NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

2011

PERFORMANCE BUDGET

CONGRESSIONAL JUSTIFICATION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
2011 PERFORMANCE BUDGET — CONGRESSIONAL JUSTIFICATION

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February 2010

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS

EXECUTIVE SUMMARY

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

To carry out our mission, NARA strives to achieve the six broad goals of our Strategic Plan.

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

Following is a high-level summary of our budget request by account:

(Dollars in Thousands)	2009 Enacted	2010 Enacted	2011 Request	Change over 2010
Operating Expenses	$327,253	$339,770	$348,689	$8,919
Office of Inspector General	3,055	4,100	4,250	150
Electronic Records Archives	67,008	85,500	85,500	0
Repairs and Restoration [1]	50,711	27,500	11,848	-15,652
NHPRC Grants [2]	11,250	13,000	10,000	-3,000
Total NARA Request—Appropriations	**$459,277**	**$469,870**	**$460,287**	**-$9,583**
Less: Redemption of Debt	-11,842	-12,870	-13,987	-1,117
Total NARA Request—Budget Authority	**$447,435**	**$457,000**	**$446,300**	**-$10,700**

[1] For FY 2011 the Budget requests that restrictions on $3,198,000 received in P.L. 109-115 and P.L. 108-447 for the construction of a new regional archives and records facility in Anchorage, Alaska be removed to fully fund base Repairs and Restoration requirements.
[2] FY 2009 Enacted level for NHPRC Grants includes $2 million that was realigned and executed in the Operating Expenses account.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS

Operating Expenses—Net Base increase of $169,000 to maintain current levels:

- Pay Raises $2,783,000
- Facility Rates (NARA Facilities) $1,666,000
- Energy Conservation Efforts at NARA Facilities ..... –$1,000,000
- Rent Rate Changes (GSA Facilities) ..... –$825,000
- Information Technology Changes $1,675,000
- Information Technology Reduction for "Extend Life of Current Systems" ..... –$1,800,000
- Information Technology Systems Reduction ..... –$3,000,000
- General Inflation $670,000

Operating Expenses—Program increase of $8,750,000:

- National Declassification Center $5,100,000
- Holdings Protection Team $1,500,000
- Controlled Unclassified Information Staff $1,200,000
- Archival Staff Increase $950,000

Office of Inspector General—Program increase of $150,000 for one auditor

Electronic Records Archives—FY 2011 Budget Request at $85,500,000—No change from FY 2010

Repairs and Restoration—Net decrease of $15,652,000:
Capital Improvements Plan Projects:

- National Archives Experience Phase II $5,000,000
- Roosevelt Library Renovations ..... –$17,500,000

Base Level decrease ..... –$3,152,000

- Remove restriction from Alaska Regional Archives unobligated balance of $3,198,000 to restore base level in FY 2011

National Historical Publications and Records Commission Grants Program—FY 2011 Budget Request at $10,000,000—Decrease of $3,000,000 from FY 2010 to account for one-time expenditures

STRATEGIC OVERVIEW

The citizens of the United States depend on the National Archives and Records Administration (NARA) to protect and preserve records that document the rights of citizens and the work of Government. We hold in trust the records that confer citizenship and benefits, attest to court proceedings, and document service to our nation. NARA's customers represent a diverse group of people from various backgrounds, cultures, and disciplines. From genealogists to filmmakers, historians to patent holders, our diverse group of customers, who use our resources for personal or professional reasons, rely and trust that the records we maintain are authentic, available, and accessible. More and more, our customers expect to access a growing number of our holdings online. Government agencies also depend on NARA's records management assistance and guidance to help them more effectively carry out their missions.

As the volume of the Government's records continues to grow and increase in complexity, NARA will encounter new challenges in achieving our core goals. Below we have identified our most pressing challenges:

- We must continue the development of the Electronic Records Archives (ERA) system so that we can preserve at-risk valuable electronic records, including the records of the Bush Presidency. We must deliver software with the capability to provide public access to ERA.

- We must protect and secure our holdings, balancing the need for access to the holdings with the need to secure them.

- We must lead the National Declassification Center and work with other equity agencies to streamline the review and declassification of records to ensure records are released to the public as soon as possible.

- We must improve government-wide FOIA administration in the Federal government to ensure transparency of Government information to the public.

FY 2009 Progress

In FY 2009, we built on our progress toward meeting goals detailed in our 10-year Strategic Plan, "Preserving the Past to Protect the Future." We completed one of our long range performance objectives as demonstrated in our successful planning and execution of moving Presidential and Vice Presidential materials to NARA facilities at the end of the George W. Bush Administration.

In addition, we assessed the challenges and opportunities in our current environment, recognized changes in Federal Government priorities, and incorporated several new long range targets in our triennial update of NARA's Strategic Plan, issued at the end of September. The changes in the revised plan reflect adjustments to several of NARA's priorities.

Provided below is a summary of FY 2009 accomplishments toward meeting the goals identified in our Strategic Plan.

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

We made progress in responding to the FY 2008 GAO audit on Federal Records Management of E-Mail (GAO-08-742) and the critique that NARA needed to carry out more oversight activities. Because we had developed a body of electronic records management policy and guidance that could effectively support our statutory responsibilities around compliance, NARA developed a program for annual agency self-assessments, targeted inspections by NARA staff, and reporting standards for making public our findings. Parts of this work were started in late FY 2008, and piloted and launched throughout FY 2009.

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

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

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

2008, our efforts culminated in the successful transfer of nearly 329 tons of George W. Bush Presidential records and artifacts from Washington, DC, to the temporary library site in Lewisville, Texas, on January 20, 2009. To date, all of the administration's unclassified electronic records have been ingested to our Executive Office of the President (EOP) instance of the Electronic Records Archives. The classified Presidential records transferred to NARA are secured in a legacy system until a classified instance of ERA is ready.

Preserve and Process. We continue to aggressively address our backlog of unprocessed records. Archival processing involves a series of steps that establish physical and intellectual control of records and culminates in describing records in our online catalog, making them easier and faster to locate for research. The processing backlog of textual and audiovisual records has grown over the decades. In addition, new processing challenges have arisen with the increasing number of electronic records accessions. Nevertheless, we continue to meet our targets while addressing the challenges.

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

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

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

In FY 2009, we established the Controlled Unclassified Information (CUI) Office within ISOO in response to a Presidential Memorandum issued on May 9, 2008, designating NARA as the Executive Agent responsible for implementation of the CUI Framework. The CUI Office, via the CUI Council, worked in collaboration with agencies and users of CUI outside of the executive branch to develop initial implementation guidance. During FY 2009, president Obama established a Presidential Task Force to examine CUI. The CUI Office participated in this effort and provided

the Task Force with extensive support as it prepared recommendations for the President. Our activities in FY 2010 will be focused on the outcomes of those recommendations.

Our efforts to process records and make them available to the public resulted in the achievement of a major milestone this year—the opening of more than 15 million individual personnel files of former civilian employees dating from the mid-1800s through 1951. This corpus of records adds to the collection of more than nine million military personnel files that are already available to researchers and other members of the public. These newly opened records included personnel records from famous figures such as Walt Disney, Ansel Adams, and Albert Einstein.

We continued efforts to work through GSA to upgrade our facilities to comply with 36 CFR 1228 Subpart K storage standards for Federal records. The upgrades for nine of our Federal Records Centers are in varying stages. The National Archives at Kansas City moved to a renovated building in the cultural district of Kansas City. We recently awarded a construction contract to make improvements to our Waltham facility and awarded design and construction contracts for our Seattle archival facility. We are moving forward with the design of a new National Personnel Records Center (NPRC) facility, now scheduled for initial occupancy in 2011, and dedicated its new annex facility, an underground structure, in Valmeyer, IL. The facility will store nearly two million cubic feet of temporary civilian personnel records, postal money orders, and transshipments of regional records from other records centers.

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

Expanding Opportunities for Access. We continually strive to make our holdings accessible to the public as soon as possible. One indication of the quality and interest in the information we provide is the number of visitors to our web sites—more than 37 million visits in FY 2009. Through partnerships and collaborative efforts, we continue to increase the number of digital records available to the public through our online catalog of NARA's nationwide holdings, the Archival Research Catalog (ARC). ARC contains more than 156,000 digital objects, and 130 million records from our holdings are hosted online by our partners. We have partnered with Familysearch.org (GSU) to digitize the first 500,000 Civil War Widows Pension Certificates; we have multi-party projects digitizing the Homestead land entry files for Nebraska City and Lincoln; and, we are working with Footnote to digitize and describe various Holocaust Assets Records microfilm publications. These digital partnership projects are essential to augmenting our in-house ability to make holdings available online.

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

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

We also augmented the physical Public Inspection Desk at the Office of the Federal Register with an electronic Public Inspection Desk where, for the first time in the 73-year history of the *Federal Register*, documents to be published the next day can be viewed by anyone, anywhere, and anytime. We also converted the printed weekly set of Presidential documents into a new daily online *Compilation of Presidential Documents*, opening up these key primary resources to immediate access by the public.

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

Civic Literacy. We celebrated our 75th anniversary in 2009 and engaged in a host of activities across the country to commemorate the 1934 establishment of the National Archives. We developed educational programs, public outreach activities, exhibits, and workshops to reach diverse audiences and share treasures from our vast holdings in an effort to promote civic literacy. We launched an exhibition called BIG! at which we featured big records, big events, and big ideas—in their original format in full scale—selected to remind us of the challenges and sacrifices experienced in building this country. Our commitment to civic literacy has always extended beyond the walls of our archival facilities to touch the communities across the country. Sometimes our efforts include projects that go beyond the expected approaches to reach citizens in new ways, such as our partnership with New Jersey's Papermill Playhouse to support the play *1776* with our exhibit "Documenting Our Nation's Founding." We are open to new avenues to reach and serve American citizens as we seek to advance civic literacy.

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

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

In summary, in all areas we fulfilled the promises we made that were the basis for the funding we received in FY 2009. More information about these and other efforts are available in our 2009 Performance and Accountability Report, published on November 16, 2009, and available on our website at *www.archives.gov/about/plans-reports/performance-accountability/*. With FY 2010 appropriations, we will maintain key programs that support the six goals in our Strategic Plan. We believe this FY 2011 request reflects the critical initiatives and basic needs that need to be funded for NARA to fulfill its mission and meet the expectations the Government and the public have for us. (Exhibit 300s and this Performance Budget are available online at *www.archives.gov/about/plans-reports/*.) The funds we are requesting, detailed in the following pages, will allow us to fulfill legal mandates, Administration directions, safety and security requirements, and customer service expectations.

JUSTIFICATION OF REQUESTED INCREASES

The Strategic Overview outlined the mission and challenges confronting NARA. Here are the specific increases the Budget requests for FY 2011 that will allow NARA to:

- Support Operating Expenses base program operations
- Establish the National Declassification Center (NDC)
- Support a Holdings Protection Team
- Expand the duties of the Controlled Unclassified Information (CUI) Office to oversee and manage the CUI Framework
- Hire new Archivists to address an increasingly complex workload and build a cadre for the future
- Hire an auditor for the Office of Inspector General
- Continue building the Electronic Records Archives
- Support the top priority project of the Capital Improvements Plan
- Fund the National Historical Publications and Records Commission Grants Program

OPERATING EXPENSES BASE INCREASE

Rising inflationary costs require a net increase of $169,000 to base programs in NARA's FY 2011 Operating Expenses appropriation to meet on-going operational requirements.

Inflationary Cost Increases

For FY 2011, the Budget requests a net increase of $169,000 for congressionally enacted pay raises, contract increases, operation and maintenance of NARA-owned facilities, and license and access fees for technology.

NARA has a unique mission within the Federal Government of identifying, accessioning, protecting, preserving, and making available for use the important documents created throughout the Government. What we do requires people, the right skills and tools, and buildings.

The vast majority of NARA's operating expenses are for salaries, facility-related costs, and increasingly for information technology as NARA deals with the Government's increasing move from traditional media to electronic records. These categories are impacted by inflationary changes such as enacted pay raises, building operations costs, energy, rent, security assessments, and the need to keep up with information technology requirements. NARA owns or leases 45 facilities. These facilities all incur market-generated rates for utility, security, and operation and maintenance costs or rent. The rental rates for most of our leased space are set by the General Services Administration. Additionally, the Department of Homeland Security charges a per square foot security rate for GSA leased space. NARA also pays market driven rates to the contractors who support the operation of NARA's information technology systems.

Besides inflationary costs from personnel and facilities, NARA's records management workload has increased and is projected to increase each year. Federal Agencies create new records daily documenting actions of the Federal Government. Although Federal agencies increasingly use information technology for their operations, the Government is not a paperless operation. Some of these records will come to NARA each year to protect the rights of American citizens, hold officials accountable for their actions, and document the national experience. NARA has a dynamic work environment with new records coming in while still maintaining

responsibility for our existing holdings. The records under our care must be processed, preserved, stored, and made available to the public. This takes trained archival staff to handle the materials, identify them, describe them for later retrieval, and space to store them. With the resources requested we can pay our staff, procure needed information technology support, fund ongoing maintenance of our equipment, and procure supplies and space to process, preserve, and store records.

NARA has taken steps to mitigate increased agency-wide costs by improving efficiencies. We are harnessing savings from energy conservation initiatives, merging legacy information technology systems into the Electronic Records Archives, and obtaining efficiencies in information technology improvements to partially offset many of our base increases. Despite these efforts, we will need additional resources to fund the inflationary increases to our base programs.

Operating Expenses Base Decrease

To assist in balancing NARA's FY 2011 budget, $5,800,000 in savings is being applied from the following program reductions or efficiencies to offset base increases. The decreases taken from NARA's Operating Expenses resources are:

- *Savings from energy conservation efforts*
- *Terminating legacy systems that will be incorporated into the Electronic Records Archives in FY 2011*
- *Efficiencies from information technology infrastructure improvements*

Energy Conservation Efforts

For FY 2011, the Budget anticipates saving $1,000,000 in agency-wide energy costs resulting from conservation efforts.

NARA owns 16 facilities across the country. In compliance with OMB and Congressional mandates on energy conservation and our own goal to reduce energy costs, we have implemented several initiatives to help achieve that goal. These initiatives are anticipated to generate $1,000,000 in annual savings:

- Replace heat exchangers with gas boilers at the National Archives Building in Washington, DC (projected savings: $740,000)
- Add a small chiller at the National Archives in College Park, MD (projected savings: $150,000)
- Operate a cogeneration system at the National Archives in College Park, MD (projected savings: $110,000)

These energy initiatives will replace or convert inefficient equipment with higher efficiency units resulting in reduced cost for utilities at both buildings. The new cogeneration system will allow us to harness byproduct heat into usable heat for the National Archives in College Park. Additionally, adding a small chiller at College Park will enable us to run the small chiller at times when running the larger chillers would be less efficient. With these improvements, we will be able to better use existing equipment, extend the useful life of that equipment, and reduce maintenance costs.

Legacy Systems Merge into Electronic Records Archives

For FY 2011, the Budget anticipates saving $1,800,000 in legacy information technology systems, which will be merged into the Electronic Records Archives.

NARA has several legacy information technology (IT) systems that support the verification, tracking, preservation and access to electronic records, both unclassified and classified. These systems are identified in the NARA IT budget as "Extend Life of Current Electronic Records Systems." Ultimately the Electronic Records Archives (ERA) will support the functions currently provided in the legacy systems as well as the requirements to manage greater volumes and changing formats of electronic records.

However, ERA is being built in increments, and while it is operational today, it is still under development and does not yet include all of the functions necessary to replace all of the legacy systems.

NARA plans to build the required functionality to ensure that the legacy systems can be decommissioned. However, there is risk that the new functionality will not be operational as scheduled by the end of FY 2010.

Additionally, there is a large volume of electronic records currently in NARA's holdings that need to be moved into ERA before the legacy systems can be terminated. Therefore, as a contingency, we will continue to fund these systems at a reduced rate to ensure a minimal level of operational support in FY 2011.

Reduction of Costs to Information Technology Infrastructure

For FY 2011, the Budget anticipates saving $3,000,000 in information technology (IT) systems costs.

Over the last few years, NARA has been analyzing its IT infrastructure for ways to improve operations and increase efficiency. As part of this effort, NARA restructured its IT operations and maintenance support contract and invested in upgrades and enhancements to the infrastructure. NARA anticipates that in FY 2011, we will benefit from these improvements and will be able to reduce our information technology costs by $3,000,000 while still maintaining the same level of operational support for agency users, researchers, and the general public received in the past.

There are several IT enhancements either completed or underway which will improve the effectiveness and efficiency by which NARA is able to provide a secure, robust, and scalable infrastructure for customer access to NARA's information and services. Some of these improvements include:

- Migrating to GSA Networx contract for better cost efficiency and additional bandwidth;
- Upgrading to the LAN infrastructure (e.g. switches, routers and hubs) for increased reliability requiring fewer expensive troubleshooting and repair actions;
- Upgrading and expanded the network storage infrastructure for cost efficiency;
- Upgrading the telephone system for increased reliability requiring fewer expensive troubleshooting and repair actions;
- Complying with Federal mandates such as Trusted Internet Connections (TICs), for cost efficiency;

- Implementing secure, two factor remote access to general support systems for enhanced information security and cost savings by supporting and deploying fewer laptop computers;
- Enterprise monitoring and management of IT infrastructure to reduce redundancy and software maintenance costs; and
- Enterprise IT support services contract restructure and award for cost efficiency.

OPERATING EXPENSES INCREASES

For FY 2011, the Budget requests $8,750,000 and 57 FTE to:

- *Establish the National Declassification Center (NDC)*
- *Support a Holdings Protection Team*
- *Expand the duties of the Controlled Unclassified Information (CUI) Office to oversee and manage the CUI Framework*
- *Hire new Archivists to address increasingly complex workload and build a cadre for the future*

Establish the National Declassification Center

For FY 2011, the Budget requests $5,100,000 and 28 FTE to establish the National Declassification Center (NDC) and hire contract support to design and develop an integrated interagency information technology declassification system.

On December 29, 2009, President Obama issued Executive Order 13526 establishing the National Declassification Center within the National Archives. In early January 2010, the Archivist of the United States established the NDC at the National Archives facility in College Park, MD. The NDC will be responsible for streamlining declassification processes, quality-assurance measures and implementing standardized training with respect to records of permanent historical value. This new program will require funding for additional staff, operations costs, travel and funding to develop an integrated interagency declassification process and information technology system.

Since 2008, NARA has been working with stakeholders in the declassification community to build consensus on the value of standardized review and declassification of materials. Based on the community's recommendations a Business Process Reengineering effort has begun that will streamline and improve interagency declassification processes. In this way, NARA will develop vetted interagency approved processes for the NDC, which can be implemented in FY 2011.

The Budget requests $2,300,000 to establish the National Declassification Center office at the National Archives College Park facility. These resources will support:

- Hiring staff to include a Senior Executive Service Director, Instructional Design Specialist, a training specialist, and three Archives Specialists;
- Office fit out costs to include furniture, phones, and equipment;
- Travel to other Federal agencies to obtain stakeholder support; and
- General office operational costs.

To design and develop the interagency information technology (IT) system, the Budget requests $2,800,000. These funds will be used to:

- Establish a contract to design and develop the integrated declassification IT system;
- Purchase hardware and software for the IT system; and
- Hire a contractor to oversee the development, and test and validate the system.

Resources will be used to establish the NDC and design and develop a new declassification IT system that can operate within a classified environment. The new system will need to be flexible enough to allow files from other Federal agencies to be entered, reviewed and declassified. Ideally this system will be able to store the classified records, and provide Freedom of Information, redaction, and declassification services.

The NDC has a significant mission to consolidate and coordinate declassification and referral processes among Federal agencies. The ultimate goal is a more efficient process to improve openness and accessibility to government records.

Holdings Protection Team

For FY 2011, the Budget requests $1,500,000 for 8 FTE to implement a comprehensive holdings protection program to protect NARA holdings from external and internal threats.

NARA has a mandate to protect the American heritage that is contained in our holdings from internal and external threats of loss and ensure our holdings are available and accessible to Federal agencies, Congress, and private citizens.

After a recent loss of a hard drive containing information from the Executive Office of the President, NARA recognized the need to supplement existing security processes by establishing a formal holdings protection program. This program will consist of dedicated staff who will develop holdings protection guidance, develop and conduct training for staff on how to protect and safeguard NARA's holdings, conduct holdings compliance site inspections at our facilities across the country, and prepare reports on findings.

The goals of the holdings protection program are:

- Develop comprehensive policy;
- Analyze vulnerability of holdings by location (regional archives, Presidential Library, research room, storage locations, interagency loans and staff processing rooms.);
- Develop loss prevention training for all levels of staff;
- Conduct overt and covert compliance inspections; and
- Improve surveillance and physical access controls of storage facilities and research rooms.

Experience has taught us that a dedicated staff is needed to work with offices to educate employees on the proper procedures for protecting government holdings. Given the normal turn-over of staff, it is a continuous educational process. Through the use of on-site inspections and tests we will be able to validate that NARA policy is followed and take corrective action quickly when necessary. As stewards of the nation's Federal records, it is imperative that we protect and be able to account for the documents in our custody. The Holdings Protection Team will provide this assurance to the agency's customers.

Expand the Controlled Unclassified Information Office

For FY 2011, the Budget requests $1,200,000 for 9 FTE to increase the capability of the Controlled Unclassified Information Office in order to meet its increased responsibilities and expanded mission.

On May 27, 2009, President Obama directed that an interagency Task Force review the procedures for Controlled Unclassified Information (CUI) and the Task Force subsequently provided its recommendations to the President. The Task Force recommended expanding the scope of the CUI Framework from terrorism-related information for agencies within the Information Sharing Environment (ISE) to *all* "sensitive but unclassified" (SBU) information for *all* agencies. As part of ongoing CUI reform efforts, it is expected that key Task Force recommendations will be implemented, which will likely result in increased workload for NARA as the CUI Executive Agent. Examples of recommended expanded or additional functions include:

- Oversee CUI implementation, to include on-site reviews, for all agencies rather than the 16 departments and agencies that constitute the ISE.
- Identify specific criteria for establishing exceptions and develop a process to develop a limited, but flexible means of evaluating whether additional categories of information that are covered by the expanded scope should be treated as exceptions.
- Determine the level at which CUI on federal government networks is being targeted in order to best allocate resources to protect the most vulnerable information.
- With the Federal CIO Council, identify technology requirements for safeguarding CUI and appropriate measures to support a phased approach to the application of information technology standards to the CUI Framework.
- Seek to amend regulations, and if necessary, relevant statutes to include excepted regimes in the CUI Framework.
- Provide training directly to the senior officials responsible for CUI designation and agency CUI program management.
- Develop a system to measure CUI implementation, to include establishing a baseline measure of present SBU activity to support future implementation and assessment efforts.

The funding requested for FY 2011 will pay for the additional CUI staff and office operational costs necessary to meet expanded mission requirements. In FY 2009, NARA received several supplemental non-reimbursable detailees from other Federal agencies to work on the CUI Framework. The host agencies could only temporarily loan these highly skilled individuals. Another factor warranting the additional staff is the expanded CUI mission to address *all* SBU information. The Federal agencies that deal with SBU information will benefit by using a standardized criteria for identifying, safeguarding, and sharing CUI. This will ensure that only information which truly needs to be protected will receive that designation. Ultimately, this will support the Administration's goal to provide transparency to the workings of the Federal government.

Archival Staff Increase

For FY 2011, the Budget requests $950,000 and 12 FTE to address the growing workload of records and build a cadre of Archivists for the future.

NARA's workload increases every year. Federal agencies create more and more records daily documenting the actions of the Federal Government. NARA's professional staff works with agencies to appraise and schedule these records and to advise and assist agencies with records management requirements and systems. Many of these records come to NARA each year to protect the rights of American citizens, hold officials accountable for their actions, and document the national experience. Permanently valuable Federal records that are transferred to the legal custody of the Archives are seldom, if ever, ready for immediate delivery to the members of the public who have an interest in using them. This is true whether the records are in paper or electronic form. To make these records available, NARA staff must perform a variety of tasks, including assessing and addressing physical condition or software dependencies, determining and applying access restrictions, and documenting the records sufficiently to enable their efficient and effective use by members of the public.

NARA's recently revised Strategic Plan has placed increased emphasis on proactive government-wide records management support and oversight. NARA has 70 records management staff to support over 300 Federal agencies nationwide. These professionals develop policies and guidance, provide training to the Federal records management community, schedule and appraise records, and give direct assistance. In FY 2009 alone, we trained 14,500 Federal records managers. It is even more important today when faced with the challenge of electronic records that the National Archives has talented, smart, computer savvy archivists who can advise agencies on their records management program requirements.

For over two years, NARA has been engaged in an initiative to improve and accelerate work processes associated with readying records for use, and has been making progress in reducing its large backlog of unprocessed records. However, at the same time that work is proceeding with a legacy of paper holdings, NARA must address an increasing workload involving electronic records. Transfers of digital photographs, audio, and dynamic media are beginning to rival the transfers of their traditional media counterparts. We also face significant and complex workload issues relating to declassification, Presidential Records Act and FOIA processing workloads.

Further, NARA faces challenges because of an aging workforce. At the beginning of FY 2010, nearly half (47 percent) of NARA's workforce was 50 years of age or older. Within the archivist series, approximately 25 percent were eligible to retire October 1, 2009.

To face all of these challenges, NARA needs to build an archival staff that can handle the increasingly complex workload ranging from documents 200 years old to state-of the-art electronic records. It takes time to build the experience required to manage, process, preserve and make available to the public the materials that document the workings of our Government. These fledgling archivists don't walk in the door of the National Archives ready to tackle these complex issues. They must be carefully recruited and trained, and we have established an Archivist Development Program (ADP) to do just that. With the resources and FTE requested, NARA can continue to build a cadre of diverse, technology savvy archivists and prepare them to be NARA's leaders for tomorrow.

OFFICE OF INSPECTOR GENERAL

Audit Support for Office of Inspector General

For FY 2011, the Budget requests $150,000 and 1 FTE to supplement the auditing staff.

The mission of the Office of Inspector General (OIG) is to ensure NARA safeguards and preserves the records of our Government. The OIG accomplishes this by combating fraud, waste and abuse through high-quality, objective audits and investigations; and serving as an independent, internal advocate for the economy, efficiency, and effectiveness of NARA and its operations.

The $150,000 requested will fund an additional auditor for the OIG. This will increase audit coverage over NARA's programs and operations and provide a tangible benefit to the agency through audit reports, decreased risk and improved oversight.

ELECTRONIC RECORDS ARCHIVES

For FY 2011, the Budget request remains the same as FY 2010 at $85,500,000. This will enable the Electronic Records Archives Program to:

- *Develop ERA functionality to handle restricted data*
- *Extend preservation capabilities*
- *Extend system search capabilities*
- *Implement more efficient storage mechanisms*
- *Provide ongoing maintenance and operations of all the deployed ERA instances.*

Building the Electronic Records Archives

For FY 2011, the $85,500,000 will be used to enhance the functionality of the ERA System to handle restricted information with the development of the Classified ERA instance, extend preservation capabilities, extend search capabilities, implement more efficient storage mechanisms, and support ongoing maintenance and operations of all the deployed instances. Of the total Budget, we request that $23,743,000 be made available as one-year funding and the remaining $61,757,000 be made available as three-year funding.

The Electronic Records Archives (ERA) program is NARA's response to the challenge of preserving and providing access to electronic records. The goal of ERA is to provide access to all types of electronic records via the Internet by anyone, anywhere, at any time across time and technology.

The program was initiated in 2002 and is being implemented in five Increments. During FY 2008, the program achieved Initial Operating Capability (IOC) with the first increment of ERA known as the ERA Base. The ERA Base provided the infrastructure for the system as well as the business functions for both the lifecycle management of all Federal records and for the actual transfer and initial preservation of electronic records. This functionality enabled officials at NARA and four other pilot Federal agencies to perform basic records management functions and transfer records into the system.

The pilot agencies using the ERA Base instance include the United States Patent and Trade Office, the Bureau of Labor Statistics, the National Nuclear Security Administration, and the Naval Operations Office. Each agency now has the capability of creating records

schedules, creating and approving transfer requests and legal transfer instruments, and transferring electronic records into the system.

IOC was followed by development of rapid ingest, content search, and special access request case management in support of electronic records that were transferred from the Executive Office of the President (EOP) at the end of the George W. Bush Administration. This is known as the ERA EOP instance. During FY 2009, NARA deployed the ERA EOP instance. In addition NARA began to develop the capabilities for public access and the frameworks for long-term preservation of selected data types.

During FY 2010, NARA will deploy the third Increment of ERA, which includes public access and initial preservation capabilities, as well as deploy a specialized instance of the system in support of Congressional records. Public access will provide a means for the public to use the Internet to search descriptions about, and in some cases, the content of electronic records in ERA. They will be able to access relevant electronic records by viewing or downloading files from the system. In addition, NARA will start addressing the need for the architectural evolution of the ERA system with new technologies that have become available since the initial deployment of the system. NARA also plans to provide access to the ERA Base instance to additional Federal agencies.

During FY 2011, with Increment 4, NARA will develop a secure instance for classified Federal records, including tools for managing restricted information, extend preservation capabilities, extend search capabilities, and implement more efficient storage mechanisms to manage the increasingly large volume of data planned to be ingested into the system. Finally, FY 2011 funds will also be used to support the ongoing maintenance and operations of the existing ERA Base, ERA EOP, Public Access and Congressional instances at Rocket Center, WV.

REPAIRS AND RESTORATION INCREASE

For FY 2011, the Budget requests $11,848,000 for the Repairs and Restoration account. This level provides $6,848,000 for base requirements and $5,000,000 for the top priority project in the Capital Improvements Plan (CIP), which is the National Archives Experience Phase II.

Repairs and Restoration Base Funding

Funding in the Repairs and Restoration account is prioritized based on a yearly needs assessment conducted by NARA engineers. NARA owns 16 buildings—the National Archives Building, the National Archives at College Park, 13 Presidential Libraries and Museums, and the Southeast Regional Archives outside of Atlanta.

The National Archives Building and the Roosevelt Library are on the National Register of Historic Places, and all of the Presidential Libraries are considered by the State Historic Preservation Officers to be eligible. All of these buildings house historically valuable and irreplaceable documents. Each year, approximately 3 million visitors go to these facilities to do research, attend conferences, view exhibits and participate in educational opportunities.

Starting in FY 1996, Congress provided “no year” funds to a Repairs and Restoration (R&R) account to support necessary repairs to NARA’s buildings. The funds provided over the years have fallen into two categories: base funding that provides for the replacement, upgrade, and repair of building systems that can be managed within

base funding (generally less than $1.5 million per project, but usually less) or special project funding for specific projects that are identified and placed in the budget to address needed major renovations, additions, or new building construction.

Base level resources will be used to maintain NARA owned buildings to meet archival storage requirements, to keep interiors and exteriors in a proper state of repair, and to make them safe and efficient buildings for use by researchers and visitors.

In FY 2011, NARA's base Repairs and Restoration account is funded at $6,848,000. The Budget requests that restrictions on $3,198,000 received in P.L. 109-115 and P.L. 108-447 for the construction of a new regional archives and records facility in Anchorage, Alaska are removed to fully fund base Repairs and Restoration requirements.

To date NARA has received sufficient funding to buy land, design the facility, and prepare the site for construction However, NARA has received only 10 percent of the funding needed to construct the new facility in Alaska and the project is not considered a high-priority in the annual Capital Improvements Plan. NARA does not believe that the construction phase of the project is likely to be funded or completed in the near future and requests to use the funds on more urgent priorities.

Implement the Top Priority in the Capital Improvements Plan

For FY 2011, the Budget requests $5,000,000 to begin the National Archives Experience Phase II project, which is the top priority in NARA's Capital Improvements Plan.

National Archives Experience Phase II: $5,000,000

The National Archives' first exhibit space, the Rotunda, was built in the heart of the Great Depression. Even in our most troubling times, President Roosevelt reminded us, a nation must "believe in the capacity of its own people so to learn from the past that they can gain in judgment in creating their own future." From its earliest years, the National Archives core functions have been to collect, preserve and inspire the use of federal records to learn from our past. No single facility has been as important to that effort as the original National Archives Building in our nation's capital. Over the decades more than 50 million people from across America and around the globe have come to this site to explore our records, both as visitors and as researchers.

Recognizing the enormous capacity of this site to inspire and inform our citizens, NARA joined with its private sector partner, the Foundation for the National Archives, during the 2001-2004 renovation to develop a significant new public space within the envelope of the existing structure: the National Archives Experience. The success of this venture was remarkable, producing not only a 40% increase in attendance, but a tripling of the duration of visits and a dramatic increase (as measured by survey data) in visitor understanding of the importance of records and the role of the National Archives in making those records available to the public. This project involved public investment in building infrastructure for new exhibit space and $23.5 million of private investment in the actual design and construction of our exhibits and theater.

Out of this success, the National Archives and the Foundation have proposed to partner again on a second phase of the National Archives Experience. The Foundation has pledged to raise $10 million for new exhibits, an orientation plaza and an expanded post-visit space,

contingent on the government's decision to provide the core infrastructure to support the new development. The $5,000,000 requested in the FY 2011 Budget, would allow NARA to complete Phase I of the core infrastructure changes including: relocation of the restrooms, back-of-the house adjustments to office and storage space, and infrastructure for the store and MyArchives Gallery.

With privately raised funds, the Foundation will create a new permanent exhibit called Freedom Hall, which will provide a venue to showcase records of the pursuit of freedom across many generations. This would include our national struggle to maintain a free nation from the conflict with the Barbary pirates to 9/11, as well as the records of freedom that extended the reach of our Charters, including the march from slavery to emancipation to civil rights, women's suffrage and the acceptance of immigrants into citizenship. We believe the new gallery will play a vital role in building a more inclusive sense of an institution that holds records relevant to the pursuit of freedom by all segments of the American people. Other planned Foundation projects include the creation of a large Orientation Plaza that addresses a real problem in visitor service and flow. It also includes a new MyArchives Gallery and neighboring MyArchives Shop. The gallery will provide a bridge between the "visit" and "research" experience, encouraging people to avail themselves of our resources online as well as on-site. Visitors to the National Archives Building will greatly benefit from these privately funded enhancements and will gain a new appreciation for the documents held in trust at the National Archives.

NATIONAL HISTORICAL PUBLICATIONS AND RECORDS COMMISSION (NHPRC)

Promote Preservation and Use of the Nation's Historical Records

For FY 2011, the Budget requests $10,000,000 to fund the National Historical Publications and Records Commission (NHPRC).

There are more than 14,000 historical record repositories (including archives, manuscript repositories, special collections libraries, and historical societies) in the United States, according to a recent study. These facilities serve as the nation's memory and its archival infrastructure, spanning every state and territory. The members of this archival network serve as active stewards for approximately 44 million linear feet of historical records and 700 million historic photographs. If one adds to this amount other special format materials such as audio recordings, maps and architectural materials, and films, the numbers grow exponentially.

More than half of the materials held at these repositories require either significant preservation efforts to ensure their long-term viability or various levels of cataloging and description to facilitate their public examination and use. Some of the most important of these historical materials are being prepared for publication by small teams of historians and editors housed at universities and other research entities.

As the only grant-making entity, public or private, whose exclusive mission is to promote the preservation of and access to the nation's historical records, the NHPRC is well positioned to exert leadership in these efforts and ensure that they are accomplished using the best available techniques and the minimum amount of resources.

