SECTION 2
PERFORMANCE SECTION

Measuring and Reporting Our Performance

This annual performance report is based on the goals, strategies, and long-range performance objectives set forth in our 2009 Strategic Plan and the annual objectives in our FY 2012 Performance Budget. The following pages detail our performance on our FY 2012 objectives. Checked boxes indicate those we fully achieved. Those we did not fully achieve have open boxes with an explanation below. We also included relevant performance results and trend information. Our budget links to the report's performance goals. We received no aid from non-Federal parties in preparing this report.

Throughout much of FY 2011 and FY 2012, NARA underwent a significant organizational transformation.   We realigned ourselves to establish a greater focus on our customers and improve the way we interact and deliver services to our customers.   We centralized our functions and services to leverage efficiencies and present "*One NARA*" whether staff are located at NARA headquarters in the Washington, DC area, or in our Presidential Libraries or regional facilities around the country.   All references to NARA organizations in the FY 2012 PAR will reflect the transformed organizational structure.

We used four mechanisms to measure actual performance: (1) periodic management reviews, (2) formal audits of operations, (3) expansion and refinement of our performance measurement system, and (4) systematic sampling of measurement system effectiveness. For more than ten years, we have collected agency-wide data in our Performance Measurement and Reporting System (PMRS). This system allows us to define and consistently measure data critical to the analysis of our performance objectives. Every year we improve and expand the system, addressing our strategic performance using a balanced approach for tracking cycle times, quality, productivity, cost, and customer satisfaction for our products and services. This report also updates some of our prior year statistics that we corrected because of these improvements. These ongoing refinements indicate that this report, our annual plans, and our Strategic Plan are living documents and an integral part of our operations.

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

FY 2012 Performance by Strategic Goal

Strategic Goal 1: Our Nation's Record Keeper

As the nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records

Long-Range Performance Targets

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

1.2 By 2012, 90 percent of customers are highly satisfied with NARA records management services.

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

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

1.1 FEDERAL RECORDS MANAGEMENT

FY 2012 Objectives

☐   Agency self-assessment responses meet or exceed 89 percent (the response rate in FY 2011).

☐   10 percent of agencies achieve a passing score for compliance in targeted areas of Federal records management.

☑   Conduct two records management inspections based on evaluation of agency self-assessment results.

Results

✓   Eighty-five percent of agencies conducted a self-assessment, falling short of last year's participation percent.

✓   We will publish the results of the records management self-assessment in early 2013.

✓   We completed records management inspections at the National Geospatial Agency (NGA) and at NASA.

Discussion   Since GAO's FY 2008 report entitled "Federal Records—National Archives and Selected Agencies Need to Strengthen E-Mail Management," where GAO recommended that NARA exercise its statutory authority and implement oversight mechanisms to ensure that

Federal records are not lost or destroyed, we implemented a practice whereby agencies conduct annual self-assessments of their records management programs. The Records Management Self Assessment (RMSA) is a survey tool that we use to understand agencies rate of compliance with statutory and regulatory records management requirements. Using the RMSA, we assess the level of risks to agencies' records management programs and we identify and make recommendations for areas of records management improvement. In addition, the tool serves as one of the criteria for deciding which agency or records management program to inspect.

Despite several steps to improve the response rate this year (e.g. telephone calls, Records Express Blog, reminders, etc), we reached an 85 percent participation rate—four percentage points lower than last year. The majority of agencies that did not respond were the small and micro agencies who scored poorly in previous assessments or those who have never responded to the RMSA. The one-size fits all approach to the RMSA makes it difficult for small and micro agencies to score well. Consistently low scores with little chance to improve may be the reason agencies in this category chose not to respond. We will potentially remove the agencies from the list assessed or develop another method to address small and micro agencies. Other non-responders included those agencies that did not have a records officer at the time the RMSA was administered. Agencies have asked us to consider providing partial credit for "in progress" activities when we review and score the RMSAs.

The RMSA is often viewed as a way to increase visibility of records management within agencies. The RMSA is a valuable tool for many Federal agencies to collect in one place information about their records management programs and receive feedback they can use to improve their programs. They use the RMSA to measure progress and institute plans to improve performance. More recently, agencies' senior agency officials used data from prior year RMSA's to respond to the Presidential Memorandum entitled *Managing Government Records.*

As part of NARA's transformation, we established a Records Management Oversight office in part, to improve oversight and inspection capabilities. To potentially increase the number of inspections, this office has begun to strategically identify and consider streamlined approaches to select agencies for inspection and more efficiently conduct inspections. We are developing tools for evaluations that can be completed faster than the formal inspections and expand the breadth of our oversight activities. To date, however, NARA has used the results from the annual RMSA as a tool to select agencies for inspection.

NARA conducted two inspections this year as part of our oversight activities. We continued with an effort started in FY 2011 at the National Geospatial-Intelligence Agency (NGA) where we focused on hard copy records. This year, we examined their electronic records. We inspected three NGA locations in FY 2012 and a final site visit is scheduled for early FY 2013. Although we completed the inspection, scheduling issues within NGA delayed NARA's site visits and pushed the completion of the draft inspection report to October 2012. The final report and plan of corrective action will be completed in FY 2013 as well.

We directed our second inspection on the National Aeronautics and Space Administration (NASA) and their management of records for the shutdown of the Space Shuttle program. The NASA inspection report draft was completed and sent to them for comments. NASA returned the report and the final report and plan of corrective action will be completed in FY 2013.

Performance Data	2009	2010	2011	2012
Performance target for percent of agencies achieving a passing score for compliance with Federal records management policy.	—	*Establish baseline*	*15*	*10*
Percent of agencies that achieve passing scores for compliance with	22	6	10	TBD

Federal records management policy.				
Performance target for percent of agencies who submit records management self-assessments to NARA.	*50*	*50*	*93*	*89*
Percent of agencies records management self-assessments submitted to NARA.	91	93	89	85
Number of agencies polled in self-assessment.	242	271	277	281
Number of agencies responding to self–assessment survey.	220	251	247	240

FY 2013 Performance Plan Evaluation   We will work on plans to improve selection criteria for inspection target selections and streamline the inspection process. We will examine compliance challenges that may have solutions impacting several agencies. We will continue to conduct records management inspections and investigate analytical tools and approaches to evaluate the effectiveness of records management programs. We will partner with Senior Agency Officials to implement the Presidential Memorandum, *Managing Government Records*, and improve records management in the Federal Government.

1.2 NARA RECORDS MANAGEMENT SERVICES

FY 2012 Objectives

☑ Increase by 25 percent the number of distance learning course offerings over last year.

☐ Ninety percent of Federal agency customers are highly satisfied with NARA records management services.

☑ Reduce by five percent the backlog of open schedules registered prior to FY 2010.

Results

✓ We held more than more than 40 distance learning course offerings in records management equating to an increase in course offerings of 156 percent.

✓ We measured agency customer satisfaction through two tools: the 2012 customer satisfaction survey and the ERA user adoption survey.

✓ We reduced the backlog of schedules opened since FY 2010 by more than 50 percent.

Discussion   We continue to look for ways to improve the records management services that we provide. NARA's ability to provide agency records managers and records management staff with tools to assist them in identifying and managing their records is critical to ensuring that the permanent records of the Federal Government are preserved and made available to the public

NARA's Records Management Training Program provides a curriculum designed to increase the knowledge and skills of Federal records management staff and contractors to help them fulfill their records management duties.   Currently, more than 90 percent of our content delivery takes place in a classroom. Time, travel and budget restrictions often impede face-to-face participation, making online training an effective alternative.   However, because our classes are taught by NARA staff that have other full time responsibilities, we are often challenged with securing the

necessary resources to teach the online classes. We dramatically exceeded our target this year by shifting our priorities to focus on increasing online course offerings. We offered webinars earlier in the year, devoted more staff to online delivery, and dedicated staff to create a free webinar series. Despite the substantial increase, our customers underscore their need for more online offerings. As we continue to enhance our program, we will develop a strategy to broaden the subjects covered by online materials and diversify our delivery methods.

This year we surveyed our agency customers in two specific areas using two separate surveys: 1) agency satisfaction with the ERA user adoption effort; and 2) the timeliness and quality of service provided by NARA's appraisal staff to work on the development and approval of records schedules. The measures focused on agency customer's satisfaction with the ERA system, web site, help desk and related services, and other records management services related to appraisal and scheduling.

The customer survey results provided interesting feedback on the scheduling and appraisal process. Customers were very satisfied with the attention received from NARA appraisal staff (77-81 percent), however, their response to overall satisfaction with NARA appraisal and scheduling services indicated that only 60 percent were satisfied to highly satisfied. We found it a challenge to account for the discrepancy between satisfaction with NARA customer service and overall satisfaction. We will need to further investigate the reasons for lower ratings in overall satisfaction.

Feedback from the ERA user adoption survey covered various elements within ERA such as a packaging tool and online training modules. Again, only 56 percent of the users expressed overall satisfaction; 20 percent were neutral; and 24 percent were dissatisfied. ERA's mandatory usage requirement may have influenced the negative scores. We were pleased to note that help desk assistance and customer support scored 80 percent and higher. If we generalize the results to all records management services, then the two surveys suggest that agency respondents generally have positive feelings toward NARA personnel.

Some factors that may impact the scores include the number of people per agency who took the survey (e.g. one person may have responded for an entire agency, while at another agency 40 people may have responded); each survey was focused on a specific topic so generalizing scores to represent all of NARA's records management services is difficult. Lastly, the two surveys use different Likert scale measures for responses, which made cross comparison difficult.

This was our first year to combine the results of these two different surveys and we will look at ways to improve our score in FY 2013. Given that the feedback appears to address our processes, we will look at ways to improve our processes.

With uncertainty surrounding the resources available to reduce our backlog of schedules more than two years old, we set a conservative target of 5 percent. We worked on decreasing the backlog throughout the fiscal year; however, in the third quarter we conducted a 60-day focused effort on the backlog and gained momentum in closing backlog and non-backlog pending schedules. This activity helped bolster relations with our customers as we partnered with them to address difficult schedules. Using dedicated team members to tackle this issue we were able to reduce by 65 percent.

Performance Data	2007	2008	2009	2010	2011	2012
Performance target for number of records schedules submitted using ERA.	–	–	–	–	*Establish baseline*	–
Number of records schedules submitted using ERA.	–	–	–	–	64	136
Performance target for percent of Federal agency customers highly satisfied with NARA records management services.	*10*	–	*10*	–	–	*90*
Percent of Federal agency customers that are satisfied with NARA records management services.	81	–	81	–	–	TBD
Percent of records management training participants taking a NARA records management course for the first time.	43	39	63	36	32	26
Number of records management training participants who are taking a NARA records management course for the first time.	2,162	2,524	7,625	2,619	1,913	990
Number of Federal agency staff receiving NARA training in records management and electronic records management.	5,047	6,422	12,114	7,233	5,971	3,772
Number of records management training participants that NARA certified this year.	269	310	242	282	338	347
Performance target for the percent increase in the number of distance learning course offerings.	–	–	–	*5*	*5*	*25*
Percent increase in the number of distance learning course offerings.	–	–	–	133	-43	156
Performance target for the percent decrease in the backlog of open schedules registered prior to FY 2010.	–	–	–	–	–	*5*
Median time for records schedule items completed (in calendar days).	283	291	307	285	709	672
Average age of schedule items completed (in calendar days).	451	443	416	438	907	860
Number of schedule items completed.	2,992	3,148	3,248	3,670	5,058	3,498
Number of open schedules in the backlog.	370	507	962	884	723	531

FY 2013 Performance Plan Evaluation We will convert content from our (Knowledge Area 6) records management face-to-face class to online delivery. We will continue work to adapt existing courses to online delivery and assist Federal staff with the tools they need to fulfill their records management responsibilities. We will continue to process requests for disposition authorities with a focus on schedules that have been open for two or more fiscal years.

1.3 FEDERAL RECORDS CENTERS PROGRAM

FY 2012 Objectives
☐ Make ready 98 percent of Federal agency reference requests within the promised time.

☐ Answer 85 percent of written requests to the National Personnel Records Center (NPRC) within 10 working days.

☑ Achieve 88 percent customer satisfaction at NPRC.

☐ Implement Increment 5 of ARCIS at Federal Records Centers.

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

☐   Answer 85 percent of requests for military personnel records in 10 working days or less.

Results

"I am pleased with the timeliness of requests!"

✓ We delivered 95 percent of Federal agency reference requests within 24 business hours from receipt of the request.

✓ We answered 74 percent of written requests to the National Personnel Records Center from former military and civilian employees and various Federal, state, and local government agencies.

"I am very happy and appreciative of the great work of NPRC staff."

✓ More than 90 percent of our customers are satisfied with NPRC services.

"ARCIS cuts down on the approval process time!"

✓ Key registry modules of the ARCIS system (civilian personnel, medical, and military personnel) as well as the customer portal were deployed.

✓ Services provided in our FRCP's for records management consulting, electronic records, and physical records grew by 1.14 percentage point.

✓ We answered slightly more than 73 percent of requests for military personnel records in 10 working days or less.

