to assist agencies in complying with record keeping requirements when they convert to the e-OPF system. This and projects like it may produce common records schedules, standardized records management processes, or other common products. The outcome of cooperative records projects across multiple agencies with common lines of business is that records management will support the business need, making it easier for agencies to create and manage the records they need to carry out their mission and collaborate with other agencies performing the same line of business.

Electronic records management is a critical component of e-Government. As the managing partner for one of the Administration's e-Government initiatives, NARA is collaborating with the Department of Defense, the Environmental Protection Agency, and other agencies to develop practical recordkeeping guidance and solutions for managing electronic records. In FY 2003 and FY 2004, NARA's Electronic Records Management (ERM) Initiative developed guidance for agencies implementing records management applications and added six new formats of permanent electronic records that agencies can transfer to NARA. In FY 2006, the ERM Initiative will continue to promote the transition to Government-wide electronic records management with additional guidance products. NARA will work with the Department of Defense (DoD) to extend the DoD 5015.2-STD to include interoperability specifications. Future transitional products will be developed as NARA issues policies to implement section 207(e) of the E-Government Act of 2002, working with partner agencies under the aegis of the Interagency Committee on Government Information. One of these products is an online toolkit for agencies, which will include references to ERM system requirements, checklists, citations to applicable standards, best practices, guidance, a revised general records schedule, flexible and front-end scheduling, promotion of new transfer formats, and targeted ERM assistance to Federal agencies. We will launch the "proof-of-concept" of this web portal in FY 2006 and will obtain feedback from agencies as they use this test version.

The Records Management Service Components (RMSC) project is designed to make functional requirements for software service components that support management functions and activities available to Government, industry, and academia. In FY 2005, we obtained agency stakeholder participation and documented requirements for the development of records management service components. These requirements will be the basis for RMSC program activities in FY 2006. A Request for Information will be issued to industry in FY 2006 to gauge interest in the procurement of RMSCs for certification into the Federal Enterprise Architecture (FEA) Component Repository. We will analyze that response and incorporate it into the RMSC program management plan.

We also are working with OMB to ensure that agencies consider records management requirements when planning IT systems. By scheduling records at the time they are created by IT systems, Federal agencies can manage their records more economically and effectively, thus meeting their business needs, ensuring that records are kept long enough to protect rights and assure accountability, and preserving records of archival value. In FY 2006 we are exploring different ways to better embed records management

requirements in the capital asset planning and acquisition processes to ensure that records are scheduled earlier rather than later in their lifecycle. We will continue our efforts to develop a Records Management Profile in the Federal Enterprise Architecture (FEA) framework. We will also continue to develop comprehensive programmatic guidance that can be used as a reference in a future revision to the Federal Acquisition Regulation (FAR).

**Key external factors** The OMB and agencies across the Federal government must support using capital planning and acquisition processes to promote records management.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
Number of Federal Enterprise Architecture Business Reference Model sub-functions.	137	153	163	163
<i>Performance target for cumulative number of Federal Enterprise Architecture Business Reference Model sub-functions covered by cooperative records projects.</i>	—	—	1	2
Cumulative number of Federal Enterprise Architecture Business Reference Model sub-functions covered by cooperative records projects.	0	0	0	

***Milestones***

- FY 2001**
  - Department of Defense software certification process endorsed.
- FY 2002**
  - ERM e-Gov initiative vision, goals, and objectives developed and confirmed by OMB. Detailed workplan and financing strategy developed.
  - Transfer guidance for 1 electronic records format issued (e-mail with attachments).
- FY 2003**
  - Transfer guidance for 2 more electronic record formats issued (scanned images of textual records and PDF).
  - Version 2 of DOD 5015.2 standard endorsed.
  - Records management application pilot in two NARA units deployed.
- FY 2004**
  - Transfer guidance for 3 more electronic records formats issued (digital photography, geographical information systems, web pages).
  - Language for the FY 2006 Exhibit 300 guidance developed but not incorporated by OMB at this time.
  - Records management application in two NARA units completed.
- FY 2005**
  - Needs assessment of government and IT industry for the development of select records management service components for the Federal Enterprise Architecture conducted.
  - Records Management Service Components (RMSC) Requirements Development Project Final Report published ([www.archives.gov/era/pdf/rmsc0305.pdf](http://www.archives.gov/era/pdf/rmsc0305.pdf)).
  - Cooperative records project for at least one FEA Business Reference Model sub-function participated in.
- FY 2006 Projected**
  - Guidance to agencies on recordkeeping policies and procedures for Federal Government information on the Internet and other electronic records issued.
  - Request for Information (RFI) for industry to respond to requirements for development of one or more RMSC developed.
  - RMSC program management plan based on analysis of industry response to RFI updated.
  - Flexible schedule pilots with 2 more Federal agencies completed and results analyzed.
  - Cooperative records project for an additional FEA BRM sub-function participated in.
  - Toolkit for Managing Electronic Records “proof-of-concept” web portal launched and agency comments solicited.

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

**Definitions** Capital asset planning: is part of the decision-making process for ensuring that IT investments integrate strategic planning, budgeting, procurement, and the management of IT in support of agency missions and business needs. Records management service component (RMSC): a piece of software that provides services that support the creation, management, transfer, and destruction of electronic records within a computing environment. Cooperative records project: a project that results in a model schedule, a standardized process, or other common product that standardizes records management for a specific FEA Business Reference Model subfunction across multiple agencies performing that subfunction. For example, agencies engaged in providing investigative services would be considered as one cooperative records project. Proof of Concept: demonstration of new technology to show that an idea works.

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

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**FY 06 Projected Performance**

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

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

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

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

In FY 2003 we undertook a Business Processing Reengineering effort for the records scheduling, appraisal, and accessioning process, and developed a high-level improved, future model of all records lifecycle business processes at NARA. Many of these processes will be built into the Electronic Records Archives (ERA). We began to identify key process business rules which need to be incorporated into the

system to enable automation and support effective workflow. Because achievement of the “to-be” model will take several years, and will require the maturation of NARA’s enterprise architecture, we are focusing early attention on the scheduling and appraisal process. In FY 2004, we analyzed stakeholder needs for automated workflow and collaboration tools to support the redesigned process. In FY 2005 we added greater detail to our redesigned processes, and further identified key process business rules to begin to meet ERA build requirements.

Work in the area of defining key process business rules in support of the ERA Requirements Management Plan will continue into FY 2006. In addition, the data required to support NARA’s records lifecycle processes will be comprehensively reviewed to identify how data can be most effectively collected via the major lifecycle transaction forms (current SF-115, SF-135, OF-11, and SF-258). Once this analysis has been completed, in FY 2006, we will develop and test automated workflow and collaboration tools to support the identification, appraisal, and scheduling of records so that these tools are available in Increment 1 of ERA.

### **Verification and Validation**

<b><i>Performance Data</i></b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
<i>Performance target for median time for records schedule items completed (in calendar days).</i>	260	240	225	220	200	180
Median time for records schedule items completed (in calendar days). **	237	470	155	253	372	
Median time for records schedule items completed (in calendar days), NARA only. **	—	403	155	227	322	
Average age of schedule items at completion (in calendar days).	410	532	274	332	339	
Number of schedule items completed.	4,728	9,374	4,686	3,182	4,260	
Number of records schedule items completed within 120 calendar days of submission to NARA.	659	1,999	1,573	507	681	
Percent of records schedule items completed within 120 calendar days of submission to NARA.	14	21	34	16	15	
<i>Performance target for increase in percent of Federal agencies that are satisfied with NARA scheduling and appraisal services.</i>	—	—	—	—	—	10
Percent of Federal agencies that are satisfied with NARA scheduling and appraisal services	—	—	—	57	—	
Percent of records schedule items submitted and approved electronically.	—	—	—	—	—	

\*\*The metric for median schedule processing time measures all processing time, including the amount of time it takes other agencies to respond. We provide a breakout of “NARA-only” time to give a comparison of how much of the total processing time occurs within NARA versus outside NARA.

### ***Milestones***

#### **FY 2003**

- “To-be” model for the redesigned scheduling, appraisal, and accessioning process developed.

#### **FY 2004**

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

appraisal services.

**FY 2005**

- Automated workflow and collaboration tools to support the redesigned scheduling and appraisal process prototyped.
- Key process business rules to meet ERA build requirements defined.

**FY 2006 Projected**

- Impact of NARA's redesigned processes on agencies analyzed, agency feedback collected, and NARA's processes modified to better respond to agency needs.

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

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

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

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

**FY 2003 Resources Available to Meet This Goal:** \$20,105,000; 67 FTE  
**FY 2004 Resources Available to Meet This Goal:** \$46,377,000; 83 FTE  
**FY 2005 Resources Available to Meet This Goal:** \$52,107,000; 86 FTE  
**FY 2006 Resources Available to Meet This Goal:** \$51,177,000; 100 FTE

<b>FY 2006 Budget Linkage</b>	<b>Records Services</b>	<b>Archives Related Services</b>	<b>Electronic Records Archives</b>	<b>Archives II Facility</b>	<b>Revolving Fund</b>	<b>Trust Fund</b>	<b>NHPRC</b>	<b>Repairs &amp; Restoration</b>
2.1. By 2008, NARA’s Records Center Program accepts and services electronic records.			✓		✓			
2.2. By 2008, 80 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.	✓		✓					
2.3. By 2008, 80 percent of archival electronic records are managed at the appropriate level of service.	✓		✓					
2.4. By 2008, the median time from the transfer or archival electronic records to NARA until they are available for access is 35 days or less.	✓		✓					
2.5. By 2008, the per megabyte cost of managing archival electronic records through the Electronic Records Archives decreases each year.			✓					

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

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**FY 06 Projected Performance**

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

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

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

**Means and Strategies** Since FY 2000, NARA's Federal Records Center Program (FRCP) has been fully reimbursable, which allows us to be more flexible in responding to agency records needs and requires us to meet those needs in a cost-effective and efficient way. Our ability to provide our records center customers with responsive services for electronic records is closely tied to our Electronic Records Archives (ERA) program. Until ERA is ready and can provide complete online servicing, we will test the delivery of new offline services for electronic records, including digitizing records into electronic formats, storage of agencies' electronic records media, and remote servicing of electronic records such as electronic Official Military Personnel Files (OMPF). As experience is gained through pilot services, the FRCP will expand those services to more complex or advanced electronic records-related activities, such as data migration and vital records services.

The FRCP also needs to replace legacy systems for inventory and space management with modern systems that provide enhanced functionality at a reasonable cost. All of the current FRCP applications are mainframe-based and written in COBOL and have been operational for 15-25 years. Most

importantly, these systems no longer support the new FRCP reimbursable financial environment. A Records Center Operations System (RCPOS) will provide robust inventory and space management for more than 24 million cubic feet of records; web-based, real-time support for all business transactions such as the recall of records by Federal agencies; a management information system to measure all facets of FRCP performance; and easy to use data sharing capabilities with the FRCP customers. NARA's FRCP and ERA, when available, will work in harmony to deliver a complementary suite of services to agencies for their temporary long-term electronic records. RCPOS will provide the asset management and billing functionality for those services.

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

### **Verification and Validation**

#### *Milestones*

##### **FY 2004**

- Pilot for remote servicing capability for electronic OMPFs for Army established and tested.
- Two sites to pilot electronic records media in NARA Federal Records Centers identified.

##### **FY 2005**

- Remote servicing capability for electronic Official Military Personnel Files for Army offered.
- Detailed requirements for the eventual migration of electronic Official Military Personnel Files to the Electronic Records Archives system established.
- Record Center Program business model for electronic records developed.
- Pilot study for converting agency records into digital formats on electronic record media completed.
- Concept of operations and functional requirements for a Records Center Program Operations System developed.
- Physical requirements to store electronic media studied.

##### **FY 2006 Projected**

- Remote servicing capability for electronic Official Military Personnel Files offered to four military service departments.
- Indexing and delivery of scanned records services through a digital conversion program piloted.
- Electronic records storage environment at WNRC constructed and operational.
- Existing production scan pilots and long-term document conversion plan evaluated.
- Requirements completed and Records Center Program Operations System built.
- Legacy applications and data migrated to the RCPOS.
- Business case for e-media storage services including e-vital records with the capacity to also provide hot and/or cold site alternate COOP site space for federal agencies conducted.

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

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

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**FY 06 Projected Performance**

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

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

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

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

The first increment of the ERA system will provide the basic ERA infrastructure, enabling NARA to manage electronic records and store them in their original formats. It will also provide the management and technology controls upon which, in the future, these records will be accessible and preservable.

To assist us in setting priorities for helping Federal agencies deal with records management, we developed a set of criteria, procedures, and a handbook for identifying the functional areas within the Government that contain the greatest records management challenges. These areas will be our highest priorities for allocating NARA records management resources. The criteria used focuses our attention on records that are at greatest risk of not being managed effectively, records that document citizens' rights and Government accountability, and records of archival value. Through Federal agency surveys, NARA is identifying electronic systems in Federal agencies that are generating electronic records, and we are

working to get more of those systems' records scheduled. Throughout FY 2006 we will continue collecting information from Federal agencies to identify more systems and learn more about the electronic records challenges Federal agencies face. In addition, by pre-accessioning electronic records into NARA, we will have more accurate descriptions, earlier transfers, and better preservation, while avoiding the loss of records that may occur with lengthy agency retention.