Funding will enable the NHPRC to maintain essential support for core programs and initiatives in the form of grants that publish, preserve, and make accessible important historical documents. Continuing these efforts will ensure that the nation's ever-growing "American Record" is available to all Americans. Grant initiatives anticipated in FY 2011 include:

- *Archives - Basic Projects* to reveal "hidden collections" in archives by concentrating on processing materials in backlogs and developing new workflows that eliminate the onset of backlogs in the future. This program makes these materials known and available to the public much sooner than would otherwise be the case.

- *Archives - Detailed Processing Projects* to conduct detailed processing and preservation of collections of national significance. This program ensures that Americans have access to some of the most important historical resources that are maintained outside of federal repositories.

- *Digitizing Historical Records* to digitize nationally significant historical record collections and make the digital versions freely available on the Internet. This program facilitates 24/7 access to such records, and approaches the digital workflow using the most cost-effective means possible.

- *Electronic Records Projects* to support projects that will lead to sustainable electronic records archives that preserve digital records with enduring historical value. This program ensures that the nation's archives conduct adequate planning for such undertakings and work in collaborative ways that share resources, knowledge, and infrastructures.

- *Professional Development* to support grants for advancing the fields of archives and historical documentary publishing via training programs and education curricula that emphasize best practices and emerging needs.

- *Publishing Historical Records* to publish historical records of national significance, including the papers of the Founding Era as well as a wide range of statesmen, scientists, humanists, and others whose impact on the American experience was profound.

- *State and National Archival Partnership Grants* to build and sustain a national archival network by strengthening archives and historical records programs in each of the states through locally-administered programming via the State Boards.

- *Strategies and Tools* for archives and historical documentary publishing projects to develop new strategies and tools that can improve the preservation, public discovery, or use of historical records.

LINKING BUDGET INITIATIVES TO NARA'S PERFORMANCE PLAN

Budget Initiative	Long-Range Performance Target	Outcome	Budget Request	Performance Plan Linkage
Establish the National Declassification Center	By 2016, NARA archival holdings of 25-year-old or older records are declassified, exempted, or referred under the provision of Executive Order 13526.	Records that *can* be declassified *are* declassified.	$5,100,000	Pages II-19 to 21
Support Holdings Protection Team	By 2016, 100 percent of NARA's archival holdings are stored in appropriate space.	Archival records are preserved for public use.	$1,500,000	Pages II-22 to II-25
Increase Archival staff	By 2016, 95 percent of archival holdings have been processed to the point where researchers can have efficient access to them.	Electronic records are at a point where a researcher can discover their existence and either have the records promptly or have a prompt explanation of why we must withhold them.	$950,000	Pages II-15 to II-17
Build the Electronic Records Archives	By 2016, 95 percent of archival electronic holdings have been processed to the point where researchers can have efficient access to them. By 2012, 80 percent of archival electronic records are preserved at the planned level of service. By 2016, the per-megabyte cost of managing electronic records through the Electronic Records Archives decreases each year.	Electronic records are at a point where a researcher can discover their existence and either have the records promptly or have a prompt explanation of why we must withhold them. Electronic records of archival value are effectively preserved for future generations. Electronic records of archival value are economically preserved.	$85,500,000	Pages II-31 to II-37
Implement the Top Priority of the Capital Improvement Plan	By 2016, 100 percent of archival holdings are stored in appropriate space.	Archival records are preserved for public use.	$5,000,000	Pages II-22 to II-25

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ALL APPROPRIATIONS

Budget Initiative	Long-Range Performance Target	Outcome	Budget Request	Performance Plan Linkage
Promote Preservation and Use of the Nation's Historical Records	By 2016, a minimum of 85 percent of all NHPRC-assisted projects produce the results required, employing standards and milestones approved by the Commission.	Public gains wider access to the entire range of records on which the understanding of American history depends.	$10,000,000	Pages II-54 to II-55

LINKING E-GOV INITIATIVES TO NARA'S PERFORMANCE BUDGET

E-Government Initiative[1]	Benefits	Funding by Account	
Operating Expenses (unless otherwise noted)		***FY 2010***	***FY 2011***
E-Rulemaking	e-Rulemaking allows NARA to participate fully in the Federal Docket Management System, making it easier for the public to review and comment on our regulations. With the addition of the Records Management module in FY 2007, NARA is now able to maintain electronic dockets in a recordkeeping system.	$88,000 service fee	$88,000 service fee
Grants.gov	This initiative benefits NARA and its grant programs by providing a single location to publish grant (funding) opportunities and application packages, and providing a single site for the grants community to apply for grants using common forms, processes and systems.	$52,774 agency contribution	$52,774 agency contribution
Recruitment One-Stop	This initiative benefits NARA by providing an effective mechanism for finding qualified applicants for vacant positions. Through USAJOBS.gov, Recruitment One-Stop provides an online portal through which citizens can easily search for employment opportunities at NARA. NARA posts all of its job announcements through USAJOBS.gov.	$9,369 service fee	$9,369 service fee
		$7,665 service fee Revolving Fund	$7,665 service fee Revolving Fund
Enterprise Human Resources Integration	EHRI replaces the OPF with an electronic file (eOPF). The eOPF provides the ability to capture and store images from paper records and to provide immediate online access and printed copies in digital form. Through this initiative, NARA is realizing savings through re-engineered business processes based around electronic folders vs. paper-based folders. This reduces the time agencies spend copying, faxing, storing, scanning, retrieving, and mailing paper folders.	$35,514 service fee	$35,514 service fee
		$29,057 service fee Revolving Fund	$29,057 service fee Revolving Fund

[1] Associated **Exhibit 300s** are available online at http://www.archives.gov/about/plans-reports/
IT Dashboard link: http://it.usaspending.gov/?q=node%2F359&calctype=sa&agency_id=393&Submit=Go&calctype=sa

LINKING E-GOV INITIATIVES TO NARA'S PERFORMANCE BUDGET (continued)

E-Government Initiative	Benefits	Funding by Account	
Operating Expenses (unless otherwise noted)		***FY 2010***	***FY 2011***
E-Travel	This initiative provides NARA more efficient and effective travel management services. The benefits include cost savings associated with cross-government purchasing agreements and improved functionality through streamlined travel policies and processes, strict security and privacy controls, and enhanced agency oversight and audit capabilities. NARA employees benefit through more efficient travel planning, authorization, and reimbursement processes.	$62,216 service fee	$62,216 service fee
Grants Management LoB	This initiative benefits NARA and its grant programs by improving the delivery of services to grant recipients, improving decision-making and decreasing costs associated with building and maintaining Grants Management IT systems.	$28,460 agency contribution	$28,460 agency contribution
Geospatial LoB	The Geospatial LoB results in a more coordinated approach to producing, maintaining, and using geospatial data, and ensures sustainable participation from Federal partners to establish a collaborative model for geospatial-related activities and investments. NARA collaboration will further the preservation of permanently valuable geospatial records in the National Archives of the United States.	$15,000 agency contribution	$15,000 agency contribution
IAE – Loans and Grants	The FPDS eliminates the necessity of manually tracking all of our awards to create SBA reports and provides data to the general public. Financial and CCR work together to facilitate vendor approval. The EPL allows us to verify if a vendor has been disbarred. Our use of these and other component IAE systems afford us the opportunity to use the most efficient, competitive and transparent process possible in contracting for goods and services to ensure we make the best business decisions.	$12,963 agency contribution	$12,963 agency contribution

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS

CROSSWALK FROM 2009 AVAILABILITY TO 2011 BUDGET REQUEST

(dollars in thousands)

	2009 Enacted Level		2010 Enacted Level		2011 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
OPERATING EXPENSES – DIRECT	**1,403**	**$312,142**	**1,484**	**$327,253**	**1,594**	**$339,767**
Adjustments to Direct Base Level:						
Annualization of 2008 Pay Raise	-	1,236	-	-	-	-
Annualization of 2009 Pay Raise	-	2,873	-	1,086	-	-
Annualization of 2010 Pay Raise	-	-	-	3,037	-	797
Annualization of 2011 Pay Raise	-	-	-	-	-	1,986
One Less Compensable Workday in 2009	-	-520	-	-	-	-
Normalization of Operations (post hiring freeze)	30	-	83	-	-	-
Inflationary Rate Changes (non-pay)	-	930	-	-	-	670
Facility / Utility Rate Changes (NARA Facilities)	-	761	-	2,671	-	1,666
Utility Savings from Energy Conservation Efforts (NARA Facilities)	-	-	-	-	-	-1,000
Rent Rate Changes (GSA Facilities)	-	-	-	1,530	-	-825
Information Technology Rate Changes	-	1,507	-	1,855	-	1,675
Information Technology Reduction/Savings	-	-	-	-	-	-4,800
Appropriate Storage Space for newly Accessioned Records	-	-	-	600	-	-
Adjustment for One-Time Unrequested Funding	12	-1,251	-	-875	-	-
Funding for New Archivists	-	-	12	1,000	12	950
Holdings Protection Team	-	-	-	-	8	1,500
Total Adjustments to the Base	**42**	**$5,536**	**95**	**$10,904**	**20**	**$2,619**
Revised Operating Expenses – Direct – Base Level	**1,445**	**$317,678**	**1,579**	**$338,157**	**1,614**	**$342,386**

CROSSWALK FROM 2009 AVAILABILITY TO 2011 BUDGET REQUEST (continued)

(dollars in thousands)

	2009 Enacted Level		2010 Enacted Level		2011 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
OPERATING EXPENSES–DIRECT – INCREASES						
Our Nation's Record Keeper						
Prepare for a new George W. Bush Presidential Library	24	6,325	-	-	-	-
Preserve and Process						
Expand capacity to Process Presidential Records	15	1,600	-	-	-	-
Declassification and Review of Army and CIA Records	-	650	-	-650	-	-
National Declassification Center	-	-	-	-	28	5,100
Controlled Unclassified Information Executive Agent	-	-	9	1,860	9	1,200
Access			-	-	-	-
Office of Government Information Services (One-time)	-	1,000	-	-1,000	-	-
Office of Government Information Services	-	-	6	1,400	-	-
Total Program Increases	**39**	**$9,575**	**15**	**$1,610**	**37**	**$6,300**
GRAND TOTAL – Operating Expenses – Direct	**1,484**	**$327,253**	**1,594**	**$339,767**	**1,651**	**$348,686**

CROSSWALK FROM 2009 AVAILABILITY TO 2011 BUDGET REQUEST (continued)

(dollars in thousands)

	2009 Enacted Level		2010 Enacted Level		2011 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
OFFICE OF INSPECTOR GENERAL	**17**	**$2,858**	**18**	**$3,055**	**23**	**$4,103**
Pay raises and vacancies	-	77	2	548	-	-
Criminal Investigative Staff Supplement	1	120	-	-	-	-
Criminal Investigative and Audit Staff Supplement	-	-	3	500	-	-
Audit Staff Supplement	-	-	-	-	1	150
Total Office of Inspector General Increases	**1**	**$197**	**5**	**$1,048**	**1**	**$150**
GRAND TOTAL – Office of Inspector General	**18**	**$3,055**	**23**	**$4,103**	**24**	**$4,253**

	2009 Enacted Level		2010 Enacted Level		2011 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
ELECTRONIC RECORDS ARCHIVES	**42**	**$58,028**	**49**	**$67,008**	**49**	**$85,500**
Meet Electronic Records Challenges						
ERA to Develop / Deploy National Security System	-	-	-	-	-	-
Develop Long-Term Preservation and Capacity for Public Access	7	8,980	-	-	-	-
Develop the capability for providing online public access to NARA's electronic holdings, expand preservation capabilities, increase system capacity, and provide backup and restore functions	-	-	-	18,492	-	-
Total Electronic Records Archives Increases	**7**	**$8,980**	**0**	**$18,492**	**0**	**$0**
GRAND TOTAL – Electronic Records Archives	**49**	**$67,008**	**49**	**$85,500**	**49**	**$85,500**

CROSSWALK FROM 2009 AVAILABILITY TO 2011 BUDGET REQUEST (continued)

(dollars in thousands)

	2009 Enacted Level		2010 Enacted Level		2011 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
REPAIRS AND RESTORATION		**$28,605**		**$50,711**		**$27,500**
Meet Storage and Preservation Needs						
Buildings Square Footage and Rate Increase*	-	548	-	789	-	-
Base Reduction (offset by Alaska Regional Archives balance)	-	-	-	-	-	-3,152
National Archives Experience Renovation	-	-	-	-	-	5,000
Johnson Library Plaza Repairs	-	-3,760	-	-	-	-
Johnson Library Plaza Repairs	-	2,000	-	-2,000	-	-
Nixon Library—Expansion of Archival Storage Space	-	-7,432	-	-	-	-
Roosevelt Library—Design and Renovations	-	-750	-	-	-	-
Roosevelt Library—Design and Renovations	-	17,500	-	-17,500	-	-
Roosevelt Library—Design and Renovations	-	-	-	17,500	-	-17,500
Kennedy Library—Land Acquisitions	-	-8,000	-	-	-	-
Kennedy Library—Construction	-	22,000	-	-22,000	-	-
Total Repairs and Restoration Increases	**0**	**$42,048**	**0**	**$18,289**	**0**	**$5,000**
Total Repairs and Restoration Decreases	**0**	**-$19,942**	**0**	**-$41,500**	**0**	**-$20,652**
GRAND TOTAL – Repairs and Restoration	**0**	**$50,711**	**0**	**$27,500**	**0**	**$11,848**

* This rate is based on the 2007 Buildings Owners and Managers Association International's ("BOMA") *BOMA Experience Exchange Report*, and adjusted based on the Construction Cost Index (CCI).

CROSSWALK FROM 2009 AVAILABILITY TO 2011 BUDGET REQUEST (continued)

(dollars in thousands)

	2009 Enacted Level		2010 Enacted Level		2011 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
NHPRC Grants:	**0**	**$9,500**	**0**	**$11,250**	**0**	**$13,000**
Transfer to Direct, Operating Expenses	-	2,000	-	-	-	-
NHPRC National Direct-Grants Program	-	-250	-	1,750	-	-3,000
GRAND TOTAL – NHPRC Grants	**0**	**$11,250**	**0**	**$13,000**	**0**	**$10,000**

SUMMARY OF TOTAL BUDGET AUTHORITY

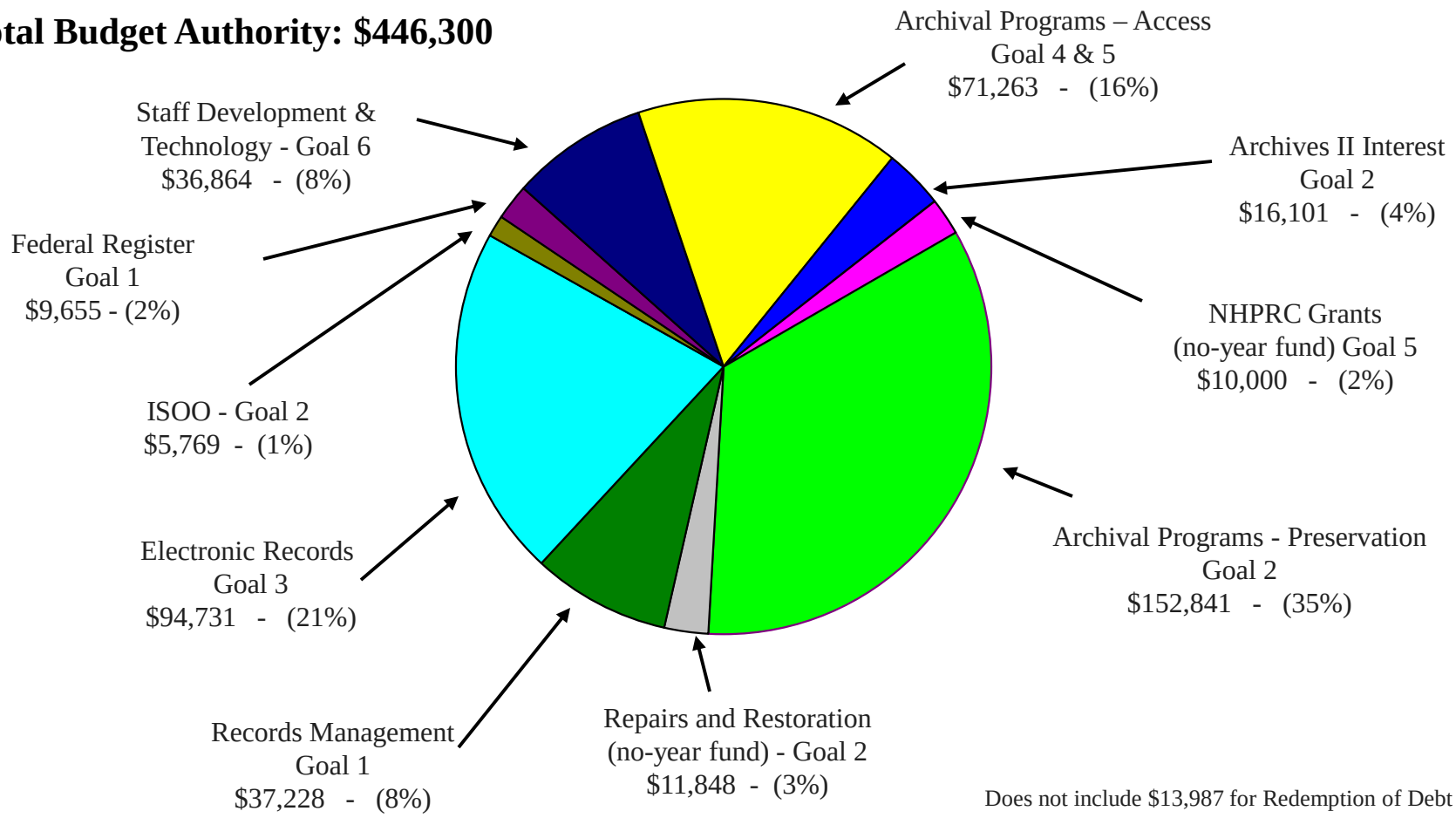
(dollars in thousands)

	2009 Enacted Level		2010 Enacted Level		2011 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
Operating Expenses – Direct	1,484	$327,253	1,594	$339,767	1,651	$348,686
Office of Inspector General	18	3,055	23	4,103	24	4,253
Electronic Records Archives	49	67,008	49	85,500	49	85,500
Repairs and Restoration	0	50,711	0	27,500	0	11,848
NHPRC Grants	0	11,250	0	13,000	0	10,000
Advances and Reimbursements	49	0	47	0	47	0
Revolving Fund	1,289	0	1,380	0	1,380	0
Trust Fund	113	0	121	0	121	0
TOTAL APPROPRIATIONS	**3,002**	**$459,277**	**3,214**	**$469,870**	**3,272**	**$460,287**
Less Redemption of Debt		-$11,842		-$12,870		-$13,987
GRAND TOTAL – BUDGET AUTHORITY	**3,002**	**$447,435**	**3,214**	**$457,000**	**3,272**	**$446,300**

NOTE: Archives II principal for redemption of debt is excluded from Budget Authority amounts in accordance with OMB guidelines.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
FY 2011 Performance Budget Request by Function
(dollars in thousands)

Total Budget Authority: $446,300



Does not include $13,987 for Redemption of Debt

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS

PERFORMANCE COSTS - FISCAL YEAR 2009

(dollars in thousands)

ACTIVITIES	Operating Expenses		Electronic Records Archives		Office of Inspector General		R & R	NHPRC	Advances & Reimbursements		Trust Fund		Revolving Fund		Total	
	$	FTE	$	FTE	$	FTE	$	$	$	FTE	$	FTE	$	FTE	$	FTE
Goal 1: As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.																
Records Services	$31,994	203	-	-	-	-	-	-	-	-	-	-	$165,155	1,289	$197,149	1,492
Archives Related Services	$9,687	64	-	-	-	-	-	-	-	-	-	-	-	-	$9,687	64
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 1	**$41,681**	**267**	**$0**	**0**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$165,155**	**1,289**	**$206,836**	**1,556**
Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.																
Records Services	$143,638	697	-	-	-	-	$21,082	-	-	-	-	-	-	-	$164,720	697
Archives Related Services	145	-	-	-	-	-	-	-	-	-	-	-	-	-	$145	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	$17,129	-	-	-	-	-	-	-	-	-	-	-	-	-	$17,129	0
Total Goal 2	**$160,912**	**697**	**$0**	**0**	**$0**	**0**	**$21,082**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$181,994**	**697**
Goal 3: We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.																
Records Services	$10,476	51	-	-	-	-	-	-	-	-	-	-	-	-	$10,476	51
Archives Related Services	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Electronic Records Archives	-	-	$67,298	49	-	-	-	-	-	-	-	-	-	-	$67,298	49
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 3	**$10,476**	**51**	**$67,298**	**49**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$77,774**	**100**
Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime.																
Records Services	$52,491	224	-	-	-	-	-	-	$3,281	49	$200	1	-	-	$55,972	274
Archives Related Services	283	-	-	-	-	-	-	-	2	-	-	-	-	-	$285	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 4	**$52,774**	**224**	**$0**	**0**	**$0**	**0**	**$0**	**$0**	**$3,283**	**49**	**$200**	**1**	**$0**	**0**	**$56,257**	**274**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS

PERFORMANCE COSTS - FISCAL YEAR 2009

(dollars in thousands)

ACTIVITIES	Operating Expenses		Electronic Records Archives		Office of Inspector General		R & R	NHPRC	Advances & Reimbursements		Trust Fund		Revolving Fund		Total	
	$	FTE	$	FTE	$	FTE	$	$	$	FTE	$	FTE	$	FTE	$	FTE
Goal 5: We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.																
Records Services	$13,338	69	-	-	-	-	-	-	-	-	$15,883	112	-	-	$29,221	181
Archives Related Services	$2,019	9	-	-	-	-	-	$8,661	-	-	-	-	-	-	$10,680	9
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 5	**$15,357**	**78**	**$0**	**0**	**$0**	**0**	**$0**	**$8,661**	**$0**	**0**	**$15,883**	**112**	**$0**	**0**	**$39,901**	**190**
Goal 6: We will equip NARA to meet the changing needs of our customers.																
Records Services	$34,579	167	-	-	-	-	-	-	-	-	-	-	-	-	$34,579	167
Archives Related Services	$1,439	-	-	-	-	-	-	-	-	-	-	-	-	-	$1,439	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Office of Inspector General	-	-	-	-	$3,055	18	-	-	-	-	-	-	-	-	$3,055	18
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 6	**$36,018**	**167**	**$0**	**0**	**$3,055**	**18**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$39,073**	**185**
Summary of Goals 1 through 6																
Records Services	$286,516	1,411	$0	0	$0	0	$21,082	$0	$3,281	49	$16,083	113	$165,155	1,289	$492,117	2,862
Archives Related Services	$13,573	73	$0	0	$0	0	$0	$8,661	$2	0	$0	0	$0	0	$22,236	73
Electronic Records Archives	$0	0	$67,298	49	$0	0	$0	$0	$0	0	$0	0	$0	0	$67,298	49
Office of Inspector General	$0	0	$0	0	$3,055	18	$0	$0	$0	0	$0	0	$0	0	$3,055	18
Archives II Facility	$17,129	0	$0	0	$0	0	$0	$0	$0	0	$0	0	$0	0	$17,129	0
GRAND TOTAL	**$317,218**	**1,484**	**$67,298**	**49**	**$3,055**	**18**	**$21,082**	**$8,661**	**$3,283**	**49**	**$16,083**	**113**	**$165,155**	**1,289**	**$601,835**	**3,002**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS

PERFORMANCE COSTS - FISCAL YEAR 2010

(dollars in thousands)

ACTIVITIES	Operating Expenses		Electronic Records Archives		Office of Inspector General		R & R	NHPRC	Advances & Reimbursements		Trust Fund		Revolving Fund		Total	
	$	FTE	$	FTE	$	FTE	$	$	$	FTE	$	FTE	$	FTE	$	FTE
Goal 1: As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.																
Records Services	$36,511	232	-	-	-	-	-	-	-	-	-	-	$161,155	1,380	$197,666	1,612
Archives Related Services	$9,474	66	-	-	-	-	-	-	-	-	-	-	-	-	$9,474	66
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 1	**$45,985**	**298**	**$0**	**0**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$161,155**	**1,380**	**$207,140**	**1,678**
Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.																
Records Services	$149,858	733	-	-	-	-	$27,500	-	-	-	-	-	-	-	$177,358	733
Archives Related Services	132	-	-	-	-	-	-	-	-	-	-	-	-	-	$132	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	$16,101	-	-	-	-	-	-	-	-	-	-	-	-	-	$16,101	0
Total Goal 2	**$166,091**	**733**	**$0**	**0**	**$0**	**0**	**$27,500**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$193,591**	**733**
Goal 3: We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.																
Records Services	$10,592	54	-	-	-	-	-	-			-	-	-	-	$10,592	54
Archives Related Services	-	-	-	-	-	-	-	-		-	-	-	-	-	$0	0
Electronic Records Archives	-	-	$85,500	49	-	-	-	-	-	-	-	-	-	-	$85,500	49
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 3	**$10,592**	**54**	**$85,500**	**49**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$96,092**	**103**
Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime.																
Records Services	$54,327	257	-	-	-	-	-	-	$2,994	47	$200	1	-	-	$57,521	305
Archives Related Services	484	-	-	-	-	-	-	-	-	-	-	-	-	-	$484	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 4	**$54,811**	**257**	**$0**	**0**	**$0**	**0**	**$0**	**$0**	**$2,994**	**47**	**$200**	**1**	**$0**	**0**	**$58,005**	**305**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS

PERFORMANCE COSTS - FISCAL YEAR 2010

(dollars in thousands)

ACTIVITIES	Operating Expenses		Electronic Records Archives		Office of Inspector General		R & R	NHPRC	Advances & Reimbursements		Trust Fund		Revolving Fund		Total	
	$	FTE	$	FTE	$	FTE	$	$	$	FTE	$	FTE	$	FTE	$	FTE
Goal 5: We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.																
Records Services	$13,738	70	-	-	-	-	-	-	-	-	$16,979	120	-	-	$30,717	190
Archives Related Services	$2,101	11	-	-	-	-	-	$13,000	-	-	-	-	-	-	$15,101	11
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 5	**$15,839**	**81**	**$0**	**0**	**$0**	**0**	**$0**	**$13,000**	**$0**	**0**	**$16,979**	**120**	**$0**	**0**	**$45,818**	**201**
Goal 6: We will equip NARA to meet the changing needs of our customers.																
Records Services	$32,261	171	-	-	-	-	-	-	-	-	-	-	-	-	$32,261	171
Archives Related Services	$1,321	-	-	-	-	-	-	-	-	-	-	-	-	-	$1,321	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Office of Inspector General	-	-	-	-	$4,100	23	-	-	-	-	-	-	-	-	$4,100	23
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 6	**$33,582**	**171**	**$0**	**0**	**$4,100**	**23**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$37,682**	**194**
Summary of Goals 1 through 6																
Records Services	$297,287	1,517	$0	0	$0	0	$27,500	$0	$2,994	47	$17,179	121	$161,155	1,380	$506,115	3,065
Archives Related Services	$13,512	77	$0	0	$0	0	$0	$13,000	$0	0	$0	0	$0	0	$26,512	77
Electronic Records Archives	$0	0	$85,500	49	$0	0	$0	$0	$0	0	$0	0	$0	0	$85,500	49
Office of Inspector General	$0	0	$0	0	$4,100	23	$0	$0	$0	0	$0	0	$0	0	$4,100	23
Archives II Facility	$16,101	0	$0	0	$0	0	$0	$0	$0	0	$0	0	$0	0	$16,101	0
GRAND TOTAL	**$326,900**	**1,594**	**$85,500**	**49**	**$4,100**	**23**	**$27,500**	**$13,000**	**$2,994**	**47**	**$17,179**	**121**	**$161,155**	**1,380**	**$638,328**	**3,214**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS

PERFORMANCE COSTS - FISCAL YEAR 2011

(dollars in thousands)

ACTIVITIES	Operating Expenses		Electronic Records Archives		Office of Inspector General		R & R	NHPRC	Advances & Reimbursements		Trust Fund		Revolving Fund		Total	
	$	FTE	$	FTE	$	FTE	$	$	$	FTE	$	FTE	$	FTE	$	FTE
Goal 1: As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.																
Records Services	$37,228	235	-	-	-	-	-	-	-	-	-	-	$167,622	1,380	$204,850	1,615
Archives Related Services	$9,655	67	-	-	-	-	-	-	-	-	-	-	-	-	$9,655	67
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 1	**$46,883**	**302**	**$0**	**0**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$167,622**	**1,380**	**$214,505**	**1,682**
Goal 2: We will preserve and process records to ensure access by the public as soon as legally possible.																
Records Services	$159,591	781	-	-	-	-	$11,848	-	-	-	-	-	-	-	$171,439	781
Archives Related Services	136	-	-	-	-	-	-	-	-	-	-	-	-	-	$136	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	$14,984	-	-	-	-	-	-	-	-	-	-	-	-	-	$14,984	0
Total Goal 2	**$174,711**	**781**	**$0**	**0**	**$0**	**0**	**$11,848**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$186,559**	**781**
Goal 3: We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.																
Records Services	$9,231	54	-	-	-	-	-	-			-	-	-	-	$9,231	54
Archives Related Services	-	-	-	-	-	-	-	-		-	-	-	-	-	$0	0
Electronic Records Archives	-	-	$85,500	49	-	-	-	-	-	-	-	-	-	-	$85,500	49
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 3	**$9,231**	**54**	**$85,500**	**49**	**$0**	**0**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$94,731**	**103**
Goal 4: We will provide prompt, easy, and secure access to our holdings anywhere, anytime.																
Records Services	$54,564	260	-	-	-	-	-	-	$3,038	47	$200	1	-	-	$57,802	308
Archives Related Services	490	-	-	-	-	-	-	-	-	-	-	-	-	-	$490	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 4	**$55,054**	**260**	**$0**	**0**	**$0**	**0**	**$0**	**$0**	**$3,038**	**47**	**$200**	**1**	**$0**	**0**	**$58,292**	**308**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
INCLUDES ALL FUNDS

PERFORMANCE COSTS - FISCAL YEAR 2011

(dollars in thousands)

ACTIVITIES	Operating Expenses		Electronic Records Archives		Office of Inspector General		R & R	NHPRC	Advances & Reimbursements		Trust Fund		Revolving Fund		Total	
	$	FTE	$	FTE	$	FTE	$	$	$	FTE	$	FTE	$	FTE	$	FTE
Goal 5: We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.																
Records Services	$14,083	71	-	-	-	-	-	-	-	-	$16,953	120	-	-	$31,036	191
Archives Related Services	$2,126	11	-	-	-	-	-	$10,000	-	-	-	-	-	-	$12,126	11
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 5	**$16,209**	**82**	**$0**	**0**	**$0**	**0**	**$0**	**$10,000**	**$0**	**0**	**$16,953**	**120**	**$0**	**0**	**$43,162**	**202**
Goal 6: We will equip NARA to meet the changing needs of our customers.																
Records Services	$31,335	172	-	-	-	-	-	-	-	-	-	-	-	-	$31,335	172
Archives Related Services	$1,279	-	-	-	-	-	-	-	-	-	-	-	-	-	$1,279	0
Electronic Records Archives	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Office of Inspector General	-	-	-	-	$4,250	24	-	-	-	-	-	-	-	-	$4,250	24
Archives II Facility	-	-	-	-	-	-	-	-	-	-	-	-	-	-	$0	0
Total Goal 6	**$32,614**	**172**	**$0**	**0**	**$4,250**	**24**	**$0**	**$0**	**$0**	**0**	**$0**	**0**	**$0**	**0**	**$36,864**	**196**
Summary of Goals 1 through 6																
Records Services	$306,032	1,573	$0	0	$0	0	$11,848	$0	$3,038	47	$17,153	121	$167,622	1,380	$505,693	3,121
Archives Related Services	$13,686	78	$0	0	$0	0	$0	$10,000	$0	0	$0	0	$0	0	$23,686	78
Electronic Records Archives	$0	0	$85,500	49	$0	0	$0	$0	$0	0	$0	0	$0	0	$85,500	49
Office of Inspector General	$0	0	$0	0	$4,250	24	$0	$0	$0	0	$0	0	$0	0	$4,250	24
Archives II Facility	$14,984	0	$0	0	$0	0	$0	$0	$0	0	$0	0	$0	0	$14,984	0
GRAND TOTAL	**$334,702**	**1,651**	**$85,500**	**49**	**$4,250**	**24**	**$11,848**	**$10,000**	**$3,038**	**47**	**$17,153**	**121**	**$167,622**	**1,380**	**$634,113**	**3,272**

FISCAL YEAR 2011

ANNUAL PERFORMANCE PLAN

Submitted to Congress
February 1, 2010

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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PREFACE

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 the records that document the rights of American citizens, the actions of Federal officials, and the national experience.

To ensure that we preserve the past to protect the future, the National Archives and Records Administration (NARA) appraises, accessions, arranges, describes, preserves, and makes available to the public the historically valuable records of the three branches of Government. We establish 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 fund grants to increase access to the nation's historical documents. 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 the Office of Government Information Services, responsible for the review of agencies' FOIA administration practices and compliance with FOIA. 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 records are essential, ensure that Government creates such records, and make it easy for users to access those records regardless of where they are, or where the users 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 SERVES AMERICAN DEMOCRACY BY SAFEGUARDING AND PRESERVING THE RECORDS OF OUR GOVERNMENT, ENSURING THAT THE PEOPLE CAN DISCOVER, USE, AND LEARN FROM THIS DOCUMENTARY HERITAGE. WE ENSURE CONTINUING ACCESS TO THE ESSENTIAL DOCUMENTATION OF THE RIGHTS OF AMERICAN CITIZENS AND THE ACTIONS OF THEIR GOVERNMENT. WE SUPPORT DEMOCRACY, PROMOTE CIVIC EDUCATION, AND FACILITATE HISTORICAL UNDERSTANDING OF OUR NATIONAL EXPERIENCE.

Our Strategic Goals:

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

These goals and the strategies to achieve them are detailed in *Preserving the Past to Protect the Future: The Strategic Plan of the National Archives and Records Administration, 2006-2016*, which was revised and re-issued in September 2009. This annual performance plan is based on the goals, strategies, and long-range performance targets in our Strategic Plan, and builds on expected performance in FY 2010. It details the actions and outcomes that must occur in FY 2011 for us to move forward on meeting the goals and targets in our Strategic Plan. In addition to listing performance goals and measures for evaluating our performance, the plan describes the processes, skills, and technologies, and the human, capital, and informational resources needed to meet the year's performance goals. We received no aid from non-Federal parties in preparing this plan.

Following is a summary of the resources, by budget authority, we are requesting to meet our FY 2011 objectives. Our budget is linked to the performance goals in this plan.

Operating Expenses	**$334,702**
Office of Inspector General	**$4,250**
Electronic Records Archives	**$85,500**
Repairs/Restorations	**$11,848**
Grants	**$10,000**
Total Budget Authority	**$446,300**
Redemption of Debt	**$13,987**
Total Appropriation	**$460,287**
Total FTE	**3,272**

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 a balanced scorecard approach for tracking cycle times, quality, productivity, cost, and customer satisfaction for our products and services.

Our performance measurement system, which we continuously work to improve, takes advantage of web infrastructure to collect performance data from the more than 70 organizational units that send data to PMRS from all over the country. We also use robust, enterprise-level databases to store the data and generate reports, instead of high-maintenance desktop databases previously used. As a result, we are able to collect our performance data more consistently and more efficiently and store much more data for use in analyzing trends. We have leveraged this technology and operationally integrated data collection to create a performance measurement database that serves the entire agency and is the single strategic performance data source for the agency.