Discussion The Federal Records Centers Program (FRCP) safeguards and protects the nation's records, and plays a vital role in the lifecycle of Federal records. The program provides a host of records management services to assist Federal agency customers with their non-current paper and electronic records. As the nature of the business shifts from traditionally paper records to electronic records, the services we provide must address the changing needs of our customers. Growth of our business is a key indicator that we are successfully responding to customers' needs. Services that we provide include reference requests, shipping and handling of records, records storage, photocopying, digital imaging, and records disposal, to name a few.

We met our published customer service standard of 95 percent to respond to written requests to the National Personnel Records Center within 10 working days, but we fell 3 percentage points below our FY 2012 target. The standard for fulfilling reference requests is 24 business hours from receipt of the request. Impacts to our timeliness include the receipt of reference requests with incomplete information and requests that do not require 24 hour turnaround service. In the second quarter we began a process to review the performance data monthly which resulted in early problem identification and timely implementation of corrective action. Since then, several of our Federal records centers have shown improvements in their performance.

NARA's transformation resulted in the creation of a Customer Relationship Management (CRM) team that operates out of our Agency Services office. The CRM, responsible for marketing, sales,

and customer support activities that strengthen individual relationships with customers, began operating in December 2011. Collaboration between CRM and NARA's Business Development team resulted in growth in our Federal Records Center Program services by 1.15 percentage points. New services include small scanning projects, Fast Pack projects (i.e. FRCP services to help prepare SF 135s, pack boxes, prepare boxed file inventories, pack shipments, and provide transportation to the records centers), and records management consulting services for a number of agencies.

Our Military Personnel Records (MPR) operation accounts for roughly 90 percent of the total data volume for written requests to the National Personnel Record Center. This equates to nearly one million annual requests from veterans; Federal, state, and local government agencies; and the public for information from many of the 56 million official military personnel files and other related collections. Many of our customers' inquiries are to obtain veterans' rights and benefits, including health care, home loan guarantees, education, employment, and burial benefits.

The MPR's correspondence function is heavily dependent upon the availability and stability of our Case Management and Reporting System (CMRS). We began upgrades to the legacy CMRS in June 2012 and technical difficulties during the upgrade resulted in the loss of eight days of production—leading to development of a 40,000 case backlog. With the most critical problems associated with the upgrade behind us, we will work to eliminate the backlog. The upgrade will improve responsiveness and reliability of the CMRS.

Process changes may provide the most significant performance improvement; however, the changes may negatively impact customers. When our customers request separation documents, typically for the pursuit of an entitlement, we move the request to the front of the queue because of their urgency to the customer. Changing to a strict first-in-first-out queue discipline, may result in performance improvement in terms of timeliness, however, complaints may increase because some of the more urgent requests may not be serviced as quickly as they are today.

Bi-annually, we survey our customers to gather feedback on the nature of customers' requests; their level of satisfaction with the current reference process; and how timeliness, quality and accessibility influence overall customer satisfaction. The data is used to identify areas for improvement, develop strategies for making these improvements, and evaluate the effectiveness of initiatives as they are implemented. We achieved a 90 percent customer satisfaction rate for the first half of FY 2012; exceeding our annual target for this measure. The second survey was completed September 30th and the results will not be available until early FY 2013.

NARA's Archives and Records Center Information System (ARCIS), a web-based system for all FRCP business transactions, is designed to electronically manage records storage and improve the efficiency of storage processes in Federal records centers. ARCIS supports streamlined business processes and at full implementation will allow customers to receive real-time, web-enabled access to their holdings and transaction information. This year we completed development of a customer portal training database that allows our students to follow a set of pre-defined exercises to become more familiar with how to use ARCIS. For agencies that want to train their employees, we provide the database to them for a week at a time to support their in-house training efforts. The training database is also used for our instructor led training.

We also deployed the Civilian Personnel Registry (CPR) and the Medical Registry System (MRS) as well as a business intelligence tool that provides our FRCP managers with personalized dashboards and reports tailored to their specific needs. Our experience has taught us that

successful deployments meet customer expectations when we release our applications early and often so customers can see and work with the product while it is being developed. In addition to using the training database to handle deployment challenges, we aggressively monitored the status of agencies as they entered the deployment stream and we used staff from our Customer Relationship Management team to assist with customer communication.

Performance Data	2007	2008	2009	2010	2011	2012
Performance target for percentage point growth in records management transactions in the Federal Records Centers Program.	–	–	–	*1*	*1*	*1*
Percentage point growth in the number of records management transactions serviced by the Federal Records Centers Program.	–	–	–	2.3	1.6	1.1
Performance target for percent of customers satisfied with NPRC services.	–	–	*Establish baseline*	*88*	*88*	*88*
Percent of customers satisfied with NPRC services.	–	–	85	86	92	90
Performance target for percent of Federal agency reference requests ready within the promised time.	*95*	*96*	*97*	*97*	*98*	*98*
Percent of Federal agency reference requests ready within the promised time.	90	93	94	97	95	95
Performance target for percent of written requests to the National Personnel Records Center answered within 10 working days.	*75*	*75*	*80*	*80*	*80*	*85*
Percent of written requests to the NPRC answered within 10 working days.	67	74	69	69	75	74
Number of written requests to the NPRC answered (in thousands).	1,137	1,150	1,221	1,320	1,094	974
Number of written requests to the NPRC answered within 10 working days (in thousands).	740	854	845	908	846	717
Number of written requests for civilian records to the NPRC answered within 10 working days (in thousands).	174	167	94	76	25	29
Number of written requests for military records to the NPRC answered within 10 working days (in thousands).	566	687	751	833	821	688
High Priority Measure: Performance target for percent of requests for military personnel records answered in 10 working days or less (target 85% by 2012).	–	–	–	*85*	*85*	*85*
Percent of requests for military personnel records answered in 10 working days or less.	59	72	70	70	77	73
Percent of requests for military service separation records at the NPRC answered within 10 working days.	90	95	95	94	93	92
Number of military service separation records (DD-214) requests answered (in thousands).	426	483	546	524	445	429
Average price per request for military service separation records.	$29.70	$30.10	$31.70	$31.70	$33.00	$33.00

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

FY 2013 Performance Plan Evaluation We will take a holistic approach to solving agencies' records management issues. We will implement Customer Relationship Management (CRM) software to help implement an effective CRM program that captures marketing leads and tracks business transactions.

1.4 PRESIDENTIAL TRANSITIONS
FY 2012 Objectives   ☑   References LRPT 2.2

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

Strategic Goal 2: Preserve and Process

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

Long-Range Performance Targets	2.1 By 2016, 85 percent of scheduled transfers of archival records are received at the scheduled time.
	2.2 By 2016, 95 percent of archival holdings have been processed to the point where researchers can have efficient access to them.
	2.3 By 2012, 90 percent of agency declassification reviews receive high scores as assessed by the Information Security Oversight Office (ISOO).
	2.4 By 2016, NARA archival holdings of 25-year-old or older records are declassified, exempted, or referred under the provisions of Executive Order 13526.
	2.5 By 2016, 100 percent of archival holdings are stored in appropriate space.
	2.6 By 2014, 100 percent of NARA records center holdings are stored in appropriate space.
	2.7 By 2016, less than 50 percent of archival holdings require preservation action.

2.1 ACCESSIONING RECORDS

FY 2012 Objectives	☐	Identify and schedule 10 percent more Federal agency electronic records series or systems than were scheduled in FY 2011.
	☑	30 percent of targeted archival records transfers arrive at NARA on time.
Results	✓	We completed 37 percent of the 1,135 electronic records schedules planned for FY 2012.
	✓	Thirty-seven percent of targeted electronic archival records arrived at NARA on time.

Discussion The scheduling of Federal agency electronic records ensures that the permanent electronic records that protect citizens' rights, demonstrate Federal Government accountability, or document the history of our nation will transfer to NARA on a regular basis and in an acceptable format for storage and access in the Electronic Records Archives (ERA). Scheduling also ensures that records not deemed permanently valuable are retained until no longer needed. Appraisal staff responsible for scheduling records were reassigned during the second quarter to

assist with eliminating our backlog of records schedules two years old or older. Appraisal staff participated in a 60-day effort to address a backlog of 205 schedules. While resources were revamped to concentrate on reducing the scheduling backlog of primarily traditional records, very few records schedules for electronic records were scheduled.

An Executive Memorandum issued this year, *Managing Government Records*, marks the start of an executive branch-wide effort to reform records management policies and practices. In the memorandum, the President recognizes NARA as a leader in records management and reiterates that records management is the backbone of open government. We must develop a 21st century framework to manage Government records. Modernizing our approach by examining ways to streamline the processing and approval of records schedules is one of the tactics we will consider as we move forward to advance the requirements in the memorandum.

Agencies are required to transfer permanent records to NARA as expected under approved schedules. Without the proper identification, schedule, disposition, and transfer of these important records to the National Archives, the Federal Government is subject to increased risks of losing important information protecting citizens' rights, demonstrating Federal Government accountability, or recording our nation's history. In FY 2012, thirty-seven percent of the targeted electronic archival records arrived on time at NARA. In prior years we targeted CFO Act agencies. We found that our pursuit of records often resulted in receipt of more than our target, but because we restricted our target to CFO Act agencies, we were unable to account for all agency transfers in the performance results. We expanded the target to include all Federal agencies.

Agencies are encouraged to follow their transfer instructions for schedules with permanent electronic records items and we assist in the transfer process as necessary. We push agency use of ERA for the transfer process, however, because many agencies are new to ERA, and because of limitations within ERA, the rate of total transfers in FY 2012 is down from that in FY 2011. Prioritized corrective and adaptive maintenance tasks to address required changes needed for ERA to operate more efficiently will be monitored. However, now that ERA is mandatory for all agencies, we expect increased agency usage of ERA to process transfer requests. We recognize that increased communication between NARA and agencies enhanced the likelihood that agencies transferred records. We are working on a process that we expect to complete in FY 2013 where we can measure the transfer of our traditional records existing at NARA to identify our universe of records available for transfer to NARA's permanent custody.

Performance Data	2007	2008	2009	2010	2011	2012
Performance target for percent of high value archival records transferred to NARA at the scheduled time.	–	–	*20*	*30*	*40*	*30*
Percent of targeted traditional archival records transferred to NARA at the scheduled time.	–	–	6	24	19	TBD
Percent of targeted electronic archival records transfers arriving at NARA on time.	–	40	44	35	26	37
Performance target for percent increase in number of Federal agency electronic records series or systems scheduled than prior year.	*10*	*10*	*10*	*10*	*10*	*10*

Percent increase in number of Federal agency electronic records series or systems scheduled than prior year.	33	31	60	3	26	-60
Number of Federal agency electronic records series or systems scheduled.	423	496	794	820	1,031	418

FY 2013 Performance Plan Evaluation   We will work with agencies to implement the goals outlined in the *Managing Government Records Directive* which identifies strategies to reform records management policies and practices.

2.2 PROCESSING RECORDS

FY 2012 Objectives	☑ Process 60 percent of archival holdings to the point where researchers can have efficient access to them.
Results	✔ We met our target to process 60 percent of archival holdings to the point where researchers have efficient access.

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

Each year we tackle our backlog of records to expedite processing and make them available for access to the public. With the infusion of new technology, we see greater numbers of records being created at agencies.   This results in higher transfer volumes of new records to the legal custody of NARA, faster than they can be processed.   We successfully met this year's target of 60 to process records to the point where researchers could access.

Performance Data	2007	2008	2009	2010	2011	2012
*Performance target for percent of archival holdings processed to the point where researchers can have efficient access to them.**	Establish baseline	10	10	10	8	60
Percentage point increase in the number of archival holdings processed to the point where researchers can have efficient access to them.	—	Establish baseline	11	6	6	7
Percent of archival holdings processed to the point where researchers can have efficient access to them.	21**	30	41	47	53	60
Number of records processed in Presidential Libraries (in cubic feet).	—	108,224	121,259	124,981	126,550	134,050
Number of series processed in our regional archives.	—	9,445	23,182	29,488	40,437	44,804
Number of processed Holdings Management System entries.	—	62,637	71,718	90,603	100,807	121,172

* Performance target measurement was "percent increase" in years prior to FY 2012. ** Data reported in 2007 reflects only Washington, DC, area work. Data beginning in 2008 reflects results for the agency.

FY 2013 Performance Plan Evaluation   We are exploring ways to engage citizens in adding descriptions to NARA holdings through social media tagging. We are undertaking an effort to seek approval from the representatives of former and incumbent Presidents to waive their right

to receive notification of NARA's intent to release certain series of Presidential or Vice Presidential records.

2.3 GOVERNMENT-WIDE DECLASSIFICATION

FY 2012 Objectives	☑	Ninety percent of agency declassification programs receive high scores as assessed by ISOO.
Results	✓	Agency declassification programs exceeded the target in the percent of programs receiving high scores as assessed by ISOO.

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

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

ISOO takes advantage of opportunities to share knowledge and pursue ways to advance the declassification review process. ISOO participates in an intra-agency committee seeking possible uses for technology to improve search and access review capability for electronic records. In an inter-agency committee ISOO works with agency representatives to explore comprehensive referral standards to improve efficiency and effectiveness in declassification review.