**Key external factors** Federal agencies must schedule their electronic records.

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
<i>Performance target for percent of archival electronic records accessioned by NARA at the scheduled time.</i>	—	—	—	—	20	40
Percent of archival electronic records accessioned by NARA at the scheduled time.	—	—	—	—	—	
Number of electronic files transferred in one of the new transfer formats	—	—	—	100	29,840	
Size of accessioning backlog (in millions of logical data records)	—	—	—	529	369	
Number of electronic records transferred (in millions of logical data records)				534	85	—

**Milestones**

- FY 2001**
  - 3 terabytes of data from Federal agency web sites “snapshot” collected and preserved.
- FY 2002**
  - Transfer guidance for 1 electronic records format issued (e-mail with attachments).
- FY 2003**
  - Transfer guidance for 2 more electronic record formats issued (scanned images of textual records and PDF).
  - Transfer standards for permanent electronic records in the following formats: e-mail with attachments, scanned images of permanent textual records, and Portable Document Format established and issued.
- FY 2004**
  - Transfer guidance for 3 more electronic records formats issued (digital photography, geographical information systems, and web pages).
  - Select Federal agencies surveyed to identify electronic systems that generate electronic records, and priorities for scheduling these records developed.
- FY 2005**
  - Alternative approaches to putting legacy records control schedules into an ERA repository analyzed.
  - Pre-accessioning of electronic records discussed with six agencies.
  - Federal agency program-related systems (245) that generate electronic records identified and scheduled.
  - Web snapshots of Federal Government web sites at end of last Presidential term collected.
- FY 2006 Projected**
  - Pilot repository with legacy records control schedules populated so that by FY 2007 some schedules will be in the first increment of ERA.
  - Two more transfers of electronic records pre-accessioned.
  - 10 percent more Federal agency program-related systems that generate electronic records identified and scheduled than in FY 2005.

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

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

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

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**FY 06 Projected Performance**

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

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

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

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

During FY 2004 we conducted an online survey, using the American Customer Satisfaction Index, that is helping us better understand our online customers' needs. In addition, we contracted with two independent experts to perform laboratory-based usability testing and provide an assessment on the extent to which AAD met industry standards for a user-friendly web site. All of these sources pointed to the same conclusion—we need to make significant revisions in the AAD user interface. NARA contracted with a web designer to help us implement many of the recommendations that came out of the reports. NARA expects to launch the revised AAD user interface in FY 2006.

In the long term, ERA will allow NARA to preserve and maintain at the appropriate level of service any electronic record in any format. NARA plans to categorize holdings into three levels of service—basic, medium, and persistent—based on the technological characteristics of the records, the needs of the records' originators, laws and regulations requiring differing levels of control, expected customer demands or interests, and NARA's business strategies and priorities. The technology and access capabilities will differ in the system based on the service level. The ERA system will enable the National Archives and Presidential libraries to preserve permanent holdings, and the Federal Records Center Program to provide storage and access services to other agencies. To prepare for these capabilities, in FY 2005, we established criteria for levels of service for select electronic records, and in FY 2006, we will

develop pilot preservation and access plans for select electronic records, using the levels of service criteria. These preservation and access plans will indicate the activities to be undertaken in preserving specific documentary material or sets of material and how NARA will provide access to them.

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

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
<i>Performance target for percent increase in number of archival electronic holdings accessible online</i>	—	—	—	50	20	10
Percent increase in number of archival electronic holdings accessible online.	—	—	—	51	20	
Number of archival electronic holdings accessible online (cumulative logical data records in millions)	0	0	47	71	86	
Number of archival electronic holdings (cumulative logical data records in millions)	—	3,714	4,743	5,629	8,108.	
Percent of electronic records available online	0	0	1	1.4	1.1	
Number of AAD users (in thousands of visits)	—	—	489	551	526	

***Milestones***

**FY 2001**

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

**FY 2002**

- AAD pilot version made operational.

**FY 2003**

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

**FY 2004**

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

**FY 2005**

- Criteria for levels of service for archival electronic records established.
- Snapshots of Federal Government web sites taken.
- Results of online survey to improve customer usability of Access to Archival Databases system identified.
- Digital photographs from FEMA added to AAD.
- AAD’s customer satisfaction score on customer survey tool improved to 55.

**FY 2006 Projected**

- Pilot preservation and access plans for select electronic records developed using criteria established for levels of service.
- Additional 10 percent electronic records added to AAD.
- AAD’s customer satisfaction score on customer survey tool improved to 65.

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

**Definitions** File units: a data file of electronic records, most often in the form of a database. Logical data record: a set of data processed as a unit by a computer system or application independently of its physical environment. Examples: a word processing document; a spreadsheet; an e-mail message; each row in each table of a relational database or each row in an independent logical file database. Visits: One person using our web site is counted as one “visit.” It is a count of the number of visitors to

our web site, and is similar to counting the number of people who walk through our front door. In contrast, it does not count "hits," which refers to the number of files used to show the user a web page. A visit in which a user accessed a web page comprising 35 files would count as 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.

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

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**FY 06 Projected Performance** • Process transfers of archival electronic records within a median time of 250 calendar days or less.

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

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

**Means and Strategies** The growth in the volume of electronic records is enormous. At the end of the last Administration, the White House transferred several terabytes of electronic records to NARA for storage and preservation. During the next year, the Census Bureau will be transferring electronic images of up to 600 million pages of information, comprising more than 48 terabytes of data, from the 2000 Census. Digital Military Personnel Files represent estimated transfers of a billion files over 10 years. During FY 2005 the National Commission on Terrorist Attacks Upon the United States transferred 1.2 terabytes of data to NARA. In FY 2006 we expect to receive a large volume of records from the Columbia Shuttle Accident Investigation Board (CAIB). This transfer will be in addition to the CAIB public affairs records we received in FY 2004. NARA expects to receive 51 terabytes of electronic records in 2006. The transfer volume projected for 2007 is more than a thousand times greater than all the electronic record volume NARA has processed since the first such transfer in 1971. After surveying Federal agencies, we have concluded that the rate of growth of electronic records in the Federal Government is about 50 percent per year. At that rate, by the time we have a fully functional Electronic Records Archives (ERA), even greater quantities of information will have been transferred to NARA by Federal agencies.

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

In FY 2004 we added electronic tape autoloaders and modified software to increase the capacity and speed of initial preservation (i.e., making an exact copy onto archivally acceptable media) of records

through our existing Archival Preservation System (APS). We further integrated digital linear tape into the archival tape copying process by purchasing software that will analyze and certify new digital linear tapes as free of errors and defects. In FY 2005, we studied the existing processing capabilities and capacities of both APS and the Archival Electronic Records Inspection and Control System (AERIC). During FY 2006 we will implement the new technologies needed to support the copying and verifying of larger volumes of diversely formatted records. Despite these steps, we expect significant challenges to our ability to keep up with the volume of archival electronic records transferred to NARA in the near future.

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

**Verification and Validation**

<i>Performance Data</i>	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
<i>Performance target for median time to make archival electronic accessions available for access (in calendar days).</i>	—	—	—	250	250	250
Median time (in calendar days) from the transfer of archival electronic records to NARA until they are available for access.	—	—	450	736	413	
Number of electronic records transferred (in millions of logical data records)	—	—	—	534	85.3	
Cost per electronic record transferred.	—	—	—	\$0.01	\$0.07	

***Milestones***

- FY 2001**
  - Transfer of records via Files Transfer Protocol (FTP) completed.
  - Ability of the current Archival Preservation System to copy digital images and raster and vector files completed.
- FY 2002**
  - Study of the archival properties of high-density media and conclusion that the Digital Linear Tape was an appropriate medium for the storage of permanent electronic records completed.
  - Change to Code of Federal Regulations making Digital Linear Tape and Files Transfer Protocol appropriate media for transferring electronic records to NARA completed.
- FY 2003**
  - Accession Management Information System redesigned.
  - Version 6.0 of the current Archival Preservation System application developed and installed.
- FY 2004**
  - New Accession Management Information System installed.
  - Certification software for new Digital Linear Tapes on the current Accession Preservation System installed.
  - Copying capacity of the current Accession Preservation System expanded.
  - Technologies that can support copying and verifying electronic records in the following formats studied: e-mail with attachments, scanned images, Portable Document Format, digital images, World Wide Web files, and Geographic Information System files.
- FY 2005**
  - New technologies to support copying and verifying the electronic records in the six transfer formats purchased.
- FY 2006 Projected**
  - New technologies to support copying and verifying the electronic records in the six transfer formats implemented.

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

**Definitions** Gigabyte: (1) a gigabyte is a measure of computer data storage capacity. A gigabyte is 2 to the 30<sup>th</sup> power, or 1,073,741,824 in decimal notation. Terabyte: A terabyte is a measure of computer data storage capacity. It is 2 to the 40<sup>th</sup> power, or approximately a thousand gigabytes. Logical data record: a set of data processed as a unit by a computer system or application independently of its physical environment. Examples: a word processing document; a spreadsheet; an e-mail message; each row in each table of a relational database or each row in an independent logical file database.

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**Long Range Performance Target 2.5. By 2008, the per-megabyte cost of managing archival electronic records through the Electronic Records Archives decreases each year.**

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- FY 06 Projected Performance**
- Complete Preliminary Design Review for Increment 1, Release of the ERA system.
  - Complete Critical Design Review for Increment 1, Release 1 of the ERA system.

**Outcome** Electronic records of archival value are economically preserved.

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

**Means and Strategies** Through the Electronic Records Archives (ERA), we are creating a digital National Archives that will make permanently valuable Government records available to anyone, at any time, and in any place, for as long as needed.

The ERA system addresses a fundamental requirement of electronic government: to be able to keep and transmit reliable and authentic electronic records independently of time, place, the vagaries of the market place, the state of the art of information technology, or the peculiarities of proprietary formats or stovepipe applications. NARA will develop a comprehensive, systematic, and dynamic means for preserving virtually any kind of electronic record, free from dependence on any specific hardware or software. More importantly, ERA will help citizens find records they want and make it easy for NARA to deliver those records in formats suited to citizens' needs.

ERA will be the primary means through which NARA implements its target enterprise architecture. It will include practically all of NARA's processes for lifecycle management of records; therefore, it will be the catalyst for conversion to the target architecture of the legacy applications NARA currently uses to support these processes. This conversion will include process improvement as well as reengineering the architecture of these applications.

We also will continue collaborative research into issues related to the lifecycle management of electronic records that are beyond state-of-the-art information technology or state-of-the-science computer, information, or archival sciences. Research and exploratory development activities are well aligned with the work of the Interagency Working Group on Information Technology's Research and Development program and the President's Management Council's vision of Government-wide electronic records management in support of e-Government. Specific direction to agencies encourages research to enable preservation and utility of electronic information archives and creation of digital archives of core knowledge for research and learning, as well as being able to produce, collect, store, communicate, and share high amounts of electronic information. We will continue to rely to a large extent on established R&D management capabilities in partner agencies.

NARA has laid out an incremental acquisition strategy for ERA that will enable us to ensure that significant milestones are achieved before commitments are made for subsequent work. In FY 2004 we awarded a competitive design contract of the ERA system to two vendors. After selecting the best design, in FY 2005 we exercised an option for development and deployment of the first increment of the system. NARA will also contract for technical services to support the operation of the deployed system.

We expect that the first increment will support the automation of our workflow for lifecycle management processes for all types of records and provide online forms and interactions with agencies for scheduling and transferring all types of records. The first increment will also support the online transfer of electronic records to NARA and automate the verification of basic characteristics of transferred electronic records. In Increment 1 we will also be able to store electronic records in the formats received; and provide a framework for the addition of preservation capabilities for other formats.

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

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
<i>Performance target of percent of NARA's electronic holdings stabilized in preparation for their transfer to the Electronic Records Archives.</i>	40	60	65	99	80	80
Percent of NARA's electronic holdings are stabilized in preparation for their transfer to the Electronic Records Archives.	97	98	97	93	99.7	
Number of logical data records in NARA's custody (in millions).	2,345	3,714	4,725	5,629	8,108	
Number logical data records stabilized (in millions).	2,272	3,642	4,595	5,252	8,084	
Percent of Presidential logical data records stabilized.	99	49	49	62	90	
Number of Presidential logical data records (in millions).	2	35	35	35	35	
Number of Presidential logical data records stabilized (in millions).	2	17	17	22	32	
Per megabyte cost for stabilizing archival electronic records.	—	—	\$4.50	\$4.77	\$0.72	

***Milestones***  
**FY 2001**

- GAO risk assessment of ERA project performed and Program Management Office

organization proposal developed.

- FY 2002**
- Electronic Records Archives Analysis of Alternatives, Requirements, and Business Case completed.
  - ERA Project Management Office established.
- FY 2003**
- Electronic Records Archives Analysis of Alternatives, Requirements, and Business Case updated.
  - Draft Request for Proposals for ERA design issued.
- FY 2004**
- Request for Proposals for ERA design released December 5, 2003.
  - ERA design contract awarded August 3, 2004.
  - Installation of an earned value management system for ERA performance measurement completed.
- FY 2005**
- System requirements with competing vendors reviewed.
  - System Design Review with competing vendors conducted.
  - System Analysis and Design completed.
  - ERA domain model completed.
  - Development contractor for the ERA system selected.
- FY 2006 Projected**
- Record and aggregate templates for ERA Increment 1 developed.
  - Preliminary Design Review for Increment 1, Release 1 of the ERA system completed.
  - Critical Design Review for Increment 1, Release 1 of the ERA system completed.

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

**Definitions** 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; Logical data record: a set of data processed as a unit by a computer system or application independently of its physical environment. Examples: a word processing document; a spreadsheet; an e-mail message; each row in each table of a relational database or each row in an independent logical file database. Megabyte: a megabyte is a measure of computer data storage capacity. A megabyte is 2 to the 20<sup>th</sup> power, or 1,048,576 bytes in decimal notation.