Our program management system (PROMT) controls costs and schedules on a variety of programs including 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 also implemented project management guidance throughout the agency to standardize the use of these and other project management tools and processes.

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 continuing access to essential documentation, 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 preserving electronic information so it is readily accessible in the future 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 FY 2011 road map for meeting the great expectations of our nation.

STRATEGIC GOAL 1 — AS THE NATION'S RECORD KEEPER, WE WILL ENSURE THE CONTINUITY AND EFFECTIVE OPERATIONS OF FEDERAL PROGRAMS BY EXPANDING OUR LEADERSHIP AND SERVICES IN MANAGING THE GOVERNMENT'S RECORDS

Long Range Performance Targets

1.1 By 2016, 50 percent of agencies achieve passing scores for compliance with Federal records management policy.

1.2 By 2016, 90 percent of customers are highly satisfied with NARA records management services.

1.3 By 2016, records management transactions serviced by the Federal Records Centers Program grow by 6 percent.

1.4 Within 30 days of the end of an administration, 100 percent of Presidential and Vice Presidential materials have been moved to NARA locations or NARA-approved facilities.

FY 2010 Resources Available to Meet This Goal: $45,985,000; 1,678 FTE
FY 2011 Resources Requested to Meet This Goal: $46,883,000; 1,682 FTE

FY 2011 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
1.1 By 2016, 50 percent of agencies achieve passing scores for compliance with Federal records management policy.	✓							
1.2 By 2016, 90 percent of customers are highly satisfied with NARA records management services.	✓							
1.3 By 2016, records management transactions serviced by the Federal Records Center Program grow by 6 percent.					✓			
1.4 Within 30 days of the end of an administration, 100 percent of Presidential and Vice Presidential materials have been moved to NARA locations or NARA-approved facilities.	✓							

Long Range Performance Target 1.1 By 2016, 50 percent of agencies achieve passing scores for compliance with Federal records management policy.

FY 10 Estimated Performance

- 50 percent of agencies' records management self-assessments received by NARA.
- Conduct one records management inspection.

FY 11 Projected Performance

- Increase by 10 percent the number of agency records management self-assessments received by NARA.
- 25 percent of agencies achieve a passing score for compliance with Federal records management policy.
- Conduct one records management inspection based on evaluation of agency self-assessment results.

Outcome We will promote and examine compliance with Federal records management policy throughout Federal agencies. We will leverage our leadership position and expertise to focus on oversight activities designed to monitor and assist agencies with their Federal records management responsibilities. We will work with agencies to ensure that they understand the effectiveness of their records management plans and programs in meeting the needs of the agency, government, and citizens. Records management is the best tool for ensuring that the essential records required for the day-to-day operation of Government business are available and recoverable in the event of an emergency. Records management should be integrated into Federal business processes so that records are routinely identified, retained, and maintained and available for normal operational needs and in emergency situations. Expanding the integration and effectiveness of records management planning and programs will produce cost savings and greater Government-wide efficiency. Our nation's history is deeply rooted in the business of government. For citizens to understand their role in the process of government, records of archival value must be preserved. Identifying these records and developing strategies to ensure their availability to the American people is a vital records management function.

Significance The Federal Government must identify and protect records from the time of their creation so that they are available to operational staff at critical times, and are later preserved and made available to the public. Preserving our nation's records ensures that they are protected for the future, and available to document the rights of our citizens, Federal government actions, and the historical experience of our nation.

Means and Strategies NARA's *Strategic Directions for Federal Records Management* is our plan for creating relationships with agencies that advance records management as a part of the Government's mission. 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.

Through survey mechanisms, we have been able to assess that senior agency managers recognize the importance of records management and its benefit as a risk mitigation tool. Since FY 2005, we have experienced steady growth in agency staff attending records management training to increase their awareness and knowledge of records management policies and practices. To guarantee the availability of these records to citizens both now and in the future, we must ensure that agencies understand and comply with records management policies and effectively manage these important assets.

In FY 2008 GAO issued a report entitled "Federal Records – National Archives and Selected Agencies Need to Strengthen E-Mail Management." GAO recommended that the National Archives exercise its authority as defined in the Federal Records Act and implement oversight mechanisms to ensure that agencies follow necessary records management guidelines so that important federal records are not lost or destroyed. GAO noted that we must report our findings to OMB and Congress. As a result of these recommendations, in FY 2009, NARA developed a methodology and process for conducting records

management oversight activities for Federal agencies and mechanisms for reporting the results to Congress and OMB. Part of this methodology includes annual agency self-assessments and surveys on specific records management areas. This methodology will be implemented in FY 2010 as part of our effort to conduct oversight activities. We will use a scoring methodology and criteria to identify agencies that require a more detailed inspection. In FY 2011, NARA will continue to conduct inspections and self-assessments to monitor agencies and to gather data on the Federal recordkeeping environment.

Key external factors Federal agencies must devote resources to perform records management. Federal agency managers must see records management as an asset for their business operations. Federal agencies must assign resources to perform regular self-assessment of records management compliance. Records management professionals must be trained in Federal records management policy.

Verification and Validation

Performance Data	**FY 2009**	**FY 2010**	**FY 2011**
Performance target for percent of agencies who submit records management self-assessments to NARA.		*50*	*55*
Percent of agencies who submit records management self-assessments to NARA.	—		
Performance target for percent of agencies with passing scores for compliance with Federal Records management policy.	—	—	*25*
Percent of agencies achieving passing scores for compliance with Federal Records management policy.	—		

Milestones

FY 2006
- Survey of Federal agencies (CIOs) to assess their view of their records management programs completed.
- Two records management studies of Federal agencies completed.

FY 2007
- Survey results analyzed to expand to senior Federal agency managers to assess their views of their records management programs as positive tools for risk mitigation.
- One records management study of Federal agencies completed.

FY 2008
- Senior Federal agency managers surveyed to assess their views of their records management programs as positive tools for risk mitigation.
- Two records management studies (i.e. Recordkeeping Study and Flexible Scheduling Study) of Federal agencies completed.

FY 2009
- Survey results analyzed and additional advocacy and training strategies discussed.
- Methodology and process for conducting and reporting records management oversight activities developed.

FY 2010 Estimated
- Agency self-assessment of their records management program conducted.
- One agency inspection conducted.
- Results of government-wide agency self-assessment analyzed.

FY 2011 Projected
- One agency inspection conducted.
- Results of Government-wide agency self-assessment analyzed.

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

Definitions Risk Mitigation: Determining the value of information as a business asset in terms of its primary and secondary uses in the business process; identifying potential risks to the availability and usefulness of the information; estimating the likelihood of such risks occurring; evaluating the consequences if the risk occurs; and managing the information based on that analysis.

Long Range Performance Target 1.2	**By 2012, 90 percent of customers are highly satisfied with NARA records management services.**

FY 10 Estimated Performance

- Digitize and post all approved agency records schedules from 1973 to present on NARA's public web site.
- Increase by 5 percent the number of distance learning course offerings.

FY 11 Projected Performance

- 87 percent of Federal agency customers are highly satisfied with NARA records management services.
- Increase by 5 percent the number of distance learning course offerings.

Outcome NARA will improve Government-wide records management by providing services that meet the needs of records managers and operational staff across the Government. A significant indicator of NARA's success is the satisfaction of its customers, Federal managers, and employees throughout the Government. NARA will meet customer needs through providing prompt and responsive service, effective and educational training, and by facilitating the ongoing review of Federal records management practices.

NARA will improve and increase the guidance that it provides to Federal agencies to support meeting their records management responsibilities and challenges. NARA will also increase the Government's records management capability through studying records management challenges particular to Government and through training and certifying new records managers in every Federal agency.

Significance NARA's ability to provide agency records managers with the guidance, tools, and assistance they need to meet their agencies' business needs is critical to ensuring effective operations of Federal programs. The managers and operational staff that generate the records vital to Government operations and our nation's history must have the training and tools necessary to fulfill their obligation to the public.

Means and Strategies NARA's success in providing agencies with the records management tools they need is the basis for evaluating its service to the Federal Government. Records managers are the most important audience for NARA's records management services, and they are best able to judge our success. In FY 2006 we surveyed Federal records managers about their satisfaction with NARA's scheduling and appraisal services. Since then, we have expanded the survey to gauge customer satisfaction with NARA records management services, including scheduling and appraisal services, electronic records guidance, and records management training services.

NARA is using the results of the surveys to identify ways to improve our services to agency records management programs and government-wide records management. As outlined in our Strategic Plan, we will expand the demand for records management in the Federal Government by advocating for it at senior levels. By providing guidance, training, and assistance throughout the Government, we will support agencies' business needs and embed records management in the agencies' business processes and systems. In FY 2010 we will analyze the results and implement improvements identified from our surveys. We will scan and provide access to approved agency records schedules on the NARA public web site. This will provide agencies with a repository of information to facilitate rapid records schedule development, enable

cross records management program comparisons for effectiveness, and provide an active list of all approved schedules for ongoing inventory development. In FY 2011, we will continue to conduct the customer satisfaction survey with revised questions to elicit data from agencies on where we can improve our records management services. We will also review and identify where improvements are needed based on input from mandatory annual agency self-assessments of their records management programs and NARA conducted agency inspections.

The NARA National Records Management Training Program continues to provide a curriculum designed to enhance and improve the knowledge and skills of Federal records managers. Since FY 2007, we have evaluated and updated our records management certification program to improve certification testing, update training materials to reflect regulatory and procedural changes, and improve instructional design. In FY 2009 we explored ways to expand our reach through webinars and other distance learning techniques. In FY 2010 we will incorporate the 2009 regulatory changes into the training and establish a baseline for measuring the success of our distance learning activities. In FY 2011, we will begin work on a 5-year revision schedule that will overhaul existing courses, improving their content, delivery, interactivity, and reusability. In addition, work will begin on development of wholly online training content, while we continue development of webinars. We will also begin developing a re-certification class, which will provide certificate holders with updates about new NARA policies, initiatives, or program changes that occurred since they received their certificate training.

A critical tactic for improving customer satisfaction is the redesign of the processes by which Federal records overall are identified, appraised, scheduled, and tracked while in agency custody. Part of the strategy for carrying out this plan is the continued development of the Electronic Records Archives, an application that supports the scheduling and accessioning of Federal records. We successfully achieved initial operating capability of ERA in FY 2008. Continued development of this tool will make it easier for agencies to inventory their records and for NARA to review and approve records schedules and ensure that essential documentation is not lost.

Key external factors Records management professionals must be self-motivated to attend training and complete NARA's certification program.

Verification and Validation

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Performance target for percent increase in the number of Federal agency customers that are satisfied with NARA records management services.	*10*	*10*	—	*10*	—	*10*
Percent of Federal agency customers that are satisfied with NARA records management services.	78	80	*81*	81		
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.	*10*	*10*	*10*	*10*	—	—
Percent of records management training participants taking a NARA records management course for the first time.	35	42	40	63		
Number of records management training participants who are taking a NARA records management course for the first time.	1,484	2,122	2,553	7,612		
Performance target for percent increase in the number of distance learning course offerings.	—	—	—	—	*5*	5
Percent increase in the number of distance learning course offerings.	—	—	—	—		

Performance Data	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Number of Federal agency staff receiving NARA training in records management and electronic records management.	4,234	5,047	6,318	12,079		
Number of records management training participants that NARA certified this year.	275	267	310	242		
Median time for records schedule items completed (in calendar days).	334	284	315	302		
Average age of schedule items completed (in calendar days).	374	452	443	416		
Number of schedule items completed.	3,884	2,992	3,282	3,223		
Number of open schedules in the backlog.	363	402	569	1,015		

Milestones

FY 2006
- 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 projects for an additional FEA BRM sub-function participated in.
- Toolkit for Managing Electronic Records "proof-of-concept" web portal launched and agency comments solicited.

FY 2007
- First official version of the Toolkit for Managing Electronic Records portal launched.
- Records Management Services registered into *Core.gov.*

FY 2008
- Effectiveness of flexible schedules for agencies and NARA assessed.

FY 2009
- Customer Satisfaction Survey issued.
- Distance learning techniques to expand customer base selected.

FY 2010 Estimated
- Customer Satisfaction survey results analyzed and improvements implemented.
- Baseline of participants using distance learning tools established.

FY 2011 Projected
- Customer satisfaction survey issued.
- At least three courses revised to reflect new NARA initiatives (e.g. ARCIS, ERA).
- Pilot of wholly online training module tested.

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 Records Management Services (RMS): a piece of software providing 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 sub-function across multiple agencies performing that sub-function. 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.

Long Range Performance Target 1.3 By 2016, records management transactions serviced by the Federal Records Centers Program grows by 6 percent.

FY 10 Estimated Performance
- Increase number of records management transactions serviced by FRCP by 1 percentage point.

- Make ready 97 percent of Federal agency reference requests within the promised time.
- Answer 80 percent of written requests to the National Personnel Records Center within 10 working days.
- Achieve 87 percent customer satisfaction at NPRC.
- Deploy ARCIS in remaining records centers.
- Implement Increment 3 of ARCIS at Federal Records Centers.

FY 11 Projected Performance

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

Outcome The outcome of our actions is that we provide superb service and customer-responsive solutions to Federal agencies. As a result, Federal agencies can economically and effectively create and manage paper and electronic records necessary to meet business needs, and records of archival value are preserved.

Significance The NARA Federal Records Centers Program (FRCP) 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 agencies' vital records are efficiently and appropriately managed for as long as needed. As more Federal records are created and managed in electronic formats, NARA is responding by focusing on customer requirements and 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, allowing us to be more flexible in responding to agency records needs, and requiring us to meet those needs in a cost-effective and efficient way. Our ability to satisfy and retain our customers is dependent on our ability to meet their needs and to anticipate the kinds of services that will be most useful

to them. Over the last several years, we have piloted and tested a variety of electronic records services. Until NARA's Electronic Records Archives (ERA) program can provide complete online servicing, we will continue to test the delivery of new offline services for electronic records, including digitizing records into electronic formats, storage of agencies' electronic records on media, and remote servicing of electronic records, for example, electronic Official Military Personnel Files (OMPF). The FRCP completed a project to analyze the business case and options for launching electronic Federal Records Center services in 2010. The FRCP will continue to assess customer demand and options for providing online storage for temporary electronic records.

The FRCP is replacing its 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 nearly 20 years. Most importantly, these systems no longer support the new FRCP reimbursable financial environment. The newly developed and recently deployed Archives and Records Center Information System (ARCIS) provides robust inventory and space management for more than 25 million cubic feet of records through a web-based application for all FRC business transactions. ARCIS enables Federal agencies to better manage records throughout the records lifecycle, will enable the FRCP to better measure all facets of FRCP performance, and will provide asset management and billing functionality. ARCIS was deployed to all NARA's Federal Records Centers from FY 2009 through early FY 2010. Increment 3 of ARCIS will be implemented during FY 2010. Increment 3 will include integration of retrieval tools for military and civilian personnel and medical records in the National Personnel Records Center in St. Louis, improved reporting capabilities and an enhanced customer portal. Increment 4, scheduled for FY 2011, will include expanded use of barcoding, full-text searching, support for local billing arrangements, and further enhancements to the customer portal.

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

Verification and Validation

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Performance target for percentage point increase in the number of records management transactions serviced by FRCP.	—	—	—	—	*1*	*1*
Percentage point increase in the number of records management transactions serviced by FRCP.	—	—	—	—		
Performance target for percent increase in cubic feet of holdings stored by Federal Records Center Program.	—	—	*1*	*1*	*1*	*1*
Percent increase in cubic feet of holdings stored by Federal Records Center Program.	2	2.1	3.5	2.4		
Performance target for percent of customers satisfied with NPRC services.	—	—	—	*Establish baseline*	*87*	*88*
Percent of customers satisfied with NPRC services.	—	—	—	85		
Performance target for percent of Federal agency reference requests ready within the promised time.	*95*	*95*	*96*	*97*	*97*	*98*
Percent of Federal agency reference requests ready within the promised time.	98	97	97	97		
Performance target for customers with appointments for whom records are waiting at the appointed time.	*99*	*99*	*99*	*99*	*99*	*99*
Percent of customers with appointments for whom records are waiting at the appointed time.	99.8	99.9	99.9	99.9		

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Performance target for percent of written requests to the National Personnel Records Center answered within 10 working days.	—	*75*	*75*	*80*	*80*	*80*
Percent of written requests to the NPRC answered within 10 working days.	67	65	74	69		
Number of written requests to the NPRC answered within 10 working days (in thousands).	739	740	854	845		
Number of written requests for civilian records to the NPRC answered within 10 working days (in thousands).	179	174	167	94		
Number of written requests for military records to the NPRC answered within 10 working days (in thousands).	559	566	687	751		
Number of written requests to the NPRC answered (in thousands).	1,110	1,139	1,216	1,314		
Performance target for (average) number of working days to respond to requests for military personnel records.	—	—	—	—	*15*	*10*
(Average) Number of working days to respond to request for military personnel records.	17.8	15.4	11.8	17.5		
(Average) Number of working days to respond to request for civilian personnel records.	5.5	5.9	7.5	9.9		
Performance target for requests for military service separation records at the NPRC answered within 10 working days.	*95*	*95*	—	—	—	
Percent of requests for military service separation records at the NPRC answered within 10 working days.	91	90	95	95		
Number of military service separation records (DD-214) requests answered (in thousands).	442	475	506	574		
Percent of requests for all military service records at the NPRC in St. Louis answered within 10 working days.	61	59	72	70		
Average price per request for military service separation records.	$29.70	$29.70	$30.10	$31.70		

Milestones

FY 2006

- Remote servicing capability for electronic OMPFs offered to 4 military service departments.
- Pilot program to store backup and inactive copies of agency electronic media in selected record center locations completed.
- Indexing and delivery of scanned records services through a pilot digital conversion program assessed.
- Electronic records storage environment at Washington National Records Center constructed and operational.

FY 2007

- Results of a production scan pilot implemented.
- Contract for ARCIS awarded.
- E-media storage services rolled out in two records centers.

FY 2009

- Rollout of ARCIS to nearly all Federal Records Centers completed.
- Baseline customer satisfaction with National Personnel Records Center services established.
- NPRC agreements with the Office of Personnel Management to service requests using electronic Official Personnel Files (OPFs) of former federal civilian employees implemented.

FY 2010 Estimated	• ARCIS Reporting capabilities improved and customer portal enhanced. • eFRC Business Case completed and deployment decision reached.
FY 2011 Projected	• Use of barcoding, full-text searching, and customer portal in ARCIS expanded.

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

Long Range Performance Target 1.4 Within 30 days of the end of an administration, 100 percent of Presidential and Vice Presidential materials have been moved to NARA facilities or NARA-approved locations.

FY 10 Estimated Performance	• Reference Long Range Performance Target 2.2 for future milestones.
FY 11 Projected Performance	• Reference Long Range Performance Target 2.2 for future milestones.

Outcome Immediately upon the end of a Presidential Administration, NARA takes custody of Presidential records, both textual and electronic, and the Presidential artifacts for transportation to and storage at a new Presidential Library. The records of an outgoing administration are secured, inventoried, and accessible to appropriate special access requesters under the terms of the Presidential Record Act (PRA), including the outgoing and incoming Presidents, Congress, and the Courts.

Significance The Presidential Libraries Acts of 1955 and 1986 authorize NARA to oversee a system of Presidential Libraries. Through these Libraries, NARA provides access to the evidence of history, giving visitors to our research rooms, museums, and public programs firsthand knowledge of the President, the Presidency, and American history. We provide for the transfer and processing of the official records for each Presidential administration. Inventories of Presidential and Vice Presidential records enable the transfer of the records from the White House to NARA, establish basic intellectual control, and facilitate access to the records in the immediate post-Presidential period. In addition, because the PRA mandates that the records of the Administration be available to Freedom of Information Act (FOIA) requests five years after the President leaves office, sound intellectual control prepares the Presidential Library to respond to research demands.

Means and Strategies NARA works closely with each incumbent Administration to ensure that Presidential records are ready for transfer to NARA as soon as an Administration ends. We assist the outgoing Administration in planning and preparing the records for transfer. We work with Administration staff on records issues and transfer strategies. And finally, at exactly 12:01 p.m. on January 20th, we take legal custody of the records, transferring them to their temporary destination where they are inventoried and managed until they can be moved into their final destination at a new Presidential Library.

In FY 2009, we successfully executed the move of the Bush Administration Presidential and Vice Presidential material to NARA. The Bush Administration transferred to NARA more than 60 million pages of textual records and exponentially more electronic Presidential and Vice Presidential records than any earlier Administration. To ensure the preservation of these records for historical, informational, administrative, and evidentiary purposes and to prepare for the transfer of Presidential and Vice Presidential records to our custody, we worked with White House and Vice Presidential staffs to account for Presidential records, in all formats, held in Presidential, First Lady, and Vice Presidential staff offices and other file locations. We provided support to the White House Offices managing records and artifacts,

including the White House Office of Records Management (WHORM), the White House Office Gift Unit, the White House Communications Agency, the Office of the Vice President, and the National Security Council Access and Records Management Staff.

Early staffing is key to success because of the advanced training the staff need to perform this work. Staff must be trained to accomplish the exacting reviews required under the PRA and FOIA to ensure that the Presidential records are available in accordance with the Act. Staff must become familiar with the Administration's holdings, including the artifacts.

Key external factors Our success depends on successful planning with the outgoing and incoming White House staffs.

Verification and Validation

Milestones

FY 2006	• Processed Clinton Presidential and Vice Presidential records opened on January 20, 2006.
FY 2007	• 5 staff (4 archivists and 1 registrar) hired for George W. Bush Presidential Library.
FY 2008	• Additional staff to support preparation and move of George W. Bush Administration records hired. • Leased space for temporary storage of George W. Bush Administration records procured. • Inventories or other information about Presidential and Vice Presidential traditional and electronic records and artifacts gathered to aid in preparation for their relocation from Washington, DC, to the project site or ingestion into NARA's electronic records system.
FY 2009	• Temporary facility for George W. Bush Administration records occupied. • 100 percent of George W. Bush Administration Presidential and Vice Presidential records and artifacts transferred to NARA. • Additional staff and 1 Director hired for George W. Bush Library.

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.

STRATEGIC GOAL 2 — WE WILL PRESERVE AND PROCESS RECORDS TO ENSURE ACCESS BY THE PUBLIC AS SOON AS LEGALLY POSSIBLE

Long Range Performance Targets

2.1 By 2016, 85 percent of scheduled transfers of archival records are received at the scheduled time.

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

2.3 By 2012, 90 percent of agency declassification programs earn high scores from ISOO.

2.4 By 2016, NARA archival holdings of 25-years-old or older records are declassified, exempted, or referred under the provisions of Executive Order 13526.

2.5 By 2016, 100 percent of archival holdings are stored in appropriate space.

2.6 By 2014, 100 percent of NARA records center holdings are stored in appropriate space.

2.7 By 2016, less than 50 percent of archival holdings require preservation action.

FY 2010 Resources Available to Meet This Goal: $193,591,000; 733 FTE
FY 2011 Resources Requested to Meet This Goal: $186,559,000; 781 FTE

FY 2011 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
2.1 By 2016, 85 percent of scheduled transfers of archival records are received at the scheduled time.	✓		✓					
2.2 By 2016, 95 percent of archival holdings have been processed to the point where researchers can have efficient access to them.	✓		✓					
2.3 By 2012, 90 percent of agency declassification programs earn high scores from ISOO.	✓							
2.4 By 2016, NARA archival holdings of 25-year-old or older records are declassified, exempted, or referred under the provisions of Executive Order 13526.	✓							
2.5 By 2016, 100 percent of archival holdings are stored in appropriate space.	✓							✓

2.6 By 2014, 100 percent of NARA records center holdings are stored in appropriate space.					✓			
2.7 By 2016, less than 50 percent of archival holdings require preservation action.	✓							

Long Range Performance Target 2.1 By 2016, 85 percent of scheduled transfers of archival records are received at the scheduled time.

FY 10 Estimated Performance

- 30 percent of archival records transfers arrive at NARA on time.
- 100 percent of agencies have registered schedules with NARA covering all existing electronic records and systems.
- Identify and schedule 10 percent more Federal agency electronic records and systems than were scheduled in FY 2009.
- Agencies submit 10 percent more records schedules using ERA than in FY 2009.

FY 11 Projected Performance

- 40 percent of archival records transfers arrive at NARA on time.
- Identify and schedule 10 percent more Federal agency electronic records and systems than were scheduled in FY 2010.
- Agencies submit 10 percent more records schedules using ERA than in FY 2010.

Outcome 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 records of all three branches of our Government regardless of the media on which they were created. We must instill the importance of transferring to NARA all records on schedule, regardless of format, according to their disposition authority to minimize loss of Federal records protecting our rights as citizens, demonstrating our government's accountability, and preserving information of historical relevance.

Means and Strategies NARA established, in the Electronic Records Archives (ERA) system, the basic IT infrastructure needed to implement NARA's reengineered business processes for Government-wide lifecycle management of records and to manage electronic transfers and storage of electronic records in their original formats. We deployed the initial operating capability (IOC) release of the ERA system in June 2008. Available to only four pilot agencies, this initial release was designed to enable the submission of records schedules and the transfer of records to the legal custody of the National Archives. ERA will also provide the management and technology controls to enable long-term preservation and sustained access to electronic records. In FY 2010, NARA is expanding its ERA pilot activities to include at least 20 additional agencies.

NARA will continue to work closely with individual agencies to address electronic records issues. Past partnership efforts with agencies to schedule records in core function electronic systems had positive results, with more than 2,000 electronic records and systems scheduled since FY 2006. To underscore the importance for agencies to continue scheduling electronic records and systems, NARA re-issued a bulletin in FY 2008 reminding agencies to schedule all of their existing electronic records and systems by the end of FY 2009. We worked with agencies throughout FY 2009 to facilitate this process. In FY 2010, NARA issued a new electronic records scheduling bulletin that requires agencies to report semi-annually to NARA on their scheduling activities. In FY 2010 and FY 2011, we will analyze the data received from agencies on their electronic records scheduling activities and determine what remains to be scheduled and what records should be identified for transfer to NARA.

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 continue to be our highest priorities for allocating NARA records management resources. In FY 2009, we experienced an increased percentage of Federal agencies transferring permanent records to NARA as expected. We will continue to focus 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. With the volume of these records increasing every year, we will continue this practice throughout FY 2010, while also working to improve the timeliness of records transfers to NARA. In FY 2009, we targeted the electronic systems of CFO Act Agencies and other selected agencies to comply with the E-Government Act of 2002. Throughout FY 2010 and FY 2011, we will work with agencies to increase the volume of electronic records scheduled while also developing new strategies and approaches for promoting awareness of scheduling in agencies. With approaches such as the pre-accessioning of electronic records into NARA, we can achieve earlier processing, description, and preservation, avoiding the loss of records that may occur with lengthy agency retention.

Key external factors Federal agencies must schedule their records. Agencies must agree to transfer their permanently valuable records to us. Federal agencies must implement Federal electronic records management standards.

Verification and Validation

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Performance target for percent of archival electronic records transfers for high value records arriving at NARA on time.	—	*5*	*10*	*20*	*30*	*40*
Percent of transfers for high value archival electronic records arriving at NARA on time.	—	—	40	44		

Performance target for percent increase in number of Federal agency electronic records series or systems scheduled than prior year.	—	*10*	*10*	*10*	*10*	*10*
Percent increase in number of Federal agency electronic records series or systems scheduled than prior year.	10	33	31	60		
Number of Federal agency electronic records series or systems scheduled.	—	—	496	794		

Milestones

FY 2006
- Two more transfers of electronic records pre-accessioned.

FY 2007
- Pilot repository with legacy records control schedules populated to facilitate migration of the schedules into ERA.
- Two standard templates for records transferred to NARA outlined.

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

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

Long Range Performance Target 2.2 By 2016, 95 percent of archival holdings have been processed to the point where researchers can have efficient access to them.

FY 10 Estimated Performance
- Increase by 10 points the percent of archival holdings that have been processed to the point where researchers can have efficient access to them.
- Train new archival staff in the processing of Presidential records.

FY 11 Projected Performance
- Increase by 10 points the percent of archival holdings that have been processed to the point where researchers can have efficient access to them.

Outcome More of NARA's holdings are available to the public.

Significance We must guarantee the continuing accessibility of the records of all three branches of Government. If we cannot do this, citizens, businesses, and the Government will lose the essential documentation necessary to prove 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 (see target 3.1).

Means and Strategies *Archival processing* involves all the steps needed to open a record to the public. It includes establishing basic intellectual control, and flagging records that have privacy issues, national security classification, or other restrictions or exemptions. It also includes providing descriptions of the records content, if necessary to understand, the context in which the records were created, and performing initial preservation so that the records may be served to the public. New technology has created increased

opportunities for easier and faster access to our holdings. However, the same technology has led to more records being created. The result is that new records have been *accessioned* (transferred to the legal custody of the National Archives) faster than they could be processed. This has created a backlog of holdings that has been growing for decades. To reduce this backlog and increase public access to holdings, we re-engineered our business process to increase processing efficiency, we reassigned staff to processing, and we implemented 5-year processing plans customized to some archives locations, to ensure that we eliminate our backlog while continuing to process incoming records.

We recognize that the growth of NARA's archival workforce has not kept pace with the increase of records accessioned each year. Besides a shortfall in archival staff, we are also faced with an aging workforce. NARA must build an archival staff able to handle the increasingly complex workload ranging from traditional paper documents more than 100 years old to state-of-the-art electronic records. In FY 2010, we plan to hire a cadre of new archivists with the technical skills, organizational competencies, and knowledge needed to address our increasing workload.

In FY 2009, we were funded to add 15 new archivists to our Presidential Libraries whose records are governed by the Presidential Records Act. With the addition of these 15 staff, we will be able to dedicate staff to both FOIA and systematic processing. The efficiencies inherent in systematic processing will enable us to open more records than we have been able to do in FOIA processing. We will train these new archivists in FY 2010, and in FY 2011, we expect our Libraries to experience increased yearly processing performance significantly higher than the levels in FY 2009.

Key external factors Progress in processing Presidential records may be hindered by an unusually large number of special access requests or Presidential Records Act (PRA)/FOIA requests and the need to review records page by page.

Verification and Validation

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Performance target for percent of archival holdings that have been processed to the point where researchers can have efficient access to them.	—	*Establish baseline*	*30*	*40*	*50*	*60*
Percent of archival holdings that have been processed to the point where researchers can have efficient access to them.	—	21*	30	41		

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

Milestones

FY 2006
- Clinton Presidential and Vice Presidential records became available to FOIA request on January 20, 2006.
- Workload analysis study for textual records completed.

FY 2007
- New business processes for processing archival holdings established for Washington area Federal records established.
- Baseline of unprocessed backlog of archival holdings established and capability to measure it accurately created.

FY 2008
- Processing efficiencies in Presidential Libraries and regional archives studied.

FY 2009
- Additional staff in Presidential Libraries dedicated to processing hired.
- Processing backlog elimination plans in regional archives implemented.

FY 2010 Estimated	• New archival staff for processing Presidential records trained. • Additional 12 archival staff hired.
FY 2011 Projected	• Additional 12 archival staff hired.

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

Long Range Performance Target 2.3 **By 2012, 90 percent of agency declassification programs earn high scores from ISOO.**

FY 10 Estimated Performance	• Increase the percentage of agency declassification programs receiving high scores as assessed by ISOO over the number in FY 2009.
FY 11 Projected Performance	• Increase the percentage of agency declassification programs receiving high scores as assessed by ISOO over the number in FY 2010.

Outcome Records are properly exempted, referred, or declassified under the automatic declassification provisions of the President's Executive Order entitled "classified National Security Information."

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 and conducts on-site reviews to assess those programs. An important component of the security classification program is declassification, in particular the automatic declassification program.

Means and Strategies Through collaborative working groups, policy revisions, and increased oversight, ISOO will seek to streamline the referral process, reduce redundancies in declassification reviews, promote accurate and consistent declassification decisions, improve equity recognition across the declassification community, develop centralized priorities and management controls around the priorities, and make the declassification process more transparent to the public.

Increased oversight will, in part, take place through assessments of agency declassification programs, which will examine the declassification aspects of an executive branch agency's security classification program to determine whether an agency has met the requirements established by the President. The review may include the appropriateness of agency declassification actions, the quality of agency actions to identify classified equities of other agencies, and the appropriateness of agency action to exempt records from automatic declassification based upon application of declassification guidance approved by the Interagency Security Classification Appeals Panel or the application of file series exemptions. The results of a review, along with any appropriate recommendations for improvement, are reported to the agency's senior agency official. During FY 2010 and FY 2011, we will assess agency declassification programs and provide recommendations to improve the quality of reviews. We will report the results of the assessments in ISOO's Annual Report to the President.

Key external factors Agencies' cooperation is essential to identifying the records subject to automatic declassification, impediments to meeting the ongoing deadlines, and solutions to these impediments. Regardless of the best efforts of ISOO, whether or not an agency receives a high score rests with the agencies.

Verification and Validation

Performance Data	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Performance target for percent of agency declassification reviews that receive high scores as assessed by ISOO.		—	*Establish baseline*	*51*	*69*	*87*
Percent of agency declassification reviews that receive high scores as assessed by ISOO.	—	—	36	53		
Number of agency declassification reviews that receive high scores as assessed by ISOO.	—	—	8	10		
Number of agency declassification reviews assessed by ISOO.	—	—	22	19		

Milestones

FY 2006
- Agencies Executive branch-wide responsibilities under Section 3.3 of Executive Order 12958 fulfilled and well-positioned to meet initial December 31, 2006, deadline.

FY 2007
- December 31, 2006, deadline achieved Executive branch wide.
- Scoring method to evaluate agency declassification programs developed.
- Referral standard streamlined and revised.
- Baseline scores of agency declassification reviews assessed by ISOO established.
- 12 Executive branch declassification reviews conducted.
- Strategy for dealing with classified special media established.

FY 2008
- Program for enhancing ISOO's assessment of declassification review programs in agencies with substantial declassification programs developed.
- Annual assessment of agencies with substantial declassification review activity performed.
- Scoring tool on the declassification reviews of all agencies with substantial declassification review programs tested.
- Recommendations for declassification programs to improve their scores developed.

FY 2009
- Agencies with substantial declassification review programs assessed.
- Recommendations for declassification programs to improve the quality of their reviews issued.
- Results of assessments reported in Annual Report to President.

FY 2010 Estimated
- Declassification reviews of all agencies with substantial declassification review programs assessed.
- Recommendations for declassifications programs to improve the quality of their reviews issued.
- Results of assessments reported in Annual Report to President.

FY 2011 Projected
- Declassification reviews of all agencies with substantial declassification review programs assessed.
- Recommendations for declassifications programs to improve the quality of their reviews issued.
- Results of assessments reported in Annual Report to President.

Data source Quarterly performance reports to the Archivist. Information Security Oversight Office, annual reports to the President (*http://www.archives.gov/isoo/reports/*).

Long Range Performance Target 2.4 By 2016, archival holdings of 25-years-old or older records are declassified, exempted, or referred under the provisions of Executive Order 13526.

FY 10 Estimated Performance

- Increase by 10 percent the number of pages completed in the National Declassification Initiative (NDC) process.
- Scan 500,000 pages of Presidential records eligible for declassification review as part of the Remote Archives Capture project.