Each year, ISOO reports an increased percentage of agencies' declassification programs achieving high score.   ISOO offers agency training sessions, including extensive question and answer sessions and practical exercises with declassification review staff of the agencies that were assessed in FY 2012. Agencies that have implemented ISOO's recommendations from the assessments indicate that the assessments are improving their programs and the training is beneficial to reviewers. The percent of agencies achieving high scores exceeded our long range target of 90 percent.

Performance Data	2007	2008	2009	2010	2011	2012
Performance target for percent of agency declassification reviews that receive high scores as assessed by ISOO.	–	*Establish baseline*	*51*	*69*	*80*	*90*
Percent of agency declassification reviews that receive high scores as assessed by ISOO.	–	36	53	67	81	94
Number of agency declassification reviews that receive high scores as assessed by ISOO.	–	8	10	10	13	15
Number of agency declassification reviews assessed by ISOO.	–	22	19	15	16	16
Number of pages declassified government-wide (in millions of pages).	37.2	31.4	28.8	29.1	26.7	TBD

FY 2013 Performance Plan Evaluation   ISOO will closely monitor agency declassification programs through data calls conducted twice a year, assessments of agency reviews at the National Declassification Center, and selected assessments at the agencies.

2.4 NARA DECLASSIFICATION

FY 2012 Objectives	☐ Complete quality assurance in the National Declassification Center (NDC) on 251 million pages of classified documents 25 years old and older and accessioned into NARA.
	☐ Scan 500,000 pages of Presidential records eligible for declassification review as part of the Remote Archives Capture Project.
Results	✓ We completed quality assurance on a cumulative total of 202 million pages of classified documents 25 years old and older and accessioned into NARA.
	✓ We scanned 78,973 pages of Reagan Presidential records and completed equity referral identification and preparation of more than 1 million pages of Presidential records for future scanning and review.

Discussion   The Government protects millions of classified documents at great expense, including a backlog, initially inventoried at more than 400 million pages of Federal records in our Washington, DC, area facilities. Millions of pages of classified records in our holdings are located in the Presidential Libraries. Since the issuance of Executive Order 13526, issued by the President on December 29, 2009, we have worked vigilantly to meet the December 31, 2013, deadline to declassify records as quickly as possible while maintaining national security.   Agencies as well are focusing their efforts and limited resources on the significant implementation requirements of the Executive Order and 32 CFR Part 2001, and in meeting the December 31, 2013, deadline concerning the backlog of classified documents 25 years old or older, requiring action.

NARA's National Declassification Center (NDC), mandated by the President through Executive Order 13526, was stood up in January 2010. The NDC is charged with promoting collaboration among agencies, standardizing data, and bringing together disparate declassification processes and systems within the declassification community to expedite the review and declassification of the 25-year old and older classified records.   Our declassification review and release process has stabilized. We track end-to-end NDC operations, allowing us to pinpoint chokepoints in our processes, report accurate production statistics at each step in our process, and streamline all of our data capture efforts.

Since stand up of the NDC, end-to-end tracking of NDC operations has assisted our efforts to successfully complete quality assurance on more than 200 million pages of classified information, complete processing on 85 million pages, and release 52 million pages to the public in FY 2012. However, we missed our goal to complete quality assurance on 251 million pages by the end of FY 2012 as a result of the failure of several agencies to do their mandatory page-level review for Kyl-Lott and inconsistent equity identification for national security information, including the

presence of excessive referrals in series that were reviewed long before the NDC process was implemented. To remediate the Kyl-Lott issue, we established an inter-agency and NARA page level review that resulted in 20.2 million pages certified for Kyl-Lott by the end of FY 2012. We plan to address the issue with excessive referrals in 2013 when we apply the automatic declassification for 50-year-old documents to those series with excessive referrals.

During FY 2012, we completed special declassification review, processing, and digitization of a thematic collection of records related to the World War II Katyn Massacre during the second and third quarters of FY 2012. This response to a Congressional request to the President included a commemorative publication and an associated web page related to the unclassified and newly declassified records.

Our NDC Freedom of Information Act (FOIA)/Mandatory Declassification Review (MDR) Division continues to benefit from the improved work processes established during the last year. Since FY 2010 the number of FOIA and MDR cases closed has increased by nearly 151 percent going from 726 in FY 2010 to 1,821 cases closed in FY 2012. As more backlog records are processed through the NDC and opened to researchers, we anticipate an increase in focused, document-based requests and an eventual reduction in large requests for unprocessed records.

In addition, we have crafted a potential process for the review and release of the limited number of electronic records currently accessioned to NARA. We will conduct a pilot to refine the process.

NARA, in partnership with the Central Intelligence Agency (CIA) and all other classifying agencies in the Federal Government, is using the Remote Archives Capture (RAC) project to capture the classified materials held by the Presidential Libraries in digital format. Once digitized, the materials are reviewed in a centralized location in Washington by equity-holding agencies. We use this vehicle to facilitate declassification review and to comply with EO 13526 by ensuring that we refer all 25-year-old classified documents to the appropriate equity agencies. The primary classifying agency uses a classified review system for review and declassification of their equities and transmits their decisions to a CIA center. The CIA center subsequently provides the Library with its declassification decisions. This year we scanned 78,973 pages of Presidential records eligible for declassification. Due to resource constraints we scaled back our scanning efforts at the Reagan Library and concentrated resources on the review and identification of RAC referral equities for the remainder of this fiscal year. We systematically reviewed for declassification and identified RAC referral equities in 192,150 pages of Reagan Library documents.

Performance Data	2007	2008	2009	2010	2011	2012
(Cumulative) Performance target for number of pages completed quality assurance in the NDC for declassification processing effort.	–	–	–	–	*100*	*251*
(Cumulative) Number of pages completed quality assurance in the NDC for declassification processing effort (in millions).	–	–	–	–	108*	202
Number of pages completed in the NDC declassification processing effort (in millions).	–	–	5.6	7.8*	20.2*	85.5*
Number of Federal pages declassified and made available to the public (in millions).	–	–	–	7.5*	18.3*	52.3*
Performance target for annual number of Presidential pages scanned (in millions).	*.5*	*.5*	*.5*	*.5*	*.5*	*.5*
Annual number of Presidential pages scanned	.51	.52	.55	.53	.83	.079

Performance Data	2007	2008	2009	2010	2011	2012
(in millions).						

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

FY 2013 Performance Plan Evaluation   NARA plans to continue work to eliminate our declassification backlog by the December 2013 deadline per the President's memorandum of December 29, 2009, and in accordance with Executive Order 13526.

2.5 ARCHIVAL HOLDINGS IN APPROPRIATE SPACE

FY 2012 Objectives ☑ Complete first phase of Roosevelt Library renovation.

☑ Award contract for second phase of Roosevelt Library renovation.

☐ Complete move of records from St. Louis-area facilities to National Personnel Records Center facility.

☑ Eighty-five percent of archival holdings are in NARA 1571 compliant space.

☑ Complete construction of Kennedy Library addition and renovation.

☐ Complete National Archives Experience Phase II renovations to the research center.

Results ✓ We completed site work and renovations to the second level in the Roosevelt Library.

✓ We awarded the construction contract for the second phase of Roosevelt Library renovations.

✓ We moved more than 95 percent of the records from St. Louis area facilities to the National Personnel Records Center facility.

✓ More than 94 percent of our archival holdings are stored in compliant space.

✓ We completed renovations to the Kennedy Library to comply with NARA's archival storage standards.

✓ We completed infrastructure reconfigurations of the Warner Research Center as part of the National Archives Experience Phase II.

Discussion: NARA has an inventory of 16 NARA-owned buildings—the National Archives Building, the National Archives at College Park, 13 Presidential Libraries and Museums, and the National Archives at Atlanta. The National Archives Building and the Roosevelt Library are on

the National Register of Historic Places, and all of the Presidential Libraries are considered by the State Historic Preservation Officers to be eligible. All of these buildings are archival storage facilities and house historically valuable and irreplaceable documents.

This year, renovations to the aging Franklin D. Roosevelt Library have been completed. We completed work on the exterior of the building, renovations to the historic stacks and research room, and completed site work for the second phase of renovations. Phase two will focus on renovations to the exhibit areas on the main and lower floors, improvement to staff and public support areas, upgrades to the artifact storage spaces where archival textual records and collections are maintained, and modernization of office areas. The renovation improves conditions for staff, researchers, and visitors and helps to increase productivity and satisfaction of the facility as a place for work and research. Phase two work will conclude in FY 2013 in time for the opening of a new public exhibit.

We had reached the limits of storage capacity at our John F. Kennedy Library. Large volumes of accessioned materials over the years created overcrowded conditions. A new wing completed in FY 2011 alleviated this problem. Additional renovations were completed this year to upgrade storage conditions that were not in compliance with NARA's current standard for proper storage of archival materials (NARA Directive 1571).

The National Personnel Records Center (NPRC) building in St. Louis, MO, holds more than 600 NARA staff and is designed to house more than two million cubic feet of permanent and archival records in fully compliant space. We began moving the records from Page Avenue (Military Personnel Records), Dielman Road (Archives Annex) and Winnebago Street (Civilian Personnel Records) to this new facility in the spring of 2011. Since then we have moved more than 1.9 million cubic feet of records which includes Official Military Personnel Files; all of the burned records recovered from the 1973 fire; and all records from the Archives Annex. Move production slipped during the fourth quarter for a variety of reasons. Equipment breakdowns, record cart shortages, contractor personnel shortages, and extremely hot weather conditions all contributed to decreased productivity with the move and pushed completion out to early November.

Providing appropriate physical and environmental storage conditions is key to NARA's overall preservation strategy to ensure that archival records are available for use by the public for as long as needed. NARA 1571 establishes environmental conditions that will help achieve maximum life expectancy of the textual records stored in the regional archives system. NARA's facility in College Park, MD and the renovated National Archives building in Washington, DC, provide appropriate storage conditions for archival holdings in the Washington area. Space problems have pushed us to move other archival records from the Washington area and regional archives to archival bays in the National Archives facilities at Lee's Summit, Missouri, and Lenexa, Kansas.

The National Archives at New York began its move to a new location in lower Manhattan at the Alexander Hamilton U.S. Custom House, 1 Bowling Green. The new facility includes a Welcome Center that introduces visitors to the Archives and features an original document display; a Reference Room with 24 public access computers; a Research Room; and a dedicated Learning Center to facilitate expanded educational outreach and new public programming initiatives. In addition, a temporary exhibit, "The World's Port: Through Documents of the National Archives" opened in the Rotunda of the Custom House on September 26th.

Over the past few years, we have completed upgrades to our facilities making them compliant with archival storage standard, *NARA 1571*. In FY 2012, significant construction for the Philadelphia archival bay included completion of a new demising wall, processing room, and a new exterior addition that houses new HVAC and filtration equipment. Additional work is estimated for completion in early FY 2013.

The National Archives Experience Phase II is a project to create space for a new exhibit gallery at the National Archives Building in Washington, DC. In FY 2012, we completed the reconfiguration of the Warner Research Center to create space for a new exhibit gallery, *Freedom Hall*. This gallery will create the opportunity for visitors to connect our country's 18th century struggle for liberty with our world today.

There are many challenges in reconfiguring occupied space as we were committed to keep the research center and exhibit space open to researchers and the public with minimum disruption. To meet the challenges, we contracted for reconfigurations of the research center to be performed at night to minimize disruptions to NARA staff and researchers. When reconfiguring ceilings in the building, we chose non-peak times to cordon off access at the east and west lobbies of the building while maintaining public access.

Performance Data	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**
Percent of artifact holdings in appropriate space.	42	40	37	40	40	40
Number of artifact holdings (in thousands).	544	582	628	600	600	600
Percent of electronic holdings in appropriate space.	100	100	100	100	100	100
Number of electronic holdings in appropriate space (in millions of logical data records).	4,737	5,523	6,704	6,944	7,171	11,405
Number of electronic holdings in appropriate space (in terabytes).	—	—	—	110.0	156.1	515.2
High Priority Measure: Percent of archival holdings in NARA 1571 compliant space (target 85% by 2012).	—	—	—	—	—	*85*
Percent of archival holdings in NARA 1571 compliant space.	80	73	70	71	78	94
Number of archival traditional holdings (in thousands of cubic feet).	3,346	3,729	3,937	4,043	4,248	4,482
Cost of archival storage space per cubic feet of traditional holdings stored.	$6.20	$5.85	$5.83	$6.16	$7.19	$6.64

FY 2013 Performance Plan Evaluation We will continue to focus on maintaining storage facilities that meet archival requirements while keeping costs for archival storage as low as possible. We will complete various stages of renovation activities at the Roosevelt Presidential Library and approve and dedicate the George W. Bush Library.

2.6 NARA FEDERAL RECORDS CENTER HOLDINGS IN APPROPRIATE SPACE

FY 2012 Objectives	☑	Achieve initial occupancy of Denver records storage facility.
	☐	House 85 percent of NARA's non-archival holdings in appropriate space.
Results	✓	Staff moved in to the Denver records storage facility beginning in May 2012.