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**STRATEGIC GOAL 3 ESSENTIAL EVIDENCE IS EASY TO ACCESS REGARDLESS OF WHERE IT IS OR WHERE USERS ARE FOR AS LONG AS NEEDED.**

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- Long Range Performance Targets**
- 3.1. By 2007, access to records and services and customer satisfaction levels meet or exceed NARA's published standards.
  - 3.2. By 2007, 70 percent of NARA services are available online.
  - 3.3. By 2008, 80 percent of NARA archival holdings are described in an online catalog.
  - 3.4. By 2007, government-wide holdings of 25-years-old or older records are declassified, properly exempted, appropriately referred, or appropriately delayed under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts.
  - 3.5. By 2007, NARA archival holdings of 25-years-old or older records are declassified, properly exempted, appropriately referred, or appropriately delayed under the provisions of Executive Order 12958, as amended.
  - 3.6. By 2007, 10 percent of records of a two-term President or 15 percent of records for a one-term President are open and available for research at the end of the 5-year post-Presidential period specified in the Presidential Records Act.
  - 3.7. By 2007, 90 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.

**FY 2001 Resources Available to Meet This Goal:** \$120,046,000; 2,159 FTE \*

**FY 2002 Resources Available to Meet This Goal:** \$134,208,000; 2,263 FTE \*

**FY 2003 Resources Available to Meet This Goal:** \$132,060,000; 2,298 FTE

**FY 2004 Resources Available to Meet This Goal:** \$147,271,000; 2,313 FTE

**FY 2005 Resources Available to Meet This Goal:** \$148,807,000; 2,337 FTE

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

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

<b>FY 2006 Budget Linkage</b>	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
3.1. By 2007, access to records and services and customer satisfaction levels meet or exceed NARA's published standards.	✓	✓			✓	✓		

<b>FY 2006 Budget Linkage</b>	<b>Records Services</b>	<b>Archives Related Services</b>	<b>Electronic Records Archives</b>	<b>Archives II Facility</b>	<b>Revolving Fund</b>	<b>Trust Fund</b>	<b>NHPRC</b>	<b>Repairs &amp; Restoration</b>
3.2. By 2007, 70 percent of NARA services are available online.	✓				✓			
3.3. By 2008, 80 percent of NARA archival holdings are described in an online catalog.	✓							
3.4. By 2007, government-wide holdings of 25-years-old or older records are declassified, properly exempted, appropriately referred, or appropriately delayed under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts.	✓							
3.5. By 2007, NARA archival holdings of 25-years-old or older records are declassified, properly exempted, appropriately referred, or appropriately delayed under the provisions of Executive Order 12958, as amended.	✓							
3.6. By 2007, 10 percent of records of a two-term President or 15 percent of records for a one-term President are open and available for research at the end of the 5-year post-Presidential period specified in the Presidential Records Act.	✓							
3.7. By 2007, 90 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.		✓					✓	

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**Long Range Performance Target 3.1. By 2007, access to records and services and customer satisfaction levels meet or exceed NARA’s published standards.**

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**FY 06 Projected Performance**

- Meet or exceed NARA’s published standards for access to records and services and customer satisfaction levels:
  - 95 percent of written requests are answered within 10 working days;
  - 90 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
  - 95 percent of requests for military service separation records at the National Personnel Records Center in St. Louis are answered within 10 working days;
  - 95 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
  - 99 percent of customers with appointments have records waiting at the appointed time;
  - 95 percent of Federal agency reference requests in Federal records centers are ready when promised to the customer;
  - 99 percent of records center shipments to Federal agencies

- are the records they requested;
- 85 percent of archival fixed-fee reproduction orders through the Siebel Order Fulfillment Application (SOFA) are completed in 35 working days or less;
- 95 percent of education programs, workshops, and training courses meet attendees' expectations.

**Outcome** Our customers are satisfied with NARA's service.

**Significance** Our customers deserve the best service we can deliver. Through the measurement of performance against customer service standards, development of customer service teams and customer service training, customer surveys, and process redesign efforts in areas that traditionally had high backlogs, we are coordinating our efforts to ensure that our customer service meets our customers' needs.

**Means and Strategies** Serving our customers is one of our primary areas of focus, and we are continually making process improvements in our research rooms, training staff in customer service principles, employing customer service teams, modernizing and upgrading research room equipment, adding research room staff, and adjusting hours of service to make it easier for more people to use our services. We also added public computer terminals with Internet access in all our research rooms nationwide.

One of our biggest customer service challenges has been to reduce the response time for requests for veterans' records. At the National Personnel Records Center in St. Louis we are nearing the end of a multi-year business process re-engineering project to bring the average response time on requests for modern military service records from several weeks to 10 working days, particularly for military service separation requests, which make up the bulk of the requests we receive. The changes required to make improvements included major organization changes, process changes, and the deployment of the Case Management and Reporting System, a workflow tool that supports our redesigned processes. Some of the changes have been dramatic, even disruptive, as old processes are put aside and new ones are learned; other modifications—training and other changes that address the underlying nature of the organization—are so pervasive and far reaching that they naturally take some time to affect the culture of that organization. We have been seeing steady improvements in our response rates. We expect those to continue as we make further process and system improvements, and transition from a records center to an archival institution.

In response to the appraisal of the Official Military Personnel Files (OMPF) as permanent records, NPRC established an Archival Programs Division to manage the records and construct an archival research room where members of the public can view them. In FY 2005 we opened the new archival research room in the NPRC, making available the first archival OMPFs to the public. The first batch of records opened included nearly 1.2 million OMPFs of former United States Navy and Marine Corps enlisted personnel who served in the military between 1885 and 1939. This first set of opened records also included the files of 150 "persons of exceptional prominence" who served in the military and who died at least ten years ago. Among these files were the OMPFs of John F. Kennedy, Elvis Presley, and Jackie Robinson.

Our research facilities at the National Archives Building in Washington, DC, now consolidate in one convenient location access to preeminent genealogy resources in the Washington area. Among the center's amenities is an expanded microfilm research room with ready access to millions of microfilmed

documents. A Military Service Records Research Room allows researchers to examine military service records, pension files, and bounty land warrant records. A nearby Genealogy Consultation Room provides customers with highly knowledgeable staff and volunteers to help develop research strategies and use finding aids. We have implemented an orientation presentation for customers when they use the facility for the first time.

The National Archives Experience, which was launched with the opening of the Public Vaults, the McGowan Theater, and O'Brien Traveling Exhibits Gallery in FY 2005, continues to grow in scope and impact. In FY 2006 we will open a new Learning Center that will provide resources to teachers and parents, allowing them to more effectively use our records to achieve national standards for history and civics. A major new traveling exhibit, "American Originals: Eyewitness," will bring to life powerful and memorable accounts of events in our history marking our first use of an audio tour presentation. Also in FY 2006, we expect an important expansion of the offerings in our Theater, including "American Conversations," a successful series of civic discussions with noted authors and historical thinkers hosted by the Archivist of the United States.

We also are improving access to records that are difficult to use. Records of the Bureau of Refugees, Freedmen, and Abandoned Lands (Freedmen's Bureau) from the Reconstruction era contain a great deal of information about the African-American family experience across 15 states and the District of Columbia, but the information is difficult to extract, the records are fragile, and they are only available in one NARA location. We are microfilming these records and distributing the microfilm to our regional archives and microfilm rental program, and by the end of FY 2006, we expect to have completed the microfilming effort for all states and the District of Columbia. With the help of a small grant from Peck Stacpoole Foundation and a partnership with Howard University's Computer Science Department, we are conducting a pilot to index and provide online access to Headquarters Marriage Certificate files, some of the most popular files in this series for genealogists.

NARA is exploring new partnership opportunities that would digitize many more of our holdings, thereby greatly increasing public access to these records. These partnerships will help us find cost-effective and efficient ways to bring high-interest and representative documents to our users over the Internet. We also strive to provide timely Internet access to high-interest documents such as 9/11 Commission records and materials relating to Supreme Court nominees John Roberts and Samuel Alito.

**Key external factors** Unexpected increases in records holdings or public interest in groups of records can significantly increase workloads, response times, and wear and tear on public use equipment. NARA cannot control the response time for FOIAs that must be referred to other agencies.

**Verification and Validation**

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

<b>Performance Data</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
Number of FOIAs processed.	7,634	8,824	4,830	5,224	8,881	
Annual cost to process FOIAs (in millions).	—	\$1.54	\$1.35	\$1.43	\$1.74	
Annual per FOIA cost.	—	\$175	\$265	\$272	\$196	
<i>Performance target for requests for military service separation records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days.</i>	—	35	45	70	95	95
Percent of requests for military service separation records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days.	7	40	37	75	88	
Number of military service separation records (DD-214) requests answered (in thousands)	297	361	390	372	350	
Average price per request for military service separation records.	—	—	\$29.70	\$30.00	\$30.00	
<i>Performance target for requests for all military service records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days.</i>	25	30	35	—	—	—
Percent of requests for all military service records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days.	4	28	28	48	52	
<i>Performance target for items requested in our research rooms furnished within 1 hour of request or scheduled pull time.</i>	95	95	95	95	95	95
Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	93	94	96	98	98	
Number of researchers visiting our research rooms (in thousands).	—	249	205	169	166	
Number of items furnished in our research rooms (in thousands).	1,056	613	607	696	537	
Number of items furnished on time in our research rooms (in thousands).	985	578	584	683	527	
<i>Performance target for customers with appointments for whom records are waiting at the appointed time.</i>	99	99	99	99	99	99
Percent of customers with appointments for whom records are waiting at the appointed time.	99.7	99.8	99.9	99.3	99.4	
<i>Performance target for Federal agency reference requests in Federal records centers that are ready when promised to the customer.</i>	90	90	90	90	95	95
Percent of Federal agency reference requests in Federal records centers that are ready when promised to the customer.	93	92	94	96	97	
<i>Performance target for records center shipments to Federal agencies are the records they requested.</i>	99	99	99	99	99	99
Percent of records center shipments to Federal agencies are the records they requested.	99.99	99.99	99.99	99.99	99.99	
<i>Performance target for archival fixed-fee reproduction orders through SOFA are completed in 35 working days or less.</i>	—	50	60	75	80	85
Percent of archival fixed-fee reproduction orders through SOFA are completed in 35 working days or less.	—	88	99	99.9	98	

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

### **Milestones**

#### **FY 2001**

- 100 percent of 1930 census microfilm duplicated—15 sets of 4,318 rolls of schedules and indexes—and distributed to NARA facilities and microfilm rental program. Furniture and equipment procured and installed.

#### **FY 2002**

- 1930 census opened to the public on April 1, 2002.
- Prototype Case Management and Reporting System at NPRC tested and deployed.
- New work assignment profiles at NPRC modified to refocus core team work.
- Freedmen's Bureau records from Florida, Alabama, Arkansas, and Washington, DC (out of 15 states and the District of Columbia) microfilmed.

#### **FY 2003**

- Case Management and Reporting System functionality fully implemented at NPRC.
- Freedmen's Bureau records from Georgia, Kentucky, Maryland, and Delaware (out of 15 states and the District of Columbia) microfilmed.

#### **FY 2004**

- Freedmen's Bureau records from Louisiana, Mississippi, and Missouri (out of 15 states and the District of Columbia) microfilmed.

#### **FY 2005**

- Freedmen's Bureau records from North Carolina, South Carolina, and Texas (out of 15 states and the District of Columbia) microfilmed.

#### **FY 2006 Projected**

- Freedmen's Bureau records from Tennessee and Virginia (out of 15 states and the District of Columbia) microfilmed.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist. Request price for military service separation agreements from FY 2004 Records Center Program Rate Schedule, which is provided annually to agencies in an attachment to their interagency agreement.

**Definitions** Written requests: requests for services that arrive in the form of letters, faxes, e-mails, and telephone calls that have been transcribed. Excludes Freedom of Information Act requests, personnel information requests at the National Personnel Records Center, Federal agency requests for information, fulfillment of requests for copies of records, requests for museum shop products, subpoenas, and special access requests; Federal agency reference request: a request by a Federal agency to a records center requesting the retrieval of agency records. Excludes personnel information requests at the National Personnel Records Center.

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### **Long Range Performance Target 3.2. By 2007, 70 percent of NARA services are available online.**

#### **FY 06 Projected Performance**

- Ensure 60 percent of NARA services are available online.

**Outcome** More people, nationwide and worldwide, have easy access to NARA services.

**Significance** For citizens and the Government to take full advantage of the resources we have to offer, we must make those services available as widely as possible. With the advent of the Internet and other electronic forms of communication, we have the means to offer services remotely. Visiting or writing one of our facilities is no longer the only way for people to get ready access to essential evidence. By broadening the availability of our services, we ensure that citizens everywhere have access to their National Archives.

**Means and Strategies** Our web site is the most widely available means of electronic access to our services and information, including directions on how to contact us and do research at our facilities; descriptions of our holdings in an online catalog; direct access to certain archival electronic records; digital copies of selected archival documents; electronic mailboxes for customer questions, comments, and complaints; electronic versions of *Federal Register* publications; online exhibits, and classroom resources for students and teachers.

In accordance with the President's Management Agenda, which aims to expand electronic government, NARA has aggressively looked for opportunities to make more of our services, for both Federal agencies and the public, available electronically. To meet this challenge and the requirements of the Government Paperwork Elimination Act (GPEA), however, we must be able to support a wide variety of complex electronic transactions.