FY 11 Projected Performance

- Increase by 10 percent the number of pages completed in the National Declassification Center (NDC).
- Scan 750,000 pages of Presidential records 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 13526, signed on December 29, 2009, 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 require 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 13526 and the extra work required by the Kyl and Lott Amendments, we hired experienced contract personnel to survey, review, and prepare records for release.

We use the Archives Declassification Review and Redaction System (ADRRES) to track our performance with Federal records against the requirement to have all records over 25 years old appropriately declassified, exempted or referred under the provisions of Executive Order 13526. The Presidential Libraries use the Remote Archives Capture Project to measure their goals for declassification and referral of twenty-five year old Presidential Library equity. 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.

NARA staff continue to work with agencies to resolve the equities in documents referred to them by other agencies. 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. The Presidential Libraries scanned more than 3.6 million of their 25-year-old Presidential classified material as part of the Remote Archives Capture (RAC) project. They will process agency declassification decisions upon receipt, reviewing and placing opened documents back in the opened Presidential files. In addition, the

Presidential Libraries are exploring the use of unclassified CREST systems for new RAC deliveries at the Libraries.

In cooperation with other agencies, NARA has established an interagency referral center and a National Declassification Center to provide a systematic approach to the referral process for Federal records. 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.

To ensure that records released to the public have been properly declassified, NARA has established an Interagency Quality Assurance Team as a component of the National Declassification Center. This team, consisting of representatives from the major classifying agencies, surveys records to determine whether the initial review was adequate prior to the records being processed for the interagency referral center. The team will pass records to the IRC if satisfied with the quality, schedule records for resampling, or send the records to a remediation team if there are too many problems.

It is clear from the results of the quality assurance program that the quality of initial agency reviews is severely impacting the processing of records for the interagency referral center. NARA is working with the agencies to develop standard equity recognition training and a certification program for declassification reviewers. NARA will also develop, in cooperation with the agencies, a web site for sharing agency declassification guidance.

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) called the Remote Archives Capture project (RAC) The RAC project prepares and optically scans all classified twenty-five year old documents that cannot be systematically reviewed by the Presidential Libraries. The purpose of this program is to put all classified Presidential materials in a digital format which can then be transferred back to Washington, D.C. Once in Washington, the digital images are made available to the primary classifying agency for review and declassification of their equities. The equity declassification review is transmitted to a CIA center, which then returns the declassification decisions to the Library.

Meeting the requirements of Executive Order 13526 will be a significant challenge at the Reagan Library, where we will need to refer approximately 8 million pages of textual classified Presidential records prior to 2014. This represents more classified pages than all of the previous Presidential Libraries combined. In addition to scanning the Presidential records of the Reagan administration, the RAC project will need to scan approximately 500,000 pages of classified Vice Presidential records at the George H.W. Bush Library prior to 2014.

Key external factors National security concerns 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

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Backlog of pages of Federal records eligible for declassification review at start of year (in thousands of pages).	—	—	420,050	417,098		
Backlog of pages of Presidential materials at start of year (in thousands of pages).	218	218	218	127		
Annual number of Federal pages declassified (in thousands).	89	374	260	11,791		
Annual number of Presidential pages declassified (in thousands).	89	194	80	198		
Performance target for percentage point increase in the number of pages completed in the National Declassification Initiative (NDI) process.	—	—	—	*10*	*10*	*10*
Percent increase in the number of pages completed in the NDI process.	—	—	—	150		
Number of pages completed in the NDI process (in thousands).	—	—	—	5,566		
Performance target for annual number of Presidential pages scanned (in thousands).	*500*	*500*	*500*	*500*	*500*	*500*
Annual number of Presidential pages scanned (in thousands).	506	512	519	545		

Milestones

FY 2007
- National Declassification Initiative implemented and 2,000 cubic feet of classified holdings processed.

FY 2008
- Quality assurance process for 3,072 cubic feet of records completed and made available for the Interagency Referral Center.
- The National Declassification Initiative implemented.

FY 2010 Estimated
- The National Declassification Center established by Executive Order 13526.

FY 2011 Projected
- Approximately 750,000 pages of classified Reagan Presidential records for declassification review by equity holding agencies scanned.
- National Declassification Center in operation at National Archives in College Park.

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.

Long Range Performance Target 2.5 By 2016, 100 percent of NARA's archival holdings are stored in appropriate space.

FY 10 Estimated Performance

- Complete 50 percent of site work for first phase of Roosevelt Library renovation.
- Complete design for second phase of Roosevelt Library renovation.
- Update comprehensive space study for Johnson Library renovation.
- Complete construction of Nixon Library expansion.

FY 11 Projected Performance

- Improve visitor flow and access as part of the National Archives Experience (NAE) Phase II project.
- Complete site work for first phase of Roosevelt Library renovation.
- Complete award of construction contract for second phase of Roosevelt Library renovation.
- Open National Personnel Records Center facility for occupancy.
- Complete move of Nixon Library holdings into new space.
- 85 percent of archival holdings are in NARA 1571 compliant space. (High Priority Goal)

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.

Means and Strategies NARA has an inventory of 16 NARA-owned buildings—the National Archives Building, the National Archives at College Park, 13 Presidential Libraries and Museums, and the Southeast Regional Archives outside of Atlanta. The National Archives Building and the Roosevelt Library are on the National Register of Historic Places, and all of the Presidential Libraries are considered by the State Historic Preservation Officers to be eligible. All of these buildings are archival storage facilities and house historically valuable and irreplaceable documents. Literally hundreds of thousands of visitors go to these facilities to do research, to participate in conferences, and for learning and education opportunities. Maintaining these buildings to meet archival storage requirements, to keep their interiors and exteriors in a

proper state of repair, as well as to make them safe and efficient buildings for use by researchers and visitors, is demanding not only in staff resources but also in operating and repair funds.

NARA's Capital Improvements Plan enables us to program for future major renovations so that the necessary repairs are performed in a programmed manner to ensure continued operations at the facilities. The Capital Improvements Plan is a prioritization of potential building needs.

Our state-of-the-art facility in College Park, Maryland, the renovated National Archives Building in Washington, DC, and the archives facility in Atlanta provide appropriate storage conditions for the archival headquarters records of most Federal agencies. However, many of our other facilities require environmental and storage improvements. Several of our twelve leased regional facilities have severe quality problems, including backlogs of needed repairs and renovations and, in some cases, removal of records from their current location to better space is required. Existing Presidential Libraries need upgrades in environmental conditions and several need additional storage space.

We have upgraded several of our regional archives to meet archival storage requirements. In FY 2008, we developed designs and committed funds for HVAC upgrades at our archives in Waltham, MA; San Bruno, CA; and Seattle, WA. Work on these projects began in FY 2009 and will continue into FY 2010. In FY 2009, we started similar design work and committed funds for an HVAC replacement in Chicago, IL.

In FY 2010, we will be moving archival operations and records storage out of non-compliant space in Laguna Niguel, CA, and into appropriate space in the records center facility in Riverside, CA. In FY 2011, we plan to move archival operations and records storage out of non-compliant space in New York City, NY. Under this plan, the archives' public functions and a small amount of archival records storage will move into the renovated Customs House facility in lower Manhattan. The majority of the archival records will move to a new archival storage bay being built at the Mid-Atlantic Regional Records Center in Philadelphia, PA. This new archival bay will also store the majority of archival records currently stored in non-compliant space in the Mid-Atlantic regional archives in downtown Philadelphia.

The National Personnel Records Center (NPRC), the largest NARA operation outside the Washington, DC, area with more than 4 million cubic feet of records, needs to replace current facilities that do not meet our storage standards for temporary and archival records. The National Personnel Records Center which houses both military personnel records and civilian personnel records, and the Dielman Archival Annex contain numerous facility problems and cannot be made to meet storage standards in a cost effective manner. The problems include inadequate temperature and humidity controls and particulate and gaseous filtration, and antiquated designs that are not conducive to efficient storage or retrieval of records. Two new facilities designed to meet the records' particular storage requirements will replace the existing facilities. The new facility for temporary records, the National Personnel Records Center Annex, was completed in FY 2009. NARA is working with GSA on a new leased facility to house NPRC's archival and permanent holdings. The new facility will be located in St. Louis County. We are moving forward with the design of a new facility, with initial occupancy scheduled for FY 2011.

Creation of the Federally-operated Richard M. Nixon Presidential Library allowed us to advance public access to materials of the highest historical significance, streamline existing archival and museum activities by combining operations in one location, and preserve these invaluable historical resources in appropriate and secure space. The Library completed a renovation project of the existing Nixon Library in Yorba Linda, CA, in FY 2007. We began transferring Nixon Presidential holdings to that facility from two of our facilities; however, inadequate storage space calls for an additional expansion to hold all the materials stored in other archival space. The expansion will be completed in FY 2010. At that time, textual and

some non-textual holdings currently stored in College Park, MD, and any remaining materials stored at the regional archives in Laguna Beach, CA, will be moved to the new facility. This will be completed by the end of FY 2010. The move of security classified holdings will occur in FY 2011.

The renovation of the aging Franklin D. Roosevelt Library will provide environmentally appropriate, safe and secure space for the long-term care of archival and artifact collections. The renovation will also improve conditions for the staff, researchers, and visitors and help maximize productivity and enjoyment of the facility as a place for work and research. In FY 2009, NARA completed the design of the first phase of the renovation project. In FY 2010 NARA will begin general site work to support new mechanical and electrical equipment. NARA will also begin renovating holdings storage rooms and the research room to enhance security and productivity. We expect to complete the site work for the first phase of the renovation in FY 2011.

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

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Performance target for percent of NARA archival holdings in appropriate space.	—	—	—	—	—	*85*
Percent of NARA archival holdings in appropriate space.	57	80	81	82		
Number of archival traditional holdings (in thousands of cubic feet).	3,296	3,346	3,729	3,979		
Percent of artifact holdings in appropriate space.	42	42	40	37		
Number of artifact holdings (in thousands).	544	544	582	628		
Percent of electronic holdings in appropriate space.	100	100	100	100		
Number of electronic holdings in appropriate space (in millions of logical data records).	4,611	4,737	5,523	6,704		
Performance target for cost of compliant archival storage space per cubic foot of traditional holdings stored (adjusted for inflation).	—	*$5.78*	*$5.84*	*$6.06*	*$5.84*	*$5.90*
Cost of archival storage space per cubic feet of traditional holdings stored.	$6.65	$6.20	$5.85	$5.78		

Milestones

FY 2006

- 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.
- Specific holdings within NARA to be transferred to the new National Personnel Records Center identified.
- Nixon artifact holdings from Laguna Niguel, California, transferred to Nixon Library in Yorba Linda, California.

FY 2007

- Location for a new National Personnel Records Center determined.
- Staging plan for moving military personnel records to the new National Personnel Records Center developed.
- Certification and acceptance of Nixon Presidential Library completed.

FY 2008

- Portion of move of Nixon artifact holdings from College Park to Nixon Library completed.
- Plan for upgrades to the Regional Archives in Chicago, Seattle and San Bruno finalized.
- Construction contract for mechanical improvements at the Carter Library awarded.
- Construction contract for Nixon Library expansion awarded.

FY 2009

- Design for phase I of Roosevelt Library renovation completed.
- Site work contract for Kennedy Library expansion awarded.
- Sprinkler upgrades completed and construction contract for mechanical improvements at Eisenhower Library awarded.
- Construction contract for Carter Library awarded and mechanical improvements completed.
- Design of 1571 improvements for Waltham and San Bruno completed.

FY 2010 Estimated

- National Archives Building flood prevention measures completed.
- Portion of construction work for first phase of Roosevelt Library renovation completed.
- Design for phase II of Roosevelt Library renovation completed.
- Mechanical improvements at the Eisenhower Library completed.
- Construction for Nixon Library expansion completed.
- Ground breaking for new National Personnel Records Center completed.
- Design of 1571 improvements for Chicago and Seattle completed.
- Construction of 1571 improvements for Waltham completed.
- Design for archival storage space at Philadelphia FRC completed,

FY 2011 Projected

- Construction for first phase of Roosevelt Library renovation completed.
- Construction contract for phase II of Roosevelt Library renovation awarded.
- Move of holdings to expanded Nixon Library completed.
- National Personnel Records Center facility opened for occupancy.
- Construction of 1571 improvements for Chicago, San Bruno, and Seattle completed.
- Construction of archival storage space for Philadelphia FRC completed.
- Holdings Protection Program implemented.

Data source Performance Measurement and Reporting System and 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 transferred to the legal custody of NARA.

Long Range Performance Target 2.6 By 2014, 100 percent of NARA records center holdings are stored in appropriate space.

FY 10 Estimated Performance

- Move remaining holdings into National Personnel Records Center Annex.

FY 11 Projected Performance

- Achieve initial occupancy of Denver records storage facility.
- 85 percent of NARA‘s non-archival holdings are in appropriate space. (High Priority Goal)

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 facility 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 to bring 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.

NARA's system of records centers is supplemented by centers operated by other Federal agencies and private interests. Federal agencies' certify that the storage facilities they plan to use are in compliance with the Facility Standards for Records Storage Facilities (36 CFR 1234). The standards were initially issued in 1999 and revised in September 2005. The new standards placed more stringent compliance requirements on existing facilities and went into effect on October 1, 2009. In an effort to assist agencies, we have participated in the NARA-sponsored Records Administration Conference (RACO) to communicate information about compliance. In addition, we issued a Records Storage Facility Standards Toolkit, available both in hard copy and on the web. This toolkit provides agencies with the information needed by Records Officers to verify that a facility meets the required storage standards.

We have also made extensive efforts to upgrade and, if necessary, replace our inventory of records center storage facilities. We have leased four new storage facilities to replace aging ones. The most recent lease is for the new underground facility in Valmeyer, Illinois for the storage of temporary records from the Civilian Personnel Records facility and the Military Personnel Records facility in St. Louis. We are working on a lease to replace our Denver records center and for each records center not already certified or scheduled for replacement, we have renovation efforts underway to bring facilities into compliance.

In FY 2010 we will continue to monitor agency certification for records center compliance with 36 CFR 1234 and ensure that our complete inventory of records center holdings are stored in compliant space. In FY 2011, we will take initial occupancy of the new leased records storage facility in Denver.

Key external factors Agencies may choose to store records in facilities not controlled by NARA.

Verification and Validation

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Performance target for percent of NARA records center holdings stored in appropriate space.	—	—	—	*100*	—	*85*
Percent of NARA records center holdings stored in appropriate space.	—	—	—	TBD		
Percent of NARA records center facilities certified as meeting the 2009 regulatory storage standards	9	29	33	48		
Volume of records center holdings (cubic feet in millions).	25.1	25.7	26.6	27.2		
Storage price per cubic foot for records center holdings.	$2.28	$2.28	$2.40	$2.40		

Milestones

FY 2006

- Move into new records center facility in Atlanta completed.
- East Point records center closed.
- Move into new records center facility in Riverside, CA, completed.

FY 2007

- Construction of new records center facility in Fort Worth completed.
- 1 million cubic feet moved into new records center facility in Fort Worth.
- 75 percent of the move from the Bannister Road records center in Kansas City completed.

FY 2008	• Move out of Bannister Road records center in Kansas City completed. • New records center facility in Fort Worth, Texas, certified. • 2 records center facilities storage standards certified. • Lease agreement to construct a National Personnel Records Center Annex for temporary records completed.
FY 2009	• Two records center facilities certified. • Construction of National Personnel Records Center Annex completed. • Move of more than 80 percent of holdings slated for National Personnel Records Center Annex completed.
FY 2010 Estimated	• Move of remaining holdings slated for National Personnel Records Center Annex completed. • Lease agreement to construct a records center storage facility in Denver completed. • Measurement methodology revised to track cubic feet of holdings.
FY 2011 Projected	• Initial occupancy of Denver records storage facility 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.

Long Range Performance Target 2.7 **By 2016, less than 50 percent of archival holdings require preservation action.**

FY 10 Estimated Performance	• Appropriately treat and remove 85,000 cubic feet of NARA's at-risk archival holdings from preservation backlog. • Deploy Holdings Management System (HMS) at Archives I and in two regional archives.
FY 11 Projected Performance	• Appropriately treat and remove 90,000 cubic feet of NARA's at-risk archival holdings from preservation backlog. • Deploy Holdings Management System (HMS) in three additional regional archives. • Conduct preservation reviews at six NARA locations.

Outcome Permanent records are preserved for generations to come.

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, house, duplicate and/or reformat records at risk of not being preserved.

Means and Strategies NARA's mission focuses on preserving and providing access to the permanent records of the Federal Government today and for future generations. The permanent records include a

wide range of materials and subjects documenting the rights and obligations of citizens, most notably, the service of America's veterans, and documenting the actions of our Government and nation to provide transparency and the foundation of a democratic society. Approximately two-thirds of NARA's textual and non-textual records are at risk of not being preserved and available for use by future generations. We must address now the needs of a wide variety of formats and media in our holdings—paper records, including maps and designs, audio recordings and videotapes, motion pictures, aerial and still photography, microfilm and other microforms, maps, and artifacts, and gifts to the nation, most significantly in the Presidential Libraries. NARA's first priority for preservation actions includes dynamic media audio and video records, high use records that require holdings maintenance, brittle, fragile and damaged paper records, fragile artifacts, and acetate and color film requiring cold storage. We take the necessary preservation actions by providing the appropriate storage environment, housing records according to their needs, reformatting fragile records for preservation and use, and performing conservation treatment on damaged records.

To focus on the Federal records with the greatest need for preservation action, NARA is using the recently implemented Holdings Management System (HMS) to document risk, enhance security, and to track actions completed on a record. The HMS will also ultimately provide documentation of space needs and the requirements for preservation actions. In FY 2009, HMS was launched at the National Archives in College Park for textual units. In FY 2010 it will be launched at the National Archives Building in Washington, DC, and two regional archives. The initial implementation includes space management, circulation of records to staff, preservation risk assessment, and work requests for preservation and other activities. Later functions will include circulation to researchers and a public interface for researchers to generate pull slips.

We are in a race against time to preserve a large quantity of significant holdings of America's audio and visual heritage from the 19th and 20th-century in danger of being lost. Digital work processes and materials have been replacing analog processes, equipment, and materials and NARA has made a significant transition to using digital formats for preservation and access. This transition will continue as more of the analog materials and equipment become obsolete. Digital reformatting also requires more active monitoring as technological changes are frequent and rapid. We developed a five-year plan to address preservation, including reformatting, of dynamic media records and other nontextual formats. The digitized and preserved holdings will be migrated to the Electronic Records Archives (ERA) to secure and preserve the records.

The National Personnel Records Center (NPRC) in St. Louis holds 6 billion pages in the records of 57 million military veterans who have served since 1885 in approximately 1.5 million cubic feet of space. The OMPFs and related holdings from NPRC will be moved to a new GSA-leased facility in St. Louis County in 2011. Relocating them to a controlled environment is an essential, cost-effective first step in stabilizing their condition. Over the next 60 years, Official Military Personnel Files (OMPFs) will be accessioned to a point where all 1.5 million cubic feet (57 million records) will be opened to the public.

At this time, preservation action on the OMPFs addresses the accessibility and archival storage needs of the oldest, most fragile records, representing slightly more than one percent of the files. A comprehensive physical needs assessment demonstrated that 85 percent of all the OMPFs contain more than 30 types of media and information formats including rapidly deteriorating paper, metal dog tags, hair samples, blood strips, rifle targets, and plastic ID cards and that most of the files already are brittle and have damage from handling, creases, fire, and mold. Access is currently provided by taking the necessary preservation actions and reformatting these records; this work remains a continuing challenge.

In FY 2009, the Official Personnel Folders (OPFs) of civilian Federal government employees dating from the 1850s to 1952 were accessioned into the NPRC; the volume of these series was approximately 200,000 cubic feet. These records will also be moved to the new NPRC facility and will require additional preservation actions.

We continue to work hard to keep pace and to make progress in solving the preservation challenges for the holdings at risk of not being preserved. Nonetheless, as we accession new records, our backlog of at-risk records increases and we are challenged to keep up with the preservation needs of these records.

Key external factors Unusually large increases of new at-risk records, such as the recent accessioning of Official Military Personnel Folders (OMPF) and civilian Official Personnel Folders (OPF), increases in the 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 laboratories affect our ability to address the preservation requirements of audiovisual holdings.

Verification and Validation

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Performance target for percent of archival holdings that require preservation action.	—	*Establish Baseline*	*≤ 65*	*≤ 64*	*≤ 63*	*≤ 61*
Percent of archival holdings that require preservation action.	—	65	65	65		
Backlog of holdings requiring preservation action (in thousands of cubic feet).	—	2,163	2,425	2,599		
Archival holdings treated and removed from the backlog this year (thousands of cubic feet)	28	55	91	46		
Cumulative volume of at-risk archival holdings in cold storage (thousands of cubic feet).	90	90	91	93		

Milestones

FY 2007
- Capability to measure baseline of archival holdings requiring preservation action created.
- New baseline of archival holdings requiring preservation action established.
- Business process reengineering to examine functional requirements for tracking location, space, circulation, and preservation needs and actions for developing HMS completed.

FY 2008
- Digitization equipment and IT support for analog-to-digital transition identified and procured.
- Prototype of HMS developed.

FY 2009
- Measures for quantity of dynamic media record holdings that can be preserved digitally established.
- Plan for conversion of dynamic media records holdings to digital format developed.
- Additional storage capacity for digital products reformatted for preservation purposes acquired.
- IOC of HMS deployed in Archives II Textual units and staff trained

FY 2010 Estimated
- Dynamic media records preserved in digital format.
- HMS deployed at Archives I and in two regional archives.
- Reviews of preservation needs at six NARA locations.

FY 2011 Projected
- HMS deployment in up to three additional regions completed.
- Dynamic media records preserved in digital format.
- Reviews of preservation needs at six NARA locations.

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

Definitions At-risk: records that require preservation action to retard deterioration and stabilize condition, including storage in the appropriate environment, housing to provide physical and chemical stability, reformatting, and conservation treatment. At risk records are imperiled by physical and chemical damage and inaccessibility due to obsolete technology. Dynamic media: record holdings in formats including audio, video, and motion picture.

STRATEGIC GOAL 3 WE WILL ADDRESS THE CHALLENGES OF ELECTRONIC RECORDS IN GOVERNMENT TO ENSURE SUCCESS IN FULFILLING NARA'S MISSION IN THE DIGITAL ERA.

Long Range Performance Targets

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

3.2 By 2012, 80 percent of archival electronic records are preserved at the planned level of service.

3.3 By 2016, the per-megabyte cost of managing archival electronic records through the Electronic Records Archives (ERA) decreases each year.

FY 2010 Resources Available to Meet This Goal: $96,092,000; 103 FTE
FY 2011 Resources Requested to Meet This Goal: $94,731,000; 103 FTE

FY 2011 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
3.1 By 2016, 95 percent of archival electronic holdings have been processed to the point where researchers can have efficient access to them.	✓		✓					
3.2 By 2012, 80 percent of archival electronic records are preserved at the planned level of service.			✓					
3.3 By 2016, the per-megabyte cost of managing electronic records decreases each year.	✓		✓					

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

FY 10 Estimated Performance

- Sustain 80 percent of archival electronic holdings processed to the point where researchers can have efficient access to them.
- Complete 80 percent of data migration of holdings from legacy systems migrating to the initial ERA system for Federal records.

FY 11 Projected Performance

- Sustain 83 percent of archival electronic holdings processed to the point where researchers can have efficient access to them.
- Migrate remaining holdings in legacy systems to ERA system for Federal records.

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

Significance We must guarantee the continuing accessibility of the permanent electronic records of all three branches of our Government. If we cannot do this, citizens, corporations, and the Government will lose the essential documentation necessary to prove 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 and transfer the permanent ones to NARA.

Means and Strategies The growth in the volume of electronic records transferred to NARA is enormous. At the end of the Clinton Administration, the White House transferred several terabytes of electronic records to NARA for storage and preservation. When the Bush Administration ended in January 2009, NARA received approximately 77 terabytes of email, office automation records, digital photographs, and other multi-media electronic formats. Also, during FY 2010, 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. We expect even greater growth in transfers of electronic records to NARA as ERA is implemented because past transfers have been constrained by NARA's limited capacity to process them.

Our ability to process archival electronic records will be enhanced by ERA. While NARA's existing technical capacity to process electronic records is higher than it has ever been, staffing has declined. Technical processing 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 one terabyte of data per year. In FY 2008, after successfully implementing the initial operating capability of ERA, we successfully began the process of migrating accessions from our existing holdings into ERA. In FY 2009, we significantly surpassed the number of accessions migrated into ERA in FY 2008. During FY 2009 and FY 2010, we continue to run dual operations—both ERA and portions of our legacy systems—as we migrate data to ERA. In FY 2011 we expect to decommission select legacy systems as they are no longer needed.

Key external factors Progress in processing Presidential electronic records may be hindered by an unusually large number of special access requests or PRA/FOIA requests and the need to review records page by page.

Verification and Validation

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Performance target for percent of archival electronic accessions processed to the point where researchers can have efficient access to them.	*80*	*95*	*80*	*80*	*80*	*83*
Percent of archival electronic accessions processed.	80	81	86	88		
Number of accessions received.	2,010	2,153	2,328	2,467		
Number of accessions processed.	1,517	1,638	2,004	2,188		
Unprocessed accessioning backlog (in accessions).	395	415	324	288		
Median time (in calendar days) from the transfer of archival electronic records to NARA until they are available for access.	259	467	2,127*	1,842*		

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

Milestones

FY 2006	• New technologies to support copying and verifying the electronic records in the six transfer formats implemented.
FY 2007	• Data cleanup and data migration planning from legacy systems migrating to the initial ERA system progressed.
FY 2008	• Legacy data migration testing and data cleanup completed. • Data migration of electronic records on legacy media for transfer to ERA initiated.
FY 2009	• Capability for ERA pilot users to perform basic records management functions and transfer records into ERA completed.
FY 2011 Projected	• Begin decommissioning of select legacy systems no longer needed.

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

Long Range Performance Target 3.2 By 2012, 80 percent of archival electronic records are preserved at the planned level of service.

FY 10 Estimated Performance	• Define criteria and policy for establishing planned levels of service to preserve and make available archival electronic records.
FY 11 Projected Performance	• Implement criteria and policy for planned levels of service to preserve and make available archival electronic records. • Preserve 50 percent of archival electronic records at the planned level of service.

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. There will be a loss in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records.

Means and Strategies In the long term, ERA will allow the National Archives to preserve and maintain at the planned level of service any electronic records series. The ERA system will enable NARA and the Presidential Libraries to preserve permanent holdings to maximize the number of records available to researchers. We will preserve and maintain permanent electronic records in any format and transform these records to the most appropriate format needed, or to a persistent format or state when possible. This work will be carried out based on the technological characteristics of the records, expected customer demands or interests, the needs of the records' originators, the laws and regulations requiring differing levels of control, and NARA's business strategies and priorities.

To prepare for these capabilities, in FY 2010, we will define the criteria and policy for establishing planned levels of service for archival electronic records, and in FY 2011, we will implement the criteria

and policy we defined in FY 2010, as well as the ability to measure our progress in preserving records at the planned level of service.

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

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Performance target of percent of NARA's electronic holdings stabilized.	—	*80*	*80*	*85*	*85*	*85*
Percent of NARA's electronic holdings that are stabilized.	89	89	90	88		
Number of accessions received.	2,010	2,153	2,328	2,467		
Number of accessions stabilized.	1,788	1,915	2,097	2,186		
Number of archival holdings accessioned (in millions of logical data records).	4,611	4,737	5,523	6,704		

Milestones

FY 2006
- Lifecycle management plans for select electronic records developed using criteria established for levels of service piloted.

FY 2007
- Lifecycle management plan pilot for select electronic records using criteria established for levels of service developed.

FY 2008
- Draft methodology for capability to measure preservation of electronic records in a persistent format developed.

FY 2010 Estimated
- Criteria and policy for establishing planned levels of service to preserve and make available archival electronic records defined.

FY 2011 Projected
- Criteria and policy for planned levels of service to preserve and make available archival electronic records implemented.

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

Definitions Preservation media – Media on which permanent electronic records are stored. Preservation media includes 3480-Class magnetic tape cartridges, Digital Linear Tape, and Electronic Records Archives disk storage.

Long Range Performance Target 3.3 By 2016, the per-megabyte cost of managing archival electronic records through the Electronic Records Archives will continue to decrease each year.

FY 10 Estimated Performance
- Deploy preservation framework design, as well as prototypes for specific formats.
- Deploy online public access functions for ERA system.
- Expand ERA pilot to at least 20 and up to 29 Federal agencies.
- Deploy a Congressional instance of ERA.

FY 11 Projected Performance

- Develop and implement capability to handle classified Federal records in ERA.
- Extend long term preservation capabilities in ERA.
- Develop capability to manage restricted information in ERA.
- Develop capability to perform full content indexing and searching in ERA.

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 records 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. There will be a loss 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 enable NARA and other Federal agencies to maintain electronic records as long as needed to meet legal, business, and archival requirements.

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 stove-piped applications. NARA is developing a comprehensive, systematic, and dynamic means for preserving electronic records, 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 include nearly all of NARA's processes for lifecycle management of records; therefore, it will be the catalyst for conversion to the target architecture from 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 2008, we

achieved initial operating capability. The initial system supported the transfer of electronic records to the National Archives both electronically and on digital media, and automated the verification of basic characteristics of transferred electronic records. This system also stores and enables output of electronic records in the formats received.

ERA operates from a primary site in West Virginia and uses a backup site in Maryland for media storage. The primary site provides for the transfer, verification, and storage of unclassified and Sensitive But Unclassified (SBU) records from NARA's existing holdings. As initial external users, four Federal agencies (Bureau of Labor Statistics, National Nuclear Security Administration, Naval Oceanographic Office, and the Patent and Trademark Office) can also transfer new accessions of electronic records to ERA. Until use is expanded to other agencies, NARA staff act as proxies for them in entering new records schedules, transfer plans and transfer requests for all types of records, and for transfer of electronic records.

We developed a separate instance of ERA and, in FY 2009, deployed capabilities that enabled us to ingest and store electronic records of the Executive Office of the President (EOP) transferred to NARA at the end of the George W. Bush Administration. The EOP ERA instance provided the search and retrieval capabilities needed to make these electronic records available in response to special access requests.

During FY 2009, NARA began the design work for developing public access and preservation functions. We also enhanced the infrastructure and architecture of ERA to extend capability to accept more formats and open the system to agencies beyond those in the pilot.

In FY 2010, ERA will deploy preservation framework design based on work in FY 2009. We will deploy public access functions and develop capabilities for managing restricted information in the electronic records within ERA (e.g. privacy, national security, Freedom of Information Act exemptions). In addition, NARA will make incremental improvements in existing capabilities. We will also transition from offline to online backup and restore services. In FY 2011, we plan to develop full content indexing and searching, long term preservation capabilities, improve mechanisms to ensure reliable backups and restorations, and improve the capability to support increased records volumes from agencies beyond the four in the initial pilot.

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

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Performance target for megabyte cost to manage archival electronic records.	—	—	—	*Establish baseline*	*$0.3*	*TBD*
Per megabyte cost to manage archival electronic records.	$0.43	$0.37	$0.39	$0.36		
Number of megabytes of archival electronic records stabilized (in millions).	16.8	17.8	18.2	19.2		

Milestones

FY 2006

- Software requirements for the initial system for Federal records specified.
- Preliminary Design Review for the initial ERA system for Federal records completed.
- Critical Design Review for the initial ERA system for Federal records completed.

FY 2007

- Infrastructure for the ERA system for Federal records deployed.

- First pilot of the ERA system for Federal records delivered.
- Prototype of capabilities required for Presidential electronic records constructed.

FY 2008

- Initial operating capability of the ERA system for Federal records achieved.
- Data ingestion from legacy systems and four Federal agencies begun.
- Pilot for the ERA system for Presidential electronic records completed.
- Sample data ingested into the pilot Presidential system.

FY 2009

- Initial operating capability of the systems for Presidential electronic records achieved.
- Requirements for public access and long-term preservation developed.
- ERA infrastructure and architecture enhanced.

FY 2010 Estimated

- System capacity increased to accommodate extension of system to additional agencies.
- Backup system to restore ERA infrastructure in case of system failure procured and deployed.
- Limited public access functionality and preservation framework tools deployed.

FY 2011 Projected

- Capabilities for management of restricted information in ERA developed.
- Capability to manage classified Federal records in ERA developed.
- Long term preservation capabilities in ERA extended.
- Full content indexing and searching in ERA developed.

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

STRATEGIC GOAL 4 WE WILL PROVIDE PROMPT, EASY, AND SECURE ACCESS TO OUR HOLDINGS ANYWHERE, ANYTIME

Long Range Performance Targets

4.1 By 2016, NARA customer service standards for researchers are met or exceeded.

4.2 By 2012, 1 percent of archival holdings are available online.

4.3 By 2016, 95 percent of archival holdings are described in an online catalog.

4.4 By 2012, our web sites score at or above the benchmark for excellence as defined for Federal government web sites.

FY 2010 Resources Available to Meet This Goal: $54,811,000; 305 FTE
FY 2011 Resources Requested to Meet This Goal: $55,054,000; 308 FTE

FY 2011 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
4.1 By 2016, NARA customer service standards for researchers are met or exceeded.	✓		✓					
4.2 By 2012, 1 percent of archival holdings are available online.	✓		✓					
4.3 By 2016, 95 percent of archival holdings are described in an online catalog.	✓							
4.4 By 2012, our web sites score at or above the benchmark for excellence as defined for Federal government web sites.	✓							

Long Range Performance Target 4.1 By 2016, NARA customer service standards for researchers are met or exceeded.

FY 10 Estimated Performance

- Meet or exceed NARA's published standards for access to records and services and customer satisfaction levels:
  - 93 percent of written archival requests are answered within 10 working days;
  - 94 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
  - 87 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
  - 90 percent of online archival fixed-fee reproduction orders are completed in 20 working days or less.

- Operate a government-wide Office of Government Information Services (OGIS) program to strengthen FOIA and ensure an open and accessible government.

FY 11 Projected Performance

- Meet or exceed NARA's published standards for access to records and services and customer satisfaction levels:
  - 94 percent of written archival requests are answered within 10 working days;
  - 94 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
  - 88 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
  - 91 percent of online archival fixed-fee reproduction orders are completed in 20 working days or less

- Recommend improvements to government-wide FOIA administration process through OGIS.

- Establish mediation program to resolve FOIA disputes.

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.

Our research facilities at the National Archives Building in Washington, D.C., consolidate in one convenient location access to preeminent genealogy resources in the Washington area. Thousands of genealogists come to the National Archives Building in Washington to use our original records, microfilm copies, and online resources. Our Genealogy Consultation Room provides customers with highly knowledgeable staff and volunteers to help develop research strategies and use finding aids. Our online orientation presentation for customers also helps them get started on the road to their family history.

Throughout National Archives facilities around the country, visitors may search for historical family information among citizenship and nationalization, census, bankruptcy, and Federal court documents, and may use online and microfilm resources including free access to genealogy subscription services. Our staff experts are available to guide our customers in their exploration and research.

NARA has established partnerships nationwide and is exploring new partnership opportunities that would digitize many of our holdings (see related target 4.2), 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 nominees for appointment to key government positions and the Supreme Court.