✓ We housed nearly 80 percent of our non-archival holdings in space meeting records storage facility standards.

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

Working with GSA over a two year period, a lease was awarded in FY 2011 for a new Denver facility to be built by a private developer and leased back to NARA over a 20-year term. The facility, completed in late April, replaced the aging Denver Federal Center, which did not meet records storage facility standards. Constructed in Broomfield, CO, the new facility can house approximately 750,000 cubic feet and is in compliance with both 36 CFR 1234 and NARA 1571 storage standards. The facility houses the Federal Records Center, the regional archives, and records management. Initial occupancy was achieved in FY 2012. The move of records into the facility began in early June and will take approximately one year.

We also completed a major renovation at the Washington National Records Center (WNRC), which added a pipe protection and leak detection system to overhead piping. This was the last modification required for this facility to be fully compliant. Completion of the paperwork to certify compliance is the last remaining task. Once this certification is complete, we will have attained our goal of having 85 percent of non-archival records in appropriate space.

Additional renovation projects conducted to advance NARA in records storage facility compliance in FY 2012 included the Chicago heating, ventilation, and air conditioning (HVAC) project. The work was completed although GSA staff continue to work with the construction contractor to balance the new HVAC systems and complete their integration with a new building automation system. We are awaiting the results before issuing final certification.

In addition, the last remaining compliance task to be completed at the San Bruno facility is the implementation of a pipe protection and leak detection system. Lessons learned shared between Chicago, who previously had similar pipe work done, and San Bruno, provided the basis for more extensive design work. We expect design completion in early FY 2013.

Delays with the Customs House project moved completion to early FY 2013. Testing and commissioning of the HVAC system are expected in November. All of these projects are in occupied buildings which increases project complexity.

Performance Data	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**
High Priority Measure: Performance target for percent of NARA records center holdings stored in appropriate space (target 85% by 2012).	—	—	*100*	—	—	*85*
Percent of NARA records center holdings stored in appropriate space.	—	—	—	59	65	80
Volume of records center holdings (cubic feet in millions).	25.7	26.6	27.2	27.8	27.9	28.4
Storage price per cubic foot for records center holdings.	$2.28	$2.40	$2.40	$2.52	$2.52	$2.64

FY 2013 Performance Plan Evaluation   Our Federal Records Centers Program continues to implement infrastructure upgrades and compliant storage solutions as required for Federal temporary records.

2.7 PRESERVATION
FY 2012 Objectives

☑   Appropriately treat and remove 65,000 cubic feet of NARA's archival holdings needing preservation from the backlog.

☑   Conduct preservation reviews at six NARA locations.

☐   Deploy Holdings Management System (HMS) in five additional regional archives.

Results

✓   We treated and removed more than 69,000 cubic feet of NARA's archival holdings from the preservation backlog.

✓   We completed site visits and preservation reviews at Waltham, Pittsfield, Seattle and Anchorage regional locations and at the Kennedy, Johnson, and Carter Presidential Libraries.

✓   We deployed HMS to Anchorage, Seattle, Chicago, and San Bruno regional archives.

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

This year we treated and removed more than 69,000 cubic feet of records from our preservation backlog. Although we were able to meet our target this year, balancing the competing demand of limited resources available to enable the preservation of a high number of cubic footage and substantially lowering our preservation backlog remains a significant challenge.
We continue to focus on implementing efficiencies in work flows, provide storage for electronic records, identify the requirements for holdings maintenance and other preservation actions, and establish contracts for special media formats that we are unable to preserve in-house.
NARA initiated a program to review preservation aspects of holdings and programs nationwide on a five-year cycle. Preservation reviews serve to advance long-term preservation of NARA holdings. This year we completed reviews at three of our Presidential Libraries and at four of our

regional facilities.   We adhered to an aggressive schedule to follow up on action plan progress for preservation reviews conducted in FY 2010 and FY 2011 in addition to carrying out preservation reviews at seven locations throughout the country.

Preservation reviews are the primary mechanism used to identify broad preservation priorities for each NARA storage and access location for original records and holdings. The process is structured with pre-planning and discussions with selected sites and respective program offices, an on-site review of the facility and programs along with discussions with staff, and a written report that summarizes findings and identifies preservation priorities. This process also involves our space and security management offices who conduct facility inspections and reviews, space planning, and more formal building review. The preservation review culminates with an action plan and scheduled follow up on progress.

NARA' s Holdings Management System (HMS) provides the capability to record assessments and track the location and progress of treatment of NARA's non-electronic archival holdings. The initial implementation included space management, circulation of records to staff, preservation risk assessment, and work requests for preservation and other activities. We developed this system to address long-standing issues and inefficiencies that we experience with storage and management of hardcopy archival holdings. HMS provides a common, integrated solution that when fully deployed, will provide greater physical control over non-electronic archival holdings across all NARA facilities. HMS was deployed to four regional archives facilities (i.e. Anchorage, Seattle, Chicago, and San Bruno) this year. Deployment to the Denver regional archives was delayed until FY 2013 due to the recent move into the new Denver facility.

Performance Data	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**
Performance target for percent of archival holdings that require preservation action.	*Establish Baseline*	*≤65*	*≤65*	*≤65*	*≤65*	*≤65*
Percent of archival holdings that require preservation action.	65	65	65	64	62	61
Holdings requiring preservation action (in thousands of cubic feet).	2,163	2,425	2,571	2,578	2,636	2,734
Archival holdings that received preservation treatment this year (thousands of cubic feet).	56	125	116	110	79	102
Cumulative volume of archival holdings in cold storage needing preservation (thousands of cubic feet).	90	91	93	94	97	98
Performance target for NARA's archival holdings treated and removed from preservation backlog this year (thousands of cubic feet).	*–*	*–*	*–*	*85*	*90*	*65*
NARA's archival holdings treated and removed from preservation backlog this year (thousands of cubic feet).	–	91	46	56	96	70

FY 2013 Performance Plan Evaluation   We are changing the way we calculate the universe of archival holdings needing preservation, employing more current assessments of preservation needs for our locations outside Washington, DC, instead of extrapolation of samples. This will have the effect of reducing the overall percentage of archival holdings needing preservation to between 55 and 58 percent. We will conduct preservation reviews at Presidential Libraries and regional archive locations.

Strategic Goal 3: Electronic Records

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

Long-Range Performance Targets	3.1 By 2016, 95 percent of archival electronic holdings have been processed to the point where researchers can have efficient access to them.
	3.2 By 2012, 80 percent of archival electronic records are preserved at the planned level of service.
	3.3 By 2016, the per-megabyte cost of managing electronic records decreases each year.

3.1 PROCESSING ELECTRONIC RECORDS

FY 2012 Objectives	☑	Sustain 85 percent of archival electronic holdings processed to the point where researchers can have efficient access to them.
	☑	Achieve 75 percent migration of legacy holdings to ERA system for Federal records.
Results	✔	More than 87 percent of archival electronic holdings were processed to the point where researchers could access.
	✔	We migrated 75 percent of our eligible electronic holdings accessions to ERA system for Federal records.

Discussion   To ensure our success in fulfilling NARA's mission in the digital era, we must guarantee the continued availability of the permanent electronic records of all three branches of our Government. Failure to do so would result in the loss of essential evidence necessary to protect citizens' legal rights; the Government would suffer loss of accountability and credibility, and our ability to discover and learn from our documented national experience would be substantially decreased.

We understand that the public expects government information and services to be accessible through their channel of choice. To meet these expectations, our holdings must be preserved, available, and accessible by the public online. In FY 2012, 87 percent of our holdings were fully processed, described, and available for researcher access.

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

An FY 2012 accession of the 2010 Census records tripled our volume of electronic holdings. Although statutory requirements restrict the release of Census records for 72 years, we must

ensure that these records are available and accessible at that time—long after the software and hardware used to create these records becomes obsolete. Maintaining the authenticity and accessibility of these records throughout time is the challenge that ERA prepares us to tackle.

We must ensure that our legacy holdings are ingested into ERA. A systematic procedure involving numerous steps is in place to ensure we accurately and securely move these records from our legacy systems into ERA. This year we met our target to transfer 75 percent of unclassified legacy holdings to ERA. As we continue the migration of legacy holdings, we run dual operations, using both ERA and portions of our legacy systems, to manage electronic records.

Performance Data	2007	2008	2009	2010	2011	2012
Performance target for percent of archival electronic accessions processed to the point where researchers can have efficient access to them.	*95*	*80*	*80*	*80*	*83*	*85*
Percent of archival electronic accessions processed.	81	86	88	88	83	87
Number of accessions received.	2,153	2,328	2,476	2,674	2,938	3,143
Number of accessions processed.	1,738	2,004	2,188	2,349	2,429	2,743
Unprocessed accessioning backlog (in accessions).	415	324	288	325	509	400
Performance target for per-megabyte cost of managing electronic records each year.		*<$0.37*	*<$0.39*	*<$0.36*	*<$0.1*	*<$0.12*
Per-megabyte cost of managing electronic records each year.	$0.37	$0.39	$0.36	$0.15	$0.12	$0.03
Median time (in calendar days) from the transfer of archival electronic records to NARA until they are available for access.	467	2,127*	1,842*	2,209*	274	414

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

FY 2013 Performance Plan Evaluation   We will continue to migrate data from the legacy media to ERA Base while sustaining a high volume of electronic records available for researchers' access.

3.2 PRESERVING ELECTRONIC RECORDS

FY 2012 Objectives	☑	Establish a methodology for evaluating preservation risk.
	☑	Develop preservation and access plans for selected high priority (targeted) archival electronic records.
	☐	Transform 100 percent of standard EBCDIC records to ASCII records in accordance with our preservation and access plan.
Results	✓	We developed a methodology to assess the risks of format obsolescence of permanent electronic records.
	✓	We created preservation plan and access plan templates to establish a standardized approach for assessing preservation and access needs of

specific electronic formats.

✓ We examined the process for transforming
EBCDIC records to ASCII format using the tool.

Discussion NARA currently provides one level of service for its electronic records: we preserve the records in the format in which we receive them, ensuring that the data remains unchanged and uncorrupted over time. The ERA system enables NARA to preserve permanent holdings and mitigating the risks and threats to these records is essential. It requires that we assess the digital preservation needs of archival electronic formats in NARA's custody and establish criteria to prioritize the development of plans to address preservation and access requirements.

In FY 2012, we developed a methodology to evaluate the risks of format obsolescence for electronic records. Prior to developing a risk methodology, we examined best practices in place at similar institutions. We found that the Library of Congress' "sustainability factors" methodology included the most comprehensive inventory of risk factors. Leveraging our work with that of the Library of Congress, we decomposed their sustainability factors into a series of questions that we will use to determine the suitability of a format for transferring records to NARA, as well as to determine the risk of format obsolescence.

We developed nearly 20 technical white papers to help us gain a fundamental understanding, from a technical perspective, of the nature of the source formats in our electronic holdings. Our goal is to develop technical white papers for each format that exists in our holdings as well as for formats that may be transferred to NARA in the future. Using our preservation risk methodology, we will establish priorities for formats needing the most attention and base the development of white papers on these priorities. Technical information on source formats will help us make better decisions about how to manage each format over the long term, from a preservation perspective.

Leveraging the information we developed in the technical white papers, NARA will complete preservation plans for formats represented among its holdings of permanent electronic records. The preservation plan provides a place for NARA to record the results of its analysis, as well as its analysis of the extent to which NARA's systems can accurately identify, verify, and transform records in the source format, and extract the necessary metadata.

We will also develop access plans that address the needs of the research community likely to use a specific source format. This methodology will help us determine the level of risk of obsolescence of a specific format. In FY 2012, we developed preservation plan templates and access plan templates to standardize the methodology and information required for each plan type.

In the long term, the ERA system will allow NARA to preserve and maintain electronic records using the analysis of information in our preservation plans and access plans. The ERA system will enable NARA to preserve permanent holdings to maximize the number of records available to researchers. We will preserve and maintain permanent electronic records in any format and transform these records to the most appropriate format needed, or to a persistent format or state when possible. This work will be carried out based on the technical characteristics of the records, expected customer demands or interests, the needs of the records' originators, the laws and regulations requiring differing levels of control, and NARA's business strategies and priorities.

We must also synchronize the work to evaluate formats for risk of obsolescence with our approach to evaluating formats for the purpose of developing transfer guidance. Our plan is to first develop criteria and an approach for transfer guidance and use that approach as a starting point for defining risk of obsolescence. The risk of obsolescence methodology helps us to begin the work of determining which formats present the greatest risk of obsolescence.

Our work to transform EBCDIC records to ASCII proved more challenging than expected. We learned that the process for selecting the source records for conversion was logistically complex. Manual examination of each potential source file was required to determine candidates for transformation. This labor-intensive task would not necessarily result in records that were frequently referenced. To more effectively use our resources, we recommended a more tangible approach to provide transformations upon reference demand.