Our web site, *archives.gov*, assists the public in navigating our services from their homes, to visit virtually the National Archives and the Charters of Freedom (the Declaration of Independence, Constitution, and Bill of Rights), and to use our resources available in our facilities nationwide. The web site also provides information about public programs and other components of the National Archives Experience: the new William G. McGowan Theater and the Public Vaults permanent exhibit. In FY 2005 we redesigned our web site *archives.gov* to improve its navigation and appeal to the general public, first time visitors, and high-volume audiences. The design was based upon customer feedback received through our American Customer Satisfaction Index (ACSI)-based web survey and usability testing with customers. For this work NARA won the peer award *Best Web Site Design in 2005* from GSA's WebContent.gov. Also in FY 2005 we launched our redesigned Access to Archival Databases (AAD) interface, also guided by ACSI web survey data and usability testing, providing improved access to archived data online. Also of great importance was addition of microfilm publication products to our Order Online system, providing e-commerce purchase of some reproductions of our holdings—especially those of great interest to genealogists and family historians.

In FY 2006 our Web Program will focus on enhancing the educational aspects of our public web site by providing more engaging ways for our visitors to learn about use of historical documents in understanding our history, and about the services we provide. We also will add, as current resources permit, information translated into Spanish so that persons of Hispanic heritage and limited English proficiency may learn how they may request our services.

As part of our redesign we launched a new web site for the Nixon Presidential Materials Staff. The organization of Nixon information is now designed to support a visitor's progress through a series of steps to begin research, find information about materials, and order copies. The Nixon site invites visitors to learn about Nixon, explore high quality images of Presidential gifts and, through these images, learn about the Federal government's diplomatic relationships with other countries during Nixon's presidency.

We published online the 9/11 Commission’s recently released “Staff Monograph on the Four Flights and Civil Aviation Security” as an adjunct to the frozen public access version of the Commission’s web site, which is now a Federal record managed by NARA. The timely publication of this monograph online ensured the widest possible access to this document by the public. We also held our first successful public web cast, the Archivist’s swearing-in ceremony on March 7. We are using webcasts and other online tools to engage staff and the public in the process of developing our next Strategic Plan.

We activated *webharvest.gov*, the new web site for Federal agency public web sites “harvested” as they existed prior to January 20, 2005. This effort is intended to document Federal agencies’ presences on the World Wide Web at the end of the President’s first term. Through this site we provide ongoing public access to these copied web sites.

We will continue to collect public feedback about our sites through the American Customer Satisfaction Index (ACSI) online surveys of our web sites and major application interfaces such as our Archival Research Catalog (ARC) and Access to Archival Databases (AAD) systems. The results of these surveys are helping inform the design of our web site, *archives.gov*, making it more helpful to our customers.

In FY 2005, we reviewed the results of a business process reengineering study to analyze alternatives, establish requirements, and develop a concept of operations for merchandising before implementing online ordering and payment of merchandise. We expanded the functional capability of *Order Online!* to allow customers to perform online searches to find microfilm available for purchase, viewing, or renting, and to order microform products. More than 50 percent of the fixed-fee orders we receive are online orders. In FY 2006, customers will be able to submit an online request for copies of bankruptcy cases, civil cases, criminal cases, and Court of Appeals cases.

We have contracted with human factors engineers to help us evaluate our online service offerings. This expertise will help NARA ensure that its online solutions effectively meet the needs of our customers. It will help us create interface and application designs that are intuitive, easy to use, and minimize user errors. We will phase in each capability to ensure that we have adequate technical resources to meet customer demand. Some Government web sites have been completely overwhelmed by their own success when more users than expected swamped sites with new services. To manage this potential problem, we will monitor each new application closely to evaluate the level of technical resources used, shift resources as necessary, and develop a baseline for future activities. All web initiatives undergo extensive testing so that we have ample opportunity to examine how the initiative is changing business processes, evaluate the costs and benefits of further revamping, analyze the performance of the application, ensure users’ privacy is protected, and mitigate the risks associated with fraud, error, and misuse.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
Online visits to NARA’s web site (in thousands).	16,106	19,538	30,943	30,428	21,377	
Cost to provide NARA services online per visitor.	—	—	\$0.16	\$0.13	\$0.17	
<i>Performance target for percent of NARA services available online.</i>	—	20	30	40	50	60
Percent of NARA services available online.	24	25	30	40	49	
Number of NARA services online	29	30	36	48	59	

**Milestones**

- FY 2001**
- Preliminary measurement methodology developed and baseline for NARA services available online proposed.
- FY 2002**
- Measurement methodology finalized.
  - Web-based request form to allow electronic requests of copies of records made available.
- FY 2003**
- Veterans and next-of-kin of deceased veterans provided with the capability of online ordering of copies of the veterans' military service records.
  - Customers surveyed about their satisfaction with our online services.
- FY 2004**
- Online registration management system piloted.
  - Order Online! implemented.
  - Online ordering and payment of merchandise study conducted.
- FY 2005**
- Online searching to find microfilm available for purchase, viewing, or renting implemented.
  - Online ordering of microform products implemented.
  - Siebel Order Fulfillment Application (SOFA), replacing the OFAS Workflow System, implemented.
  - Capability to submit grant applications online implemented.
- FY 2006 Projected**
- Online ordering of copies of bankruptcy cases, civil cases, criminal cases, and Court of Appeals cases implemented.

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

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

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**Long Range Performance Target 3.3. By 2008, 80 percent of NARA archival holdings are described in an online catalog.**

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- FY 06 Projected Performance**
- Describe 50 percent of NARA traditional holdings in the Archival Research Catalog.
  - Describe 50 percent of NARA artifact holdings in the Archival Research Catalog.
  - Describe 20 percent of NARA electronic holdings in the Archival Research Catalog.

**Outcome** Researchers find the descriptive information they need about NARA archival holdings in one convenient location.

**Significance** In a democracy, the records of its archives belong to its citizens. NARA is committed to ensuring that citizens anywhere, anytime can gain access to information about and from the records of our

Government. A key strategy to fulfilling that commitment is the development and deployment of the Archival Research Catalog (ARC).

**Means and Strategies** When fully populated, ARC will be a comprehensive, self-service, online "card catalog" of descriptions of our nationwide holdings. Previously, to locate records you wanted to see or copy, you had to search through various published and unpublished catalogs, indexes, and lists, many of which were out of date, out of print, or available in one location only. ARC will ensure that anyone, anywhere with an Internet connection can browse descriptions of all of our holdings, including electronic records, in our Washington, DC, area archives, regional archives, and Presidential libraries. ARC also contains links to more than 124,000 digital images of some of our most popular and interesting holdings. The available online historical documents include many of the holdings highlighted in NARA's permanent Public Vaults exhibit.

In developing ARC, we built two systems—a read-only web version of the system for use by staff and the public, and a data entry system in which archivists enter and edit records descriptions. In FY 2002 we launched the read-only catalog, and during FY 2003 and FY 2004 we rolled out the ARC data entry system to nearly all of our archival units nationwide. Today, ARC contains more than 600,000 descriptions. But with 65 years worth of existing descriptive information to place into ARC, we have a multi-year challenge ahead.

We are undertaking a major effort to put the data from existing finding aids into ARC. This project will include folder and item lists, and a wide variety of indexes. We expect it to add hundreds of thousands of detailed descriptions to ARC, and to provide a valuable tool for researchers. We are also working to redesign the ARC web interface, the public face of ARC. The redesign will provide an improved easier-to-navigate user interface based on customer feedback.

### **Verification and Validation**

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
Percent of nationwide archival holdings described in an online catalog.	13.2	—	—	—	—	—
Cubic feet of archival holdings (in thousands)	2,915	—	—	—	—	—
Cubic feet of archival holdings described in an online catalog.	386	—	—	—	—	—
<i>Performance target for traditional holdings in an online catalog</i>	—	20	25	30	40	50
Percent of traditional holdings in an online catalog	—	19	20	33	42	
Number of traditional holdings described in an online catalog (thousands of cubic feet)	—	550	602	1,033	1,344	
Number of traditional holdings in NARA (thousands of cubic feet)	—	2,890	3,025	3,157	3,167	
<i>Performance target for artifact holdings in an online catalog</i>	—	20	25	30	40	50
Percent of artifact holdings in an online catalog	—	19	17	40	43	
Number of artifact holdings described in an online catalog (thousands of items).	—	90	90	215	233	
Number of artifact holdings in NARA (thousands of items)	—	470	528	540	544	
<i>Performance target for electronic holdings in an online catalog</i>	—	0	0	5	10	20
Percent of electronic holdings in an online catalog	—	0.02	0.02	10	31	

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
Number of electronic holdings described in an online catalog (millions of logical data records)	—	1	1	536	2,539	
Number of electronic holdings in NARA (millions of logical data records)	—	3,714	4,743	5,629	8,108	
Number of ARC users (in thousands of user hits*)	—	713	1,884	—	—	—
Number of ARC users (in thousands of visits*)	—	—	—	158	286	

**Milestones**

**FY 2002**

- Migration of NAIL descriptions to ARC completed.
- Launch of ARC web system to the public completed.
- Development of ARC data entry system completed.

**FY 2003**

- Testing and launch of ARC data entry system completed.

**FY 2004**

- ARC rollout to 97 percent of NARA archival units nationwide complete.

**FY 2005**

- ARC rollout to all archival units nationwide 100 percent complete.

**FY 2006 Projected**

- Tools to convert existing finding aids into ARC launched.
- Redesigned ARC web system launched.

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

**Definitions** NAIL: NARA Archival Information Locator, prototype for ARC; ARC: Archival Research Catalog, NARA-wide online catalog. \*User Hits: the number of files used to show the user a web page. This is not the preferred method for measuring web usage. Counting visits is more accurate, and is used for ARC in 2004 and forward. Traditional holdings: books, papers, maps, photographs, motion pictures, sound and video recordings and other documentary material that is not stored on electronic media. Artifact holdings: objects whose archival value lies in the things themselves rather than in any information recorded upon them. Electronic holdings: records on electronic storage media. Visits: One person using our web site is counted as one “visit.” It is a count of the number of visitors to our web site, and is similar to counting the number of people who walk through our front door. In contrast, it does not count “hits,” which refers to the number of files used to show the user a web page. A visit in which a user accessed a web page comprising 35 files would count as 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.

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**Long Range Performance Target 3.4. By 2007, government-wide holdings of 25-years-old or older records are declassified, properly exempted, appropriately referred, or appropriately delayed under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts.**

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**FY 06 Projected Performance**

- Ensure that 95 percent of the FY 2004 baseline of government-wide holdings of classified records 25-years-old or older are declassified, exempted, referred, or appropriately delayed.

**Outcome** More records are declassified and available for public use.

**Significance** The Information Security Oversight Office (ISOO), which is administered by NARA, oversees the Government-wide security classification program and reports annually to the President on its status. ISOO collects data about agencies’ programs as a means of assessing those programs. Credible data are essential to making these assessments. Further, an important component of the security classification program is declassification, in particular the automatic declassification program.

**Means and Strategies** On March 25, 2003, the President issued Executive Order 13292 amending Executive Order 12958. Among the many changes is the extension of the automatic declassification deadline from April 17, 2003, to December 31, 2006. This is the second extension of the original automatic declassification deadline, April 17, 2000. To meet the new deadline set by the President in his amendment, it will be important to determine what records in agencies' holdings will be subject to section 3.3 of the Order. ISOO has been working with agencies to identify impediments to meeting this deadline. These impediments are far reaching, covering a range of areas including policy issues, agency organizational structures, resources, lack of training, and the development of guidance to assist agencies in identifying equities. ISOO is working closely with agencies to develop appropriate solutions to these impediments.

**Key external factors** Security concerns related to the war on terrorism may divert resources from declassification efforts or lead to the withholding of additional records. Agencies' cooperation is essential to identifying the records subject to automatic declassification, impediments to meeting the new deadline, and solutions to these impediments.

**Verification and Validation**

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

*\*FY 2005 data is collected from Federal agencies and will be reported to the President in 2006.*

***Milestones***

- FY 2001**
  - 3 program reviews completed.
- FY 2002**
  - All agencies handling classified information surveyed with a questionnaire about the data collection form, SF 311, "Agency Security Classification Management Program Data."
  - Online contractor e-survey to assess the current effectiveness of the National Industrial Security Program conducted, with 393 contractors participating.
  - 5 Executive Branch agencies program reviews completed.
- FY 2003**
  - Interviews with agencies that make classification decisions in automated systems, including e-mail systems, completed.
  - Third review of the National Industrial Security Program completed.
  - 15 Executive Branch agencies program reviews completed.
- FY 2004**
  - Universe of records subject to section 3.3 of the Order identified through agencies' declassification plans.
  - Impediments and solutions to meeting the December 31, 2006 deadline identified.
  - Guidance about how to collect data on the number of classification decisions made in automated systems, including e-mail, developed and distributed to Executive branch agencies.
  - 75 agencies tasked to develop a declassification plan. Of these, 28 agencies did not need plans because they had no records subject to automatic declassification. Of remaining 46 agencies required to develop plans, 30 plans were acceptable and 16 needed additional work to be acceptable.

- FY 2005**
  - Cost-effectiveness study and plan for automating the data for SF 311, including a requirement for electronic reporting, developed.
- FY 2006 Projected**
  - 95 percent of the FY 2004 baseline of government-wide holdings of classified records 25-years-old or older declassified, properly exempted, appropriately referred, or appropriately delayed.

**Data source** Quarterly performance reports to the Archivist. Information Security Oversight Office, 2004 Report to the President, March 31, 2005 ([http://www.archives.gov/isoo/reports/2004\\_annual\\_report.html](http://www.archives.gov/isoo/reports/2004_annual_report.html)) and 2004 Report on Cost Estimates for Security Classification Activities, June 2005 ([http://www.archives.gov/isoo/reports/2004\\_cost\\_report.html](http://www.archives.gov/isoo/reports/2004_cost_report.html)).