The Open Government Act of 2007 amended the Freedom of Information Act (5 U.S.C. 552) to create an Office of Government Information Services (OGIS) within NARA. This act expands NARA's responsibilities from administering and responding to FOIA requests directed to NARA to an office also responsible for improving the administration of FOIA in the Federal Government. Our responsibilities include reviewing the policies and procedures of administrative agencies under FOIA to strengthen FOIA and ensure transparency of Government information to the public, and offering mediation services to resolve disputes between FOIA requesters and agencies as a non-exclusive alternative to litigation. Throughout FY 2010 and FY 2011, we will implement the OGIS, work with the administrative agencies under FOIA, and seek input from private sector stakeholders to assist in the implementation of this office. Our approach to improve the administration of FOIA will include the review of policies and procedures of administrative agencies under FOIA, an evaluation of their compliance, followed by a recommendation of policy changes to Congress and the President.

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

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Performance target for written requests answered within 10 working days.	*95*	*90*	*91*	*92*	*93*	*94*
Percent of written requests answered within 10 working days.	97	95	94	95		
Performance target for Freedom of Information Act requests for Federal records completed within 20 working days.	*90*	*85*	*86*	*87*	*87*	*88*
Percent of Freedom of Information Act requests for Federal records completed within 20 working days.	87	88	89	86		
Number of FOIAs processed.	8,883	12,390	13,469	17,508		
Annual cost to process FOIAs (in millions).	$2.62	$2.72	$2.34	$2.79		
Annual per FOIA cost.	$295	$220	$173	$158		
Performance target for items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	*95*	*95*	*90*	*93*	*94*	*94*
Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	96	86	93	93		
Number of researcher visits to our research rooms (in thousands).	132	136	140	129		
Number of items furnished in our research rooms (in thousands).	421	520	576	553		
Number of items furnished on time in our research rooms (in thousands).	405	449	537	515		
Performance target for archival fixed-fee reproduction orders through OFAS are completed in 20 (35 pre-2007) working days or less.	*85*	*85*	*85*	*90*	*90*	*91*
Percent of archival fixed-fee reproduction orders through OFAS are completed in 20 working days or less (Note: Previous reports based on 35 working days for pre-2007 data).	97	72	68	90		

Performance Data	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Average per order cost to operate fixed-fee ordering.	$28.74	$26.67	$30.59	$38.06		
Average order completion time (days).	14	17	22	18		
Performance target for percent of researcher satisfaction with NARA experience.	—	—	—	—	*Establish baseline*	
Percent of researcher satisfaction with NARA experience.	—	—	—	—		

Milestones

FY 2006
- NARA's published standards for access to records and services exceeded.
- Freedmen's Bureau records project to microfilm records of 15 states and the District of Columbia completed.

FY 2007
- NARA's published standards for access to records and services exceeded.

FY 2008
- NARA's published standards for access to records and services exceeded.

FY 2009
- NARA's published standards for access to records and services and customer satisfaction levels exceeded.

FY 2010 Estimated
- Office of Government Information Services operational.

FY 2011 Projected
- Recommendations to improve government-wide FOIA administration process identified.
- Mediation program to resolve FOIA disputes established.

Data source Performance Measurement and Reporting System and quarterly performance reports to the Archivist. Request price for military service separation agreements from FY 2009 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.

Long Range Performance Target 4.2 By 2012, 1 percent of archival holdings are available online.

FY 10 Estimated Performance
- Meet 30 percent of the 2012 target for archival holdings accessible online.
- Complete digitization of 1940 Census.

FY 11 Projected Performance
- Meet 40 percent of the 2012 target for archival holdings accessible online.
- Complete metadata for digitized version of 1940 Census.

Outcome Archival materials are available online for public use.

Significance We must guarantee the continuing accessibility of the records of all three branches 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.

Means and Strategies To increase the amount of archival material that we make available online, we are engaging in four major strategies:

- Gathering existing digital copies of traditional archival material and make them available online;
- Engaging in partnerships to digitize selections of traditional archival material;
- Exploring innovative NARA-led projects for digitizing archival material that will also allow us to develop our internal capacity in this area; and
- Making electronic records, which are "born digital," available online, as appropriate.

First, we plan to identify and publish online material that has already been digitized by NARA, but for one reason or another is not available online. For example, NARA has digitized a large number of high interest documents for exhibits; these materials could be described and placed online. A NARA-wide project to locate, inventory these digitized copies, and assess the level of effort required was initiated in FY 2007, and we are making some of these copies available online as they are described in our online catalog.

Second, we continue to explore a variety of new partnership opportunities that would digitize many 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. NARA seeks to partner with organizations from a variety of sectors (private, public, non-profit, educational, government) to digitize and make available traditional holdings. NARA currently is working with several partners and, to date, more than 60 million records are available online through our partners.

Third, we continue to explore innovative ways to increase our own capacity to digitize selections of our holdings. We will look for sources of funding and support for specific high-interest projects. We will strive to provide timely Internet access to high-interest documents. For example, we are preparing for the opening of the 1940 Census records on April 1, 2012. Since 1790, the Federal Government has collected census information on its residents every ten years. Under a special agreement between the Archivist of the United States and the Director of the Bureau of the Census, census information on individuals is released to the public 72 years after it is collected. Although the records are on more than 4,600 rolls of 35 mm microfilm, we will complete the digitization of the entire 1940 Census in FY 2010 and make them digitally available in 2012. In addition, we will establish a partnership to produce a name index of the Census, although this will not be done prior to the official opening of the records. In FY 2011, we will complete the metadata for the digitized version of these records. We continue to explore innovative ways to increase timely Internet access and provide the level of indexing requested by researchers.

Fourth, we maintain our Access to Archival Databases (AAD) system, which makes select "born digital" database records available online. To meet an immediate need to provide online access to high-volume and high-demand electronic records from the Department of State and other agencies, NARA launched the AAD system in 2003. We are continuing to increase the number of records available to the public through this tool, though the series appropriate for this type of access will always be limited. This function will eventually be provided by ERA.

Key external factors We intend to accomplish much of this goal through partnerships with other organizations that want to publish our holdings on their web sites.

Verification and Validation

Performance Data	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Performance target for percent of traditional records available online.	—	—	*.2*	*.2*	*.3*	
Percent of traditional records available online.	—	—	0.04	0.04		
Percent increase in number of archival electronic holdings accessible online.	13	-24	8	5		
Percent of accessioned electronic records available online.	2.1	1.6	1.4	1.3		

Milestones

FY 2006
- Percent of electronic records in AAD increased by 13 percent.
- User interface improvements launched.
- AAD's customer satisfaction improved to a score of 65 on customer survey tool.

FY 2007
- Working group to explore strategies for NARA-led digitizing projects chartered.
- Digitization partnership principles and a digitization plan for making available archival holdings online developed.
- Number of digital copies available online through the Archival Research Catalog (ARC) increased by 10 percent.
- Digitization partnership principles and planning developed.
- Inventory of existing digital copies of archival materials completed.

FY 2008
- Measurement methodology for number of archival holdings accessible online developed.
- More than 18,000 existing digital copies harvested and added to the Archival Research Catalog (ARC).
- Agency business requirements for digital storage needs identified.
- RFI to explore Census partnership potential published.

FY 2009
- ARC upload tool for uploading descriptions with digital objects enhanced.
- Working group to explore strategies for NARA-led digitizing of 1940 Census records chartered.

FY 2010 Estimated
- New description tool to provide access to millions of item descriptions with links to digital partners under development.
- Digitization of 1940 Census completed.
- NARA partnership to produce name index of the Census established.
- Suite of 1940 Census products identified and evaluated.

FY 2011 Projected
- Metadata for digitized version of the 1940 Census completed.

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

Long Range Performance Target 4.3 By 2016, 95 percent of NARA archival holdings are described in an online catalog.

FY 10 Estimated Performance
- Describe 70 percent of NARA traditional holdings in the Archival Research Catalog.
- Describe 70 percent of NARA artifact holdings in the Archival Research Catalog.

- Describe 70 percent of NARA electronic holdings in the Archival Research Catalog.

FY 11 Projected Performance

- Describe 75 percent of NARA traditional holdings in the Archival Research Catalog.
- Describe 75 percent of NARA artifact holdings in the Archival Research Catalog.
- Describe 75 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). Eventually, the functionality and data in ARC will be incorporated in the Electronic Records Archives.

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 156,000 digital objects 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. Fully launched in 2004, we have worked steadily since that time to get more descriptions of our holdings in ARC. We began our description effort with describing large series, however, as we move forward, we progressively move to smaller series thereby impacting the number of series being described. Today, ARC contains more than 4.2 million 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 includes folder and item lists, and a wide variety of indexes. This effort has already yielded hundreds of thousands of additional detailed descriptions in ARC, and has enhanced ARC as a valuable tool for researchers. The redesign of the public face of ARC has provided an improved easier-to-navigate user interface based on customer feedback. We will continue to work toward the description goals as our online catalog moves into ERA.

Verification and Validation

Performance Data	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Performance target for traditional holdings in an online catalog.	*50*	*55*	*60*	*65*	*70*	*75*
Percent of traditional holdings in an online catalog.	51	56	64	69		
Number of traditional holdings described in an online catalog (millions of cubic feet).	1.7	1.9	2.4	2.7		
Number of traditional holdings in NARA (millions of cubic feet).	3.3	3.3	3.7	4.0		
Performance target for artifact holdings in an online catalog.	*50*	*55*	*60*	*65*	*70*	*75*
Percent of artifact holdings in an online catalog.	57	57	61	74		
Number of artifact holdings described in an online catalog (thousands of items).	309	309	353	465		
Number of artifact holdings in NARA (thousands of items).	544	544	582	628		
Performance target for electronic holdings in an online catalog.	*20*	*55*	*60*	*65*	*70*	*75*
Percent of electronic holdings in an online catalog.	98	99	98	95		
Number of electronic holdings described in an online catalog (billions of logical data records).	4.5	4.7	5.4	6.4		
Number of electronic holdings in NARA (billions of logical data records).	4.6	4.7	5.2	6.7		
Number of series described in ARC (cumulative).	31,561	49,691	74,544	102,250		
Number of ARC visits (in thousands of visits).	254	291	671	631		

Milestones

FY 2006
- Tools to convert existing finding aids into ARC launched.

FY 2007
- Hyperlinks in updated web pages embedded to provide contextual information for users.

FY 2008
- Redesigned ARC web system launched.

FY 2010 Estimated
- Work required to subsume ARC web into ERA conducted.

FY 2011 Projected
- Online public access user interface enhanced and federated search expanded.

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

Definitions Visits: An online "visit" is analogous to a physical visit to one of our facilities. If someone is continuously active on our site, we count all his retrievals as one visit. If he is inactive for more than 30 minutes, we assume that he has left the building, as it were. If he later requests another page—whether the same day or another day—we count that as a new visit. We exclude visits by "bots," which are not real people but merely agents harvesting data about web sites on behalf of search engines. Use: A query through the AAD or ARC search engine, or a retrieval of the start page, excluding retrievals by "bots." 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.

Long Range Performance Target 4.4 By 2012, our web sites score at or above the benchmark for excellence as defined for Federal government web sites.

FY 10 Estimated Performance	• Improve NARA's score against the benchmark for excellence by 3 percent. • Redesign archives.gov web site.
FY 11 Projected Performance	• Improve NARA's score against the benchmark for excellence by 3 percent. • Implement Archives.gov in new content management system.

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 The National Archives reaches millions of people each year through its web presence, consisting of archives.gov, Presidential Library web sites, and web sites supporting unique initiatives, such as *OurDocuments.gov*.

These sites are 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 located nationwide; descriptions of our holdings; direct access to certain archival electronic records; digital copies of selected archival materials; electronic mailboxes for customer questions, comments, and complaints; electronic versions of Federal Register publications; online exhibits; and classroom resources for students and teachers.

Our web sites assist the public in navigating our services from their homes and offices; visiting virtually the National Archives, Presidential Libraries, Regional Archives, and the Charters of Freedom (the Declaration of Independence, Constitution, and Bill of Rights); and using resources available in our facilities nationwide. The sites also provide information about the varied and numerous public programs offered at all of NARA's locations, including those in the Regional Archives and the Presidential Libraries, as well as components of the National Archives Experience in Washington, DC, such as the William G. McGowan Theater and the Public Vaults permanent exhibit.

We continue to collect public feedback about our sites through our 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 ACSI helps us to measure satisfaction by customer group (Genealogists, Veterans, Educators, etc.) which enables us to design strategies to develop, modify, enhance or remove online web content in response to customer feedback about our web sites. Data from ACSI indicates that increased user satisfaction with our site search engine would impact our overall score. In FY 2008 we implemented several improvements to our search capabilities which resulted in increased user satisfaction according to survey responses. At the end of FY 2009, Foresee Results, an online customer satisfaction measurement company, tested several questions on

the ACSI about transparency and trust. They reported that there is a correlation between user perception of web site transparency, their trust of the web site or agency, and their satisfaction with the web site or agency. We will pilot the transparency questions about the *archives.gov* web site in FY 2010 to understand if a relationship exists and what changes we should consider to influence a more positive experience for our customers. We will incorporate feedback as we redesign the *archives.gov* web site in FY 2010. In addition, we plan to evaluate and test new content management systems using our agency internal web site. We will make our selection in FY 2011 and implement *archives.gov* in the new content management system. This tool will allow us to improve workflow as well as free up our resources to implement social media sites.

In FY 2009, we worked to increase visibility and transparency of our programs and services. We developed a web governance strategy to identify Web 2.0 technologies and social media tools that enhanced NARA's interactive, collaborative, and participative relationships with Federal agencies, partners and the public. We have successfully implemented a variety of social media projects, including National Archives pages on *Flickr* and *Facebook*, a *YouTube* channel, and a blog. We will add another YouTube channel in FY 2010 to feature videos from our holdings. Additional projects for wikis, and widgets will also be implemented in FY 2010. By FY 2011, we will have a matured social media program established.

The Presidential Libraries consistently outperform the overall ACSI e-Government satisfaction score and other benchmarks. We plan to continue to respond to customer expectations by following this successful model and building upon the success of the collective Presidential Library web sites.

In FY 2008, we chartered an Online Public Access Product Team to define the functionality and design of ERA's online public access interface. During FY 2009, the team developed requirements for an online public access system with centralized search and a clear display that will allow our customers to search all of our online holdings in one place. In FY 2010, this system will provide access to the holdings from legacy systems that were stovepiped and required separate searches, including ARC and AAD. As we continue to develop the search and user interface, we will federate the search to our holdings available elsewhere on the web. We will also explore the use of social media tools to enhance the public's experience and interaction with our holdings on the web.

Verification and Validation

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Online visits to NARA's web sites (in thousands).	31,897	34,871	37,807	37,470		
Performance target in percent improvement in web sites score at or above the benchmark for excellence as defined for Federal government web sites.	—	—	*Establish baseline*	*1*	*3*	*3*
Percentage point improvement in web sites score.			—	2		
Web sites score at or above the benchmark for excellence as defined for Federal government web sites.	69	67	66	68		
Presidential Libraries score at or above the benchmark for excellence as defined for Federal government web sites.	77	77	75	78		

Milestones

FY 2006

- Online ordering of copies of bankruptcy cases, civil cases, criminal cases, and Court of Appeals cases implemented.
- Online ordering of copies of naturalization records implemented.
- Online ordering of World War I draft registration cards implemented.

FY 2007	• Online store for museum merchandise operational. • Methodology for assessing NARA's score against the benchmark for excellence as defined for Federal government web sites developed.
FY 2008	• NARA's baseline score against the benchmark for excellence as defined for Federal government web sites established. • Inventory of all web-based access capabilities currently provided to our online customers to identify gaps and overlaps completed.
FY 2009	• Projects on different social media web sites (e.g. You Tube, Flickr, Twitter, Facebook, etc.) piloted. • Comprehensive and strategic concept of operations for web-based access to our online assets developed.
FY 2010 Estimated	• *Archives.gov* home page redesigned. • Additional projects on selected social media web sites implemented.
FY 2011 Projected	• Mature social media program established. • Federated search for online public access system expanded.

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

Definitions Online Visits: An online "visit" is analogous to a physical visit to one of our facilities. If someone is continuously active on our site, we count all his retrievals as one visit. If he is inactive for more than 30 minutes, we assume that he has left the building, as it were. If he later requests another page—whether the same day or another day—we count that as a new visit. We exclude visits by "bots," which are not real people but merely agents harvesting data about web sites on behalf of search engines.

STRATEGIC GOAL 5 — WE WILL INCREASE ACCESS TO OUR RECORDS IN WAYS THAT FURTHER CIVIC LITERACY IN AMERICA THROUGH OUR MUSEUM, PUBLIC OUTREACH, EDUCATION PROGRAMS, AND GRANT PROGRAMS

Long Range Performance Targets

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

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

FY 2010 Resources Available to Meet This Goal: $28,839,000; 201 FTE
FY 2011 Resources Requested to Meet This Goal: $26,209,000; 202 FTE

FY 2011 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
5.1 By 2016, 90 percent of NARA's visitors are satisfied with their visit experience.	✓					✓		
5.2 By 2016, a minimum of 85 percent of all NHPRC-assisted projects produce the results required, employing rigorous standards and milestones approved by the Commission.	✓					✓		

Long Range Performance Target 5.1 — By 2016, 90 percent of NARA's visitors are satisfied with their visit experience.

FY 10 Estimated Performance

- 85 percent of NARA education program visitors are satisfied with their visit.
- 85 percent of NARA exhibit visitors are satisfied with their visit experience.
- 85 percent of public program visitors are highly satisfied with their visit experience.
- Implement priorities on recommended improvements identified through FY 2008 AASLH study results.
- Conduct and evaluate a longitudinal study of the Public Vaults and visitor experience to compare to 2005 data.

FY 11 Projected Performance

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

Outcome Our public outreach efforts effectively increase access to and knowledge of government in ways that further civic literacy.

Significance In the promotion of civic literacy, the National Archives has always played a unique and important role. As the keeper of the records of the Government, we have literally safeguarded the documentary record of American history. This record belongs to the American people. From the Charters of Freedom, to the census records that enumerate our country's population, to the records of Congress and Presidential Administrations, our holdings are so vast and diverse that the value and amount of information available is not always readily apparent to the public. Furthermore, we manage an important civic process, the Federal Register system. Therefore, we continually educate the public about the treasure trove of information and services we offer to enable access to our holdings and encourage civic participation. Museum programs are an inspiring way for people to understand their own personal connection to the records in the National Archives. Our efforts are intended to help families see how their own stories fit into our national mosaic, and to thrill young people with the real-life drama of the American experience.

Means and Strategies The National Archives Experience, which includes the Public Vaults, the McGowan Theater, and O'Brien Traveling Exhibits Gallery, continues to grow in scope and impact. The Public Vaults has helped us make a connection between the average visitor and Federal records, illustrating how such records illuminate our understanding of the events that shaped our nation, our communities and our families. We expanded offerings in the McGowan Theater, including conferences, symposia, film series, and notable free public programs with speakers who have participated in and/or analyzed the events documented in our records. The O'Brien Gallery has featured topical exhibits intended to engage visitors in the stories that define our common heritage, from eyewitness reports of the great events of our times to the school boy experiences of the youngsters who grew up to be President. The new online Digital Vaults exhibit has captured the spirit of our Public Vaults and made inquiry-based learning about NARA records available to millions of people around the globe.

Our Boeing Learning Center provides resources to teachers and parents, allowing them to more effectively use our records to achieve national standards for history and civics. More than one million visitors a year now visit the National Archives Experience, with another 1.8 million visitors to NARA's Presidential

Libraries and Museums, providing the National Archives with an exceptional opportunity to promote lifelong civic learning among people of different ages and backgrounds who come from all parts of the country.

At National Archives regional locations in 13 metropolitan areas, we offer additional opportunities to encourage civic awareness and learning. Through expert, personal assistance with genealogy research, visitors learn how they can use records to explore family history and often discover the connection to our national story. We offer exhibits at two of our regional locations — Atlanta and Kansas City — that, for example, expose visitors to records that highlight civil and human rights struggles, and records that showcase legislation that initiated profound changes in the history of our country.

NARA's archival centers located throughout the country provide educational programs that present our national story in local settings. We continue to partner with agencies and organizations external to NARA to deliver programs and teach educators how to use Federal records as primary sources in the classroom. Our public programs and archival services raise awareness of NARA's availability and services to the public.

Presidential Libraries and Museums play a vital role in promoting an understanding not only of the Presidency, but also American history and democracy. From Hoover through Clinton, the museums offer thought-provoking and entertaining permanent exhibits that combine documents and artifacts, photographs and film to immerse visitors in the sights and sounds of the past. Each year, Presidential Libraries also host temporary exhibits that supplement and elaborate on themes presented in the permanent exhibitions. These temporary exhibits have examined topics central to civic literacy in America: leadership, citizenship, and the American experience.

Conferences, symposia, and public forums sponsored by the Libraries are another means of educating and informing the public about our shared democratic values. Conferences supported in partnership by all Presidential Libraries allow the public to learn about pivotal historical events from those who experienced the events first-hand. Presidential Libraries have explored ways to develop programs that can be utilized by a variety of audiences. The addition of the Reagan Library's Discovery Center in 2008 contributed to the growing host of Presidential Libraries' experiential learning programs. These programs, designed to allow participants to develop decision-making skills and gain a newfound understanding of government roles, are used by students and teacher groups, as well as government and corporate staffs for training. At the Federal Register, we teach a monthly class on the Federal regulatory process and the role of the *Federal Register*.

We want to gain insight of the degree to which our exhibits and programs have had a meaningful impact on visitors and participants. To increase our understanding, in FY 2008, we obtained OMB approval to use a measurement instrument program offered by the American Association of State and Local History Museums (AASLH). This allowed us to survey customers for feedback on our museum in Washington, DC, but it also provided us with a benchmark comparison with other similar museums. The results showed high levels of overall satisfaction; however, we learned that we could make improvements to the logistics and content in the Rotunda to enhance the experience of our customers. We will implement several changes in FY 2010 and survey our customers again in the summer and fall of FY 2010 to assess the impact of our changes. We will follow this cycle of analyzing customer feedback with identifying and establishing priorities on recommendations again in FY 2011.

Our Presidential Libraries are conducting a review of their museum programs and measuring these programs against industry standards. These studies will provide historical context to better understand the current state of the programs as well as recommendations on the future direction of the museums.

Throughout the National Archives system, we deliver a wide variety of experiences for visitors. These experiences are realized through physical visits, online and offline publications, video conferences, webcasts, and other methods. As technology expands to include new delivery mechanisms, we will look for new opportunities for delivering our programs and communicating and interacting with visitors. We will continue to assess the needs of our visitors and evaluate methods to improve our customer interactions.

Key external factors Our success depends on the support of the private foundations that are fundamental to our exhibit programs. To better understand our customers' interests, we will need to expand our customer survey program. We will need the support of OMB in approving these surveys and our customers in conducting them.

Verification and Validation

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Number of visitors to NARA museums and exhibits (in millions)	3.0	3.2	3.2	3.9		
Performance target for percent of visitors satisfied with their visit experience.	—	—	—	—	*85*	*86*
Percent of visitors satisfied with their visit experience.	—	—	—	—		
Percent of education programs, public outreach, and exhibit visitors who are highly satisfied with their visit.	96	96	97	97		
Number of rated education programs, workshops, and training courses.	605	606	632	632	TBD	TBD
Number of attendees at rated education programs, workshops, and training courses.	10,394	10,229	11,246	11,649		

Milestones

FY 2007
- Industry measurement tools for an appropriate benchmark for NARA museums surveyed.
- The Learning Center operational, part of NARA's National Archives Experience, is operational.
- Richard Nixon Presidential Library and Museum opens to the public.

FY 2008
- Draft profile of NARA's Presidential Libraries developed.
- Comparative data for the National Archives Experience in Washington using the AASLH survey instrument collected.

FY 2009
- NARA's 75th anniversary celebrated.
- Report on alternative models for Presidential Libraries issued.
- Data from the AASLH study analyzed.

FY 2010 Estimated

- Comparative data for the National Archives Experience in Washington using the AASLH survey instrument collected.
- Longitudinal study of visitor response to Public Vaults and National Archives Experience implemented and evaluated.
- Expand use of social media to increase collaboration, participation, and the growth of online communities.
- Industry measures based on peer review of Presidential Libraries identified.
- Measures for meeting industry standards by 2016 established.

FY 2011 Projected

- Recommendations from FY 2010 AASLH study results prioritized.
- Recommendations from longitudinal study of the Public Vaults prioritized.
- Number of online exhibits on Presidential Libraries partnership web site increased.

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

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

FY 10 Estimated Performance	• 82 percent of all NHPRC-assisted grants produce the results required.
FY 11 Projected Performance	• 83 percent of all NHPRC-assisted grants produce the results required.

Outcome Our visitors understand their personal connection to the records of their history.

Significance Projects supported by the National Historical Publications Records Commission produce the desired outcomes of the awards through careful development and monitoring of their goals and objectives. Ultimately, these projects support the publication, preservation, and availability of the nation's vast network of archival materials, thereby facilitating citizen access to our shared documentary heritage.

Means and Strategies The NHPRC, established by Congress in 1934, supports a host of activities to collect, preserve, publish, and promote the use of documentary sources relating to the history of the United States. The NHPRC oversees a highly competitive federal awards program and provides assistance to prospective grantees to cultivate high quality proposals. Projects supported by the NHPRC include digitizing and/or publishing historical records of national significance, tackling electronic records preservation and access issues, making hidden archival collections known and readily available, and preparing professionals in the archival and historical publishing communities for the challenges associated with these enterprises.

In FY 2009, we initiated our Founding Fathers Online pilot project, *Transcribing and Encoding the Founders Papers for Online Access*. This activity began in response to a Congressional committee report addressing concerns that the papers of America's Founding Fathers were not freely available online. The 2009 pilot project tested new approaches to significant portions of the editorial work associated with publishing the Founders' papers. These new approaches are focused on transcribing the handwritten texts and preparing, or encoding, them for online presentation. The pilot project includes the papers of John Adams, Benjamin Franklin, Thomas Jefferson, James Madison, and George Washington.

In FY 2010, we anticipate that 5,000 verified encoded transcriptions representing portions of the original papers of James Madison and John Adams will be available online for the first time as a result of the Founding Fathers online pilot project. We also anticipate that this project will yield potential new work flows and cost structures to be employed by potential grantees and cooperative agreement partners as we move forward in FY 2010 and FY 2011 with preparing both the previously published and the remaining unpublished Founders' papers for an online environment.

Contingent upon an NHPRC appropriation, the Archivist will issue at least one cooperative agreement in FY10 to provide free online access to existing annotated transcriptions of Founding Fathers documents.

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

Verification and Validation

Performance Data	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Performance target for the percentage of closed grants achieving desired results.	—	—	—	*82*	*82*	*83*
The percentage of closed grants achieving desired results.	88	86	81	82		

Milestones

FY 2010 Estimated

- Online access to 5,000 unpublished transcriptions of the papers of James Madison and John Adams available.
- Report on status of remaining work on the Founding Fathers papers issued.
- Cooperative agreement for providing free online access to the published papers of the Founders — Adams, Franklin, Hamilton, Jefferson, Madison, and Washington — issued.

FY 2011 Projected

- Cooperative agreement to convert remaining unpublished transcriptions of Founders papers to a verified, encoded state issued.

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

STRATEGIC GOAL 6 WE WILL EQUIP NARA TO MEET THE CHANGING NEEDS OF OUR CUSTOMERS.

Long Range Performance Targets

6.1 By 2016, 95 percent of employees possess the core competencies that were identified for their jobs.

6.2 By 2016, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force (CLF).

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

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

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

FY 2010 Resources Available to Meet This Goal: $37,682,000; 194 FTE
FY 2011 Resources Requested to Meet This Goal: $36,864,000; 196 FTE

FY 2011 Budget Linkage	Records Services	Archives Related Services	Electronic Records Archives	Archives II Facility	Revolving Fund	Trust Fund	NHPRC	Repairs & Restoration
6.1 By 2016, 95 percent of employees possess the core competencies that were identified for their jobs.	✓	✓	✓		✓			
6.2 By 2016, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force (CLF).	✓	✓	✓		✓			
6.3 By 2016, 60 percent of NARA's positions are filled within 80 days.	✓	✓	✓		✓			
6.4 By 2016, NARA's telework rate is 100 percent of the Federal Government average rate.	✓	✓	✓		✓	✓		
6.5 By 2016, public network applications are available 99 percent of the time.	✓	✓			✓			

Long Range Performance Target 6.1 By 2016, 95 percent of employees possess the core competencies that were identified for their jobs.

FY 10 Estimated Performance

- Maintain 95 percent of staff development plans linked to strategic outcomes.
- Maintain 95 percent of employee performance plans linked to strategic outcomes.

- Identify core competencies for NARA's mission critical occupations.

FY 11 Projected Performance

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

Outcome The NARA workforce has the skills necessary to deliver the services our customers require.

Significance To ensure we can achieve our mission and strategic goals we must ensure that staff have the skills and competencies they need to optimize individual and organizational performance.

Means and Strategies Having the internal staff capabilities to carry out the strategies in this Strategic Plan is vital to the success of the plan and the achievement of our mission. To ensure that we have the staff capacity that we need both now and in the future, we are systematically examining NARA's major occupations to identify competency requirements at all levels. As these competency requirements are identified, we will use them as the basis for recruitment, selection, performance management, training, and development of NARA staff. Specifically, we will use the results of our competency development work to:

- Update our recruitment and selection criteria (to include making increased use of automation and expanding the types of assessments used to hire candidates into NARA positions) to ensure that we are hiring the right people with the right skills for the right jobs at the right time.
- Develop competency-based performance standards that clearly articulate performance expectations and hold staff accountable for achieving results.
- Design training opportunities that will provide staff with the competencies needed to perform their jobs.
- Assess the competencies of existing staff, identify skill gaps, and develop both short- and long-term strategies to bridge those gaps.
- Identify workforce imbalances and anticipate succession or other workforce planning needs.
- Identify and communicate to staff paths for career progression and advancement throughout NARA.

Our initial focus was on developing core competencies for our mission critical occupations – Archivists in the GS-1420 series and Archives Specialists and Technicians in the GS-1421 series. We then expanded our competency development work to other critical and important occupations. In FY 2008 and FY 2009, we successfully piloted our competency development approach across all positions in NARA's Modern Records Program and in the Information Security Oversight Office (ISOO), and the Federal Records Center Director position in our Office of Regional Records Services. We also developed a competency based assessment for this latter position. The results and lessons learned from this pilot project will be applied to future competency development efforts across other mission critical occupations in the years to come.

We have also made significant progress toward creating an agency-wide leadership competency model. During FY 2008, NARA's Office of Records Services, Washington, DC, validated a leadership competency model that is now being used as the foundation for several management development activities across the office, including a formal competitive management development program for high-potential "emerging" managers. We expanded this leadership competency model to all NARA leadership positions during FY 2009 and will continue with these efforts in FY 2010. We are currently working with our Access Programs office and also developing a physical ability test for the records centers. In addition, we are exploring options for implementing a writing sample assessment to be used agency-wide in the selection process. In FY 2010 we will develop a bank of structured interview questions to help facilitate hiring decisions. In FY 2010 and FY 2011, we will begin competency development work with many of the positions in our Office of Regional Records Services.

NARA also developed a Strategic Human Capital Plan (SHCP) for FY 2009 – 2014 that provides direction for addressing NARA's most significant workforce management challenges and opportunities. It outlines our mission, infrastructure, goals, objectives, and strategies. The plan is based on guidance provided by the U.S. Office of Personnel Management (OPM) and its foundation is rooted in the five human capital systems outlined in OPM's Human Capital Accountability and Assessment Framework (HCAAF).

All Federal agencies are required to develop a human capital plan in accordance with the Chief Human Capital Officers (CHCO) Act of 2002. This plan serves as the basis to further engage all NARA offices in the management of their most important resources, their employees. By establishing a viable human capital planning process, we increase our understanding and awareness of the factors that impact our agency workforce. In particular, the SHCP establishes a systematic, data-driven, agency-wide approach to human capital management, aligned with the Agency's mission and vision. The purpose of the plan is to address the strategic management of the agency's human capital over the next five years.

Verification and Validation

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Performance target for percent of permanent staff having staff development plans that link to strategic outcomes.	*95*	*95*	*95*	*95*	*95*	*95*
Percent of permanent staff having staff development plans that link to strategic outcomes.	76	96	88	67		
Number of permanent staff having staff development plans that link to strategic outcomes.	1,970	2,372	2,223	1,750		
Number of permanent staff.	2,656	2,520	2,533	2,670		
Average time (in calendar days) to fill a leadership position	42	39	55	65		
Performance target for percent of staff having performance plans that link to strategic outcomes	*95*	*95*	*95*	*95*	*95*	*95*
Percent of staff having performance plans that link to strategic outcomes.	95	97	98	96		
Number of staff having performance plans that link to strategic outcomes.	2,530	2,479	2,510	2,573		

Milestones

FY 2006

- 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.

FY 2007	• A management development program for another program office designed. • Conversion project for eOPFs completed.
FY 2008	• NARA Mission Critical Occupations (MCOs) formally identified. • Contract support for competency development initiative obtained. • Competency development pilot project with NARA's Modern Records Program completed. • Pilot for a management development program implemented.
FY 2009	• Competency development work expanded to cover all positions in ISOO, our Modern Records Program office, and the Federal Records Center Director in our Office of Regional Records Services. • NARA's Strategic Human Capital Plan developed.
FY 2010 Estimated	• Leadership competency model expanded to cover all NARA leadership positions. • Competency models for Office of Regional Records Services and Office of Information Services developed (excluding clerical positions). • Competency development work for Access Programs office and at least one additional area completed. • Structured interview question bank developed. • Physical ability test and writing sample assessment developed.
FY 2011 Projected	• Competency modeling for MCOs in remaining program offices expanded. • Competency modeling for clerical positions developed. • Competency work for use with performance appraisals expanded.

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.

Long Range Performance Target 6.2 By 2016, the percentages of NARA employees in underrepresented groups match that of the Civilian Labor Force.

FY 10 Estimated Performance	• Increase the number of employees in underrepresented groups relative to their representation in the CLF.
FY 11 Projected Performance	• Increase the number of employees in underrepresented groups relative to their representation in the CLF. • Increase by 5 percentage points the number of positive responses to Annual Employee Survey (AES) questions referencing workforce diversity.

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 must focus 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.

Our efforts in this area are guided by our annual Federal Equal Opportunity Recruitment Program (FEORP) Plan. Our FEORP Plan contains four multi-year strategic goals that together form the foundation of our recruitment strategy for women and minorities. These goals are:

- Ensure that FEORP goals are aligned with NARA's Strategic Plan and Strategic Human Capital Plan and integrated with workforce planning efforts;
- Expand the pipeline of women and minorities available for employment with NARA;
- Maintain a diverse high-performing workforce by effectively recruiting and retaining top talent; and
- Enhance staff development opportunities that prepare staff for upper level positions.

Each year, NARA identifies specific strategies that we will undertake to support our multi-year FEORP goals. Our strategies focus on expanding partnerships with minority-serving universities, education associations, and professional organizations; attending and networking at minority conferences and job fairs; encouraging the use of developmental assignments that provide on-the-job training opportunities for women and minorities; and ensuring that our FEORP goals and strategies are fully aligned with NARA's Strategic Human Capital Plan and, by extension, NARA's Strategic Plan. Progress against our FEORP goals and strategies is assessed each year as part of our human capital accountability efforts and the U.S. Office of Personnel Management's annual FEORP reporting requirement. In addition, our FEORP plan is revised each year to reflect our latest workforce demographics; specific strategies are updated as necessary to address any under-representation at NARA.