FY 2013 Performance Plan Evaluation   We will assess the digital preservation needs of the archival electronic formats in NARA's custody and establish criteria to prioritize the development of preservation plans. We will continue investigating whether and how the ERA Transformation Tool can be used to address and mitigate the risk of format obsolescence in the context of fulfilling reference orders.

3.3 COST OF ELECTRONIC RECORDS MANAGEMENT

FY 2012 Objectives	☑	Mandate ERA use by Federal agencies in scheduling and transferring permanent records in all media to NARA.
	☑	Carry out corrective and adaptive maintenance tasks.
Results	✔	More than 260 Federal agencies have received instruction on how to get started using ERA.
	✔	We established a methodology for setting priorities for corrective and adaptive tasks through NARA's IT governance process.

Discussion   Beginning in FY 2013, Federal agencies must use ERA for scheduling records and transferring permanent records to NARA. In FY 2011, NARA implemented an aggressive communication campaign to push Federal agency adoption and use of ERA. NARA issued a bulletin to inform agencies that in FY 2013, NARA would use ERA to process schedules and transfer permanent records to NARA. Only a few narrowly defined exceptions were included that would exclude agencies from using ERA (e.g. ERA cannot handle classified records, an agency's firewall prohibits connection with ERA, etc.). By the end of FY 2012, we briefed, trained, and surveyed our Federal agency customers to prepare them for mandatory use of ERA in FY 2013 and beyond.

We approached the rollout of ERA to agencies in two phases. Phase 1 focused the deployment to CIO council departments and agencies. The second phase rollout of ERA to all other agencies began in July 2011 and included briefings and training provided to 5 through 25 agencies every month through September 2012. Feedback was welcomed and agencies' were invited to participate in an online survey in late March 2012. At a minimum, we provided agencies with instruction on how to get started using ERA, how to obtain user accounts and how to access

appropriate training. More than 56 percent of the agencies also took our online training and nearly 29 percent have already completed work—either drafting records schedules or creating transfer requests—in the system. We continue to offer hands-on "boot camps" in our regional and Washington, DC locations to our active users.

ERA user adoption presented several challenges. We developed procedures to ensure that agencies have all necessary information to begin using ERA; that archival and technical support is available; that the system operates effectively and does not impede the user adoption process; and that we have the capability to inform agencies of records that they need to schedule. ERA survey results from April indicated that 56 percent of survey respondents were satisfied with ERA overall, 20 percent were neutral about their experience, and 24 percent were unsatisfied. We will continue to capture and monitor feedback to improve the experience for the customer.

NARA awarded an ERA operations and maintenance contract to IBM. Certain ERA functionality must be enhanced, adapted, or corrected to meet customer needs. We established a methodology for setting priorities for these corrective and adaptive tasks for consideration and validation through NARA's IT governance process. Some of the feedback from our external customers addresses the need for performance improvement. To address this concern we augmented our customer acceptance lab and activities are underway to improve search performance.

Performance Data	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**
Performance target for megabyte cost to manage archival electronic records.	–	–	*Establish baseline*	<$0.36	<$0.15	<$0.12
Per megabyte cost to manage archival electronic records.	$0.37	$0.39	$0.36	$0.15	$0.12	$0.03
*Number of terabytes of archival electronic records managed by NARA (includes pre-accessioned electronic records).	17.8	18.2	19.2	110.4	156.1	515.2

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

FY 2013 Performance Plan Evaluation   We will continue to offer hands-on ERA training through the second quarter for agencies' active users. We will focus on operational efficiency and will look at ways to support the federal cloud computing initiatives.

Strategic Goal 4: Access

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

Long-Range Performance Targets

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

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

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

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

4.1 NARA CUSTOMER SERVICE STANDARDS

FY 2012 Objectives

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

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

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

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

☐ Successfully maintain average OGIS case closing time of 34 working days.

☐ Establish formal mediation program to resolve FOIA disputes.

Results

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

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

"Knowledge of the collections is a priceless asset…"

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

✓ We answered 85 percent of Freedom of Information Act (FOIA) requests for Federal records within 20 working days.

"On behalf of my shipmates and myself, I want to thank you for the work you did in getting me copies of the deck logs."

✓ We completed 95 percent of our online archival fixed-fee reproduction orders in 20 working days or less.

✓ We completed an evaluation of our OGIS case intake process, resulting in the implementation of more streamlined case intake procedures.

✓ We completed our preliminary mediation program design along with operating procedures in preparation for implementation.

Discussion We successfully met or exceeded most of our customer service targets in FY 2012. In our research rooms, our customers received requested research materials within one hour 98 percent of the time. We increased the number of items that we furnished in our research room by one percent over last year. We responded to customers' written requests within 10 working days 97 percent of the time. Although our staff accommodates increasingly diverse forms of inquiry, including social networking media requests, we continue to maintain our historic record of consistently meeting and exceeding our written requests timeliness targets. Ninety-five percent of the time we responded to online archival reproduction orders within 20 working days and we answered 85 percent of FOIA requests for Federal records within 20 working days.

Many staff were challenged with meeting the targets and balancing the work required for multiple tasks and new initiatives. Some of these tasks included the implementation of our Holdings Management System (HMS) at several of our facilities, the migration to our Electronic Records Archives, and digital processing initiatives. Although we were able to meet our targets, these efforts tested the ability of staff to maintain our high standards of service.

The Office of Government Information Services (OGIS), established in September 2009, reviews policies and procedures of administrative agencies under FOIA, reviews agency compliance with FOIA, and recommends policy changes to the Congress and the President to improve the administration of FOIA. OGIS's mission also includes providing services to mediate disputes between FOIA requesters and Federal agencies, developing an innovative approach to reduce litigation, and improving the FOIA process for the public and the Government. Since establishment of the OGIS, 1,038 cases out of 1,097 were closed. OGIS cases include requests for dispute resolution for specific FOIA requests as well as more general inquiries.

In FY 2012, OGIS implemented more streamlined procedures to improve its case intake process, complementing its new case management database, the OGIS Access System (OAS). Through this and other efforts, OGIS aims to provide exemplary customer service to stakeholders. We also produced a preliminary report detailing a mediation program design along with operating procedures. When fully implemented, this program will enable OGIS to provide formal mediation for appropriate cases, helping to meet Congress' expectations with respect to its statutory mission.

Performance Data	2007	2008	2009	2010	2011	2012
Performance target for written requests answered within 10 working days.	*90*	*91*	*92*	*93*	*94*	*94*
Percent of written requests answered within 10 working days.	95	94	95	93	95	97
Performance target for Freedom of Information Act requests for	*85*	*86*	*87*	*87*	*88*	*89*

Performance Data	2007	2008	2009	2010	2011	2012
Federal records completed within 20 working days.						
Percent of Freedom of Information Act requests for Federal records completed within 20 working days.	88	89	86	89	89	85
Number of FOIAs processed (Federal and Presidential).	12,406	13,485	17,512	15,771	17,182	13,745
Annual cost to process FOIAs (in millions).	$2.72	$2.34	$2.76	$2.97	$3.16	$3.08
Annual per FOIA cost.	$219	$173	$157	$189	$184	$224
Performance target for items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	*95*	*90*	*93*	*94*	*94*	*95*
Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.	86	93	93	96	97	98
Number of researcher visits to our research rooms (in thousands).	136	140	129	137	129	123
Number of items furnished in our research rooms (in thousands).	520	577	553	564	578	549
Number of items furnished on time in our research rooms (in thousands).	449	538	515	539	560	536
Performance target for archival fixed-fee reproduction orders through SOFA are completed in 20 (35 pre-2007) working days or less.	*85*	*85*	*90*	*90*	*91*	*92*
Percent of archival fixed-fee reproduction orders through SOFA are completed in 20 working days or less.	72	68	90	96	96	95
Average per order cost to operate fixed-fee ordering.	$26.67	$30.59	$38.06	$40.49	$39.59	$39.82
Average order completion time (days).	17	22	18	13	13	7

FY 2013 Performance Plan Evaluation   We expect to meet or exceed our published standards for customer service. In FY 2013, the Office of Government Information Services (OGIS) will gather additional data points that will assist us in better understanding our case load, ultimately establishing accurate estimates of average case closing time. In addition, OGIS will continue the planning and implementation of a formal mediation program that will ensure that we are capable of responding to requests for formal mediation.

4.2 ONLINE ACCESS TO ARCHIVAL HOLDINGS

FY 2012 Objectives	☑	Meet 100 percent of the 2012 target for archival holdings accessible online.
	☐	Develop a digitization strategy for access and preservation.
	☑	Open 1940 Census records to the public.
Results	✓	We reached 119 percent of the 2012 target for making archival holdings accessible online.
	✓	We developed a draft digitization strategy.
"I think this whole project and your progress on it is just AMAZING. So easy to access!"	✓	NARA successfully released 3.8 million images of the 1940 Census online to the public on April 2, 2012.

Discussion   We released our updated Open Government Plan for 2012 – 2014 which lays out an ambitious path to strengthen the efforts we have already put in place to further the principles of open government – transparency, participation and collaboration. These open government principles, while inherent to NARA's mission, drive us to examine how we accomplish our mission given the opportunities and challenges that lay before us both today and in the future.

We actively engage in four major strategies to increase the amount of archival material that we provide online. These strategies include partnerships to digitize selected traditional archival material, collecting existing digital copies of traditional archival material, exploring innovative NARA-led projects for digitizing archival material, and making electronic records which are "born digital" available online, as appropriate. A recent organizational change was made to create an *Office of Innovation* at NARA. This office will focus on accelerating NARA's innovation activities and culture, as well as support innovation in public access delivery.   We will develop and launch collaborative projects, public challenges, and partnerships with the archival community, industry, and academic institutions to support innovation activities.

NARA successfully released the 1940 Census records online to the public on April 2, 2012. These records, highly sought after by both genealogists and other researchers, included 3.8 million digital images of the 1940 Census schedules, enumeration district descriptions, and maps. With previous decennial Censuses releases on microfilm, the 1940 Census was provided in a more modern and efficient format for public access.

In anticipation of a high demand for access to the Census records, we contracted work to develop a site to host the 1940 Census in the "cloud." Prior to launching the Census, we ran a "40 days 'til the 1940 Census" campaign to inform the public about the release. We communicated using social media outlets such as YouTube. Within the first 7 hours of the release, the 1940 Census website received over 37 million hits. As a result of this demand, visitors experienced problems with searching and displaying images on the site. The initial problems were quickly resolved by the second day when we opened additional servers and added additional cache to help with the display of images. By the end of the second week, the site served more than 126 million images and 2.85 million searches.

The Census database includes an index searchable at the enumeration district level. To make the search for information easier, NARA joined a consortium of groups to create a name-based index. With this effort led by FamilySearch, as many as 300,000 volunteers may assist to enter names into a central database.

NARA engages in internal digitization projects and projects with partners to increase the number of archival holdings accessible online. For several years we have worked to reach a 2012 target of achieving 1 percent of archival holdings accessible online. We exceeded that goal this year, but the one percent target alone reflects how vast the number of archival holdings that require digitization.

Initiatives to increase public participation such as our Citizen Archivist Dashboard, where the public can engage in efforts to tag, transcribe, and scan Federal records to help make the Federal Government's archival records more accessible online, is one of the ways we are facilitating innovative ways to expedite access to NARA holdings. In the last two years, we have dramatically increased our participation with Wikipedia, a source where 42 percent of Americans turn to for information. The Citizen Archivist Dashboard also encourages individuals to share their knowledge about topics related to the records on the National Archives on *Our Archives Wiki* and on *Wikipedia*. As a result of Wikipedians, more than 90,000 digital copies for our catalog

are available in the Wikimedia Commons. This relationship is changing the way we think about our own archival work.   Our visibility on social media outlets such as YouTube, Facebook, Flickr, Twitter, Tumblr, FourSquare and numerous blogs, recognizes the importance of proactively going where the public is instead of waiting for the public to find us. We will continue with these best practices as well as monitor the environment to identify new ways to improve open government.

Performance Data	2007	2008	2009	2010	2011	2012
Performance target for percent of archival holdings accessible online.	–	–	–	*.30*	*.65*	*1*
Percent of traditional archival holdings available online.	–	.04	.04	.6	.8	1.2
Performance target for percent increase in online catalog visits.	–	*10*	*10*	*–*	*–*	*–*
Percent increase in online catalog visits.	15	131	-6	-4	9	2
Number of online catalog visits (in thousands of visits).	291	671	631	603	657	673

FY 2013 Performance Plan Evaluation   We will continue to increase the number of archival holdings accessible online by streamlining processes and engaging the public in social media projects that facilitate access.

 4.3 ONLINE CATALOG

FY 2012 Objectives	☑	Describe 80 percent of NARA traditional holdings in the online catalog.
	☑	Describe 80 percent of NARA artifact holdings in the online catalog.
	☑	Describe 80 percent of NARA electronic holdings in the online catalog.
Results	✓	We described 81 percent of NARA traditional holdings in the online catalog this.
	✓	We nearly 88 percent of NARA artifact holdings in the online catalog.
	✓	We described 87 percent of NARA electronic holdings in the online catalog.