**Definitions** Classified document review: a review by ISOO of an executive branch agency to identify inconsistencies in the application of classification and marking requirements of Executive Order 12958. The results of the review along with any appropriate recommendations for improvement are reported to the agency senior official for the program or the agency head. Program review: an evaluation of selected aspects of an executive branch agency's security classification program to determine whether an agency has met the requirements of Executive Order 12958. The review may include security education and training, self-inspections, declassification, safeguarding, and classification activity. The results of a review, along with any appropriate recommendations for improvement are reported to the agency senior official or agency head.

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**Long Range Performance Target 3.5. By 2007, NARA archival holdings of 25-years-old or older records are declassified, properly exempted, appropriately referred, or appropriately delayed under the provisions of Executive Order 12958, as amended.**

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- FY 06 Projected Performance**
  - Ensure that 95 percent of the FY 2004 baseline of NARA archival holdings of classified records 25-years-old or older are declassified, exempted, referred, or appropriately delayed.
  - Scan 500,000 pages of Presidential archival materials eligible for declassification review as part of the Remote Archives Capture project.

**Outcome** More archival records are declassified and made available for public use.

**Significance** Executive Order 12958, which was amended in FY 2003, requires the declassification of material 25 years old unless specifically exempt. The Government protects millions of classified documents at great expense, including more than 390 million pages in our Washington, DC, area facilities and 38 million pages in Presidential libraries. The majority of these documents more than 25 years old no longer requires classified protection and can and should be accessible to citizens.

**Means and Strategies** NARA staff continue to focus on the review of eligible records series that are not already being reviewed by the originating agencies. These agencies are ones that receive but do not generate much classified information. We must review these records to identify the equities of other agencies that may still have concerns about information in the records. To handle the reviews required by Executive Order 12958, and the extra work required by the Kyl and Lott Amendments, we hired experienced contract personnel to survey, review, and prepare records for release. These contractors worked primarily on Presidential materials from the Eisenhower through Carter administrations.

We use the Archives Declassification Review and Redaction System (ADRRES) to track our performance against the goal of having all records over 25 years old appropriately declassified, exempted or referred

under the provisions of Executive Order 12958 as amended. ISOO uses ADRRES to support the Interagency Security Classification Appeals Panel (ISCAP) in its mandated functions of deciding on appeals concerning mandatory declassification reviews, appeals concerning classification challenges, and approval of agency declassification guides. We will also use ADRRES and the Unclassified Redaction and Tracking System (URTS) to make electronic records such as the 9/11 Commission records and State Department cables available to agency personnel for their review.

Under Executive Order 12958 as amended, agencies have a deadline of December 31, 2009, to review and resolve their equities in security classified documents over 25 years old that have been referred to them by other agencies. We estimate that there are approximately 3 million documents in accessioned federal records that must be acted on by the agencies prior to the 2009 deadline. Many of these documents must be reviewed by two or more agencies. NARA will index these documents in the ADRRES database and will make these documents available to the agencies in a systematic fashion to enable them to accomplish their missions, protect permanently valuable federal records, and prevent unauthorized releases of still sensitive information.

In cooperation with other agencies, NARA has established an interagency referral center to provide a systematic approach to the referral process. By handling referrals in this manner, NARA retains physical and intellectual control of the records. It gives access to agency reviewers, while allowing NARA to prioritize the order in which referrals are processed so as to deal with records of high research interest in a timely manner. It establishes a standard method for recording agency decisions, ensuring that when NARA staff process the records for release or exemption, the agency determination will be clearly understood and NARA will avoid inadvertent releases of still sensitive information.

For classified materials in the Presidential library system for which we have no delegated declassification authority, we have established a partnership with the Central Intelligence Agency (CIA) to prepare and scan classified materials for distribution to agencies with equities in the documents. CIA is funding all of the technological development, hardware, and software for the project.

Meeting the targets of Executive Order 12938 will be a significant challenge at the Reagan Library, which holds the next Presidential collection to which the executive order declassification review provisions must be applied. With about 8 million pages of largely unprocessed textual classified holdings, this represents more classified pages than all of the previous libraries combined. These records will also require substantially more preparation prior to scanning than the holdings of older libraries. Once the huge declassification backlog is cleared there, we will begin to address the backlog at the George H.W. Bush Library.

**Key external factors** Security concerns related to the war on terrorism may divert resources from declassification efforts or lead to the withholding of additional records.

The Kyl and Lott Amendments require the re-review, page-by-page, of all declassified records except those determined to be highly unlikely to contain Restricted Data and Formerly Restricted Data. We continue to devote resources to assist the Department of Energy (DOE) in surveying and auditing records to ensure that no Restricted Data and Formerly Restricted Data are inadvertently released. Our work in this increased in FY 2003 as the U.S. Air Force began a project similar to DOE's that will result in another layer of review before the records can be made available.

Special declassification projects also reduce the amount of declassification that can be accomplished with existing resources. Instead of examining entire records series for declassification, many of our declassification staff are required to examine individual withdrawn classified documents to determine their relevance and coordinate their declassification with the appropriate agencies.

The CIA must continue to provide technical support to enable the review of documents by other agencies. Agencies must conduct reviews of their equities in the scanned documents before the libraries can process the records for release.

New employees hired for the declassification program cannot start work with classified records for many months until their security clearances are approved.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
Backlog of Federal records at start of year (in thousands).	25,029	20,980	18,980	25,581	25,020	
<i>Performance target for NARA archival holdings of 25-years-old or older Federal records are declassified, properly exempted, appropriately referred, or appropriately delayed under the provisions of Executive Order 12958, as amended.</i>	50	85	90	—	50	95
Annual percentage of Federal records NARA reviewed that are more than 25 years old for which NARA has declassification authority.	9	12	7	2	2	
Backlog of Presidential materials at start of year (in thousands).	1,562	1,240	960	806	668	
<i>Performance target for NARA archival holdings of 25-years-old or older Presidential records are declassified, properly exempted, appropriately referred, or appropriately delayed under the provisions of Executive Order 12958, as amended.</i>	25	85	90	—	50	95
Annual percentage of Presidential records NARA reviewed that are more than 25 years old for which NARA has declassification authority.	21	23	16	17	67	
Annual number of Federal pages reviewed (in thousands).	2,129	2,490	1,257	547	605	
Annual number of Federal pages declassified (in thousands).	807	402	340	116	35	
Annual number of Federal pages released (in thousands).	1,788	2,184	1,092	994	527	
Annual number of Presidential pages reviewed (in thousands).	322	280	154	138	449	
Annual number of Presidential pages declassified (in thousands).	219	119	71	94	94	
Annual number of Presidential pages released (in thousands).	207	182	71	94	78	
<i>Performance target for annual number of Presidential pages scanned (in thousands).</i>	300	300	600	300	300	500
Annual number of Presidential pages scanned (in thousands).	322	332	470	500	563	
Cost per page declassified (Federal & Presidential).*			\$23.44	\$24.29	TBD	

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

**Performance Data**

FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
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*after the measured fiscal year.*

**Milestones**

**FY 2004**

- Survey of those record groups that are not being reviewed by the originating agency conducted to determine which agencies have equities in the records and appropriate referrals to those agencies made.

**FY 2005**

- 50 percent of the FY 2004 baseline of NARA archival holdings of classified records 25-years-old or older are declassified, properly exempted, appropriately referred, or appropriately delayed.

**FY 2006 Projected**

- 95 percent of the FY 2004 baseline of NARA archival holdings of classified records 25-years-old or older are declassified, properly exempted, appropriately referred, or appropriately delayed.

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

**Definitions** Equity-holding agency: the agency that may have classified information in a document, whether or not it created the document. Without declassification guidelines, only the equity-holding agency can declassify information in the document.

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**Long Range Performance Target 3.6. By 2007, 10 percent of records of a two-term President or 15 percent of records of a one-term President are open and available for research at the end of the 5-year post-Presidential period specified in the Presidential Records Act.**

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**FY 06 Projected Performance**

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

**Outcome** More Presidential records are available sooner for public use.

**Significance** The Presidential Records Act (PRA) requires Presidential records to be available for the Freedom of Information Act (FOIA) requests five years after the President leaves office. Five years after the last two Presidents left office, well under 10 percent of their records had been opened, largely because of the absence, on the Presidents' departures, of NARA staff trained to accomplish the exacting reviews required under the PRA and FOIA. We must ensure that Presidential records are available in accordance with the Act in a more timely fashion.

**Means and Strategies** The increasing volume and complexity of Presidential records presents a significant challenge to NARA in the upcoming years. At the end of the Clinton Administration, NARA took legal custody of 77 million pages of Clinton classified and unclassified textual records, tens of thousands of artifacts, and more than 60 electronic systems. One of these systems alone, the Automated Records Management System (ARMS), contains 20 million e-mail records, with an estimated volume of 48 million pages. The volume of textual materials, artifacts, and electronic records increases with each Presidential administration. In addition, the rapid proliferation of electronic Presidential records vastly increases the complexity of demands on NARA staff. Experience in reviewing Clinton Administration e-mail records for special access requests has provided us with a basic understanding of these complexities.

These include the greater prevalence of privacy issues, unmarked or mismarked national security information, difficulty in conducting searches for responsive materials, and frequent intermixing of personal material with record information.

To ensure the availability of Clinton Administration records and artifacts for informational, historical, evidentiary and administrative purposes, staff trained in the requirements of the PRA and FOIA process these records and artifacts in accordance with the requirements described above. Staff also prepare inventories for Presidential and Vice Presidential records to provide basic intellectual control and assist in finding and responding to records requested in special access requests in the post-Presidential period. The inventories also assist the staff in processing the records and in responding to FOIA requests five years after the end of the administration.

When Clinton Presidential records become subject to FOIA requests in January 2006 the Clinton Library will be obligated to devote staff resources to managing the referral of classified materials to equity holding agencies in response to both FOIA and mandatory review requests. With many issues surrounding the processing of Presidential electronic records still unresolved, it is likely that considerable staff resources will be devoted to the search and review of electronic records. Equity referral and the processing of electronic records are two activities that have significant impact on the public availability of Clinton Presidential records, but these are two activities that will draw some of the Clinton Library's staff resources away from the review of traditional records.

**Key external factors** The Clinton Project has been responding to numerous special access requests from all three branches of government. These requests require comprehensive searches and production of documents for ongoing commissions, legal cases, and investigations. This continues to have a significant impact on the amount of systematic processing the Project will be able to accomplish before the records are available for FOIA review in January 2006. Preparations for the opening of the new library also affected our ability to proceed with systematic processing.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
<i>Performance target for cumulative percent of Clinton Presidential and Vice Presidential traditional records processed for opening January 20, 2006.</i>	1	3	3	5	5	6
Cumulative percent of Clinton Presidential and Vice Presidential traditional records processed for opening January 20, 2006.	1	1	1	2	3	
Cumulative cubic feet of Clinton Presidential and Vice Presidential traditional records.	28,925	28,925	37,686	39,049	34,818	
Cumulative cubic feet of Clinton Presidential and Vice Presidential traditional records processed for opening.	291	291	291	752	944	
<i>Performance target for cumulative percent of Clinton Presidential and Vice Presidential electronic records processed for opening January 20, 2006.</i>	0	0	0	0	0	0
<i>Performance target for cumulative percent of Clinton Presidential and Vice Presidential artifacts processed for opening January 20, 2006.</i>	0	0	0	0	0	0

***Milestones***

- FY 2001**
- Inventories gathered, prepared, or accessible for another 33 percent of Presidential records.
  - 100 percent of Clinton Administration Presidential and Vice Presidential records and artifacts transferred to NARA.
  - Clinton project web site developed and four digitally preserved, fully-searchable versions of the Clinton White House web site posted.
- FY 2005**
- William J. Clinton Library and Museum dedicated November 18, 2004.
- FY 2006 Projected**
- Processed Clinton Presidential and Vice Presidential records opened on January 20, 2006.
  - Clinton Presidential and Vice Presidential records subject to FOIA requests available on January 20, 2006.

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

**Definitions** Inventory: a listing of the volume, scope, and complexity of an organization's records.

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

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- FY 06 Projected Performance**
- 88 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.

**Outcome** The public gains wider access to the entire range of records on which the understanding of American history depends.

**Significance** National Historical Publications and Records Commission grants help archivists, editors, and historians nationwide broaden public access to non-Federal records, thus complementing NARA's own mission. Toward this end, the NHPRC works to ensure completion of documentary projects on America's founding era, strengthens the nation's archival infrastructure through collaboration with the states, and funds research and development on preserving and making accessible important documentary sources in electronic form.

**Means and Strategies** The Commission achieves its goals largely through a competitive grants program open to non-profit organizations, and state, local, and tribal governments. Applicants provide at least 50 percent of the total project costs. Grant applications include objectives, a budget, a work plan, and a list of products. Peer reviewers or state historical advisory boards evaluate proposals and the staff makes recommendations to the Commission. The Commission makes recommendations to the Archivist, who makes the awards. Grant recipients must submit regular narrative and financial reports and a final report with copies of products generated by the project. Commission staff monitors the projects through reporting and individual contact. Staff also monitors relevant professional reviews of the products of its grants found in professional journals and in reports to professional meetings. Staff evaluates projects at closing to determine if they have completed the project as promised. Some experimental projects do not produce expected results. In these cases, finding out what does not work may be just as valuable as finding out what does.

The Federal Financial Assistance Management Improvement Act of 1999 required the NHPRC to simplify its grant-making process, particularly by providing electronic options. In addition to simplifying our regulations and ensuring grantees easy access to grants information via our web site, we posted

NHPRC grant opportunities on *grants.gov*, and made our application packages available for online applications using the *grants.gov* portal. We have also completed a business process engineering study and pursued several internal process improvements.