Key external factors Success here depends on qualified people in underrepresented groups applying for positions at NARA in response to our recruitment efforts.

Verification and Validation

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Number of applicants.	5,040	4,690	5,559	5,129		
Number of applicants in underrepresented groups.	1,790	1,744	2,515	2,402		
Percent of applicants in underrepresented groups.	36	37	45	47		
Number of qualified applicants.	2,315	2,857	3,099	3,122		
Percent of qualified applicants in underrepresented groups.	53	42	52	49		
Number of best qualified applicants.	—	1,001	1,533	1,401		
Percent of best qualified applicants in underrepresented groups.		51	52	49		
Number of new hires.	256	236	334	270		
Percent of new hires in underrepresented groups.	51	50	49	57		
Performance target for percentage of women relative to the CLF.	—	—	—	—	*89*	*91*
Employment percentage of women relative to the CLF.	88	87	88	87		
Performance target for percentage of black employees relative to the CLF.	—	—	—	—	—	—
Employment percentage of black employees relative to the CLF.	299	297	289	279		

Performance Data	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Performance target for percentage of Latino-Hispanic employees relative to the CLF.	—	—	—	—	*18*	*20*
Employment percentage of Latino-Hispanic employees relative to the CLF.	17	18	17	16		
Performance target for percentage of Asian American employees relative to the CLF.	—	—	—	—	*74*	*78*
Employment percentage of Asian American employees relative to the CLF.	62	63	61	59		
Performance target for percentage of Pacific Islander employees relative to the CLF	—	—	—	—	—	—
Employment percentage of Pacific Islander employees relative to the CLF.	34	36	0	0		
Performance target for percentage of American Indian/Alaskan Native employees relative to the CLF.	—	—	—	—	—	—
Employment percentage of American Indian/Alaskan Native employees relative to the CLF.	52	62	80	97		
Percentage of NARA employees with a targeted disability.	1.8	1.6	1.6	1.7		
Summary of 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: Any U.S. citizen who submits a complete application in accordance with the instructions outlined in the job announcement; Underrepresented groups: groups of people tracked by the U.S. Equal Employment Opportunity Commission: Minority groups (Black, Latino-Hispanic, Asian, Native Hawaiian/Pacific Islander, and American Indian/Alaskan Native); Women; People with Disabilities.

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

FY 10 Estimated Performance
- 30 percent of NARA's positions are filled within 80 days.

FY 11 Projected Performance
- 40 percent of NARA's positions are filled within 80 days.

Outcome NARA workforce is properly staffed to accomplish agency mission.

Significance An effective hiring process enhances NARA's ability to reach the best talent in a competitive market in a timely manner. Proper workforce planning will decrease the lag time experienced when agency program offices need to commence, resume, or properly staff work vital to accomplish the agency's strategic mission and goals. Instituting hiring processes that simplify, facilitate, and support both manager and job applicant reduces the risk of losing potential NARA job seekers to positions external to the agency.

Means and Strategies In FY 2009, we developed NARA's Strategic Human Capital Plan, an instrument we use to document our goals and objectives for addressing the human capital challenges and opportunities we face. This plan defines how we will strategically manage our workforce both now and in the future to achieve NARA's strategic goals and objectives. We must focus on improving our performance in workforce planning to proactively identify and understand both short and long term organizational requirements. Knowledge of the strategic priorities of program offices assists in early identification of staffing requirements.

In FY 2010 we will formally document our workforce planning process, develop tools to help managers identify their workforce needs, and identify NARA's overall hiring projections. We will then develop workforce plans in FY 2010 and FY 2011.

NARA also piloted an automated hiring solution with one license to the Office of Personnel Management's (OPM) USA Staffing tool in FY 2009. This tool automates the hiring process and reduces the time to fill positions. The pilot was successful and we anticipate expanding our automated staffing environment in FY 2010 and FY 2011. We have experienced increasing delays in filling positions due to the overwhelming workload experienced by staff in screening the flood of applications absent an automated hiring tool. Expanding the use of an automated hiring tool will enable NARA to fill jobs much more quickly, allow organizations to reduce the number of vacancies in their organizations, and reduce overtime for some offices like those in our Office of Regional Records Services where we must meet customer demands, regardless of the staffing levels.

In addition, we established a Human Resources (HR) Transformation Team in FY 2009 to oversee the upgrade of NARA's HR automation infrastructure and the implementation of specific actions to improve the timeliness to complete hiring actions in NARA. These changes are needed to improve basic HR services and to transform from a manual, labor-intensive personnel office to a strategic human capital organization. To achieve this transformation, we must deploy improved technology and support streamlined processes. Our transformation will allow us to be more productive and deliver better services to NARA's customers.

Also, NARA has actively participated in implementing OPM's Hiring Reform 2009 initiative supporting the President's hiring reform agenda. We recently established a team comprising hiring managers and human resource professionals within NARA to roll out several deliverables in FY 2010. We will develop deliverables designed to map our current hiring process to improve the time to fill positions, streamline and use plain language in our job opportunity announcements, ensure applicant notification, and improve manager engagement in the hiring process.

Verification and Validation

Performance Data	**FY 2009**	**FY 2010**	**FY 2011**
Number of applicants.	1,227		
Number of applicants hired.	114		
Average number of days to fill position.	—		
Performance target for percent of NARA's positions filled in 80 days.	—	*30*	*40*
Percent of NARA's positions filled in 80 days.	—		

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

Definitions Applicant: Any U.S. citizen who submits a complete application in accordance with the instructions outlined in the job announcement; Underrepresented groups: groups of people tracked by the U.S. Equal Employment Opportunity Commission: Minority groups (Black, Latino-Hispanic, Asian, Native Hawaiian/Pacific Islander, and American Indian/Alaskan Native); Women; People with Disabilities.

Milestones

FY 2009
- NARA's Strategic Human Capital Plan developed.

FY 2010 Estimated
- NARA's workforce planning process documented.
- Current hiring process mapped, job opportunity announcements streamlined, and applicant notification process in place.
- Workforce plans developed.
- Action plan to mitigate the "time to fill" barriers implemented.
- Staffing manager to manage the implementation and oversee operation of NARA's USA Staffing system hired.
- Backlog of hiring actions reduced.
- Automated hiring pilot expanded.

FY 2011 Projected
- Additional workforce plans developed.

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

FY 10 Estimated Performance
- 15 percent of NARA's eligible staff participates in the telework program.

FY 11 Projected Performance
- 20 percent of NARA's eligible staff participates in the telework program.

Outcome Non-traditional work arrangements enhance employee quality of life, impact recruitment and retention and supports emergency situations.

Significance We recognize the importance of non-traditional work arrangements as a way to enhance the quality of employee work life. In addition, telework is a tool we can use to help recruit and retain the best workforce, improve the productivity of our workforce, decrease impediments to the productivity of our workforce, and prepare for and cope with emergency situations.

Means and Strategies We continue to support the integration of telework into agency operations. In FY 2010 we will hire a Work-life Wellness coordinator who will serve as the telework program manager. Also in FY 2010, we will issue an updated telework directive that potentially will expand telework eligibility and identify a tracking mechanism to track telework agreements as well as hours teleworked. In addition, we will develop improved communications and marketing to staff to increase the visibility of the telework program and help illustrate the business case for supporting telework. In FY 2011, we will review telework activities and provide support to program areas to increase telework opportunities.

Verification and Validation

Performance Data	**FY 2006**	**FY 2007**	**FY 2008**	**FY 2009**	**FY 2010**	**FY 2011**
Percent of eligible Federal Government workers who telework.	9	8	—	—		
Performance target for percent of eligible NARA employees who telework.			—	—	*15*	*20*

Performance Data	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Percent of eligible NARA employees who telework.	9	12	—	—		
Number of telework hours worked by eligible NARA employees.	—	—	—	—		
Number of total hours worked by eligible NARA employees.	—	—	—	—		

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

Long Range Performance Target 6.5 **By 2016, public network applications are available 99 percent of the time.**

FY 10 Estimated Performance

- Public network applications are available 98.85 percent of the time.
- Maintain and analyze NARA's agency-wide data dictionary that contains data modeling and physical implementation information for NARA's major mission-related systems.

FY 11 Projected Performance

- Public network applications are available 98.86 percent of the time.
- Implement phase 1 of the enterprise Storage Network Infrastructure.
- Implement the Local Area Network (LAN) services solution based upon the design and transition strategy.

Outcome NARA information and services are electronically 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.

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 goals. NARA is working to enforce the governance process related to its EA. It is the enforcement of the EA governance that will allow NARA to hold IT projects accountable for EA compliance and alignment with the Federal Enterprise Architecture. Over the past several years we have focused on EA process improvement and worked to resolve some gaps that had been identified through GAO and OMB assessments and the agency-wide review of the EA work products.

As a result, NARA's EA received an overall score of "green" from OMB in FY 2008 based on green scores in the Completion, Use, and Results categories.

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. Also, we risk 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 Web 2.0 and 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 addition to supporting public network applications and ensuring their security, successful implementation and deployment of many NARA initiatives, including ERA, is dependent upon a robust, reliable, stable, scalable, and high performance technology infrastructure. NARA's infrastructure consists of the following components and services: servers, the wide area and local area networks, desktop and laptop computers, e-mail, Internet access, Intranet platforms, mobile devices, and storage. The NARA IT infrastructure is the foundation for secure and reliable computing. The current infrastructure includes support of 44 sites, nearly 5000 workstations and telephone sets, more than 320 servers in addition to the network, email, security, and operation and system management tools. We need to ensure the continuous improvement in the performance of the infrastructure to meet business requirements. As part of this, we need to upgrade our Local Area Network (LAN) services and desktop capabilities. In 2011 we will review the current state of technology and business services against current and future requirements. The review will include e-mail, network operations and desktop operating systems, and productivity tools. These services will be upgraded as appropriate.

As we modernize our network and make available our historic records, we must also develop an enterprise storage infrastructure solution to support both operational and strategic requirements. This improved storage infrastructure will be capable of supporting current and future digitization efforts. It will also provide redundancy for improved continuity of NARA's business services.

We made significant progress in FY 2009 to meet our FY 2010 goal of implementing NARA's data dictionary to identify data in major mission-related systems and to facilitate data sharing and data standards development and implementation. We spent FY 2009 developing the data dictionary concept; gathering, analyzing and entering the data into the dictionary from four major NARA business systems (ERA, HMS, ARCIS, and ARC); developing a simple user interface with explanatory information to aid in the dictionary's use, and briefing NARA staff. In FY 2010 we will continue to implement the dictionary. We will ensure that the data is current, the system is updated to facilitate NARA staff and contractors' use of the dictionary, and the data is analyzed to identify areas of overlaps in systems. We envision that the data dictionary will provide NARA with the foundational tool to facilitate data sharing and continued development of data standards throughout the agency.

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 the 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

Performance Data	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Percent of public network availability.	100	100	100			
Performance target for percent availability of public applications.	*98.9*	*98.80*	*98.83*	*98.84*	*98.85*	*98.86*
Percent of public applications availability.	98.9	99.3	99.5	99.5		
Number of total hours that any public network application was unavailable.	830	504	424	414		
Number of network users for public applications (in millions).	6.7*	6.5*	8.8	7.0		
Cost per visit to public applications.	$0.27	$0.34	$0.40	$0.45		
Percent of customer's highly satisfied with NARA helpdesk services (average for year).	—	65	83	87		

** This data is not reliable because it reflects bot invasions that we are now able to exclude from 2008 data.*

Milestones

FY 2006
- Physical security of NARA's computer infrastructure at remaining NARA locations upgraded.
- Network operating system and agency e-mail system upgrade across NARA initiated.
- NARA's Enterprise Architecture received overall score of "green" from OMB.

FY 2007
- Network operating system and agency e-mail system upgrade across NARA completed.

FY 2008
- Recompete of Information Technology Support Services contract initiated.
- Possible IT solutions for work-at-home to support Federal telework initiatives tested.

FY 2009
- NARA Information Technology and Telecommunications Support Services contract awarded.
- Strategy and Concept of Operations for integration and management of remote access for mobile users developed.
- Network bandwidth and capabilities for digitized voice services increased.
- Telephone infrastructure upgraded.

FY 2010 Estimated
- Service level agreements under the NITTSS contract across the enterprise implemented.
- Agency wide data dictionary with metadata from major mission-related systems updated.

FY 2011 Projected
- Phase I of the enterprise Storage Network Infrastructure implemented.
- Local Area Network (LAN) services solution based upon the design and transition strategy implemented.

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

Definitions NARANET: a collection of local area networks installed in 44 NARA facilities that are connected to a Multi-Protocol Label Switching (MPLS)-enabled network and with access 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.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
2011 PERFORMANCE BUDGET — CONGRESSIONAL JUSTIFICATION

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CAPITAL IMPROVEMENTS PLAN

February 2010

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)

ANALYSIS OF REQUESTED LEVEL FOR 2011

(dollars in thousands)

	FTE	Amount
Level Authorized by P.L. 111-117 for Fiscal Year 2010	1,594	$339,770
Estimates for Fiscal Year 2011	1,651	$348,689
Total Change, 2010 to 2011	**57**	**$8,919**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2011

(dollars in thousands)

Activity	Obligations						Increases or Decreases for 2011	
	2009 Actual		2010 Estimate		2011 Request			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Records Services:								
Records Services - Washington, DC	754	$136,169	787	$138,894	822	$144,018	35	$5,124
Regional Records Services	266	55,911	277	54,758	283	55,203	6	445
Presidential Libraries	369	89,086	419	96,454	425	98,376	6	1,922
Information Security Oversight Office	22	5,350	34	7,181	43	8,435	9	1,254
Subtotal, Records Services	1,411	$286,516	1,517	$297,287	1,573	$306,032	56	$8,745
Archives Related Services:								
Federal Register	64	11,164	66	11,027	67	11,180	1	153
National Historical Publications and Records Commission	9	2,409	11	2,485	11	2,506	0	21
Subtotal, Archives Related Services	73	$13,573	77	$13,512	78	$13,686	1	$174
Office of Inspector General [2]	18	$3,055	-	$0	0	$0	0	$0
Archives II Facility Interest Payments [1]	-	17,129	-	16,101	-	14,984	-	-1,117
Total Obligations	**1,502**	**$320,273**	**1,594**	**$326,900**	**1,651**	**$334,702**	**57**	**$7,802**
Archives II / Redemption of Debt [1]	-	11,842	-	12,870	-	13,987	-	1,117
Total Request	**1,502**	**$332,115**	**1,594**	**$339,770**	**1,651**	**$348,689**	**57**	**$8,919**

[1] See explanation of Archives II financing on page III-12.

[2] New, separate appropriation authorized for the Office of Inspector General in 2010.

Note: See each activity for prorated amount of program direction.

SUMMARY EXPLANATION OF CHANGES REQUESTED FOR 2011

(dollars in thousands)

Activity	Records Services		Archives Related Services		Total	
	FTE	Amount	FTE	Amount	FTE	Amount
Program Changes:						
National Declassification Center	28	$5,100	-	$0	28	$5,100
Holdings Protection Team	7	1,435	1	65	8	1,500
Controlled Unclassified Information Staff	9	1,200	-	-	9	1,200
Archival Staff Increase	12	950	-	-	12	950
Total Program Changes	**56**	**$8,685**	**1**	**$65**	**57**	**$8,750**
Other Changes:						
Annualization of 2010 Pay Raise	-	$754	-	$43	-	$797
January 2011 Pay Raise	-	1,880	-	106	-	1,986
Facility Rate Changes (NARA Facilities)	-	1,629	-	37	-	1,666
Energy Conservation Efforts (NARA Facilities)	-	-957	-	-43	-	-1,000
Rent Rate Changes (GSA Facilities)	-	-828	-	3	-	-825
Information Technology Rate Increases	-	1,602	-	73	-	1,675
Information Technology Systems Reduction	-	-4,671	-	-129	-	-4,800
Inflationary Rate Changes (Non-pay)	-	651	-	19	-	670
Total Other Changes	**-**	**$60**	**-**	**$109**	**-**	**$169**
Total Changes Compared to 2010	**56**	**$8,745**	**1**	**$174**	**57**	**$8,919**

RECORDS SERVICES

Analysis of Resources

(dollars in thousands)

Activity	Obligations						Increases or Decreases for 2011	
	2009 Actual		2010 Estimate		2011 Request			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Records Services - Washington, DC	658	$104,025	677	$104,892	708	$109,577	31	$4,685
Regional Records Services	230	43,718	235	41,861	240	42,139	5	278
Presidential Libraries	307	68,164	347	74,323	351	75,959	4	1,636
Information Security Oversight Office	19	4,311	30	6,082	39	7,322	9	1,240
Subtotal	1,214	220,218	1,289	227,158	1,338	234,997	49	7,839
Program Direction	197	66,298	228	70,129	235	71,035	7	906
Total	**1,411**	**$286,516**	**1,517**	**$297,287**	**1,573**	**$306,032**	**56**	**$8,745**

BACKGROUND

Records Services programs cover selecting, preserving, describing, and making available to the general public, scholars, and Federal agencies the permanently valuable historical records of the Federal Government and the historical materials and Presidential records in Presidential Libraries; for preparing related publications, exhibits, and public programs; and for conducting the appraisal of Federal records. Included is the systematic review of all classified records in the National Archives over 25 years old, and the implementation and monitoring of security classification programs in both Government and industry. Such programs are administered through NARA's Office of Records Services-Washington, D.C.; Office of Regional Records Services; Office of Presidential Libraries; and the Information Security Oversight Office.

1. Records Services-Washington, D.C. — This program provides Federal agencies and the public with access to records of the Federal Government. Information regarding these records and reproductions of them are also provided through mail, e-mail, telephone, and fax. Records are arranged and descriptions of their contents are prepared to provide access and facilitate use of the records. Descriptions of materials are published in guides, inventories, special lists, other publications, and electronically. Exhibits provide additional public access to archival holdings.

This program also appraises records of the Federal Government for disposition and establishes government-wide policies, standards, procedures, and regulations to ensure adequate and appropriate documentation of the Government's activities. Assistance is provided to Federal agencies to ensure the proper creation, maintenance, use, and disposition of agency records, including the development and implementation of records administration programs, as mandated by law.

Included is a declassification program that makes available to the public historically valuable information in previously classified Federal Government records and donated historical materials by declassifying information without endangering national security. Much of the work is performed in the Washington metropolitan area on records in the National Archives at College Park. Some of this work also is accomplished at the Presidential Libraries of recent Presidents. Under Executive Order 12958, effective October 16, 1995, the program is focused on the systematic review and declassification of classified information in archival records more than 25 years old. The program also provides for review of records requested by researchers in accordance with procedures under Executive Order 12958 and the Freedom of Information Act.

Records Services - Washington, D.C. Program Costs
(dollars in thousands)

Activity	2009 Actual	2010 Estimate	2011 Request	Change from 2010
Reference Services / Acces	$26,582	$27,198	$28,049	$851
Preservation	14,035	14,702	14,906	204
Records Life Cycle System	19,492	20,141	20,516	375
Records Declassification	6,380	7,057	12,181	5,124
Public Programs	4,395	4,411	4,488	77
Rent	51	51	51	0
O&M - NARA Buildings	25,584	24,117	23,954	-163
Common Distributable	7,506	7,215	5,432	-1,783
Total Program Costs	$104,025	$104,892	$109,577	$4,685

2. Regional Records Services — Outside the Washington, D.C. area, NARA operates a system of individual regional records services facilities in ten regions. Each of the ten regional administrators oversees a program encompassing the full life cycle of records from creation through ultimate disposition and use. Included are records management activities with records creators, records processing, archival accessioning, and provision of records access to the public. Historically valuable records, particularly those of regional interest, are maintained in regional archives, which arrange and preserve the records and prepare finding aids to facilitate their use, make the records available for use in research rooms, answer written and oral requests for information contained in the holdings, and, for a fee, provide copies of the records. In addition, many important original records held in NARA facilities in the Washington, D.C., area are available on microform in regional facilities.

Regional records services facilities provide reference services on over 1,035 million cubic feet of records, which includes retrieving records for the agency of origin, preparing authenticated reproductions of documents, and furnishing information from records. The facilities also dispose of records of transitory value and transfer into archival custody those that have enduring value. The facilities also offer to Federal agencies in the regions technical assistance workshops and advice on records creation and management.

3. Presidential Libraries — This program provides for the operation of thirteen Presidential Libraries, and the Presidential Materials Staff in Washington, D.C. Presidential records, manuscripts, books, prints, films, and other historical materials received from former Presidents or acquired from their contemporaries pursuant to the Presidential Records Act of 1978 are arranged, described, preserved, and processed for opening to the public. Finding aids are published and assistance is provided to scholars and other researchers. The libraries also solicit donations of historical materials relating to Presidents and the Presidency. The Presidential Libraries have programs of exhibits, publications, scholarly symposia, conferences, and related activities based upon their holdings. Preservation actions include making copies of Presidential films and tapes, conserving museum items, and preserving color photos.

Selected library holdings at the close of 2009 were as follows:

Traditional Textual (cubic feet)	259,492
Traditional Non-Textual (cubic feet)	24,978
Artifacts (number of items)	625,519

Exhibits in Presidential Libraries were viewed by 1,802,324 visitors in 2009.

Presidential Libraries Program Costs
(dollars in thousands)

Activity	2009 Actual	2010 Estimate	2011 Request	Change from 2010
Hoover	$1,341	$1,482	$1,519	$37
Roosevelt	1,813	2,003	2,054	$51
Truman	1,976	2,183	2,238	$55
Eisenhower	1,989	2,198	2,253	$55
Kennedy	2,527	2,792	2,862	$70
Johnson	2,218	2,450	2,512	$62
Nixon	3,394	3,750	3,844	$94
Ford	2,340	2,585	2,650	$65
Carter	2,405	2,657	2,724	$67
Reagan	2,184	2,412	2,473	$61
Bush	1,946	2,150	2,204	$54
Clinton	2,036	2,249	2,306	$57
G.W. Bush	5,171	5,713	5,856	$143
Presidential Materials Staff	1,640	1,813	1,858	$45
Planning and Direction	4,756	5,254	5,386	$132
Rent	8	7	7	$0
O&M - NARA Buildings	1,896	1,751	1,740	-$11
O&M - Libraries	25,565	27,894	28,526	$632
Common Distributable	2,959	2,980	2,947	-$33
Total Program Costs	$68,164	$74,323	$75,959	$1,636

4. Information Security Oversight Office (ISOO) — The Information Security Oversight Office provides oversight for the information security program established by Executive Order 12958 and reports annually to the President on the status of that program. This involves monitoring the information security programs of approximately 80 executive branch agencies. It is also responsible for policy oversight for the National Industrial Security Program established under Executive Order 12829.

5. Program Direction — This activity provides general direction and program support for all NARA programs. Direction is provided by the Archivist and a policy, communications, legal, and administrative staff. The Archivist's staff coordinates the offices' programs; provides legal advice; promotes the efficient utilization of resources; maintains liaison activities with the Congress; provides policy on budget and human resources matters; conducts audits; manages facilities and the procurement program; evaluates programs; and coordinates information technology systems. An additional major responsibility of this staff is to coordinate and oversee the agency's strategic planning process. This includes management of strategic and annual performance plans, all related customer service programs, and performance measurement systems.

NARA is committed to streamlining operations, enhancing productivity, and creating innovation. NARA is continuing business process design efforts in both archival and administrative areas as part of an on-going effort to improve management oversight and internal efficiency. NARA is also creating an agency-wide information technology architecture that will make possible access to shared reference data throughout the records life cycle in a consistent and compatible manner; promote the technological integration of all sites; and involve technologies that are secure, maintainable, and reusable.

In response to the Administration's policy of reducing administrative support costs, NARA has cross-servicing agreements for payroll and accounting services. NARA continues to contract out Washington, D.C. area mailroom services and certain other administrative services. Human resources management services are provided nationwide through a centralized employment policy branch in Washington, D.C., and an operations branch in St. Louis, Missouri.

NARA uses the services of The Bureau of the Public Debt (BPD) to provide detailed financial data. The data is used in the development of budget estimates as well as in the performance of program and administrative responsibilities.

NARA completed audited financial statements in accordance with the accounting standards codified in the Statements of Federal Financial Accounting Standards (SFFAS) and OMB Bulletin No. 01-09, Form and Content of Agency Financial Statements.

The Facilities and Personal Property Management Division, NAF, employs a nationwide property inventory and management information system that manages NARA's assets. The property management system currently is Integrated Property Management (IPM), but the agency is in the process of migrating to MAXIMO.
.

The IPM system maintains accurate information regarding the funding used, the date of purchase, and capitalization and depreciation of all real property assets that the value exceeds $3,000. The IPM system also maintains information on sensitive items such as computers, weapons and audio/visual equipment. The IPM system provides information on the personal property's location, size, whether the item is purchased or leased, and warranty information. The IPM system provides reports on past audit/inventories and maintains schedules for future audit/inventories. IPM also has a disposal/surplus module that creates the surplus forms, pulls the asset from an open active inventory file to an inactive surplus file. The inactive surplus file becomes a history file for audit purposes. This IPM system is operated and maintained by a trained property management staff within NAF. This staff works daily with the property officers nationwide to keep the information accurate and up to date.

Program direction staff are responsible for all aspects of facility management for the National Archives Building and the Archives II facility, including security, operation, and maintenance. In addition, staff provides management oversight for major repair and alteration projects at the National Archives Building, the Archives II facility at College Park, Maryland and Presidential Libraries located at facilities around the country.

EXPLANATION OF CHANGES, 2010 VERSUS 2011

The budget requests $8,745,000 and 56 FTE.

Program changes. Increases totaling $8,685,000 and 56 FTE include $5,100,000 and 28 FTE to establish the National Declassification Center; $1,435,000 and 7 FTE to support a holdings protection team; $1,200,000 and 9 FTE to expand the duties of the Controlled Unclassified Information Office; and $950,000 and 12 FTE to increase the Archival staff.

Other changes. An overall increase of $60,000 includes $754,000 for annualization of the 2010 pay raise; $1,880,000 for the January 2011 pay raise; $1,629,000 for facility rate changes (NARA facilities); $1,602,000 for information technology changes; and $651,000 for inflationary rate changes.

These increases are offset by the following decreases: $957,000 in energy conservation efforts (NARA facilities); $4,671,000 for information technology systems reductions; and $828,000 for rent rate changes (GSA facilities).

Records Services Performance Costs

(dollars in thousands)

Goals and Activities	2009 Actual	2010 Estimate	2011 Request	Change from 2010
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	$31,994	$36,511	$37,228	$717
We will preserve and process records to ensure access by the public as soon as legally possible.	$143,638	$149,858	$159,591	$9,733
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	$10,476	$10,592	$9,231	-$1,361
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	$52,491	$54,327	$54,564	$237
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs.	$13,338	$13,738	$14,083	$345
We will equip NARA to meet the changing needs of our customers.	$34,579	$32,261	$31,335	-$926
Total Performance Costs	$286,516	$297,287	$306,032	$8,745

ARCHIVES RELATED SERVICES

Analysis of Resources
(dollars in thousands)

Activity	Obligations						Increases or Decreases for 2011	
	2009 Actual		2010 Estimate		2011 Request			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Federal Register	57	$8,739	58	$8,462	58	$8,582	0	$120
National Historical Publications and Records Commission	7	1,855	9	1,899	9	1,912	0	13
Subtotal	64	10,594	67	10,361	67	10,494	0	133
Program Direction	9	2,979	10	3,151	11	3,192	1	41
Total	**73**	**$13,573**	**77**	**$13,512**	**78**	**$13,686**	**1**	**$174**

BACKGROUND

Archives Related Services include two special services that are archival related in the Federal government. One is the publication of the *Federal Register*, the *Code of Federal Regulations*, the *U.S. Statutes at Large*, and Presidential documents. The other is the administration and reference services portion of the budget for the National Historical Publications and Records Commission. This Commission makes grants nationwide to preserve and publish records that document American history. This section also describes program direction for NARA as a whole.

1. Federal Register — This program provides for the editing, compilation, and publication of Federal regulations in the *Federal Register* and the *Code of Federal Regulations*; laws in slip form and the *U.S. Statutes at Large*; Presidential documents in the *Weekly Compilation of Presidential Documents* and *Public Papers of the Presidents*; a compilation of Privacy Act issuances; and statements of Federal agency organization and functions in the *United States Government Manual*.

The program also provides leadership and assistance to agencies in drafting regulations; assists the public in using its publications by providing finding aids; and conducts educational programs for the public on how to use the *Federal Register*. In Presidential election years, the *Federal Register* program administers the Electoral College process.

2. National Historical Publications and Records Commission (NHPRC) — The NHPRC makes grants nationwide to preserve and publish records that document American history. Administered within the National Archives and Records Administration, which preserves Federal records, the NHPRC helps state and local governments and private non-profit institutions preserve non-Federal records, helps historians publish the papers of major figures in American history from George Washington to Martin Luther King, Jr., and helps archivists, records managers, and documentary editors improve their techniques, training, and ability to serve a wide range of information users–teachers, students, lawyers, judges, legislators, journalists, documentary film and TV producers, genealogists, and government officials as well as historians and other scholars.

The Commission is a statutory body chaired by the Archivist of the U.S. Its 15 members represent the President, the Congress, the Supreme Court, the Departments of State and Defense, the Library of Congress, and six national associations of archivists and historians. The Commission uses grants to leverage funding contributions from state legislatures, local governments, private donors, universities and other institutions, which provide on the average more than 50 percent of the costs of projects assisted by the NHPRC.

The Commission's grant appropriation will advance the progress the NHPRC is making in carrying out its strategic plan, which currently gives priority to funding publication of the papers of the Founding Fathers, helping archivists develop techniques for preserving, appraising, and providing access to electronic records, and helping to strengthen the nation's archival infrastructure by supporting state historical records advisory boards in developing statewide programs for historical documentary preservation.

The administrative costs of the Commission's small staff are covered here, within the administrative budget of the National Archives and Records Administration.

3. Program Direction — The description for this activity can be found on pages III-6 and III-7 of the Records Services section.

EXPLANATION OF CHANGES, 2010 VERSUS 2011

The budget requests $174,000.

Program changes. An increase of $65,000 and 1 FTE to support a holdings protection team.

Other changes. An overall increase of $109,000 includes $43,000 for annualization of the 2010 pay raise; $106,000 for the January 2011 pay raise; $37,000 for facility rate changes (NARA facilities); $73,000 for information technology changes; $3,000 for rent rate changes (GSA facilities); and $19,000 for inflationary (non-pay) rate changes; offset by decreases of: $43,000 for energy conservation efforts and $129,000 for information technology systems reduction.

Archives Related Services Performance Costs

(dollars in thousands)

Goals and Activities	2009 Actual	2010 Estimate	2011 Request	Change from 2010
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	$9,687	$9,474	$9,655	$181
We will preserve and process records to ensure access by the public as soon as legally possible.	$145	$132	$136	$4
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	-	-	-	-
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	$283	$484	$490	$6
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs.	$2,019	$2,101	$2,126	$25
We will equip NARA to meet the changing needs of our customers.	$1,439	$1,321	$1,279	-$42
Total Performance Costs	$13,573	$13,512	$13,686	$174

ARCHIVES II FINANCING

BACKGROUND

PL 100-440 (102 Stat. 1743-44), the NARA appropriation section, provided authorization for the construction of Archives II as follows:

> "That notwithstanding the provisions of 31 U.S.C. 1341(a)(1) or any other provision of law, the Archivist of the United States is authorized, pursuant to 44 U.S.C. 2903, to enter into a contract for construction and related services for a new National Archives facility in Prince George's County, Maryland, on a site provided, without charge, to the United States by the University of Maryland or the State of Maryland, which site may be transferred to the United States by less than fee simple estate, but shall remain available to the United States so long as it shall be used as a National Archives facility. The contract shall provide, by lease or installment payments payable out of annual appropriations over a period not to exceed thirty years, for the payment of the purchase price and associated costs, which shall not exceed $205,000,000 plus escalation to the midpoint of construction, and reasonable interest thereon. The contract shall further provide that title to the building shall vest in the United States at or before the expiration of the contract term upon fulfillment of the terms and conditions of the contract."

The authorizing language for Archives II permitted the Archivist to enter into a contract for construction and related services either by lease or by installment payments payable out of annual appropriations over a period not to exceed 30 years.

Budget authority equal to the debt issue was scored in the year Certificates of Participation were issued (1989). Obligations reflect interest payments made to certificate holders and payments made for accrued interest and premiums when securities are purchased on the secondary market. Outlays reflect payments to certificate holders, payments for accrued interest and premiums paid when securities are purchased, and payments to GSA to repay amounts spent on construction. Outlays are reduced by offsetting collections in the form of interest earned on the funds that are invested until needed to make payments. Beginning in 1994, the Archives sought appropriations for the annual payments to be made under the terms of the Certificates of Participation. In accordance with OMB's guidance, the total payment ($29 million) must be separated into a principal and interest component. The portion that represents principal is to be treated as an appropriation for the redemption of debt and excluded from the budget authority and outlay amounts. The portion that represents interest will be reported as budget authority and outlays.

2011 BUDGET DISPLAY

(dollars in thousands)

	2009 Actual	2010 Estimate	2011 Request
Appropriation for Redemption of Debt	$11,842	$12,870	$13,987
Budget Authority	$17,129	$16,101	$14,984
Obligations	$17,129	$16,101	$14,984

FISCAL YEAR 2011 (and beyond) REQUIREMENT:

Beginning in 1990, the Archives began certificate payments utilizing funding from the debt issue. However, beginning in fiscal year 1994 funding was required from appropriated funds as funds raised by the debt issue and/or the interest earned thereon were depleted. Final payment is anticipated in the year 2019 for the Archives II facility.

Total funding in 2011 includes $14,984,000 in budget authority for the payment of interest to certificate holders and $13,987,000 for the redemption of debt.

Archives II Performance Costs

(dollars in thousands)

Goals and Activities	2009 Actual	2010 Estimate	2011 Request	Change from 2010
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records	-	-	-	-
We will preserve and process records to ensure, access by the public as soon as legally possible.				
Budget Authority	$17,129	$16,101	$14,984	-$1,117
Redemption of Debt	$11,842	$12,870	$13,987	$1,117
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	-	-	-	-
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	-	-	-	-
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs	-	-	-	-
We will equip NARA to meet the changing needs of our customers	-	-	-	-
Total Performance Costs	$28,971	$28,971	$28,971	$0

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS

(dollars in thousands)

Object Classification		2009 Actual	2010 Estimate	2011 Request
11.1	Full-Time Permanent	$104,840	$115,082	$119,245
11.3	Other than Full-Time Permanent	5,880	6,609	6,984
11.5	Other Personnel Compensation	3,129	3,550	3,752
11.8	Special Personal Services Payments	37	40	42
11.9	**Total Personnel Compensation**	**113,886**	**125,281**	**130,023**
12.1	Personnel Benefits	29,769	32,826	36,128
13.0	Benefits for Former Personnel	27	27	27
21.0	Travel and Transportation of Persons	1,894	2,304	2,504
22.0	Transportation of Things	275	307	312
23.1	Rental Payments to GSA	6,104	6,500	5,828
23.2	Rental Payments to Others	3,520	3,676	3,775
23.3	Communications, Utilities and Misc. Charges	15,686	19,139	19,277
24.0	Printing and Reproduction	592	775	788
25.1	Advisory and Assistance Services	10,751	11,091	11,148
25.2	Other Services	25,817	27,906	27,539
25.3	Purchases of Goods & Services from Government Accounts	16,706	16,618	16,740
25.3	Security Payments to DHS for Rental Space	909	783	573
25.4	Operation & Maintenance of Facilities	32,450	27,513	27,713
25.7	Operation & Maintenance of Equipment	20,667	21,806	19,663
26.0	Supplies and Materials	4,376	4,250	4,320
31.0	Equipment	13,849	7,399	10,720
32.0	Land and Structures	5,866	2,598	2,640
	Subtotal Obligations	**303,144**	**310,799**	**319,718**
43.0	Interest and Dividends - Archives II	17,129	16,101	14,984
99.0	**Total Obligations Related to B.A.**	**320,273**	**326,900**	**334,702**
43.0	Archives II/Redemption of Debt	11,842	12,870	13,987
	Total Request	**$332,115**	**$339,770**	**$348,689**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

11.0 Personnel Compensation - $130,023,000. For 1,651 FTE, of this amount, $3,959,000 is for 57 additional FTE.

12.0 Personnel Benefits - $36,128,000. Includes $1,441,000 in benefits for additional personnel. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; FICA and Medicare hospital insurance; accident compensation; and moving allowances.