Discussion   NARA's online catalog provides access to descriptions of holdings, artifacts, and electronic records held by the National Archives. This comprehensive, self-service tool ensures anyone with an internet connection access to descriptions of more than 3.4 million cubic feet of traditional holdings (e.g. historical documents, videos, photographs), 527,000 artifacts, and 9.9 billion born-digital records that are currently described in the online catalog.

In addition to quality review processes to ensure high quality descriptions, we offer numerous description training opportunities to staff.   With more than 6.25 million descriptions in the online catalog, we are developing the next generation description and authority service (DAS) that will allow us to add millions of descriptions and digital objects from our partnership projects. Development of the final iteration of DAS is scheduled for completion in early FY 2013 and we

plan to deploy the tool in March 2013. The DAS will streamline the description review process and impose automated business rules up front rather than as part of the manual review process.

A Description Challenge Working Group was established to examine all aspects of the description process and identify ways to accelerate the archival description process. Strategies to avoid future backlogs and ways to develop a high quality description program were also examined. The study resulted in a streamlined process involving a four-tiered approach to performing description. Levels of description including preliminary description, minimal description, enhanced description, and in-depth research guides are used as guidelines to increase our rate of describing records. We created a roadmap for creating a high quality description program where we will pilot the preliminary description process and establish a description coordination group to evaluate proposals for enhanced description and in-depth research guide projects. We will monitor the impact of this four-tiered approach and its impact on our performance to describe archival records.

Performance Data	2007	2008	2009	2010	2011	2012
Performance target for traditional holdings in an online catalog.	*55*	*60*	*65*	*70*	*75*	*80*
Percent of traditional holdings in an online catalog.*	57	71	73	72	74	81
Number of traditional holdings described in an online catalog (millions of cubic feet).	1.9	2.4	2.7	2.8	3.0	3.4
Number of traditional holdings in NARA (millions of cubic feet). **	3.3	3.7	3.9	4.0	4.2	4.5
Performance target for artifact holdings in an online catalog.	*55*	*60*	*65*	*70*	*75*	*80*
Percent of artifact holdings in an online catalog.*	57	65	80	74	78	88
Number of artifact holdings described in an online catalog (thousands of items).	309	353	465	466	466	528
Number of artifact holdings in NARA (thousands of items).	544	582	628	600	600	600
Performance target for electronic holdings in an online catalog.	*55*	*60*	*65*	*70*	*75*	*80*
Percent of electronic holdings in an online catalog.	99	98	95	96	96	87
Number of electronic holdings described in an online catalog (billions of logical data records).	4.7	5.4	6.4	6.7	6.9	10.0
Number of electronic holdings in NARA (billions of logical data records).	4.7	5.5	6.7	6.9	7.2	11.4
Number of online catalog users (in thousands of visits).	291	671	631	603	657	673

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

FY 2013 Performance Plan Evaluation   We will continue to expand our online holdings and implement the four-tiered description approach to further drive progress on describing our holdings.

4.4 WEB SITES

FY 2012 Objectives	☐ Improve NARA's score against the benchmark for excellence by 3 percentage points.
	☐ Develop a project and plan to host *Archives.gov* in the cloud.
Results *"The best thing for me was the very friendly interface."*	✔ We completed an upgrade to WebTrends analytics software user to measure online traffic and user behavior.
	✔ We prepared a proposal and plan to move NARA's public web site to a cloud computing service model.

Discussion   NARA's public website, *Archives.gov*, is often the virtual door and initial experience for customers using the internet to access the National Archives. Online visits have increased from 17.3 million in FY 2011 to 25.9 million in FY 2012—a 49.3 percent increase.   Customer feedback and satisfaction with *Archives.gov* is critical to our understanding of the customers' experience when seeking access to our services and information.   We compare *Archives.gov* to other government portal sites across the Federal Government as a benchmark for excellence. NARA uses the American Customer Satisfaction Index (ACSI) to determine how satisfied our online customers are with our web sites. The ASCI helps us to measure satisfaction by customer groups (e.g. genealogists, veterans, educators, students, etc.); by types of content accessed and preferred, and it was more recently updated to include questions on social media usage and preferences. This level of customer feedback helps us to develop strategies to create, modify, enhance, or remove online web content to improve customer satisfaction levels.

We experienced a slight decline in our score when we compare ourselves to the rest of the Federal Government. Comments observed in some of the survey responses suggest that problems with the performance of the 1940 Census web site during the initial release, problems with eVetRecs functionality, and questions about the Electoral College may correlate to lower satisfaction scores. Problems with displaying images on the Census site were quickly resolved by the second day. Comments about the Electoral College related to an understanding of the process and purpose of the Electoral College. In response, we updated the Electoral College pages and provided an interactive Electoral College map feature by the end of October. Although no action was taken to directly upgrade the eVetRecs website in FY 2012, the website was made more stable with additional redundant capabilities as part of another upgrade effort. Additionally, the hardware supporting the eVetRecs website now processes user requests much more quickly. We will analyze the eVetRecs website in FY 2013 for additional improvement considerations,

In addition to these changes, we incorporated "plain language" improvements throughout Archives.gov and enhanced several content areas to improve the display of information and also learn more about our customers and their tasks. The completion of an upgrade to WebTrends analytics software will assist in measurement of online traffic and user behavior.

We used data from the UK National Archives 1911 Census web site that launched in 2009 to estimate the potential demand for the 1940 census site. We realized that we needed to improve *Archives.gov* before the 1940 Census release. Faced with the challenge of high demand for census

data, we worked to meet the deadline and successfully launched *Archives.gov* on a Federal cloud before the April 2, 2012, 1940 Census release date. To address a two-day outage of the website in late April, we altered the configuration to keep the site up and running if the main host site were to fail. Moving *Archives.gov* to the cloud was transparent to our external customers and does not appear to impact their perception of the site. We will continue to test our failover process to ensure operational continuity of *Archives.gov.*

Performance Data	2007	2008	2009	2010	2011	2012
Online visits to NARA's web sites (in thousands).	34,871	37,807	37,470	39,036	33,600	44,128
Performance target NARA web site scores as percent of benchmarked score for other Federal web sites.	–	*Establish baseline*	*67*	*72*	*75*	*75*
Percentage point improvement in web sites scores.		—	3	5	-2	-1
Web sites score at or above the benchmark for excellence as defined for Federal Government web sites.*	67	66	69	74	72	71

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

FY 2013 Performance Plan Evaluation   To improve website content, highly requested features such as "Ask an Archivist" will be implemented. We will monitor and respond to data observed using our WebTrends Analytics software to identify further improvements. While the *Archives.gov* web site has received multiple awards and recognition for the new design, feedback typically is specific to applications running on the site. We will discontinue this measure as a comparison against the Federal Government average score, but will continue to survey and monitor feedback as it pertains to the website and applications accessed via the web site.

Strategic Goal 5: Civic Literacy

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

Long-Range Performance Targets	5.1. By 2016, 90 percent of NARA's visitors are satisfied with their visit experience.
	5.2 By 2016, a minimum of 85 percent of NHPRC-assisted projects produce the results required, employing rigorous standards and milestones approved by the Commission.

5.1 CUSTOMER SATISFACTION WITH OUR PROGRAMS

FY 2012 Objectives	☑	87 percent of NARA education program visitors are satisfied with their visit.
	☐	87 percent of NARA exhibit visitors are satisfied with their visit.
	☑	87 percent of NARA public program visitors are highly satisfied with their visit.
	☐	Implement prioritized recommendations from FY 2010 AASLH study results.
	☐	Implement prioritized recommendations from 2011 longitudinal study of the Public Vaults.
Results *"DocsTeach is "History Deliciousness!"*	✔	100 percent of 377 surveys completed voluntarily by education program participants indicated that they were satisfied with their visit.
	✔	We completed an observational study to identify the elements in the Public Vaults that are likely to impact visitor satisfaction.
"Thank you for your wonderful program. Proof of the wonderful things that our government does."	✔	We met the expectations of 100 percent of visitors rating our public programs.
	✔	We designed a new interactive way-finding system to help visitors navigate our exhibits.
	✔	We established a gallery management team to ensure that all aspects of the Public Vaults worked properly for our visitors.

Discussion: Our monthly workshop, *The Federal Register: What It Is and How To Use It,"* is a means of educating the public and Federal agency regulation-writers about the Federal regulatory process embodied in the Federal Register Act and the Administrative Procedure Act, with an aim

towards increasing participation in the notice-and-comment process, and improving regulation-writing.

The Presidential Libraries play a vital role in promoting an understanding not only of the Presidency, but also American history and democracy. Our Presidential Libraries host robust museum, outreach, and education programs. As the keeper of the records of the Government, we have literally safeguarded the documentary record of American history. From the Charters of Freedom, to the census records that enumerate our country's population, to the records of Congress, and Presidential Administrations that document political developments, our holdings are vast and uniquely diverse. Our museums offer thought-provoking and entertaining permanent exhibits that combine documents and artifacts, photographs and film to immerse visitors in the sights and sounds of the past. While each Library has its own unique initiatives, they also collaborate on system-wide efforts to educate the public. The Libraries create programs for the public and student classrooms centered on such topics as Presidential decision making. Throughout our Libraries we conduct special workshops and teacher outreach programs, and programs for adults and families.

The Presidential Libraries support open government through a variety of social media tools that encourage two-way conversations with our audiences. Web 2.0 tools in use include social networking sites, blogging, microblogging, media sharing, and a mobile application that all serve to extend online and mobile access to the Presidential Libraries. Simultaneously, these communication channels provide more opportunities for the public to learn about Presidential Library holdings, public programs, and educational content. In FY 2012, in response to feedback from educators, we worked with the Foundation of the National Archives and Second Story Interactive to create the DocsTeach app for iPad devices. The DocsTeach website was chosen as one of the American Association of School Librarians (AASL) *Best Website for Teaching and Learning in 2012*.

We closely analyzed the results of the FY 2010 AASLH survey and determined that our visitors had concerns regarding navigating some of our exhibits and touring our building. In FY 2012, we increased the number of signs throughout our building, offering directions and instructions to our visitors. We also designed a new interactive system that will be implemented during the National Archives Experience Phase II renovations, to improve our visitor's exhibit experience.

Our customers continue to express interest in having more electronic access to our exhibits and to information about visiting the Public Vaults and the National Archives Experience. In response to our customers' needs, in FY 2012 we gained support from AT&T to create an app for our new exhibit: *To the Brink - JFK and the Cuban Missile Crises*. This accomplishment may pave the way for the creation of new electronic outreach opportunities through collaborations and partnerships in the future.

Performance Data	2007	2008	2009	2010	2011	2012
Number of physical visitors to NARA museums, exhibits, research rooms and programs (in millions).	3.2	3.2	3.6	3.6	4.0	3.8
Percentage of NARA education program visitors satisfied with their visit.	–	–	–	*85*	*86*	*87*
NARA education program visitors satisfied with their visit.*	–	–	–	–	–	–
Percentage of NARA exhibit visitors satisfied with their visit.	–	–	–	*85*	*86*	*87*
NARA exhibit visitors satisfied with their visit.	–	–	–	–	–	–

Performance Data	2007	2008	2009	2010	2011	2012
Percentage of NARA public program visitors satisfied with their visit.	—	—	—	*85*	*86*	*87*
NARA public program visitors satisfied with their visit.	98	100	99	99	99	100

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

FY 2013 Performance Plan Evaluation   We will continue to evaluate the results and proposed solutions from our observational study of exhibit visitors, to identify changes to pursue in FY 2013 that will improve our exhibits and impact customer satisfaction. We will complete the planning and administering of another AASLH survey in FY 2013.

5.2 NHPRC-ASSISTED PROJECTS

FY 2012 Objectives	☑ 85 percent of all NHPRC-assisted grants produce the results expected.
Results	✓ Nearly 89 percent of all NHPRC-assisted grants successfully reached their goal and produced the results expected.

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

In FY 2012, the NHPRC closed 116 grant projects with an 89 percent success rate. The NHPRC employs a rigorous competitive review process to determine which projects receive funds. Grant recipients come from a host of communities including colleges and universities, state, local, and tribal government archives, and nonprofit organizations. Grant projects typically range in duration from one to three years; therefore, grants awarded in any given year will not yield results until the following year at the earliest.

The NHPRC is challenged with managing grantee performance of typically more than 200 ongoing projects at any given time. To meet the challenge of managing performance of projects at various stages in the grant process, appropriate measures of success were developed with each new grant project to monitor interim progress toward their respective goals. The NHPRC continues to improve communication—specifically to applicants and grantees—about NHPRC programs, specific performance objectives, and general expectations of all Federal grantees to continuously improve our success rate. In FY 2012, the NHPRC authored *Introduction to Financial Management for Grant Recipients* and presented a companion webinar training to provide guidance and facilitate oversight of overall grant management requirements to ensure grantees understand the relationship between achieving project objectives and careful financial management.

In FY 2012, a total of 47,337 cubic feet of archival collections were preserved by NHPRC funded projects.   The NHPRC also supported the publication of fifteen volumes of documentary editions. In addition, NHPRC funding helped preserve 25,000 electronic records and create 858,274 digital facsimiles of historical records.