**Key external factors** The NHPRC rigorously evaluates grant applications on the basis of the relevance of projects to the NHPRC's strategic objectives and the ability of applicants to produce promised results. Nonetheless, results ultimately depend on the grantees rather than on the NHPRC.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
<i>Performance target for percent of NHPRC grant-funded projects produced results promised in grant applications.</i>	84	84	85	86	87	88
Percent of NHPRC grant-funded projects that produced results promised in grant applications.	91	79	86	88	86	
Number of NHPRC-assisted projects completed.	115	104	72	96	106	
Number of NHPRC-assisted projects that produced the results promised.	105	82	62	84	91	
Number of traditional records preserved and made accessible through our grants projects (in cubic feet).	—	—	—	1,803	9,434	
Number of electronic records preserved and made accessible through our grants projects (in logical data records).	—	—	—	0	0	
Number of documentary editions published through our grants project (in volumes).	—	—	—	14	6	
Percent of NARA's grants announced on <i>Grants.gov</i> .	—	—	—	100	100	

***Milestones***

- FY 2002**
  - NHPRC grant application forms available on web site.
- FY 2003**
  - NHPRC regulations and guidance revised, streamlined, and posted on web site.
- FY 2004**
  - Grant opportunities posted on *grants.gov*.
- FY 2005**
  - Grant application packages available on *grants.gov*.
  - Business Process Reengineering study completed.
  - Validation process for internal grants management system completed.
- FY 2006 Projected**
  - Internal grants management system and system-to-system interface with *grants.gov* implemented.

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

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**STRATEGIC GOAL 4 ALL RECORDS ARE PRESERVED IN AN APPROPRIATE ENVIRONMENT FOR USE AS LONG AS NEEDED.**

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

**FY 2001 Resources Available to Meet This Goal:** \$159,044,000; 322 FTE \*  
**FY 2002 Resources Available to Meet This Goal:** \$126,361,000; 338 FTE \*  
**FY 2003 Resources Available to Meet This Goal:** \$91,319,000; 160 FTE  
**FY 2004 Resources Available to Meet This Goal:** \$63,575,000; 149 FTE  
**FY 2005 Resources Available to Meet This Goal:** \$68,345,000; 151 FTE  
**FY 2006 Resources Available to Meet This Goal:** \$67,521,000; 157 FTE

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

<b>FY 2006 Budget Linkage</b>	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
4.1. By 2009, 100 percent of NARA’s archival holdings are in appropriate space.	✓			✓				✓
4.2. By 2009, 100 percent of NARA records centers comply with the October 2009 regulatory storage standards.					✓			
4.3. By 2007, 50 percent of NARA’s at-risk archival holdings are appropriately treated or housed so as to retard further deterioration.	✓							

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**Long Range Performance Target 4.1. By 2009, 100 percent of NARA’s archival holdings are in appropriate space.**

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- FY 06 Projected Performance**
- Study alternatives for location of a new Southwest Regional Archives facility.
  - Study alternatives for a location for a new Central Plains Regional Archives facility.
  - Accept final design of Pacific Alaska Regional Archives and Records Center.
  - Identify specific holdings within NARA to be transferred to the

new National Personnel Records Center.

- Complete certification of existing Nixon Library building.
- Transfer of Nixon artifact holdings from Laguna Niguel, CA, and College Park, MD, to Nixon Library in Yorba Linda, CA.
- Complete 50 percent of the design of Roosevelt Library renovation.
- Complete design of Kennedy Library renovation and expansion.

**Outcome** Archival records are preserved for public use.

**Significance** Providing appropriate physical and environmental storage conditions are the most cost-effective means to ensure records preservation. We greatly increase the chances of records being available for use by Federal officials and the public for as long as needed. In addition, for the first time in America's history, all the Charters of Freedom are fully accessible to the public and their continued preservation is ensured.

**Means and Strategies** While our state-of-the-art facility in College Park, Maryland, and the renovated National Archives Building in Washington, DC, provide appropriate storage conditions for the archival headquarters records of most Federal agencies, as well as modern records of national interest, many of our other facilities require environmental and storage improvements. Several of our regional facilities have severe quality problems, including backlogs of needed repairs and renovations and in some cases removal from their current location to better space is required. Existing Presidential libraries need upgrades in environmental conditions and several need additional storage space.

In our regions, in FY 2006, we are focusing on two facilities with terminated leases—Fort Worth and Kansas City. By the end of 2007, NARA will need to relocate the regional archives operations in Fort Worth, Texas (Southwest Region) and Kansas City, Missouri (Central Plains Region). The General Services Administration (GSA) is terminating the leases for both substandard facilities, located in Federal warehouse depots. To meet archival storage standards and provide appropriate, secure public access to archival services, NARA will move some of the displaced records to an archival-quality bay in the Southwest Regional Records Center and other subterranean storage facilities operated by the Federal Records Center Program that are designed especially to meet archival requirements at low cost. We will study alternatives for siting separate public-use facilities in Fort Worth and Kansas City that are strategically located to provide easy access to NARA's programs and resources by researchers, teachers, students, and the general public that we serve.

In Anchorage, site preparation activities for a new Pacific Alaska Regional Archives and Records Center were completed in FY 2005. Our existing regional archives in Anchorage does not meet storage standards for the preservation of archival records and it cannot be renovated and expanded sufficiently to accommodate the volume of records that need to be transferred from the custody of Federal agencies in Alaska. A new facility allows us to bring together the Federal records now scattered among these Federal agencies, ensure the preservation of these critically important records, and provide public access to the

rich story they tell about Alaska and its unique history. We expect to accept a final design for the Pacific Alaska Regional Archives and Records Center in FY 2006.

The National Personnel Records Center (NPRC), the largest NARA operation outside the Washington, DC, area with over 4 million cubic feet of records, needs a new integrated facility to replace current facilities that do not meet our storage standards for record center and archival records. Military Personnel Records (MPR), Civilian Personnel Records (CPR), and the Dielman Archival Annex contain numerous facility problems that cannot be corrected in a cost effective manner. The problems include inadequate temperature and humidity controls and particle and gaseous filtration, and antiquated designs that are not conducive to efficient storage or retrieval of records. Replacement facilities within the St. Louis metropolitan area that meet the specific storage requirements for all military and civilian records are needed. Toward this goal, NARA completed a requirements study that identified storage space needs for new facilities to house over 4.2 million cubic feet of records. This includes all current NPRC holdings. Staff is developing a project plan to prepare the Official Military Personnel File (OMPF) collection for the move and to carry out the move itself. The comprehensive move plan will identify all required actions to move the records from their current location when a new facility is ready.

In our Presidential libraries, in FY 2006, we are focusing on two libraries with the most pressing space and storage issues, the Roosevelt and Kennedy Libraries, and on bringing the Nixon Library into the Presidential Library system managed by NARA. The aging Franklin D. Roosevelt Library needs more storage space and improved environmental conditions for its collections. It does not have adequate or appropriate space for staff members or researchers, and its aging exhibits, inaccessible to the visually or hearing impaired, lack appropriate environmental controls. The renovated facility will provide environmentally appropriate, safe and secure space for the long-term care of archival and artifact collections. Additionally, the renovated space will improve conditions for the staff, researchers, and visitors and help maximize their productivity and enjoyment of the structure as a place for work and research. The John F. Kennedy Library does not have sufficient space to appropriately store and preserve its large collection of materials. By the end of FY 2006 we will complete the design. The project will provide a comprehensive solution to the library's space problems and program needs.

As a result of the legislation that allows for the creation of a Federally-operated Richard M. Nixon Library, the Richard M. Nixon Birthplace and Library Foundation has undertaken a project to renovate the existing Nixon Library in Yorba Linda, California. The renovation will be completed in FY 2006. Also in FY 2006, we will forward to Congress a proposal for the acceptance of the Richard M. Nixon Library that will include detailed information about further improvements to the facility that will be necessary before the archival Presidential materials currently stored in College Park, Maryland, can be transferred. Following congressional acceptance of the proposal and completion of renovations in the existing library facility, we will begin transferring materials from College Park and from our facility in Laguna Niguel, California, to Yorba Linda. This first phase of the move will transfer artifact holdings. An addition to the existing facility will include needed archival storage space that complies with our standards. The new Nixon Library will house the records of President Nixon now spread among two of our facilities and the currently private Nixon Library. Creation of a Federally-operated Nixon Library will allow us to advance public access to materials of the highest historical significance, streamline existing archival and museum activities by combining operations in one location, and preserve these invaluable historical resources in appropriate and secure space.

We are continuing to monitor development of HSPD-12 standards and will ensure these are incorporated

into the contract requirements for a new physical access control system at the National Archives at College Park. The contract for installation will be awarded in FY 2006. In addition, we will include these security standards in all new buildings.

**Key external factors** Public, White House, and Congressional support for our space planning activities is vital to develop and implement proposed plans.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
Percent of NARA archival holdings in appropriate space	—	52	53	
Number of archival traditional holdings (in thousands of cubic feet)	3,025	3,100	3,166	
Percent of artifact holdings in appropriate space	—	42	42	
Number of artifact holdings (in thousands)	528	540	543	
Percent of electronic holdings in appropriate space	—	100	100	
Number of electronic holdings in appropriate space (in millions of logical data records)	4,743	5,629	8,108	
Cost of archival storage space per cubic feet of traditional holdings stored	—	\$6.11	\$6.48	

***Milestones***

**FY 2001**

- Final design for the renovation of the National Archives Building completed.
- Fabrication of seven encasements completed.
- Page three of the Constitution re-encased.
- Draft environmental assessment for Southeast Regional Archives and 35 percent design completed.
- Move of archival records from the Washington National Records Center to the National Archives at College Park completed.
- Construction contract for the renovation of the National Archives Building awarded.
- Two pre-renovation construction projects in the National Archives Building completed:
  - Construction of moat offices completed.
  - Demolition of shelving and steel decks on six floors completed.
- Records from White House moved to temporary facility for Clinton Presidential Materials Project.
- Construction at the Truman Library completed.
- Design for museum renovations at the Eisenhower Library completed.
- Design for the Roosevelt Library visitor center completed.

**FY 2002**

- Murals from the National Archives Building Rotunda removed for conservation.
- Pages one and four of the Constitution re-encased.
- New concrete floors on tiers 3 and 5 of the National Archives Building completed.
- Installation of new cooling towers at the National Archives Building completed.
- Facility standards for archival facilities published.
- All renovation construction except for cold storage room at Eisenhower Library completed.
- Construction contract for Roosevelt Library Visitors Center awarded.
- Design for Reagan Library museum renovation and addition completed and construction contract awarded.
- Design for Ford museum renovation and addition completed and construction contract awarded.
- Design for Kennedy Library plaza and seawall repair project completed.
- Design work for Southeast Regional Archives 99 percent completed.

**FY 2003**

- Restoration and preservation of the Rotunda murals completed and murals reinstalled.
- Conservation work completed and Charters of Freedom redisplayed in the Rotunda.

- Renovation modifications in the Rotunda completed, except for resolving a quality problem with the decorative bronze ornamentation on the display cases.
- Construction of new microfilm research room, research center, and library in the National Archives Building completed.
- Installation of two new chillers for HVAC supply completed and construction of new steam tunnel along Constitution Avenue completed.
- Cold storage room completed and renovated Presidential Gallery at Eisenhower Library opened.
- Construction of Roosevelt Library Visitors Center 86 percent complete.
- Phase 1 of renovation and addition project at Ford Museum completed.
- Kennedy Library plaza and seawall repair project completed.
- 60 percent completion of renovation and addition to the Reagan Library reached.
- Construction contract awarded for the Southeast Regional Archives.

**FY 2004**

- Renovation of the National Archives Building 95 percent completed.
- Renovation and expansion of the Reagan Library completed.
- Renovation and expansion of the Ford Museum completed.
- Construction of Roosevelt Library Visitors Center completed.
- Move of Clinton Presidential Materials Project to new library facility completed.
- Land for Pacific Alaska Regional Archives acquired.
- Study of digitization and facility storage options for long-term preservation of military service records completed.
- 75 percent of the construction of the Southeast Regional Archives completed.

**FY 2005**

- Renovation of the National Archives Building completed.
- Site preparation for Pacific Alaska Regional Archives and Records Center completed.
- Clinton Presidential Library opened.
- Construction of the Southeast Regional Archives completed.
- Move plan for military personnel records in St. Louis completed.

**FY 2006 Projected**

- Physical access control system at the National Archives at College Park upgraded.
- Alternatives for location of a new Southwest Regional Archives facility studied.
- Alternatives for location of a new Central Plains Regional Archives facility studied.
- Final design of Pacific Alaska Regional Archives and Records Center accepted.
- Specific holdings within NARA to be transferred to the new National Personnel Records Center identified.
- Existing Nixon Library building certified.
- Nixon artifact holdings from Laguna Niguel, California, and College Park, Maryland, transferred to Nixon Library in Yorba Linda, California.
- 50 percent of the design of Roosevelt Library renovation completed.
- Design of Kennedy Library renovation and expansion completed.

**Data source** Quarterly performance reports to the Archivist.

**Definitions** Appropriate space: storage areas that meet physical and environmental standards for the type of materials stored there. Accession: archival materials whose legal custody is transferred to NARA.

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**Long Range Performance Target 4.2. By 2009, 100 percent of NARA records centers comply with the October 2009 regulatory storage standards.**

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**FY 06 Projected Performance**

- Complete move into new records center facility in Atlanta.

- Complete move into new records center facility in Riverside, California.

**Outcome** Agency records are preserved for as long as needed.

**Significance** Providing appropriate physical and environmental storage conditions is the most cost-effective means to ensure records preservation. By doing so, we greatly increase the chances of records being available for use by Federal officials and the public for as long as needed.

**Means and Strategies** We issued revised standards to safeguard Federal records in records centers and other records storage facilities. These standards help ensure Federal records are protected whether they are stored by NARA, another Federal agency, or the private sector.