13.0 Benefits for Former Personnel - $27,000. Provides for unemployment compensation payments to former Federal employees.

21.0 Travel and Transportation of Persons - $2,504,000. Provides $2,304,000 for travel required to conduct activities of NARA, including inspection and oversight of field activities. Also, includes $150,000 for travel requirements for the Holdings Protection Team and $50,000 for the Controlled Unclassified Information Office.

22.0 Transportation of Things - $312,000. Provides for accessioning and transfer of records, supplies and equipment by commercial carrier.

23.1 Rental Payments to GSA - $5,828,000. For payment to the Federal Buildings Fund for space rental.

23.2 Rental Payments to Others - $3,775,000. Payments to a non-Federal source for rental of space, land, and structures.

23.3 Communications, Utilities and Miscellaneous Charges - $19,277,000. Communications services, including local and long distance telephone charges, postage, and overnight delivery service costs, and utilities to operate the National Archives building, Presidential Libraries, the Archives II facility, and the Southeast Regional Archives.

24.0 Printing and Reproduction - $788,000. Provides for printing *Federal Register* publications by GPO, document containers' labels, archival inventories, finding aids, and administrative instructional materials.

25.1 Advisory and Assistance Services - $11,148,000. Provides analytical and technical support for the quality control and administration of the Archives II facility support contract. Also provides management and professional support services, including acquisition support, that advise, assist, and train staff to achieve efficient and effective management and operation of their responsibilities to carry out the mission of the agency.

25.2 Other Services - $27,539,000. Various contractual services with non-Federal sources. Includes $200,000 to support the Holdings Protection Team and $150,000 for the Controlled Unclassified Information Office. Also includes security (guard service) for the Presidential Libraries and Archives I and II, buildings operation and maintenance. The building supplies for the Presidential Libraries and Archives I and II through commercial contractors and the Federal Buildings Fund for recurring reimbursable services.

25.3 Purchases of Goods and Services from Government Accounts - $16,740,000. Includes payments to GSA for accounting and payroll services, to OPM for security checks and clearances, and the U.S. Public Health Service for basic occupational health center services. Other interagency agreements are also included.

25.3 Security Payments to DHS for Rental Space - $573,000. Provides for security payments to the Department of Homeland Security for rental space.

25.4 Operation and Maintenance of Facilities - $27,713,000. Provides facility program management, building systems operations and maintenance, housekeeping, supply support, transportation services, physical fitness centers as well as cafeteria operations at Archives I and II.

25.7 Operation and Maintenance of Equipment - $19,663,000. Provides for a contractor to operate the Government Owned Contractor Operated (GOCO) Data Center. The data center will provide operation and maintenance of data communications and administrative processing to support all NARA organizations. Provides for the operation and maintenance of other information technology systems and for the hire of passenger motor vehicles.

26.0 Supplies and Materials - $4,320,000. Provides program supplies, including cardboard document containers, records repair and encapsulation supplies, and exhibit supplies, administrative supplies and materials.

31.0 Equipment - $10,720,000. Provides for purchases of personal property of a durable nature, such as furniture and information technology hardware and software. Includes $2,800,000 for the establishment of the National Declassification Center.

32.0 Land and Structures - $2,640,000. Provides for purchase and improvement of land and structures.

43.0 Interest and Dividends - $28,971,000. $14,984,000 for interest payments to certificate holders and $13,987,000 for the redemption of debt on the Archives II facility.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
OPERATING EXPENSES (DIRECT)

APPROPRIATION LANGUAGE

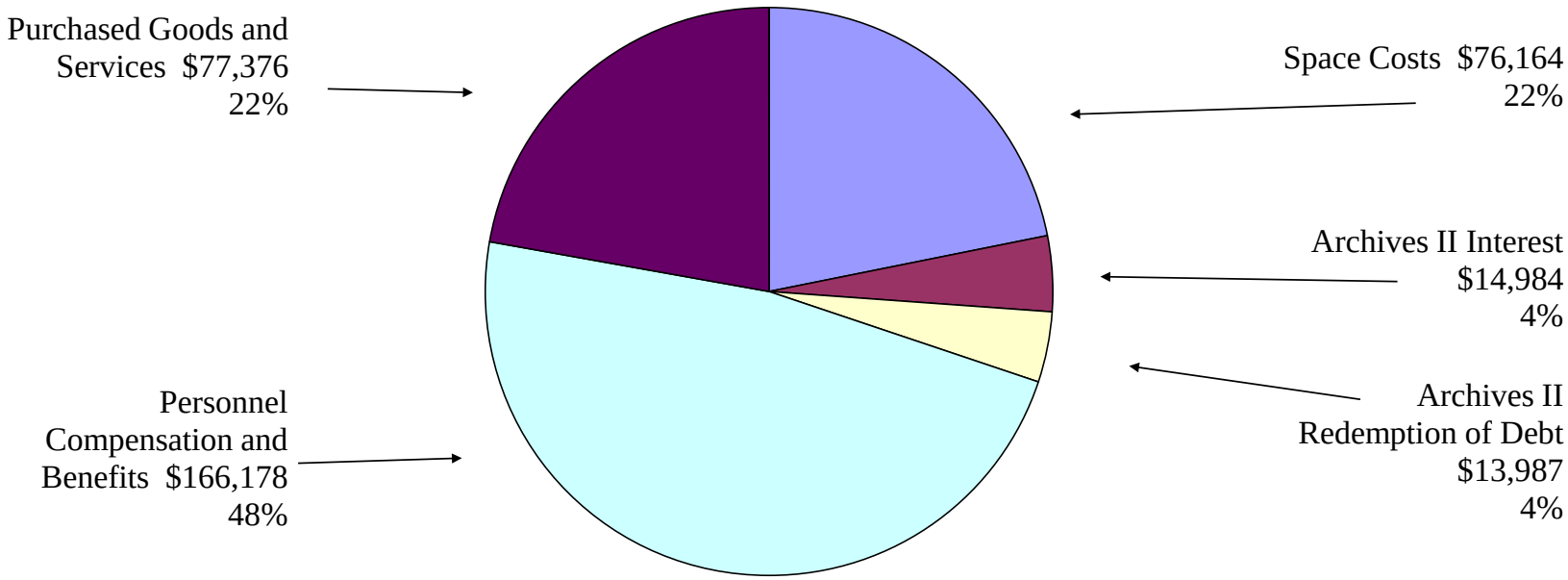
For necessary expenses in connection with the administration of the National Archives and Records Administration (including the Information Security Oversight Office) and archived Federal records and related activities, as provided by law, and for expenses necessary for the review and declassification of documents and the activities of the Public Interest Declassification Board, and for the hire of passenger motor vehicles, and for uniforms or allowances therefor, as authorized by law (5 U.S.C. 5901 et seq.), including maintenance, repairs, and cleaning, $348,689,000.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Space Costs as a Proportion of Direct Budget -- Operating Expenses

(dollars in thousands)

2011 Request $348,689



	2009 Actual	2010 Estimate	2011 Request
Rental payments to GSA *	$6,104	$6,500	$5,828
Rental payments to Others	$3,520	$3,676	$3,775
Security Payments to DHS for Rental Space **	909	783	573
Operation and Maintenance Costs	65,052	64,796	65,263
Recurring Reimbursable	502	725	725
Total	**$76,087**	**$76,480**	**$76,164**

* Excludes Rent Costs Paid from the Revolving Fund: 2009 - $44.5 million, 2010 - $47.7 million, 2011 - $51.1 million

** Excludes Security Payments to DHS for Rental Space paid from the Revolving Fund: 2009 - $6.2 million, 2010 - $6.9 million, 2011 - $7.1 million

OFFICE OF INSPECTOR GENERAL

Analysis of Resources
(dollars in thousands)

Activity	Obligations						Increases or Decreases for 2011	
	2009 Actual		2010 Estimate		2011 Request			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Office of Inspector General	18	$3,055	23	$4,100	24	$4,250	1	$150
Total	**18**	**$3,055**	**23**	**$4,100**	**24**	**$4,250**	**1**	**$150**

NOTE: OIG 2009 Actual Obligations are included in NARA, Operating Expenses. The Office of Inspector General was authorized as a new, separate appropriation for 2010.

BACKGROUND

The Inspector General Reform Act of 2008 required the head of each designated Federal entity to submit an aggregate request for the Inspector General. The Budget seeks a new, separate appropriation for the Office of Inspector General (OIG) beginning in FY 2010 to clearly identify the resources necessary to staff and operate the office. Previously, resources for the OIG were reported under the Operating Expenses appropriation.

Mission

The mission of the Office of Inspector General (OIG) is to ensure NARA safeguards and preserves the records of our Government while providing the American people with access to the essential documentation of their rights and the actions of their government. The OIG accomplishes this by combating fraud, waste and abuse through high-quality, objective audits and investigations; and serving as an independent, internal advocate for the economy, efficiency, and effectiveness of NARA and its operations. The OIG evaluates NARA's performance, makes recommendations for improvements, and follows up to ensure economical, efficient, and effective operations and compliance with current laws, policies, and regulations. Furthermore, many of the records NARA maintains and the OIG oversees are important to national security. OIG investigators are deputized and act with full law enforcement authority executing search warrants, seizing evidence, and making arrests.

The Inspector General reports to both the Archivist of the United States and the Congress. This reporting system, as well as the OIG's independent role and general responsibilities, was established by the Inspector General Act of 1978, as amended. Recently the Inspector General Reform Act of 2008 further defined the responsibilities and operations of the OIG. OIG funding supports the salary and benefits of staff and provides for necessary travel, training, contractual

services, investigative equipment and supplies to support the OIG's mission.

Our investigations cover all aspects of agency operations at 45 facilities nationwide. Aside from traditional agency issues, NARA holds millions of cubic feet and an ever growing electronic repository of classified and highly sensitive records, including those of the 9/11 and Warren Commissions, our nation's military veterans' records, and Presidential records. NARA also holds the historic records of our democracy, as well as troves of priceless artifacts and Presidential gifts. Criminal investigations routinely encompass a broad range of criminal activity including theft of holdings and assets, embezzlement, espionage, release of classified information, ethics violations, the loss of personally identifiable information (PII), compromise of our IT network, sensitive compartmental information facility (SCIF) violations, and procurement fraud and inappropriate conduct of rank-and-file staff, as well as senior NARA officials.

OIG auditors must review and evaluate the programs of an agency with approximately 2,900 FTE with multi-million dollar programs and operations. Currently, our capacity to provide the necessary coverage is limited by our staffing constraints. Because of this, programs which could demand an entire team of auditors in other federal entities are routinely left in the hands of a single auditor at NARA. Responsible NARA stewardship over records from creation throughout the entire life-cycle brings economy and efficiency to government and supports transparency and accountability for our democracy.

Training

The OIG plans to spend approximately $60,000 for staff training in FY 2010. Of this amount $30,000 will be spent on auditor training. The GAO recommends all auditors receive at least 80 hours of training every two years. Auditors will engage in the following training: contract and grant auditing, performance management, fraud auditing, and information technology training such as Information Technology security, project management and network and applications management. Additionally, the remaining approximately 50 percent of the total training funds will be spent on investigator training and training for the remaining staff. Like our auditors, our special agents receive annual law enforcement training as recommended by best practices of the Inspector General Community. Special agents will engage in the following training: firearms and self-defense, legal training, forensics for investigations, and procurement and white collar fraud training. The management, legal and administrative staffs, also requires periodic training to remain proficient and effective at their jobs.

Support for the Council of the Inspectors General on Integrity and Efficiency

Under the Inspector General Reform Act of 2008, agencies are expected to provide support to the newly formed Council of the Inspectors General on Integrity and Efficiency (CIGIE). It is anticipated that NARA's CIGIE contribution will be approximately $11,000.

Justification of Requested Increases

In FY 2011, the Budget request for $4,250,000 includes an increase of $150,000 for 1 FTE for an additional auditor. The justification for the staff increase is contained in the Justification of Requested Increases section of this budget, page I-16.

OIG Performance Costs

(dollars in thousands)

Goals and Activities	2009 Actual	2010 Estimate	2011 Request	Change from 2010
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.				
We will preserve and process records to ensure access by the public as soon as legally possible.				
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.				
We will provide prompt, easy, and secure access to our holding anywhere, anytime.				
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs.				
We will equip NARA to meet the changing needs of our customers.	$3,055	$4,100	$4,250	$150
Total Performance Costs	$3,055	$4,100	$4,250	$150

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS

(dollars in thousands)

Object Classification		2009 Actual	2010 Estimate	2011 Request
11.1	Full-Time Permanent	$1,983	$2,646	$2,859
11.5	Other Personnel Compensation	130	153	159
11.9	**Total Personnel Compensation**	**2,113**	**2,799**	**3,018**
12.1	Personnel Benefits	600	781	842
21.0	Travel and Transportation of Persons	40	53	53
25.1	Advisory and Assistance Services	-	130	-
25.2	Other Services	212	225	225
25.3	Purchases of Goods and Services from Government Accounts	36	35	35
25.7	Operation and Maintenance of Equipment	12	16	16
26.0	Supplies and Materials	28	26	26
31.0	Equipment	14	35	35
	Total Request	**$3,055**	**$4,100**	**$4,250**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

11.0 Personnel Compensation - $3,018,000. For 24 FTE. Includes $117,000 for 1 additional FTE.

12.0 Personnel Benefits - $842,000. Includes $33,000 in benefits for additional personnel. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; FICA and Medicare hospital insurance.

21.0 Travel and Transportation of Persons - $53,000. Provides for travel required to conduct activities of the OIG, including inspection and oversight of field activities.

25.2 Other Services - $225,000. Provides for various contractual services, including training, with non-Federal sources.

25.3 Purchases of Goods and Services from Government Accounts - $35,000. Includes payments to OPM for security checks and clearances, training, and other interagency agreement costs.

25.7 Operation and Maintenance of Equipment - $16,000. Includes costs associated with the operations and maintenance of vehicles.

26.0 Supplies and Materials - $26,000. Provides program and administrative supplies and materials.

31.0 Equipment - $35,000. Provides for software licensing and other personal property of a durable nature.

APPROPRIATION LANGUAGE

For necessary expenses of the Office of Inspector General in carrying out the provisions of the Inspector General Reform Act of 2008, Public Law 110-409, 122 Stat. 4302-16 (2008), and the Inspector General Act of 1978 (5 U.S.C. App.), and for the hire of passenger motor vehicles, $4,250,000.

ANALYSIS OF REQUESTED LEVEL FOR 2011

(dollars in thousands)

	FTE	Amount
Level Authorized by Public Law 111-117 for Fiscal Year 2010	49	$85,500
Fiscal Year 2011 Request	49	$85,500
Total Change, 2010 to 2011	**-**	**$0**

DIGEST OF BUDGET ESTIMATES FOR 2011

(dollars in thousands)

Activity	Obligations						Increases or Decreases for 2011	
	2009 Actual		2010 Estimate		2011 Request			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Electronic Records Archives	49	$67,298	49	$85,500	49	$85,500	0	$0
Total	**49**	**$67,298**	**49**	**$85,500**	**49**	**$85,500**	**0**	**$0**

BACKGROUND

The Electronic Records Archives program encompasses NARA's strategic initiatives to address the challenge of electronic records. This program is administered in the Office of Information Services, in collaboration with the Office of Presidential Libraries, the Office of Records Services, Washington, D.C., and the Office of Regional Records Services.

1. **Acquisition of the Electronic Records Archives System** – The Electronic Records Archives system will provide the technological infrastructure necessary to automate NARA's processes for government-wide management of records, and enable NARA to preserve and provide sustained access to electronic records of the Federal Government in the National Archives and Presidential Libraries and to help agencies to improve efficiency of current operations by providing economical offsite storage of inactive electronic records. The ERA system will make it easy for Federal agencies to transfer records of any type or format to NARA. ERA will help NARA customers to find records they want and make it easy for NARA to deliver those records in formats suited to its customers' needs. The ERA system will be a change agent, enabling the transformation of NARA. It will be the major means through which NARA implements its target Enterprise Architecture. It will be the catalyst for conversion to the target architecture of the legacy applications NARA currently uses for lifecycle management of records. NARA will take advantage of the opportunities provided by this conversion to improve its processes and transform itself into an agency capable of leading Government-wide efforts to manage critical information assets and improve the delivery of services, which depend on these assets.

2. **Research and Exploratory Development Projects** – Since 2006, NARA has been a member agency of the National Science and Technology Council Subcommittee on Networking and Information Technology Research and Development (NITRD). This membership reflects recognition of the importance of research NARA sponsors under the ERA program on problems that must be solved for effective lifecycle management of records in the context of e-government. The research enriches the knowledge base required for management and preservation of electronic records and fosters the development of advanced technologies for the management of electronic records supporting current operations of government, and for the preservation and sustained access to valuable records in the National Archives, Presidential Libraries, and other agencies.

Electronic Records Archives Performance Costs
(dollars in thousands)

Goals and Activities	2009 Actual	2010 Estimate	2011 Request	Change from 2010
ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	-	-	-	$0
We will preserve and process records to ensure access by the public as soon as legally possible.	-	-	-	$0
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	$67,298	$85,500	$85,500	$0
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	-	-	-	$0
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs.	-	-	-	$0
We will equip NARA to meet the changing needs of our customers.	-	-	-	$0
Total Performance Costs	$67,298	$85,500	$85,500	$0

EXPLANATION OF CHANGES, 2010 VERSUS 2011

Program Changes. The budget request for FY 2011 will enhance the functionality of the ERA system to handle restricted data, extend preservation capabilities, extend system search capabilities, implement more efficient storage mechanisms, and provide ongoing maintenance and operations of all of the deployed ERA instances.

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS

(dollars in thousands)

Object Classification		2009 Actual	2010 Estimate	2011 Request
11.1	Full-Time Permanent	$4,647	$5,608	$5,734
11.3	Other than Full-Time Permanent	272	206	208
11.5	Other Personnel Compensation	144	227	227
11.9	**Total Personnel Compensation**	**5,063**	**6,041**	**6,169**
12.1	Personnel Benefits	1,248	1,571	1,606
21.0	Travel and Transportation of Persons	136	150	150
22.0	Transportation of Things	3	0	0
23.3	Communications, Utilities and Misc. Charges	1,689	1,668	1,668
24.0	Printing and Reproduction	4	16	16
25.1	Advisory and Assistance Services	1,808	1,854	1,854
25.2	Other Services	353	354	354
25.3	Purchases of Goods & Services from Government Accounts	179	320	320
25.4	Operation & Maintenance of Facilities	805	360	360
25.5	Research and Development Contracts	4,277	4,675	4,500
25.7	Operation & Maintenance of Equipment	7,160	8,502	10,860
26.0	Supplies and Materials	60	84	84
31.0	Equipment	42,614	59,905	57,559
32.0	Land and Structures	1,899	-	-
	Total Request	**$67,298**	**$85,500**	**$85,500**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

11.0 Personnel Compensation - $6,169,000. For 49 FTE.

12.0 Personnel Benefits - $1,606,000. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; FICA and Medicare hospital insurance; accident compensation; and moving allowances.

21.0 Travel and Transportation of Persons - $150,000. Provides for travel required to conduct activities of ERA, including oversight of field activities.

23.3 Communications, Utilities and Miscellaneous Charges - $1,668,000. Includes equipment rental and data, voice, and wireless communication services.

24.0 Printing and Reproduction - $16,000. Provides for printing of ERA materials, administrative materials, and reports.

25.1 Advisory and Assistance Services - $1,854,000. Provides for contractual services associated with program management support, engineering studies, and technical support during the major acquisition of the ERA system.

25.2 Other Services - $354,000. Provides for various contractual services associated with program management support, with non-Federal sources.

25.3 Purchases of Goods and Services from Government Accounts - $320,000. Includes payments to OPM for security checks and clearances, as well as other interagency agreement costs.

25.4 Operation and Maintenance of Facilities - $360,000. Provides facility program management, building systems operations and maintenance, housekeeping, and security for the ERA operational facilities.

25.1 Research and Development Contracts - $4,500,000. Includes contract funding to conduct basic and applied research focused on the interfacing with systems for the transfer of electronic records and transformation of electronic records into formats that protect their authenticity and reliability.

25.7 Operation and Maintenance of Equipment - $10,860,000. Includes costs associated with the operations and maintenance of other IT systems.

26.0 Supplies and Materials - $84,000. Provides program and administrative supplies and materials.

31.0 Equipment - $57,559,000. Provides for the contract funding for the development and deployment of the ERA system, including testing, hardware, software and related services.

APPROPRIATION LANGUAGE

For necessary expenses in connection with the development of the electronic records archives, to include all direct project costs associated with research, analysis, design, development, and program management, $85,500,000, of which $61,757,000 shall remain available until September 30, 2013.

ANALYSIS OF REQUESTED LEVEL FOR 2011

(dollars in thousands)

	Amount
Level Authorized by Public Law 111-117 for Fiscal Year 2010	$27,500
Fiscal Year 2011 Request	$11,848
Total Change, 2010 to 2011	**-$15,652**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2011

(dollars in thousands)

Activity	Obligations			Increases or Decreases for 2011
	2009 Actual	2010 Estimate	2011 Request	
	Amount	Amount	Amount	Amount
Repairs and Restoration Fund:				
Archives Facilities and Presidential Libraries	$21,082	$27,500	$11,848	-$15,652
Total Obligations	**$21,082**	**$27,500**	**$11,848**	**-$15,652**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
REPAIRS AND RESTORATION

BACKGROUND

In the fiscal year 1996 Treasury, Postal Service, and General Government Appropriations Act, Congress provided a separate account for the repairs and restoration of Archives facilities and Presidential Libraries, which will remain available until expended. The purpose of this account is to provide ongoing funds specifically for the repairs, alteration, and improvement of Archives facilities and Presidential Libraries nationwide. It will better enable the National Archives and Records Administration (NARA) to maintain its facilities in proper condition for public visitors, researchers, and employees in NARA facilities, and also maintain the structural integrity of the buildings.

JUSTIFICATION OF REQUESTED INCREASES

For FY 2011, the Budget requests $11,848,000 for the Repairs and Restoration account. This level provides $6,848,000 for base requirements and $5,000,000 for the top priority project in the Capital Improvements Plan (CIP), which is the National Archives Experience Phase II.

The ongoing repairs and restoration program allows NARA to plan effectively for the systematic repair and restoration of the Presidential Libraries, the National Archives Building, Archives II, and the Southeast Regional Archives, buildings that NARA is responsible for operating and maintaining.

In FY 2011, NARA's base Repairs and Restoration account is funded at $6,848,000. The Budget requests that restrictions on $3,198,000 received in P.L. 109-115 and P.L. 108-447 for the construction of a new regional archives and records facility in Anchorage, Alaska are removed to fully fund base Repairs and Restoration requirements.

A more detailed justification is contained in the Justification of Requested Increases section of this budget, pages I-17 through I-19.

APPROPRIATION LANGUAGE

For the repair, alteration, and improvement of archives facilities, and to provide adequate storage for holdings, $11,848,000, to remain available until expended: Provided, That language under the heading "Repairs and Restoration" in Public Law 109-115 shall be amended by striking "of which $1,500,000 is to construct a new regional archives and records facility in Anchorage, Alaska.": Provided further, That language under the heading "Repairs and Restoration" in Public Law 108-447 shall be amended by striking "of which $3,000,000 is for site preparation and construction management to construct a new regional archives and records facility in Anchorage, Alaska, and".

Repairs and Restoration Performance Costs

(dollars in thousands)

Goals and Activities	2009 Actual	2010 Estimate	2011 Request	Change from 2010
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	-	-	-	$0
We will preserve and process records to ensure access by the public as soon as legally possible.	$21,082	$27,500	$11,848	-$15,652
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	-	-	-	$0
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	-	-	-	$0
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs.	-	-	-	$0
We will equip NARA to meet the changing needs of our customers.	-	-	-	$0
Total Performance Costs	$21,082	$27,500	$11,848	-$15,652

EXPLANATION OF CHANGES, 2010 VERSUS 2011

The budget request reflects a net decrease of $15,652,000 from the FY 2010 level. This includes an increase of $5,000,000 to fund the top priority project in the Capital Improvements Plan (CIP), which is the National Archives Experience Phase II. Decreases include $17,500,000 for the Roosevelt Library Renovation and $3,152,000 to the base level.

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS

(dollars in thousands)

Object Classification	2009 Actual	2010 Estimate	2011 Request
23.3 Telecommunications Rentals	$12	-	-
25.1 Advisory and Assistance Services	$4,665	-	-
26.0 Supplies	$36	-	-
31.0 Equipment	$40	-	-
32.0 Land and Structures	$16,329	$27,500	$11,848
Total	**$21,082**	**$27,500**	**$11,848**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

32.0 Land and Structures - $11,848,000. This level provides $6,848,000 for base requirements and $5,000,000 for the top priority project in the Capital Improvements Plan (CIP), which is the National Archives Experience Phase II.

ANALYSIS OF REQUESTED LEVEL FOR 2011

(dollars in thousands)

	Amount
Level Authorized by Public Law 111-117 for Fiscal Year 2010	$13,000
Estimate for Fiscal Year 2011	$10,000
Total Change, 2010 to 2011	**$-3,000**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2011

(dollars in thousands)

Activity	2009 Actual	2010 Estimate	2011 Request	Increases or Decreases for 2011
	Amount	Amount	Amount	
National Historical Publications And Records Commission:				
Grants	$8,661	$13,000	$10,000	-$3,000
Total Grants	**$8,661**	**$13,000**	**$10,000**	**-$3,000**

BACKGROUND

Mission

The mission of the National Historical Publications and Records Commission (NHPRC), as outlined in 44 U.S.C. 2504, is to encourage the collection, preservation, editing, and publication of the papers of "outstanding citizens of the United States, and other documents as may be important for an understanding and appreciation of the history of the United States."

The National Historical Publications and Records Commission (NHPRC) is the only grant-making organization, public or private, whose exclusive mission is to provide national leadership in promoting the preservation and use of the materials of our documentary heritage—materials that are essential to understanding our American democracy, history, and culture.

Authorization

The NHPRC is authorized to receive up to $10 million in annual appropriations. The NHPRC provides considerable assistance to potential grantees and operates a system of State Board and peer review of applications, resulting in high-quality proposals. For the dollars it awards, the NHPRC leverages a considerable amount of money, in the form of non-Federal matching dollars, cost sharing, and influence far in excess of its appropriation on behalf of America's documentary heritage.

Current Request

Promote Preservation and Use of the Nation's Historical Records

For FY 2011, the Budget requests $10,000,000 to fund the National Historical Publications and Records Commission (NHPRC).

There are more than 14,000 historical record repositories (including archives, manuscript repositories, special collections libraries, and historical societies) in the United States, according to a recent study. These facilities serve as the nation's memory and its archival infrastructure, spanning every state and territory. The members of this archival network serve as active stewards for approximately 44 million linear feet of historical records and 700 million historic photographs. If one adds to this amount other special format materials such as audio recordings, maps and architectural materials, and films, the numbers grow exponentially.

More than half of the materials held at these repositories require either significant preservation efforts to ensure their long-term viability or various levels of cataloging and description to facilitate their public examination and use. Some of the most important of these historical materials are being prepared for publication by small teams of historians and editors housed at universities and other research entities.

As the only grant-making entity, public or private, whose exclusive mission is to promote the preservation of and access to the nation's historical records, the NHPRC is well positioned to exert leadership in these efforts and ensure that they are accomplished using the best available techniques and the minimum amount of resources.

Funding will enable the NHPRC to maintain essential support for core programs and initiatives in the form of grants that publish, preserve, and make accessible important historical documents. Continuing these efforts will ensure that the nation's ever-growing "American Record" is available to all Americans. Grant initiatives anticipated in FY 2011 include:

- *Archives - Basic Projects* to reveal "hidden collections" in archives by concentrating on processing materials in backlogs and developing new workflows that eliminate the onset of backlogs in the future. This program makes these materials known and available to the public much sooner than would otherwise be the case.

- *Archives - Detailed Processing Projects* to conduct detailed processing and preservation of collections of national significance. This program ensures that Americans have access to some of the most important historical resources that are maintained outside of federal repositories.

- *Digitizing Historical Records* to digitize nationally significant historical record collections and make the digital versions freely available on the Internet. This program facilitates 24/7 access to such records, and approaches the digital workflow using the most cost-effective means possible.

- *Electronic Records Projects* to support projects that will lead to sustainable electronic records archives that preserve digital records with enduring historical value. This program ensures that the nation's archives conduct adequate planning for such undertakings and work in collaborative ways that share resources, knowledge, and infrastructures.

- *Professional Development* to support grants for advancing the fields of archives and historical documentary publishing via training programs and education curricula that emphasize best practices and emerging needs.

- *Publishing Historical Records* to publish historical records of national significance, including the papers of the Founding Era as well as a wide range of statesmen, scientists, humanists, and others whose impact on the American experience was profound.

- *State and National Archival Partnership Grants* to build and sustain a national archival network by strengthening archives and historical records programs in each of the states through locally-administered programming via the State Boards.

- *Strategies and Tools* for archives and historical documentary publishing projects to develop new strategies and tools that can improve the preservation, public discovery, or use of historical records.

EXPLANATION OF CHANGES, 2010 VERSUS 2011

The budget requests $10,000,000, which is a decrease of $3,000,000 from FY 2010 appropriations.

APPROPRIATION LANGUAGE

For necessary expenses for allocations and grants for historical publications and records as authorized by 44 U.S.C. 2504, $10,000,000, to remain available until expended.

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS

(dollars in thousands)

Object Classification	2009 Actual	2010 Estimate	2011 Request
41.0 Grants, Subsidies and Contributions	$8,661	$13,000	$10,000
Total	**$8,661**	**$13,000**	**$10,000**

NHPRC Grants Performance Costs

(dollars in thousands)

Goals and Activities	2009 Actual	2010 Estimate	2011 Request	Change from 2010
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	-	-	-	$0
We will preserve and process records to ensure access by the public as soon as legally possible.	-	-	-	$0
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	-	-	-	$0
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	-	-	-	$0
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs.	$8,661	$13,000	$10,000	-$3,000
We will equip NARA to meet the changing needs of our customers.	-	-	-	$0
Total Performance Costs	$8,661	$13,000	$10,000	-$3,000

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
ADVANCES AND REIMBURSEMENTS

ANALYSIS OF REQUESTED LEVEL FOR 2011

(dollars in thousands)

	FTE	Amount
2010 Level of Reimbursable Services	47	$2,994
2011 Level of Reimbursable Services	47	$3,038
Change from 2010 to 2011	**0**	**$44**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2011

(dollars in thousands)

Activity	Summary						Increase/Decrease for 2011	
	2009 Actual		2010 Estimate		2011 Estimate			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Records Services	49	$3,281	47	$2,994	47	$3,038	0	$44
Archives Related Services	-	2	-	0	-	0	-	0
Total Obligations	**49**	**$3,283**	**47**	**$2,994**	**47**	**$3,038**	**0**	**$44**

OVERVIEW OF NARA REIMBURSABLE PROGRAMS

Beginning in 2000, the National Archives and Records Administration (NARA) established a working capital fund. The working capital fund is available for the expenses and equipment necessary to provide for accessioning, reference, refiling, storage, servicing, preservation, disposal, and related services for all temporary and pre-archival Federal records to be stored or currently stored at Federal national and regional records services centers by Federal agencies and other instrumentalities of the Federal Government. (See the Revolving Fund section of this overall Agency budget request.)

Records Services includes the reimbursable activity at thirteen (13) regional archives facilities, NARA's Central Office archives facilities, and select participating Presidential Libraries. Services provided include specialized training and workshops on archiving potentially permanent Federal records, and reimbursable services provided to agencies for special projects. Also, declassification services are offered, providing records review prior to their accessioning into NARA.

Advances and Reimbursements Performance Costs

(dollars in thousands)

Goals and Activities	2009 Actual	2010 Estimate	2011 Estimate	Change from 2010
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	-	-	-	$0
We will preserve and process records to ensure access by the public as soon as legally possible.	-	-	-	$0
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	-	-	-	$0
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	$3,283	$2,994	$3,038	$44
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs.	-	-	-	$0
We will equip NARA to meet the changing needs of our customers.	-	-	-	$0
Total Performance Costs	$3,283	$2,994	$3,038	$44

SUMMARY EXPLANATION OF CHANGES FROM 2010 TO 2011

(dollars in thousands)

Activity	Records Services		Archives Related		Total	
	FTE	Amount	FTE	Amount	FTE	Amount
Increased Cost of Goods and Services	-	$5	-	$0	-	$5
Increased Personnel Costs	-	39	-	0	-	39
Total Changes, 2010 to 2011	**0**	**$44**	**0**	**$0**	**0**	**$44**

EXPLANATION OF CHANGES, 2010 VERSUS 2011

The reimbursable program for 2011 is estimated at $3,038,000, an increase of $44,000 from the 2010 reimbursable program. Changes include an increase of $39,000 for personnel and benefits costs, and an increase of $5,000 in the cost of other goods and services.

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS

(dollars in thousands)

	Object Classification	2009 Actual	2010 Estimate	2011 Estimate
11.1	Full-time Permanent	$1,875	$2,338	$2,432
11.3	Other than Full-time Permanent	245	326	271
11.5	Other Personnel Compensation	26	0	0
11.9	Total Personnel Compensation	2,146	2,664	2,703
12.1	Personnel Benefits	455	130	131
21.0	Travel / Transportation of Persons	28	9	10
25.2	Other Services	409	107	108
25.3	Purchases of Goods & Services from Gov't Accounts	43	0	0
26.0	Supplies and Materials	176	84	86
31.0	Equipment	26	0	0
99.0	**Total Obligations**	**$3,283**	**$2,994**	**$3,038**

EXPLANATION OF DISTRIBUTION OF OBJECT CLASS

11.0 Personnel Compensation - $2,703,000. For 47 FTE**.**

12.0 Personnel Benefits - $131,000. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; and FICA and Medicare hospital insurance.

21.0 Travel and Transportation of Persons - $10,000. Provides for travel required for administration of reimbursable programs and technical assistance projects.

25.2 Other Services - $108,000. Provides for commercial contractual services, including registration fees associated with training.