The NHPRC continues to develop the web resource, *Founders Online*, a multi-year undertaking to place online over 170,000 historical documents from the nation's Founding Era. Upon release, the public will be able to access, without charge, the full, annotated transcriptions of the papers of John Adams, Benjamin Franklin, Alexander Hamilton, Thomas Jefferson, James Madison, and George Washington.

The University of Virginia Press (UVA Press), our principal partner, in collaboration with the Ivy Group continues to test and develop *Founders Online*.   In preparation for the June 2012 public launch of a preliminary version of the web resource, the software consultants determined that the site user load capacity was insufficient. The public launch was postponed. A new date will be determined after final load capacity testing is complete and system corrections are implemented.

Performance Data	2007	2008	2009	2010	2011	2012
Performance target for percent of all NHPRC-assisted grants produce the results expected.	–	–	–	*82*	*85*	*85*
Percent of all NHPRC-assisted grants produce the results expected.	86	81	82	92	84	89

FY 2013 Performance Plan Evaluation We continue to develop the web resource, *Founders Online,* and expect to launch the public version (www.founders.archives.gov) in FY 2013. Through this web resource, users will be able to read, browse, and search tens of thousands of documents from the Founding Era.

Strategic Goal 6: Infrastructure

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

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

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

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

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

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

6.1 DEVELOPING EMPLOYEES

FY 2012 Objectives	☐	Establish competency models for 85 percent of NARA's positions.
Results	✓	We established competency models for numerous jobs throughout the agency including those in the Management and Program Analyst series, and various archival series.

Discussion: To ensure that NARA has the right skills it needs to meet organizational goals both now and in the future we are systematically examining NARA's occupations throughout the agency to identify the competencies required at all levels and using this as the groundwork to improve human capital functions. Competency models describe the set of skills, knowledge, and abilities necessary for successful performance in a given job. Well crafted competency models for jobs reduces legal exposure in hiring practices as well as improves the efficiency, consistency, and continuity across human resource functions. As competency requirements are identified, we use them as the basis for recruitment, selection, performance management, training, succession planning, and staff development.

In FY 2012, we successfully established competency models for various occupations within NARA. In addition to the competency models, we created competency based assessments such as interview guides and occupational questionnaires. We found that these tools facilitated faster turnaround of postings and helped to decrease the time-to-hire. We deployed OPM's Federal Competency Assessment Tool (FCAT-M) for managers and supervisors and for human resource specialists (FCAT-HR) to assist in assessing skills and identifying potential areas for future training and development. Competency modeling helps us to analyze current and future workforce competencies needed to achieve NARA's mission and strategic goals and help us identify, project, and close competency gaps for various NARA occupations.

Performance Data	2007	2008	2009	2010	2011	2012
Performance target for percent of NARA's positions that have a competency model.	–	–	–	–	–	*85*
Percent of NARA's positions with competency models.	–	–	–	–	–	63

FY 2013 Performance Plan Evaluation   NARA will continue to develop competency modeling and will develop and administer training to close gaps. We will rollout an electronic individual development plan (eIDP) and mentor program to strategically address competency gap occurrences.

6.2 WORKFORCE DIVERSITY

FY 2012 Objectives   ☐   Increase the percentage of employees in underrepresented groups relative to their representation in the CLF.

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

Results   ✓   The percent of employees in 2 out of 7 underrepresented groups matched or exceeded their rate in the Civilian Labor Force.

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

Discussion: NARA strives to achieve a workforce that reflects the demographics of our nation's diverse workforce. This objective relates directly to a major goal in our Strategic Human Capital Plan, "Sustain a productive, diverse workforce and achieve results by valuing and recognizing performance in an environment in which all employees are encouraged to contribute." By promoting and valuing workforce diversity, we create a work environment where employees with a variety of experiences can contribute varied perspectives and viewpoints that can improve the planning and actions we take to achieve our mission and goals.   In our underrepresented groups (i.e. Women, Black/African American, Latino/Hispanic, Asian, Native Hawaiian /Pacific Islander, American Indian/Alaskan Native, and persons with disabilities), we achieved an increase in one group ─ women; but all other groups remained stable or experienced slight decreases.

NARA's Diversity and Inclusion Strategic Plan and our annual Federal Equal Opportunity Recruitment Program (FEORP) Plan lay out the strategies that we pursue to enhance underrepresented groups at NARA. Some of our strategies include focusing on expanding partnerships with minority-serving universities, education associations, and professional organizations; attending and networking at minority conferences and job fairs; and using developmental assignments that provide on-the-job training. We welcomed 23 interns through our Summer Diversity Internship Program, a partnership that we have maintained since 2007 with the Hispanic Association of Colleges and Universities (HACU) and The Washington Center (TWC). Since the partnership's inception, more than 118 students have participated in the program.   A new event that we hosted this year, "A Conversation with Top Hispanic Executives

in the Federal Government", exposed interns to Federal Executives who shared their experiences about what led them to their careers in the Federal Government.

NARA participates in the annual, government-wide Employee Viewpoint Survey administered by OPM as part of their ongoing effort to assess and improve human capital management in the Federal Government. The survey is designed to measure Federal employees' perceptions about how effectively agencies are managing their workforces. We analyze the responses to four specific questions that reference workforce diversity to determine employee perception. Analysis shows that NARA employees continually express dissatisfaction in the area of promoting diversity in the workplace. In FY 2012, our satisfaction rate was slightly more than 56 percent.

The Archivist is committed to develop and maintain a diverse and inclusive workplace. Our Diversity and Inclusion Strategic Plan documents strategies to cultivate a culture that encourages collaboration, flexibility and fairness. We are dedicated to developing structures and strategies to equip leaders with the ability to manage diversity and address diversity and inclusion challenges and opportunities. Although it may take several years to implement and recognize measurable changes within the agency, we have built upon the steps taken last year such as the addition of new critical elements added to the responsibilities of managers and supervisors to fully engage them in NARA's diversity efforts. We continue to meet with NARA's management team to establish a relationship for support of future efforts. Our *Internal Collaboration Network* (ICN) and *Declarations blog* are used to engage employees in diversity and inclusion efforts. In our Fort Worth records center, we are conducting a major pilot program to facilitate discussions on workplace issues and develop a sustainable action plan to address specific challenges. Changing employee perception of diversity at NARA will take time; however, we are committed to creating a better workplace culture at NARA.

Performance Data	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**
Number of applicants.	4,690	5,559	6,362	6,803	10,015	7,592
Number of applicants in underrepresented groups.	1,744	2,515	2,811	852	122	194
Percent of applicants in underrepresented groups.	37	45	44	13	1	3
Number of qualified applicants.	2,857	3,099	3,735	4,027	7,638	1,622
Percent of qualified applicants in underrepresented groups.	42	52	48	15	1	12
Number of best qualified applicants.	1,001	1,533	1,643	1,488	1,501	18
Percent of best qualified applicants in underrepresented groups.	51	52	48	21	4	50
Number of applicants hired.	236	334	309	199	127	18
Percent of applicants hired in underrepresented groups.	50	49	57	37	24	50
Percent of Civilian Labor Force rate used to determine if underrepresented groups met employment target.	*90*	*100*	*100*	*100*	*100*	*100*

Underrepresented groups of employees meeting target (checkmark indicates target met or exceeded)						
—Women						✔
—Black	✔	✔	✔	✔	✔	✔
—Latino-Hispanic						
—Asian American						
—Hawaiian/Pacific Islander					✔	
—American Indian/Alaskan Native	✔	✔	✔	✔	✔	
—Targeted disability						

*Note: FY 2012 data is calculated based on the Civilian Labor Force (CLF) targets whereas data prior to FY 2012 was based on Relative CLF targets. The calculation was changed to be aligned with the actual civilian labor force and not a subset.

FY 2013 Performance Plan Evaluation   Improving performance in hiring and promoting people in underrepresented groups is an ongoing effort to achieve a workforce reflective of the society in which we live. We will place more emphasis on working closely with all levels of NARA employees regarding awareness of diversity and inclusion efforts.

6.3 RECRUITING EMPLOYEES

FY 2012 Objectives	☑	25 percent of NARA's positions are filled within 80 days.
	☑	Migrate to the Federal Personnel and Payroll System (FPPS).
Results	✔	We successfully filled more than 27 percent of positions within 80 days.
	✔	We implemented the Federal Personnel and Payroll System (FPPS), an integrated personnel, payroll and timekeeping system.

Discussion: NARA's Strategic Human Capital Plan lays out how we will manage our workforce both now and in the future to achieve NARA's strategic goals and objectives. Understanding both long and short term organizational requirements assists in identifying the workforce requirements needed to perform the work. NARA's ability to attract the best talent in a competitive market is enhanced by an effective hiring process. Proper workforce planning will decrease delays experienced when agency program offices need to commence, resume, or properly staff work vital to the agency's mission. An effective hiring process, one that supports both the manager and the job seeker, mitigates the risk of lost opportunity, which happens when potential candidates accept positions elsewhere because of the lengthy hiring time. NARA is committed to meeting the goal set by the Office of Personnel Management to fill vacancies within 80 days. This 80-day process begins when the hiring manager receives approval to fill a vacancy and ends on the employee's entrance on duty date.

NARA has instituted an automated staffing system to screen the hundreds of job applications received for each NARA posting. Implementation of the Federal Personnel and Payroll System (FPPS) eliminated our reliance on paper-based processing for routing personnel action requests, while enabling NARA offices to initiate and route approved electronic personnel actions online. We implemented metric driven performance standards at given stages throughout the 80-day hiring model process to improve performance. Individual specialists were assigned specific organizations to work with on recruit actions to improve communication and responsiveness to customer needs. Monitoring status of recruit actions in the recruitment process was also key to improvements in our process. Overall, these efforts to improve our hiring process proved successful and we exceeded our goal of 25 percent of NARA's positions being filled within 80 days.

In April 2012, NARA migrated our personnel, payroll and timekeeping system from the General Services Administration's Comprehensive Human Resources Information System (CHRIS) to a new Shared Service Center (SSC) hosted by the Department of the Interior (DOI) National Business Center (NBC). This new *Federal Personnel and Payroll System* (FPPS) and *Quicktime*, an integrated payroll and timekeeping system, provides us with an automated process that enables NARA offices to initiate, route, and approve electronic personnel actions online. Prior to deployment, NARA conducted an employee forum to inform staff of changes to expect with the new system. Both instructor-led and online training opportunities were held for timekeepers and staff. Post implementation upgrades to our telecommunications line improved performance and prepared us for future telecommunications needs when the agency moves to employee self-service timekeeping. Subject matter experts identified at each of our regional and Presidential Library facilities were identified to serve as resident experts for FPPS and Quicktime at each of the sites.

Performance Data	2007	2008	2009	2010	2011	2012
Number of applicants.	4,690	5,559	6,362	6,803	10,015	7,592
Number of applicants hired.	236	334	309	199	127	18
Average number of days to fill position.	—	—	—	152.2	144.0	109.4
Performance target for percent of NARA's positions filled within 80 days.	—	—	—	*30*	*40*	*25*
Percent of NARA's positions filled within 80 days.	—	—	—	12	10	27

FY 2013 Performance Plan Evaluation We will work to improve timekeeping policies that allow employees to take advantage of the technology available in Quicktime, a web-based time and attendance system.

6.4 NONTRADITIONAL WORK ARRANGEMENTS

FY 2012 Objectives ☑ 12 percent of NARA's eligible staff participates in the telework program.

Results ✓ Thirty-two percent of NARA's eligible staff participates in the telework program.

Discussion: Non-traditional work arrangements enhance the quality of employee work life. In addition, telework opportunities often entice job seekers, helps retain talented staff, improves the productivity of our workforce, and helps us prepare for and cope with emergency situations. Barriers to telework eligibility range from positions that require working with classified materials

to working with IT security issues to responsibilities that require in-person contact. We issued a telework directive, incorporating requirements from the Telework Enhancement Act (TEA), which provides employees information about NARA's telework program, informs them of employee eligibility requirements and training opportunities.

Obtaining management support and buy-in remains a challenge. Telework is a tool which affords the employee a balanced work life while also allowing both the agency and employee to accomplish the mission of the agency. Approaches to overcome management resistance are to conduct quarterly or semi-annual sessions that allow managers to address concerns or share accomplishments from their experiences with implementation of telework. Challenges with capturing telework data from the new FPPS have resulted in manual counting of telework participants. Improvements to this process will enable us to offer constructive intervention to offices that do not have reasonable telework participation rates.

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

FY 2013 Performance Plan Evaluation   We will monitor the telework program for increased participation rates within NARA offices where staff meet eligibility requirements.

6.5 INFORMATION TECHNOLOGY

FY 2012 Objectives	☑	Public network applications are available 98.87 percent of the time.
	☑	Develop a plan to host NARA e-mail through an approved cloud service provider.
	☑	Implement wireless capability at remaining Presidential Libraries.
Results	✓	Public network applications are available 99.1 percent of the time.
	✓	We completed plans to host NARA e-mail through an approved cloud service provider.
	✓	All Presidential Libraries have wireless internet capability.