We assist other Federal agencies in bringing their facilities under regulatory storage compliance with advice and, if necessary, by inspecting the storage facilities. Examples include Department of Veteran’s Affairs, Department of Energy, U.S. Customs and Border Protection, Central Intelligence Agency, Library of Congress, and the Copyright Office. We are working with GSA to develop an Energy Saving Operating Plan for the Washington National Records Center that will allow us to upgrade our HVAC systems to meet new standards while paying for the systems through utility cost savings.

In Fort Worth, GSA has notified NARA that the building housing records center storage for the Fort Worth area should be vacated by the end of FY 2007. In 2004, we developed facility lease requirements for a new records center, and in FY 2005 we solicited for and selected a developer to build the new facility. We will move staff and records from their present location to the new facility beginning in FY 2007.

**Key external factors** Agencies may choose to store records in non-NARA-controlled facilities.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
Percent of NARA records center facilities certified as meeting the 2009 regulatory storage standards	—	—	—	0	9	
Volume of records center holdings (cubic feet in millions).	22.6	23.1	23.2	24.1	24.5	
Storage price per cubic foot for records center holdings.	\$1.96	\$2.00	\$2.10	\$2.16	\$2.16	

***Milestones***

**FY 2002**

- New records center storage bay in Lee's Summit and in Dayton completed.

**FY 2003**

- Buildout of three new records center storage bays in Dayton completed.
- Additional records center storage space in the Kansas City area acquired.
- Solicitation for Offer and Lease Agreement for a facility to replace the records center in Atlanta executed.
- Market survey of potential records center space in St. Louis area completed.
- Market survey of potential records center space in Southern California area completed.

- FY 2004**
- Repair or relocation plans for bringing NARA records centers into compliance with regulatory storage standards developed.
  - Shelving completed and moved into new records center facility in Dayton.
  - Records center facility at Lenexa expanded and moved records into facility.
  - Solicitation for Offer and Lease Agreement for a facility in Southern California to replace the Laguna Niguel records center completed.
  - Buildout of three replacement records center bays in Atlanta completed.
  - Construction of a new records center facility in Atlanta to replace East Point records center completed.
  - Bluegrass Annex in Philadelphia closed.
- FY 2005**
- Birmingham, AL Annex closed.
  - Palmetto, GA Annex closed.
  - Fort Worth Building 5 Annex closed.
  - Denver, CO Annex closed.
  - Energy Saving Operating Plan for the Washington National Records Center developed with GSA.
  - Lease agreement to construct a records center storage facility in Fort Worth completed.
- FY 2006 Projected**
- Move into new records center facility in Atlanta completed.
  - East Point records center closed.
  - Move into new records center facility in Riverside, CA, completed.

**Data source** Quarterly performance reports to the Archivist.

**Definitions** Appropriate space: storage areas that meet physical and environmental standards for the type of materials stored there.

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**Long Range Performance Target 4.3. By 2007, 50 percent of NARA’s at-risk archival holdings are appropriately treated or are housed so as to retard further deterioration.**

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- FY 06 Projected Performance**
- Appropriately treat or house 33 percent of NARA’s at-risk archival holdings so as to retard further deterioration.
  - Inventory and rehouse an additional 30 percent of OMPFs.

**Outcome** At-risk records are preserved for public use.

**Significance** Providing public access to records for as long as needed requires that we assess the preservation needs of the records, provide storage that retards deterioration, and treat or duplicate and reformat records at high risk for deterioration.

**Means and Strategies** We must preserve paper records and motion pictures, audio recordings, videotapes, still photography, aerial photography, microfilm and other microforms, and maps and charts in a variety of formats in our holdings. To ensure that we meet our strategic goal to preserve our holdings in an appropriate environment for use as long as needed, we continue to work to appropriately treat or house at-risk acetate-based still photography, audio recordings, and motion pictures, and records documenting the service of American’s veterans.

At our National Personnel Records Center (NPRC) in St. Louis the records of the service of our 20th-century military veterans require immediate preservation attention. These records comprise more than 3 billion pages in 1.5 million cubic feet of space, and represent the records of more than 56 million service men and women since 1885. Simultaneous to our study of the options for housing the Official Military Personnel Files (OMPFs) and in anticipation of moving the collection, NARA conducted a comprehensive physical needs assessment of the collection during 2003. We learned that 85 percent of the OMPFs contain paper-based formats that are unstable, meaning they deteriorate quickly, and more than 30 other types of media or information formats were discovered during the survey, including metal dog tags, hair samples, blood strips, rifle targets, and plastic ID cards. Eighty percent of the files have some type of damage, such as tears, embrittlement, burns, mold, and folding. As a result, reformatting these records to ensure their long-term preservation is a massive challenge, and getting them relocated into a properly controlled environment is an essential, cost-effective first step.

In FY 2005, work focused on addressing the accessibility and archival storage needs of the oldest, most fragile records. These records, representing slightly more than one percent of the files in the collection, date back to 1885 and contain data about Navy and Marine Corps enlisted personnel who served prior to World War II. With the accessioning of these first 20,000 cubic feet of records in 2004, NARA's archival holdings at St. Louis will gradually expand to include significant volumes of OMPFs and related records.

**Key external factors** Unusually large increases in new at-risk records, such as the recent accessioning of OMPFs, increases in cost of leasing cold storage space, and growing or shifting public demands for the use of at-risk records could delay achievement of performance objectives. Limitations on the availability of appropriate cold storage facilities and commercial treatment labs affect our ability to address audiovisual holdings' requirements.

In FY 2005 we conducted major surveys to determine the overall condition of our holdings. During FY 2005 we have also entered additional records into our at risk databases, significantly increasing our at risk backlog. Due to the significant increase in the identified backlog, NARA will be unable to meet previous long term goals as specified in the Strategic Plan. As our assessment work continues, the backlog will increase further. With a new backlog identified we have set goals that, if met, will result in significant volumes of at-risk holdings treated in the next two years.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
<i>Performance target for percent of cumulative backlog ever treated.</i>	30	32	36	40	43	33
Percent of cumulative backlog ever treated.	28	32	35	41	47	
Start-of-year backlog volume of at-risk archival holdings (thousands of cubic feet)	197	174	188	180	174	
Volume of at-risk archival holdings that received conservation treatment this year (thousands of cubic feet)	26	11	17	18	29	
Cumulative volume of at-risk archival holdings in cold storage (thousands of cubic feet).	63	67	74	80	86	
Percent of start-of-year remaining backlog treated this year.	16	7	9	10	17	
<i>Performance target for cumulative percent of OMPFs inventoried and rehoused.</i>	—	—	—	—	8	35
Cumulative percent of OMPFs inventoried and					5	

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
rehoused						

**Milestones**

**FY 2001**

- 100 percent of acetate-based records in the Washington, DC, area transferred to cold storage.
- 15 people hired for the preservation staff at NPRC.
- All 14,500 reels of Air Force Flight Records microfilm at NPRC duplicated.
- 267 cubic feet of Final Pay Vouchers and Payrolls for a reformatting contract at NPRC prepared.

**FY 2002**

- Microfilm operation for reformatting Final Pay Vouchers and Payrolls at NPRC implemented.
- Total of 1,118 cubic feet of Final Pay Vouchers and Payrolls prepared for reformatting at NPRC.

**FY 2003**

- Risk assessment of OMPFs performed.

**FY 2004**

- Analysis of OMPF risk assessment completed.
- 4 staff hired to prepare move preparation plan and actual move plan for OMPFs.
- OMPF move preparation plan completed.

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

**Definitions** 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 technology.

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**STRATEGIC GOAL 5 NARA STRATEGICALLY MANAGES AND ALIGNS STAFF, TECHNOLOGY, AND PROCESSES TO ACHIEVE OUR MISSION.**

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- Long Range Performance Targets**
- 5.1. By 2008, the average time a leadership position remains unfilled is 30 days or less.
  - 5.2. By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.
  - 5.3. By 2007, NARA accepts 100 percent of the validated legal documents submitted electronically for publication in the *Federal Register*.
  - 5.4. By 2008, all public network applications are available 99.9 percent of the time.

**FY 2003 Resources Available to Meet This Goal:** \$29,587,000; 127 FTE  
**FY 2004 Resources Available to Meet This Goal:** \$33,563,000; 129 FTE  
**FY 2005 Resources Available to Meet This Goal:** \$32,954,000; 122 FTE  
**FY 2006 Resources Available to Meet This Goal:** \$37,575,000; 122 FTE

<b>FY 2006 Budget Linkage</b>	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
5.1. By 2008, the average time a leadership position remains unfilled is 30 days or less.	✓	✓			✓			
5.2. By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.	✓	✓			✓			
5.3. By 2007, NARA will accept 100 percent of the validated legal documents submitted electronically for publication in the <i>Federal Register</i> .		✓						
5.4. By 2008, all public network applications are available 99.9 percent of the time.	✓	✓			✓			

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**Long Range Performance Target 5.1. By 2008, the average time a leadership position remains unfilled is 30 days or less.**

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- FY 2006 Projected Performance**
- Expand management trainee program to additional NARA records centers.
  - Fill leadership positions in an average time of 70 days or less.
  - Create a workforce planning process that enables managers to better plan recruiting for leadership and other positions.
  - Maintain 95 percent of staff development plans linked to strategic outcomes.
  - Maintain 95 percent of employee performance plans linked to strategic outcomes.

**Outcome** The public perceives no decline in NARA programs and services due to turnover in leadership positions.

**Significance** To ensure we can achieve our mission and strategic goals we must be able to recruit, retain, and develop high-performing staff for key leadership positions.

**Means and Strategies** Having the internal staff capabilities to carry out the strategies in our Strategic Plan is vital to the success of the plan and the achievement of our mission. Like other Federal agencies, NARA is facing significant turnover in senior leadership and loss of specialized expertise over the next several years. To ensure that this personnel change does not create a debilitating “brain drain” we must implement mechanisms to attract, develop, and nurture new agency leaders at all levels. To do this, we have created an agency leadership competency model, and management development curricula based on the competencies has been offered since FY 2003. We will also create a succession planning process for senior levels and critical positions, create management development programs to meet specific office needs, leverage the individual development plan process to grow new leaders, and include employee development as an element in all senior manager performance plans.

In FY 2004, we launched a new initiative to develop the next generation of records center managers throughout NARA’s Federal Records Center Program. The management intern program is a three-year program for selected interns, providing them with training, increasingly complex work assignments in a variety of records center positions, a rotation through other NARA operations, and assignment to special projects. Throughout this program, interns are closely mentored by other NARA professionals. The program rolled out to four records centers in FY 2004, expanded to two more in FY 2005, and additional centers may be added in FY 2006.

We will place special emphasis on leadership in the context of our records lifecycle and electronic records business transformation effort. As NARA's business transforms, our staff must also transform. Based on the results of our FY 2005 organizational impact assessment, we will begin in FY 2006 to examine our

current organizational structures to determine whether or not they are sufficient to support the work of the agency moving forward. Should we find that existing structures are insufficient, we will consider alternative organizational structures and develop, in consultation with NARA staff and the labor union, detailed reorganization plans and timeframes for implementation. As workflows and organizational structures are finalized, we will also analyze position structures both within and across organizational units to determine whether the positions we have today are the positions we need for tomorrow. As a result of this multi-year effort, we will be able to develop new competency models and performance standards for positions undergoing change, assess the competencies of existing staff and conduct gap analyses, and develop both short- and long-term strategies to bridge those gaps.

One of the 24 e-Government initiatives designed to support the President's Management Agenda (PMA) is OPM's Enterprise Human Resources Integration (EHRI) which will support human resources management across the Federal government at all levels from front-line employee to senior management. When fully implemented, EHRI will replace the current Official Personnel Folder (OPF) with an electronic Official Personnel File (eOPF). The purpose of the eOPF is the same as the paper Official Personnel Folder: to document the employment history of individuals employed by the Federal government. The eOPF provides the ability to capture and store images from paper-based records and to provide immediate online access and printed copies of any digital form. In FY 2006, we will select a vendor to convert NARA OPFs to eOPFs.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
<i>Performance target for average time (in calendar days) to fill a leadership position</i>	—	—	—	80	70
<i>Average time (in calendar days) to fill a leadership position</i>	—	—	90	83	
<i>Performance target for percent of staff having performance plans that link to strategic outcomes</i>	95	95	95	95	95
<i>Percent of staff having performance plans that link to strategic outcomes.</i>	80	93	91	92	
<i>Number of staff having performance plans that link to strategic outcomes.</i>	2,497	2,884	2,826	2,843	
<i>Performance target for percent of permanent staff having staff development plans that link to strategic outcomes.</i>	50	95	95	95	95
<i>Percent of permanent staff having staff development plans that link to strategic outcomes.</i>	1	91	52	78	
<i>Number of permanent staff having staff development plans that link to strategic outcomes.</i>	7	2,435	1,401	2,073	
<i>Number of permanent staff.</i>	2,733	2,682	2,704	2,671	

***Milestones***

- FY 2001**
  - Written guidance on linking employee performance plans to Strategic Plan issued.
- FY 2004**
  - Project plan for redesigning NARA's existing recruiting strategies and procedures developed.
  - Leadership competency model developed.
  - Management trainee program implemented in 4 records centers.
- FY 2005**
  - Management trainee program expanded to two more records centers.
  - Pilot course on interview skills and techniques completed.
  - System for tracking and monitoring the timeliness of recruitment actions revised.
  - Supervisors' performance plans revised to establish accountability for timely recruiting and

selection.