26.0 Supplies and Materials - $86,000. Includes program and administrative supplies and materials.

INCOME/COST COMPARISON SUMMARY FOR 2011

(dollars in thousands)

	2009 Actual	2010 Estimate	2011 Estimate
Income/Cost Comparison - Summary:			
Operating Income	$157,031	$164,830	$168,714
Operating Expense	158,234	163,371	166,958
Net Profit or Loss (-)	**-$1,203**	**$1,459**	**$1,756**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2011

(dollars in thousands)

Activity	Summary						Increases or Decreases for 2011	
	2009 Actual		2010 Estimate		2011 Estimate			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Accession, Reference, Refile, and Disposal Service	1,274	$108,860	1,365	$102,555	1,365	$106,670	0	$4,115
Storage Services	15	56,295	15	58,600	15	60,952	0	2,352
Total Obligations	**1,289**	**$165,155**	**1,380**	**$161,155**	**1,380**	**$167,622**	**0**	**$6,467**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION REVOLVING FUND

OVERVIEW OF NARA REVOLVING FUND PROGRAMS

NARA takes care of some two million cubic feet of *archival* records in our legal and physical custody. Funding for these records comes from the direct operating expenses appropriation. But in our Federal Records Center Program facilities, we store more than ten times as many temporary and pre-archival records that belong to other Federal agencies. NARA's Federal Records Center Program operates as a revolving fund.

The revolving fund allows NARA to utilize in its operations any receipts that are generated by the activities of the fund. In addition, costs are distributed fairly and at savings to the government. It also improves services to individual agencies by providing more space to meet agency demands, providing better quality space where appropriate, and improving transfer, reference, refile, disposal, and other services for records stored in records service centers.

Regional records services facilities maintain low cost storage to which Federal agencies retire certain noncurrent records for specified periods. For such records, the regional records services facilities provide reference services on nearly 26 million cubic feet of records in NARA's custody. These services include loan or return of records to the agency of origin; preparation of authenticated reproductions of documents; and provision of information from records. The National Personnel Records Center alone provides for the maintenance and reference service on over 140 million military and civilian personnel records. The facilities also dispose of records of transitory value and transfer into archival custody those that of enduring value. The facilities also offer to Federal agencies in the regions technical assistance workshops and advice on records creation, maintenance, storage, disposition, and vital records.

AUTHORIZING LANGUAGE

Under the provisions of 44 USC § 2901 note (Public Law 106-58), the National Archives and Records Administration implemented a Revolving Fund for the storage and servicing of Federal records at all NARA records centers. As of October 1, 1999, the NARA records center program operates on a full cost recovery basis by charging user fees to other agencies.

The NARA Records Center Revolving Fund utilizes operations effectively by providing services on a fee for service basis to Federal agency customers by maintaining low cost, quality storage and transfer, reference, refile, and disposal services for records stored in service centers.

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Revolving Fund Performance Costs

(dollars in thousands)

Goals and Activities	2009 Actual	2010 Estimate	2011 Estimate	Change from 2010
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	$165,155	$161,155	$167,622	$6,467
We will preserve and process records to ensure access by the public as soon as legally possible.	-	-	-	$0
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	-	-	-	$0
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	-	-	-	$0
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, and education programs.	-	-	-	$0
We will equip NARA to meet the changing needs of out customers.	-	-	-	$0
Total Performance Costs	$165,155	$161,155	$167,622	$6,467

EXPLANATION OF CHANGES, 2010 VERSUS 2011

Total obligations for FY 2011 are estimated at $167,622,000. This represents an increase of $6,467,000 from FY 2010. This includes increases of $1,668,000 associated with personnel and benefits; $3,542,000 for rent and security rate changes at federal and non-federal facilities and $1,257,000 for the cost of other goods and services.

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS

(dollars in thousands)

Object Classification	2009 Actual	2010 Estimate	2011 Estimate
11.1 Full-time Permanent	$45,923	$50,126	$50,786
11.3 Other than Full-time Permanent	8,592	7,837	8,151
11.5 Other Personnel Compensation	2,668	1,318	1,371
11.8 Reemployed Annuitants	12	13	14
11.9 Total Personnel Compensation	57,195	59,294	60,322
12.1 Civilian Personnel Benefits	15,232	15,507	16,129
13.0 Benefits for Former Personnel	155	165	170
21.0 Travel and Transportation of Persons	907	568	591
22.0 Transportation of Things	1,140	1,888	1,964
23.1 Rental Payments to GSA	35,994	38,356	41,777
23.2 Rental Payments to Other	8,549	9,356	9,304
23.3 Communications, Utilities, and Misc. Charges	3,802	4,904	5,111
24.0 Printing and Reproduction	69	54	56
25.1 Advisory and Assistance Services	3,639	2,448	2,547
25.2 Other Services	1,592	1,392	1,718
25.3 Purchases of Goods and Services from Government Accounts	7,426	7,500	7,550
25.3 Security Payments to DHS for Rental Space	6,184	6,912	7,085
25.4 Operation and Maintenance of Facilities	454	455	455
25.7 Operations and Maintenance of Equipment	9,708	6,451	6,710
26.0 Supplies and Materials	1,500	1,303	1,346
31.0 Equipment	9,012	2,654	2,761
32.0 Land and Structures	2,597	1,948	2,026
99.0 Total Obligations	**$165,155**	**$161,155**	**$167,622**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

11.0 **Personnel Compensation** - $60,322,000. For 1,380 FTE.

12.0 **Personnel Benefits** - $16,129,000. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; and FICA and Medicare hospital insurance.

13.0 **Benefits for Former Personnel** - $170,000. Provides for unemployment compensation payments to former Federal employees.

21.0 **Travel and Transportation of Persons** - $591,000. Provides for travel required for administration of revolving fund programs and technical assistance projects.

22.0 **Transportation of Things** - $1,964,000. Accessioning and transfer of records, supplies, and equipment by commercial carrier.

23.1 **Rental Payments to GSA** - $41,777,000. Provides for payments to the General Services Administration, Federal Building Fund for rental space.

23.2 **Rental Payments to Other** - $9,304,000. Provides for payments to a non-Federal source for rental space.

23.3 **Communications, Utilities, and Misc. Charges** - $5,111,000. Provides for equipment rental, overnight delivery charges, and utility costs.

24.0 **Printing and Reproduction** - $56,000. Includes reproduction of records, printing costs for technical assistance reports, and electrostatic copying.

25.1 **Advisory and Assistance Services** - $2,547,000. Provides for commercial contractual services, such as management and professional support services, and engineering and technical services.

25.2 **Other Services** - $1,718,000. Provides for commercial contractual services, such as training and ADP equipment maintenance.

25.3 **Purchases of Goods and Services from Government Accounts**- $7,550,000. Includes payments to GSA for accounting and payroll services, to OPM for security checks and clearances, and the U.S. Public Health Service for basic occupational health center services.

25.3 **Security Payments to DHS for Rental Space** - $7,085,000. Provides for security payments to the Department of Homeland Security for rental space.

25.4 **Operation and Maintenance of Facilities** - $455,000. Provides facility program management, buildings systems operations and maintenance, and housekeeping.

25.7 **Operation and Maintenance of Equipment** - $6,710,000. Includes funding for contractors to provide operation and maintenance of data communications and administrative processing to support the organizations. Also includes maintenance and fuel costs for motor vehicles managed through GSA.

26.0 **Supplies and Materials** - $1,346,000. Includes program and administrative supplies and materials.

31.0 **Equipment** - $2,761,000. Includes information technology equipment in records services centers applicable to the revolving fund program.

32.0 **Land and Structures** - $2,026,000. Includes purchase of shelving applicable to the revolving fund program.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GIFT FUND

ANALYSIS OF ESTIMATED LEVEL FOR 2011
(dollars in thousands)

	2009 Actual	2010 Estimate	2011 Estimate
Financing:			
Prior Year Carry Forward	$1,987	$2,837	$2,283
Permanent Indefinite Budget Authority [1]	3,476	1,619	1,573
Recovery of Prior Year Obligations	179	10	10
Total Availability	**$5,642**	**$4,466**	**$3,866**
Obligations	2,805	2,183	1,580
Unobligated Balance	**$2,837**	**$2,283**	**$2,286**

[1] Includes donations, interest received and reinvested on investments, divestments of non-federal investments, and additional non-federal investments.

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2011
(dollars in thousands)

Activity	Summary			Increases or Decreases for 2011
	2009 Actual	2010 Estimate	2011 Estimate	
	Amount	Amount	Amount	Amount
Historical Research, Conferences, Archival and Cultural Events, and Publications	$86	$150	$83	-$67
Presidential Libraries	2,719	2,033	1,497	-536
Total Obligations	**$2,805**	**$2,183**	**$1,580**	**-$603**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GIFT FUND

SUMMARY JUSTIFICATION OF 2011 BUDGET ESTIMATE

The National Archives Gift Fund was established to administer incoming gifts and bequests. Expenditures are made for various programs, including historical research, conferences, archival and cultural events, and publications.

Gifts of money and property are made by individuals and organizations for the benefit of archival and records activities and are expended from the Gift Fund as authorized by the Archivist or in accordance with donor restrictions, if any. Permanent indefinite budget authority is provided from donated funds and interest earned on investments.

In accordance with 44 U.S.C. 2112, the Bush Presidential Library received a $4,477,233 endowment from the Bush Library Foundation. The money was deposited in the Gift Fund and invested in accordance with established National Archives Trust and Gift Fund procedures. Income earned on the investment, which is estimated to be $240,000 annually, will be used to offset a portion of the Library's operation and maintenance costs. NARA has also received an endowment of $7,200,000 from the Clinton Library Foundation to offset operation and maintenance costs of the Clinton Presidential Library. Income earned on this investment is estimated to be $380,000 annually.

Total obligations for FY 2011 are estimated at $1,580,000, a decrease of $603,000 compared to FY 2010 estimated obligations of $2,183,000. The decrease is attributable to the $1,500,000 donation in FY 2009, of which $500,000 will be obligated and spent on the Nixon Library addition in FY 2010.

AUTHORIZING LANGUAGE

The National Archives Trust Fund Board may solicit and accept gifts or bequests of money, securities, or other personal property, for the benefit of or in connection with the national archival and records activities administered by the National Archives and Records Administration (44 U.S.C. 2305).

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
GIFT FUND

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS

(dollars in thousands)

Object Classification	2009 Actual	2010 Estimate	2011 Estimate
21.0 Travel/Transportation of Persons	$92	$102	$66
22.0 Transportation of Things	11	10	11
23.2 Rental Payments to Others	1	0	0
24.0 Printing and Reproduction	14	30	27
25.2 Other Services	138	391	169
25.3 Purchases of Goods and Services from Gov't Accounts	154	0	0
25.4 Operation & Maintenance of Facilities	770	616	616
26.0 Supplies and Materials	60	65	71
31.0 Equipment	3	3	4
32.0 Land and Structures	845	350	0
33.0 Equity Investments	717	616	616
99.0 Total Obligations	**$2,805**	**$2,183**	**$1,580**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS

21.0 Travel and Transportation of Persons - $66,000. Provides for travel to participate in archival activities.

22.0 Transportation of Things - $11,000. Provides for transportation of artifacts.

24.0 Printing and Reproduction - $27,000. Provides for printing of brochures, publications, and reproductions.

25.2 Other Services - $169,000. Provides for commercial contractual services.

25.4 Operation and Maintenance of Facilities - $616,000. Provides for operation and maintenance costs at the Bush and Clinton Libraries from income earned on the invested donations from the Bush and Clinton Library Foundations.

26.0 Supplies and Materials - $71,000. Provides for administrative supplies and materials.

31.0 Equipment - $4,000. Purchase equipment.

33.0 Equity Investments - $616,000. Budgetary outlays as a result of non-Federal interest reinvestment.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
TRUST FUND

ANALYSIS OF ESTIMATED LEVEL FOR 2011

(dollars in thousands)

	2009 Actual	2010 Estimate	2011 Estimate
Income/Cost Comparison - Summary:			
Operating Income	$16,051	$17,794	$17,866
Operating Expense before depreciation	14,882	17,204	17,211
Net Operating Income or Loss before depreciation	$1,169	$590	$655
Depreciation	10	0	0
Net Operating Income or Loss (-)	$1,159	590	$655
Non-Operating Income or Loss (-)	330	347	364
Net Profit or Loss (-)	**$1,489**	**$937**	**$1,019**

DIGEST OF BUDGET ESTIMATES BY ACTIVITIES FOR 2011

(dollars in thousands)

Activity	Summary						Increases or Decreases for 2011	
	2009 Actual		2010 Estimate		2011 Estimate			
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Sales	18	$7,299	18	$8,705	18	$8,471	0	-$234
Presidential Libraries	95	8,784	103	8,474	103	8,682	0	208
Total Obligations	**113**	**$16,083**	**121**	**$17,179**	**121**	**$17,153**	**0**	**-$26**

OVERVIEW OF NARA TRUST FUND PROGRAMS

The Trust Fund receives, holds, and disburses monies collected from: sales of reproductions of records and sales of publications and historical mementos in the National Archives, the regional records services facilities, and the Presidential Libraries; admission fees to the Presidential Libraries; and fees for archival training and conferences.

Reproduction of Records. Reproductions of all varieties of records, including documents, photographs, maps, motion pictures, and ADP tapes in the National Archives, the regional records services facilities, and the Presidential Libraries, are made upon request and sold to the public, to scholars and to Federal agencies. These reproductions are used for scholarly research, genealogy and family history, to illustrate books and articles, and to make new motion pictures and video productions.

Publications and Historical Mementos. The fund publishes or purchases for resale books and other printed materials based upon the records in the National Archives and the Presidential Libraries. These publications include facsimiles of the Declaration of Independence and the Constitution, genealogical guides, and memoirs of former Presidents. The fund also manufactures or purchases for resale items for visitors to the National Archives Exhibit Hall and the Presidential Libraries. Such items include post cards, color slides, posters, and souvenirs.

Admission Fees. Fees are charged for admission to the exhibits at most of the Presidential Libraries and for educational workshops at other NARA locations.

Trust Fund Performance Costs

(dollars in thousands)

Goals and Activities	2009 Actual	2010 Estimate	2011 Estimate	Change from 2010
As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	-	-	-	$0
We will preserve and process records to ensure access by the public as soon as legally possible.	-	-	-	$0
We will address the challenges of electronic records in Government to ensure success in fulfilling NARA's mission in the digital era.	-	-	-	$0
We will provide prompt, easy, and secure access to our holding anywhere, anytime.	$200	$200	$200	$0
We will increase access to our records in ways that further civic literacy in America through our museum, public outreach, education, and grants programs.	$15,883	$16,979	$16,953	-$26
We will equip NARA to meet the changing needs of our customers.	-	-	-	$0
Total Performance Costs	$16,083	$17,179	$17,153	-$26

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION TRUST FUND

AUTHORIZING LANGUAGE

The Archivist of the United States furnishes, for a fee, copies of unrestricted records in the custody of the National Archives (44 U.S.C. 2116). Proceeds from the sale of copies of microfilm publications, reproductions, special works, and other publications, and admission fees to Presidential Library museum rooms are deposited to this fund (44 U.S.C. 2112, 2307).

SUMMARY EXPLANATION OF CHANGES FROM 2010 TO 2011

(dollars in thousands)

Activity	Sales		Presidential Libraries		Total	
	FTE	Amount	FTE	Amount	FTE	Amount
Program Changes:						
Increased Cost of Sales / Reproductions and Library Museum Activities	-	-$95	-	$202	-	$107
Other Changes:						
One-time Equipment Purchases	-	-57	-	0	-	-$57
Change in Cost of Other Goods and Services	-	-82	-	6	-	-$76
Total Changes, 2010 to 2011	**0**	**-$234**	**0**	**$208**	**0**	**-$26**

EXPLANATION OF CHANGES, 2010 VERSUS 2011

Total obligations for 2011 are estimated at $17,153,000, a decrease of $26,000 from 2010 estimated obligations of $17,179,000. Program changes include $107,000 for the increased cost of sales and reproductions and library museum activities. Other changes include a decrease of $57,000 for one-time equipment purchases, and a decrease of $76,000 in the cost of other goods and services.

DISTRIBUTION OF ESTIMATES BY OBJECT CLASS

(dollars in thousands)

Object Classification	2009 Actual	2010 Estimate	2011 Estimate
11.1 Full-time Permanent	$4,134	$4,988	$4,997
11.3 Other than Full-time Permanent	1,037	1,014	1,001
11.5 Other Personnel Compensation	214	0	0
11.9 Total Personnel Compensation	**5,385**	**6,002**	**5,998**
12.1 Civilian Personnel Benefits	1,622	1,706	1,734
21.0 Travel and Transportation of Persons	369	303	313
22.0 Transportation of Things	151	85	89
23.3 Communications, Utilities, and Misc. Charges	299	528	544
24.0 Printing and Reproduction	357	350	362
25.2 Other Services	1,410	1,642	1,688
25.3 Purchases of Goods and Services from Government Accounts	3,450	4,412	4,317
26.0 Supplies and Materials	1,552	1,706	1,710
31.0 Equipment	327	177	120
33.0 Investments and Loans	1,161	268	278
99.0 Total Obligations	**$16,083**	**$17,179**	**$17,153**

EXPLANATION OF DISTRIBUTION BY OBJECT CLASS FOR 2011

11.9 Total Personnel Compensation - $5,998,000. For 121 FTE.

12.1 Civilian Personnel Benefits - $1,734,000. Provides for the government's contribution to the retirement fund; health benefits; group life insurance; and FICA and Medicare hospital insurance.

21.0 Travel and Transportation of Persons - $313,000. Provides for travel associated with the National Archives Trust Fund activities.

22.0 Transportation of Things - $89,000. Provides for postage used in parcel post and commercial transportation charges.

23.3 Communications, Utilities, and Miscellaneous Charges - $544,000. For local and long distance phone communications charges, postage, and overnight delivery service.

24.0 Printing and Reproduction - $362,000. For reproducing reports and microfilm, and printing of forms and publications.

25.2 Other Services - $1,688,000. Provides for contractual services including reproduction services and library museum renovations.

25.3 Purchases of Goods and Services from Government Accounts - $4,317,000. Provides for payments to operating expenses for services performed for the Trust Fund.

26.0 Supplies and Materials - $1,710,000. Provides for program and administrative equipment and office supplies.

31.0 Equipment - $120,000. Provides for electrostatic and copying machines, and laboratory and other equipment.

33.0 Investments and Loans - $278,000. Provides for outside investments.

NATIONAL ARCHIVES AND RECORDS ADMINSTRATION

CAPITAL IMPROVEMENTS PLAN

TO ACCOMPANY THE
FISCAL YEAR 2011 PERFORMANCE BUDGET

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Introduction

The Capital Improvements Plan (CIP) has been developed by the National Archives and Records Administration (NARA) as our plan for capital expenditures/projects over the upcoming ten (10) years. NARA has defined capital expenditures/projects, in general, as the purchase, construction or repairs to NARA owned or operated facilities including designs or studies associated with these projects that exceed $1,500,000. Projects that cost $1,500,000 or less, NARA intends to fund from our Base R&R appropriated funds.

A project's inclusion in the CIP does not, in and of itself, commit NARA to funding and accomplishing the project. As stated above, the CIP allows NARA to plan for projects over the long-term. Lack of available funds, emergencies and changes in priorities may require that some projects ultimately be deferred beyond the years in which they are initially programmed for accomplishment in the CIP. Even so, the CIP will have served its purpose as a planning tool.

Several abbreviations are used throughout this plan that needs to be explained. They are as follows:

ADSPL: Architectural Design Standards for Presidential Libraries — refers to the architectural design standards for Presidential Libraries that were developed by the National Archives and Records Administration in 1997.

ADA-AG: Americans with Disabilities Act – Architectural Guidelines — these guidelines were developed and issued in the early 1990s. Older buildings should be in basic compliance with the standard, provided that they were designed for conformance with the Uniform Federal Accessibility Standards (the Federal Government's predecessor to the ADA-AG). When older buildings are renovated, they are expected to be brought into compliance with the more current ADA-AG.

BCR: Building Condition Report — Reports compiled by NARA over a five-year cycle on the condition of facilities. Findings are categorized as: Category 1 represents high priority repairs that must be implemented in order to keep the building functional; Category 2 deficiencies should be completed within the next 5 years to maintain building operations; and Category 3 findings are minor repairs that can be planned beyond 5 years.

Purpose of the Capital Improvements Plan

The National Archives and Records Administration (NARA) receives annual funding for normal repairs and renovations of NARA owned and operated facilities (referred to as the Base R&R funding), operating and expense funding (OE funding) and special appropriations for specific projects approved by both the Congress of the United States and the President of the United States. The Capital Improvements Plan (CIP) is a dynamic document that prioritizes major repairs, renovations, improvements and expansions (those in excess of $1,500,000) of NARA's facilities that are required to carry out the mission of the agency. The CIP is intended as a planning tool that is to be reviewed and updated on an annual basis as needs, priorities, and resources change.

As mentioned above, the CIP is to be updated on an annual basis. The update process begins with a request for input from the various program offices that occupy NARA facilities. NARA staff then compile the data received from the various offices, and update the project list based on this information, updated Building Condition Reports analysis (when available), and projected completion of projects during the current fiscal year. Projects identified as major projects are then included in a "Capital Plan Strategic Budget Initiative" that is then submitted with the annual NARA Budget request.

A separate proposed project list of minor projects (those costing $1,500,000 or less) is prepared at the same time for the upcoming fiscal year based on available funding projections and the total estimated project cost. NARA refers to this list of minor projects as the annual Repair and Restorations Plan (R&R Plan). After review by the Assistant Archivist for Administration, the R&R Plan is forwarded to the Archivist of the United States for project approval and funding from NARA's Base R&R appropriation.

Methodology for Developing the Plan

The Capital Improvements Plan (CIP) is divided into two sections. Part I, is a summary of funding needs showing the required new appropriations.

Part II, provides more detailed information on proposed capital improvements over the next ten years. Included are descriptions of the proposed projects with information on the desired improvements as well as the priority of the need, and a brief scope of work of the proposed project. If the repair is based on a BCR recommendation(s), the recommendation number(s) from the BCR are also listed with the project description for further reference. Efforts are made to bundle together recommendations from the BCRs so as to take advantage of the economy of doing similar work at the same time under the same contract.

In developing the CIP, consideration was given to future long term needs of the agency as they relate to special projects, expansions of existing facilities, replacements of existing facilities and major renovations of existing facilities.

In addition to performing minor projects, the Base R&R funds that are provided to NARA each year in the approved federal budget are used to perform the building condition reports on NARA owned facilities (it is NARA's goal to perform building condition reports on our facilities on a five year cycle). From these reports, NARA develops a prioritized listing of required repair and renovation projects. In preparing this list, consideration is given to completing the highest priority projects (those projects identified in building condition reports as Category 1 or high priority repairs that must be implemented immediately to keep the building functional) as early as possible in the planning process. Category 2 deficiencies (those identified as being repairs that should be completed within a 1 to 5 year time period to continue the normal operation of the building) are considered next for placement on the prioritized projects list. In some cases a category 2 repair will be programmed to be performed in connection with category 1 repairs of a similar nature to take advantage of bundling the work into a larger project to attempt to get a better cost for the repairs. The Category 3 deficiencies (those repairs that can be planned to be completed more than five years out) are, for the purposes of the CIP, deferred pending a review in a subsequent building condition report within the next five years.

When the number of Category 1, 2 and 3 deficiencies reaches a point where performing the repairs using base R&R funding is impracticable or if there are enough similar deficiencies that it makes sense to take advantage of the economy of bundling the project together into a larger project, then a request will be made for a special project to perform all outstanding Category 1, 2, 3 and, possibly, some category 4 repairs as a major facility renovation (except to the extent that the Category 1 repairs will be scheduled as quickly as possible while the major project funding is arranged).

In programming the Category 1 and 2 repairs using the base R&R funds, consideration is given to holding the budget of these repairs to approximately $8,500,000 per year. This allows NARA to maintain a small reserve of base R&R funds to cover the difference between the programmed project amount and the actual costs, to cover emergencies and to cover special needs that develop during the budget year. Mid way through the budget year a formal review is conducted to determine the status of this reserve and, if it is determined that there are sufficient funds to advance a project from the next programmed year to the current year, the project is then rescheduled and the R&R Plan for the next fiscal year will be adjusted accordingly.

Similarly, if a major project receives funding through a special appropriation, consideration will be given to adjusting the CIP to advance a project that is needed but has been scheduled for a later year in an effort to level out the amount of appropriations requested for major new projects.

The required building condition reports have been distributed in the R&R Plan over several years with the goal that each facility will receive a new building condition report every five years. An effort has also been made to review the scope and nature of each special project to determine if the funding for the project can be distributed over several fiscal years (such as doing the design in one fiscal year and construction in the next year or in multiple phases). In some instances special projects have been specifically deferred in order to accomplish the higher priority special projects.

Finally, in programming the projects, consideration has been given to programming projects in earlier years that might yield savings in utility costs (energy savings initiatives). The reason for attempting this effort is to try and reduce utility costs for subsequent years.

Executive Summary of Planned Major Projects

Tier One Projects
Archives I – National Archives Experience, Phase II

Tier Two Projects
Eisenhower Library Renovations and Visitor Center Expansion (Design & Construction)
Johnson Library Space Alteration (Design & Construction)
Ford Museum Roof Replacement – **Planned to be funded from Base R&R funds**
Hoover Library Mechanical Renovations (Design & Construction)

Tier Three Projects
Ford Library Roof Replacement – **Planned to be funded from Base R&R funds**

Tier Four Projects
Ford Library Electrical, HVAC and Elevator Repairs, and Building Renovation (Design & Construction)
Carter Library Renovation (Design & Construction)
Ford Library Parking Lot Expansion
Hoover Library Flood Control Work – **Planned to be funded from Base R&R funds**
Archives II Roof Replacement

Tier Five Projects
Truman Library Renovation (Design & Construction)
Reagan Library Renovation (Design & Construction)
Archives II Replace Interior P/A System
Archives II HVAC Renovations

Tier Six Projects
Clinton Library Desiccant Drier Replacement
Archives II Chiller Plant Retrofit
Archives I Replace Exterior Windows and Doors
Nixon Library Renovation (Design & Construction)
Kennedy Library Seawall Repairs
GHW Bush Library Renovation (Design & Construction)
Clinton Library Renovation (Design & Construction)

Proposed Capital Improvement Projects

Tier One Projects

Archives I – National Archives Experience, Phase II – National Archives Experience Phase II is needed to improve visitor flow and access to the popular exhibits and create space for a new exhibit gallery at the National Archives Building in Washington, DC. The current visitor entrance was designed pre-September 11. When security and screening check points were added, it created "choke" points in the visitor flow patterns. This creates lines with one-to-two hour waits for visitors to see the Charters of Freedom. By making improvements to existing space we can redesign the current orientation lobby, improve visitor flow to exhibits, and create additional exhibit space to highlight freedom documents such as the Emancipation Proclamation, the constitutional amendments expanding suffrage and the records of the Civil Rights movement. The Foundation for the National Archives committed at its December 2008 meeting to raise private donations to fund the exhibit for the new permanent gallery, to build a new expanded gift shop, and to create the Orientation Plaza. These improvements will greatly enhance the experience of our more than 1 million visitors each year.

The Budget requests $5,000,000 in FY 2011 to proceed with the National Archives Experience (NAE) Phase II project. This request will fund increment 1 of a phased approach to the project. The phased construction approach will enable NARA to create the infrastructure needed for the improvements funded by our Foundation partner. We will also be able to improve our ability to engage visitors through a further understanding of our government and its records. The proposed changes in NAE Phase II will make our exhibits more inclusive, clarify where visitors need to go to explore our holdings and reduce the barriers to direct participation by visitors in the research process. These changes are in consonant with the administration's service initiative to 'promote sustained civic engagement.'

There will be additional funding requirements in a subsequent fiscal year to perform increment 2 to install finishes and equipment required to finish the project.

Tier Two Projects

Eisenhower Library Renovations and Visitor Center Expansion (Design & Construction) – In FY 2006, NARA performed an updated BCR on the buildings at the Eisenhower Center in Abilene, Kansas. While the complex was found to be well constructed and maintained, it has never had a major renovation (only partial renovations) since it opened in the mid 1960s. Additionally, preservation requirements have changed since the time of the original construction. The Eisenhower Library complex needs a major renovation to bring each of the buildings up to current standards for the proper storage of archival materials (NARA Directive 1571) and to correct noted fire safety deficiencies. Most of the major building systems have reached the end of their

service life and, NARA is currently in the process of replacing the systems that are in the most need of replacement and cannot wait for a renovation. Our plans are to take advantage of the fact that there are multiple buildings and phase the renovation work building by building over two fiscal years. In preparation for this planned effort, and in accordance with our procedures, NARA is preparing an updated BCR to identify any additional repairs required since the previous (2006) BCR.

Johnson Library Space Alteration (Design & Construction) – NARA is currently performing an updated comprehensive space planning study for the Johnson Library in 2010, which is documenting that substantial changes could be made to the building to improve the space utilization and efficiency of the facility. Additionally, an updated 2009 BCR has provided a clearer picture of the extent of repairs necessary to the building. The library has not had a major renovation (other than repairs to the plaza which are currently underway and replacement of some of the building air handling units in 2006 as part of an energy savings project) since its dedication in May 1971. Given the age of the facility coupled with the building condition reports and space studies it is clear that a major renovation in needed.

Ford Museum Roof Replacement (Planned to be funded from Base R&R funds) – The original 1981 roof was replaced with a single ply membrane roof in 1991 and the perimeter flashings were repaired. In 2003, an addition was constructed with a new roof. As part of maintenance, a number of the seams in the 1991 section of roof were repaired in 2005. NARA believes that, with those repairs and continued maintenance, the existing 1991 roof should last until FY 2011 when the roof would be 20 years old and at the end of its anticipated service life.

Hoover Library Mechanical Renovations (Design & Construction) – In 2007, NARA performed an updated BCR for the Hoover Library. The BCR indicated that many of the current building systems, while well maintained were reaching the end of their anticipated service life and that the systems were incapable of providing the current archival storage conditions. NARA plans to perform an updated BCR in FY 2011 (one year earlier than originally programmed) and to schedule the replacement of the building systems following receipt of the results of the BCR (when we can best define the scope of the necessary renovations).

Tier Three Projects

Ford Library Roof Replacement (Planned to be funded from Base R&R funds) – The current roof was installed in (approximately) 1994 and, by FY 2012, the existing roof will be eighteen years old and nearing the end of its anticipated service life. NARA plans to replace the roof before it develops leaks that might cause damage to interior finishes and holdings. Based on a recent BCR, NARA has made some minor roof repairs that were required as Category 1 type repairs to insure that damage will not occur while funding for the replacement is programmed and it was identified that the skylights require approximately $30,000 worth of Category 2 repairs (that need to be completed within

five years). NARA believes that by FY 2011, the roof will need a total replacement even with the anticipated repairs noted in the BCR.

Tier Four Projects

Ford Library Electrical, HVAC and Elevator Repairs, and Building Renovation (Design & Construction) – The BCR was finished in August 2007 indicated several category 2 repairs – repairs that require attention within 5 years of the report.

Carter Library Renovation (Design & Construction) – The Carter Library was built in 1986. While NARA is currently in the process of replacing many of the mechanical items to try and bring the facility into compliance with current archival standards (NARA Directive 1571) and to provide for more energy efficient equipment, we are not able to do all of the necessary renovations from our annual base R&R appropriation and still be able to provide the necessary repairs to the other NARA facilities.

Ford Library Parking Lot Expansion – Currently the Ford Library parking lot is very small and, when there are large events, parking capacity is exceeded (parking is always difficult on college campuses). This project would increase the available parking for the facility.

Hoover Library Flood Control Work (Planned to be funded from Base R&R funds) – Adjacent to the library building is a stream that, when the West Branch, Iowa area experiences heavy rains, the stream overflows. While there has never been a situation where flooding has occurred that affected the library, NARA is concerned that there is the potential for damaging flooding since the 100 year flood level is approximately one foot above the main floor elevation. And, the current Presidential Library standards require that a library be 100 feet from and 5 feet above a flood plain. Since this cannot be achieved without rerouting the stream, NARA would study ways to provide some other form of physical barrier to prevent the possibility of flooding when the area is subject to heavy rains.

Archives II Roof Replacement – The original roof on the Archives II building was installed in 1992. Most roofing systems have an anticipated service life of 15 to 20 years.

Tier Five Projects

Truman Library Renovation (Design & Construction) – In the late 1990s NARA with the help of GSA renovated a portion of the Truman Library. At that time, there were areas that were not included in the renovations. Those areas would need a renovation. Further, the previous renovation was performed prior to the issuance of the current archival standards (issued in 2002). Under this renovation design, NARA would work to bring the entire building into compliance with current archival standards (NARA Directive 1571).

Reagan Library Renovation (Design & Construction) – The Reagan Library was constructed in 1991. While NARA added to the building in 2003 with the construction of the Presidential Learning Center, the remainder of the building is anticipated to reach the end of its service life after 25 years and will require a major renovation to replace building systems finishes that will be worn out by that time.

Archives II Replace Interior P/A System – The interior paging system is the means by which NARA can immediately contact all employees in case of an emergency. The system was installed when the building was new in the early 1990s and was repaired in the early 2000s. The anticipated service life of the system is 20 years.

Archives II HVAC Renovations – Most major mechanical equipment has an anticipated service life of between twenty and thirty years. The HVAC system was installed in 1991.

Tier Six Projects

Clinton Library Desiccant Drier Replacement – In order to achieve the necessary preservation standards for temperature and relative humidity, the Clinton Library design incorporated several desiccant driers to reduce storage relative humidity. Desiccant driers normally have a service life of between ten and fifteen years before they need a major retrofit. The driers were installed in 2004.

Archives II Chiller Plant Retrofit – Most mechanical equipment has an anticipated service life of twenty to thirty years depending on factors such as the original installation, the quality of maintenance, and the amount of use the equipment has had, etc. The larger building systems, chillers, cooling towers, boilers, etc. generally are towards the higher end of the service life. Most of the mechanical systems were installed in the early 1990s.

Archives I Replace Exterior Windows and Doors – The Archives I building is a historic building. As such, replacing the windows and doors for energy efficiency would be an extensive, but necessary, operation.

Nixon Library Renovation (Design & Construction) – In 2007, NARA accepted the Nixon Library in Yorba Linda, California from the Nixon Foundation. Prior to accepting the building, the Foundation performed a partial renovation of the facility to bring the artifact storage area up to the current archival storage conditions. The museum area of the facility was not included in this renovation. At the time of the transfer, the building was approximately 17 years old. A BCR was performed prior to acceptance to identify the potential repair costs and plans were made to take care of some of the more immediate needs of the facility. Since the facility was too small to house all of the textual and artifact holdings stored in College Park, Maryland and Laguna Niguel, California, plans were developed for an approximate 15,000 square foot archival storage addition to the library. That addition was completed in 2009. In FY 2010, using base R&R funds, NARA is replacing the museum air handling units and several other major

HVAC components (chillers and pumps) since these replacements can't wait for future renovations. Using an updated BCR, NARA will determine the needs for the design of the building renovation.

Kennedy Library Seawall Repairs – Repairs were made in 2002 to the existing seawall. The seawall requires continual maintenance and NARA estimates renovation on the seawall will be required approximately every fifteen years.

GHW Bush Library Renovation (Design & Construction) – By FY 2017, the GHW Bush Library will be twenty years old and, while the building is currently in good condition (especially with the recent replacement of the roof to stop water leaks), we need to anticipate and plan for a renovation to the building.

Clinton Library Renovation (Design & Construction) – The Clinton Library was opened in 2004. By FY 2019, the building will be sixteen years old and it is anticipated that some renovation work will be needed to the building.