**FY 2006 Projected**

- Management trainee program expanded to additional records centers.
- Workforce planning process that enables managers to better plan recruiting for leadership and other positions created.
- Organizational impact study conducted to consider changes to organizational structure and training needs as a result of long-range improvements to NARA workflows (see 1.3).
- Vendor to convert eOPFs selected.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist. Targets for maintaining staff performance plans and development plans linked to strategic outcomes take into account personnel changes that routinely occur, during which personnel may not have updated plans that relate to their new duties. Because of continuous personnel changes there will always be less than 100 percent linkage.

**Definitions** Staff development plan: an individualized plan to enhance employees knowledge, skills, and abilities, and to improve performance in their current jobs or of duties outside their current jobs in response to organizational needs and human resource plans. Leadership position: a supervisory position at grade GS-13 or above and non-supervisory positions at grade 15 or above.

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

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**FY 06 Projected Performance**

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

**Outcome** NARA customer service to all segments of American society improves because the workforce mirrors the society we serve.

**Significance** A diverse workforce enhances our agency by ensuring that we can draw on the widest possible variety of viewpoints and experiences to improve the planning and actions we undertake to achieve our mission and goals. By promoting and valuing workforce diversity, we create a work setting where these varied experiences contribute to a more efficient and dynamic organization and employees can develop to their full potential.

**Means and Strategies** We are focusing on improving our performance in hiring and promoting people in underrepresented groups by continuing our efforts to expand recruiting techniques, collecting and analyzing pertinent personnel management data, and implementing staff development programs.

**Key external factors** Achievement of this target depends on qualified people in underrepresented groups applying for positions at NARA.

**Verification and Validation**

*Performance Data*

FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
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<b>Performance Data</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
<i>Performance target for percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.</i>	64	75	79	90	93	96
Percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.	74	85	89	92	95	
Number of applicants for positions at grades GS-13 and above.	—	1,779	1,177	1,783	1,570	
Number of applicant pools for positions at grades GS-13 and above.	53	101	85	143	131	
Number of pools for positions in grades GS-13 and above that had self-identified applicants in protected classes.	39	79	76	132	124	
<i>Percent of Civilian Labor Force rate used to determine if underrepresented groups met employment target.</i>	50	60	65	70	80	90
Underrepresented groups of employees meeting target (checkmark indicates target met or exceeded)						
—Women	✓	✓	✓	✓	✓	
—Black	✓	✓	✓	✓	✓	
—Latino-Hispanic						
—Asian American/Pacific Islander	✓	✓	✓	✓		
—American Indian/Alaskan Native		✓	✓	✓		
—Targeted disability	✓	✓	✓	✓	✓	

**Data source** Performance Measurement and Reporting System and semi-annual reports to the Archivist.

**Definitions** Applicant: anyone who has applied for a specific position; Underrepresented groups: groups of people tracked by the U.S. Equal Employment Opportunity Commission: Minority groups (Black, Latino-Hispanic, Asian/Pacific Islander, and American Indian/Alaskan Native); Women; People with Disabilities.

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**Long Range Performance Target 5.3. By 2007, NARA will accept 100 percent of the validated legal documents submitted electronically for publication in the *Federal Register*.**

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- FY 06 Projected Performance**
- Accept validated legal documents submitted electronically for publication in the *Federal Register* from all agencies.
  - Manage 75 percent of all *Federal Register* documents electronically using eDOCS.

**Outcome** Publication of documents in the *Federal Register* is easier and more cost-effective for Federal agencies, and the public can obtain these documents easier and faster.

**Significance** We publish the *Federal Register*, the *Code of Federal Regulations*, and related publications, which contain information essential to the life, health, safety, and defense of the citizens of the United States and of our businesses, legal system, and Government. Informing citizens of their rights and legal responsibilities is one of our critical ongoing responsibilities.

**Means and Strategies** Technological developments in the publishing world have expanded publication options available for *Federal Register* materials, while developments in consumer technology have increased the number and the availability of public access points to published materials. Meanwhile,

Federal agencies have rapidly increased their ability to operate in an electronic information environment. The resulting possibilities for enormously increased access and for significantly improved operational efficiencies demand that taxpayer-financed publishing systems, like the *Federal Register* system, incorporate the new technologies. As online *Federal Register* publications assume primacy among available formats, surveys show that users are demanding that we employ the capabilities of new technologies to provide more frequent revisions of the *Code of Federal Regulations* (CFR) and better reference tools for using the publications. Federal agencies that submit documents for publication also want us to permit the electronic submission of documents. And the Government Paperwork Elimination Act requires agencies to develop the capacity for electronic commerce.

In FY 2003 we completed testing and accepted for deployment our new electronic editing and publishing system, eDOCS. In partnership with other agencies involved in the Administration's online rulemaking initiative, we also provided an online means (at *regulations.gov*) for the public to have access to, and provide comments on, all rules and proposed rules published in the *Federal Register* and open for public comment, a first step toward electronically integrating the various stages of the rulemaking lifecycle. In FY 2004, we began a phased deployment of eDOCS into our production processes to produce the daily *Federal Register*. We are currently accepting electronic, digitally signed *Federal Register* document submissions using Certificate Authorities that are cross-certified by the public key infrastructure. Also in FY 2005, we completed a reconfiguration of eDOCS to improve performance. In FY 2006 we will continue to improve and enhance the new system and rollout the e-commerce functionality of eDOCS to more agencies. We also will continue to participate in the development of online rulemaking and interagency process integration. These efforts presume that we continue our successful partnership with the Government Printing Office (GPO) and involve GPO officials in planning the ongoing use of the eDOCS system.

**Key external factors** We do not control the volume of work for which we are responsible or the timing of submissions. We do not print or distribute our publications, and we depend on GPO to provide common hardware and software for publishing. GPO also controls the process by which our publications are put online on GPO Access. Significant changes in our workload would occur if support from GPO were decreased or withdrawn. The decisions of EPA, as the lead partner in the online rulemaking initiative, have a significant impact on the creation of *Federal Register* document templates and the architecture of the *regulations.gov* web site. Successful government-wide electronic commerce remains dependent upon the resolution of issues surrounding government-wide digital signature standards and an electronic public key infrastructure.

**Verification and Validation**

<i>Performance Data</i>	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
<i>Performance target for percent of documents Federal Register manages electronically using eDOCS.</i>	—	—	—	—	50	75
Percent of documents <i>Federal Register</i> manages electronically using eDOCS.	—	—	—	9	22	
Number of documents NARA manages electronically using eDOCS.	—	—	—	3,032	7,066	
Number of documents published in the <i>Federal Register</i> .	32,036	33,055	32,066	32,417	32,429	
Number of documents submitted for publication electronically.	—	—	—	3,032	4,142	

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
Percent of documents submitted for publication electronically.	—	—	—	9	13	
Number of public inspection documents available to the public electronically.	—	—	—	3,032	9,173	
Number of official <i>Federal Register</i> documents retrieved online (in millions)	163	150	160	208	142	
Number of rulemakings open for comment successfully retrieved at <i>regulations.gov</i> (in thousands).	—	—	371	240	849	

#### *Milestones*

- FY 2001**
- Study completed and design and cost estimates delivered. Statement of work prepared for Phase II, installation and testing of electronic editing and publishing system.
- FY 2002**
- Contractor efforts to build, install, and test an electronic editing and publishing system 75 percent complete.
- FY 2003**
- Testing and acceptance of electronic editing and publishing system completed.
  - *Regulations.gov* launched.
- FY 2004**
- eDOCS deployed into *Federal Register* production.
  - Validated legal documents submitted electronically for publication in the *Federal Register* from 3 agencies accepted.
- FY 2005**
- Validated legal documents submitted electronically for publication in the *Federal Register* from 15 agencies accepted.
- FY 2006 Projected**
- Validated legal documents submitted electronically for publication in the *Federal Register* from all agencies accepted.
  - Continuity of Operations Plan (COOP) for NARA to establish appropriate alternate sites for publication of *Federal Register* developed.

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

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### **Long Range Performance Target 5.4. By 2008, all public network applications are available 99.9 percent of the time.**

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- FY 06 Projected Performance**
- Public network applications are available 98 percent of the time.
  - Upgrade physical security of NARA's computer infrastructure at remaining NARA locations.

**Outcome** NARA information and services are accessible to the public 24 hours a day.

**Significance** Dramatic increases in computer interconnectivity, especially in the use of the Internet, continue to revolutionize the way our Government, our nation, and much of the world communicate and conduct business. Our customers expect information and services to be available when they need them. However, this widespread interconnectivity poses significant risks to the Government's computer systems and the critical operations they support. The speed and accessibility, as well as the other enormous

benefits of the computer age, if not properly controlled, allow individuals and organizations to interfere with critical operations for mischievous or malicious purposes. Reliable performance and security of our public network applications is essential to ensuring that customer expectations for access to our information and services can be met. In addition to supporting public network applications, successful implementation and deployment of many NARA initiatives, including ERA, is dependent upon a robust, reliable, stable, scalable, and high performance technology infrastructure.

**Means and Strategies** NARA's fundamental strategic business goal as the national record keeper is to preserve and provide access to the records that document what the government does. NARA's Enterprise Architecture (EA) is an information technology blueprint that specifies how NARA will use information technology (IT) to support its strategic business goal. NARA needs to enforce the governance process related to its EA. It is the enforcement of the EA governance that will allow NARA to hold all IT projects accountable for EA compliance and alignment with the Federal Enterprise Architecture. With funding in FY 2003, we developed an initial release of the EA that reflected the agency's first attempt at consolidating IT information and establishing the EA documentation set. In FY 2004 we focused on EA process improvement, IT security, IT operations, and the sequencing plan (which is a prioritized list for developing IT solutions). Although progress has been made over the past few years, there are some gaps that have been identified as a result of GAO and OMB assessments and the agency-wide review of the EA work products over the last two years.

The authenticity and reliability of our electronic records and information technology systems are only as good as our IT security infrastructure. We must ensure the security of our data and our systems or we risk undermining our agency's credibility and ability to carry out our mission and the Government's ability to document the results of and accountability for its programs. IT security becomes even more critical as we increase our visibility through the implementation of electronic government initiatives that expand online services to the public. The more we increase electronic access to our services and records, the more vulnerable we potentially are to intrusions, viruses, privacy violations, fraud, and other abuses of our systems.

In FY 2003 we began the work to build and sustain an ongoing, comprehensive IT security program that will ensure the integrity and safety of our data and systems. Today, IT security is an integral part of the architectural review process for all new project designs, NARA information systems are undergoing risk assessments and security certification so that they can be formally accredited for operation on the NARA network, and we have implemented a continuing security awareness and training program for employees. In FY 2004, we enhanced perimeter defenses, access control, remote access, incident response capability, and system security configurations, and updated them to be consistent with revised National Institute of Standards and Technology (NIST) guidelines. We refined our information system risk assessments and certifications and established an IT Security Risk Management Plan. In FY 2005 our security program was enhanced by the update of NARA 804, Information Technology (IT) Systems Security, and the inclusion of the Security Architecture component in the Enterprise Architecture. The program was also strengthened by the creation of IT governance boards which provide strong support for configuration management of IT systems that are in production and under development. Standardized configurations were adopted for a number of key operating systems, and network monitoring was enhanced through the deployment of an Intrusion Detection System. Classified IT systems were brought under centralized management control and NARA produced and tested a Disaster Recovery Plan. IT security will be a continuing priority in the foreseeable future as we rely more and more on our IT infrastructure to provide

services to the public. It will also continue to receive close oversight by our Inspector General and their auditors.

**Key external factors** Constantly evolving hardware and software changes make it difficult to accommodate growth while ensuring the minimum performance levels on existing systems. In addition to technical hurdles NARA faces in providing reliable support and services, new opportunities for strengthening the IT infrastructure from a security perspective may be introduced, which can affect the entire enterprise architecture.

**Verification and Validation**

<i>Performance Data</i>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
Percent of public network availability.	99.9	99.9	99.9	100	99.9	
<i>Performance target for percent availability of public applications</i>				96.5	97	98.9
Percent of public network applications availability	—	—	—	98.7	98.9	
Number of total hours that any public network application was unavailable	—	—	—	1,047	923	
Number of network users for public applications (in millions)	—	—	—	4.4	6.6	
Cost per network user for public applications	—	—	—	\$0.29	\$0.24	

***Milestones***

**FY 2002**

- Use of an agency-wide data model in the development of IT systems implemented.
- 10 percent of the NARA information systems for operation on our network certified secure and accredited.
- Requirements for an enterprise repository for NARA’s agency-wide data model and associated IT documentation developed.
- New phone system in College Park and the *Federal Register*, part of a larger telecommunications upgrade throughout NARA’s facilities, installed.

**FY 2003**

- 96 percent of the NARA information systems for operation on our network certified secure and accredited.
- Prototype of an enterprise repository for NARA's Enterprise Architecture and associated IT documentation substantially developed.
- Telecommunications upgrades continued for NARA locations outside of College Park and the *Federal Register*.

**FY 2004**

- Enterprise repository for NARA's Enterprise Architecture and associated IT documentation piloted.
- Improved agency-wide disaster recovery processes and mechanisms implemented.
- Telecommunications upgrade complete except for Atlanta and Archives I.

**FY 2005**

- Physical security of NARA’s computer infrastructure at 50 percent of NARA locations upgraded.
- Enterprise repository for NARA's Enterprise Architecture and associated IT documentation implemented.
- Development of an enterprise-wide disaster recovery plan and an enterprise-wide continuity of operations plan completed.

**FY 2006 Projected**

- Physical security of NARA’s computer infrastructure at remaining NARA locations upgraded.

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

NARANET: a collection of local area networks installed in 34 NARA facilities that are connected to a wide area network at Archives II, using frame relay telecommunications, and then to the Internet. NARANET includes personal computers with a standardized suite of software. NARANET was designed to be modular and scalable using standard hardware and software components.