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

NARA hosts several applications that are available to the public through the Internet. Our public network applications availability exceeded our 98.87 percent target for FY 2012.   These systems support a variety of business applications and must be available to the public at all times. The requirements of both NARA's customers and staff using our public network applications necessitates that these tools remain stable, secure, and continuously available (i.e. 24 hours a day and 7 days a week). System upgrades and scheduled maintenance do require us to take systems off-line; however, we target off-peak times to lessen the impact to our customers. Maintaining this level of efficiency requires monitoring of our resources and services to ensure optimal performance.

In FY 2012, we continued an ongoing effort to develop our technology infrastructure by investing in our network infrastructure and services. To maintain the performance and stability of our public network, we are continually performing system maintenance and implementing necessary upgrades. We are close to completing the implementation of the Domain Name Server (DNS) redesign. This infrastructure enhancement improves our network capability— creating a redundant, stable environment by reducing the potential effects of network failure. In FY 2012, we began implementation of the DNSSEC project. Upon completion of this project, NARA will comply with OMB mandates to better secure our DNS system and the publicly available applications they support.

In addition to supporting NARA's public network applications and ensuring their security, the successful implementation and deployment of many NARA initiatives is dependent upon a robust, reliable, stable, scalable, and high performing technology infrastructure. We also plan to implement the IPv6 project, to provide a more secure and scalable IP addressing scheme, while enabling access to public facing resources. It is still in its initial stages and has passed the initial test, but is pending engineering resources to move forward.

In FY 2012, we completed the planning process and awarded a contract to host NARA e-mail through an approved cloud service provider. Deployment efforts for the cloud email will begin in the first quarter of FY 2013. We will facilitate successful transitioning by ensuring that email migration efforts are carefully planned and all stakeholders are engaged in the process. We are committed to providing adequate end-user communication and training.

We continue to implement technology that provides our customers with more options to access our records, obtain information about our records, and do so more efficiently. All Presidential Libraries are now equipped with wireless internet capability.

Performance Data	2007	2008	2009	2010	2011	2012
Percent of public network availability.	100	100	100	100	99.8	92.5
Performance target for percent availability of public applications.	*98.80*	*98.83*	*98.84*	*98.85*	*98.86*	*98.87*
Percent of public network applications availability.	99.4	99.5	99.5	99.7	99.5	99.1
Number of total hours that any public network application was unavailable.	504	424	414	305	459	780
Percent of customers highly satisfied with NARA helpdesk services (average for year).	65	83	87	87	83	83

FY 2013 Performance Plan Evaluation   We will continue expanding our technological infrastructure by finishing the implementation of the DNS redesign and DNSSEC projects. We will also continue to maintain our public facing applications through proactive scheduling of

maintenance windows, increased redundancy of infrastructure to better support publicly available applications, and transitioning to cloud services for critical systems.

FY 2012 PROGRAM EVALUATIONS

Strategic Goal 1: Records Management

Office of Inspector General, OIG Report 12-02, *Audit of the Management of Records at the Washington National Records Center*, November 3, 2011

> The objective of this audit was to evaluate and assess the adequacy of controls over the management and handling of records at WNRC. Specifically, this audit focused on whether controls were in place to adequately safeguard and secure the records held at WNRC. There are 14 recommendations associated with this report, all of which remain open.

Office of Inspector General, OIG Report 12-05, *Audit of the Management of Records at the Washington National Records Center*, March 27, 2012

> The objective of this audit was to evaluate and assess the adequacy of controls over the management and handling of records at WNRC. The audit focused on the handling and management of unclassified and classified records. There are 12 recommendation associated with this report, all of which remain open.

Strategic Goal 3: Electronic Records

Office of Inspector General, OIG Advisory Report 12-04, *Inadequate Contingency Planning Continues to be a Significant Risk for the Electronic Records Archives System,* January 30, 2012

> This Advisory Report is to advise the Archivist that two issues previously reported (system backups and an alternate backup site) have not been addressed.

Office of Inspector General, OIG Report 12-06, *Management Letter: Access to Records in the Base Electronic Records Archive*, February 21, 2012

> This management letter is to bring to the Archivist's attention conditions that impact NARA's ability to provide access to records through ERA. There are no recommendations associated with this management letter.

Office of Inspector General, OIG Report 12-08, *Advisory Report: NARA's Reliance on Legacy Systems to Meet Electronic Records Mission Needs*, March 30, 2012

> This advisory report is to inform the Deputy Archivist of NARA's continued reliance on outdated legacy systems to fulfill its mission as it relates to electronic records at considerable cost to the agency. There are no recommendations associated with this advisory report.

Strategic Goal 6: Infrastructure

Office of Inspector General, Management Letter 12-01, *Network Outage*, October 13, 2011

> This management letter is to advise the Archivist of two separate issues discovered as a result of the internet outage on September 13, 2011. There are no specific recommendations associated with this management letter.

Office of Inspector General, OIG Report 12-07, *Audit Memorandum: Audit of NARA's Compliance with the Improper Payment Elimination and Recovery Act of 2010*, February 23, 2012

> The OIG concluded that our work in determining that programs and activities were not susceptible to significant improper payments and our analysis in determining no recapture payment audits were needed appears to be sufficient and reasonable. As a result of this review, the OIG believes that NARA is in compliance with the Act as amended. There are no findings associated with this report.

Office of Inspector General, OIG Report 12-09, *Audit of the Data Center Consolidation Effort at NARA*, May 10, 2012

> The objective of this audit was to assess NARA's progress in meeting its consolidation objectives for consolidating its data centers. There are six recommendations in the report, all of which remain open.

Office of Inspector General, OIG Report 12-12, *Audit of NARA's Parking Program*, June 5, 2012

> The overall objective of this audit was to determine whether NARA's new parking system, as well as NARA's parking program as a whole, met the needs of NARA requirements. The objective also included a determination as to whether the controls over the parking system and overall parking program were effective. The OIG placed particular emphasis on NARA's new parking system, the License Plate Recognition system. There are nine recommendations associated with this audit, all of which remain open.

Office of Inspector General, OIG Report 12-15, *Audit of NARA's Classified Systems,* July 23, 2012

> The objective of this audit was to assess NARA's current and planned network architecture and design and provide recommendations to improve performance, security, and efficiency of the network. There are 51 recommendations associated with this audit, all of which remain open.

Office of Inspector General, OIG Report 12-16, Management *Letter: Contractor Oversight*, September 28, 2012

> This management letter informs the Archivist of additional observations identified during an FY 2011 review of costs for Lockheed Martin Corporation subcontracts. There are no recommendations associated with this management letter.

Office of Inspector General, OIG Report 12-17, *Audit of NARA's Public Transit Subsidy Program*, August 27, 2012

> The objective of this audit was to determine the adequacy of internal controls over the administration of the NARA Public Transit Subsidy Program. Specifically, the OIG review focused on whether transit controls identified by OMB were adequately implemented by NARA. There are nine recommendations associated with this report, all of which remain open.

Office of Inspector General, OIG Report 12-18, *Management Letter: Veterans' Records Issues,* July 30, 2012

> This management letter is to advise the Archivist regarding observations made in the course of an investigation in St Louis. There are no recommendations associated with the management letter.

Multi-Goal Evaluations

Office of Inspector General, OIG Report 12-03, *Cotton & Company, Independent Auditor's Report on Internal Control*, December 15, 2011.

> The Inspector General contracted with Cotton & Company to conduct an audit of NARA's FY 2011 financial statements. There are four recommendations associated with this audit, all of which remain open, as well as several pending from prior year reports.

Office of Inspector General, OIG Report 12-10, *Follow up Review of OIG Report 08-01: Audit of the Process of Safeguarding and Accounting for Presidential Library Artifacts*, September 13, 2012

> The primary objective of the audit was to follow-up on NARA's efforts to implement the five recommendations contained in OIG Audit Report 08-01, Audit of the Process of Safeguarding and Accounting for Presidential Library Artifacts, to determine whether actions taken by management resulted in a sufficient management control environment to safeguard and account for library artifacts. There are eight recommendations associated with this audit, all of which remain open.

Office of Inspector General, OIG Report 12-14, *Audit of NARA's Office of Government Information Services*, September 11, 2012

> The objective of this audit was to determine whether NARA's Office of Government Information Services (OGIS) was adequately established and was meeting the intent for which it was established. There are two recommendations associated with this audit, both of which remain open.

Government Accountability Office, GAO-12-752, *Freedom of Information Act: Key Website is Generally Reliable, but Action is Needed to Ensure Completeness of its Reports*, June 2012

> The objectives of this audit were to determine (1) the origin of the data on FOIA.gov and

how reliable are the data, and (2) the action being taken to improve FOIA.gov and develop additional capabilities. There are no recommendations directed to NARA in this audit.

Government Accountability Office, GAO-12-828, *Freedom of Information Act: Additional Actions Can Strengthen Agency Efforts to Improve Management*, July 2012

The objectives of this audit were to determine (1) actions agencies have taken to manage their FOIA programs, including reducing backlogs and use of exemptions, pursuant to the Attorney General's 2009 FOIA guidelines, and what have been the results of these actions (2) actions agencies have taken to make records available to the public by electronic means, pursuant to the e-FOIA amendments of 1996, and (3) to what extent have agencies implemented technology to support FOIA processing? There are no recommendations directed to NARA in this audit.

Government Accountability Office, GAO-12-782, *Electronic Government Act: Agencies Have Implemented Most Provisions, but Key Areas of Attention Remain*, September, 2012

For selected Title I and II sections of the Act, the objectives of this audit were to determine (1) assess OMB's and agencies' efforts to fulfill the Act's requirements to establish leadership and organizational responsibilities, and (2) evaluate agencies progress in meeting the Act's requirements to enhance public access to government information and services. There are no recommendations directed to NARA in this audit.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, October 21, 2011

The office conducted an inspection at the William Jefferson Clinton Presidential Library in Little Rock, AR. The inspection resulted in 14 findings, six of which remain open.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, February 2012

The office conducted an inspection at the Washington National Records Center in Suitland, MD. The inspection resulted in 17 findings, 14 of which remain open.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, March 2012

The office conducted an inspection at the Richard Nixon Presidential Library in Yorba Linda, CA. The review resulted in five findings total, four of which remain open.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, March 2012

The office conducted an inspection at the National Archive Building at College Park, MD. The inspection resulted in 11 findings, some of which are repeated from the 2008 review.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, April 2012

> The office conducted an inspection at the Riverside Records Center, Riverside, CA. The inspection resulted in two findings, both of which remain open.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, April 2012

> The office conducted an inspection at the Harry S. Truman Presidential Library in Independence, MO. The review resulted in seven findings total, four of which remain open

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, April 2012

> The office conducted an inspection at the Federal Register and Office of Government Information Services (OGIS) in Washington DC. The inspection resulted in one finding, which remains open.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, May 2012

> The office conducted an inspection at the Ellenwood Records Center, Ellenwood GA. There are no findings associated with this review.

Business Support Services, Security Management Division, *Physical Security and Life Safety Inspection*, May 2012

> The office conducted an inspection at the Morrow Archives in Morrow GA. There are no findings associated with this review.

Office of Presidential Libraries, *Program Review*, July 2012

> The office conducted a program review of the William Jefferson Clinton Presidential Library in Little Rock, AR. The findings have not been finalized.

Federal Records Management Evaluations

Under 44 U.S.C 2904(c)(8), the Archivist of the United States is required to report to Congress and the Office of Management and Budget (OMB) annually on the results of records management activities. NARA fulfills this requirement through the Performance and Accountability Report. This report focuses on NARA's activities related to records management oversight of Federal agencies; records management training; identifying, scheduling, and transferring electronic records to NARA; and reporting on allegations of unauthorized disposal or removal of Federal records. We also recognized the two agencies that received special awards for effective records management at NARA's Records Administration Conference (RACO) in September 2012.

Records Management Oversight

At the end of FY 2011, we established the Records Management Oversight Section of the Policy Analysis and Enforcement Division of the Office of the Chief Records Officer. Major activities included administering the annual Agency Records Management Self-Assessment and conducting two records management inspections.

Agency Records Management Self-Assessments

The annual Agency Records Management Self-Assessment has proven to be an effective way for us to gather information from Federal agencies and give feedback they can use to improve their programs. The goal of the records management self-assessment is to measure how effective Federal agencies are in meeting the statutory and regulatory requirements for records management. The self-assessment gathers data about agencies' records management policies and practices and compliance with federal records management regulations and NARA guidance.

In June 2012, we issued the fourth annual records management self-assessment. We distributed the self-assessment to 281 Federal agencies and received 240 responses for a response rate of 85 percent. This year's self-assessment focused on basic core questions only. We discovered through the three prior assessments that a scored special focus section skewed the scores depending on the topics. This made it difficult for Federal agencies to measure progress. The results of the 2012 assessment will give respondents a baseline score for the first time. We conducted extensive validation of agencies responses to 9 questions by requesting documentation. This documentation was measured by a pre-set criterion. The report on the FY 2012 self-assessment will be published in early 2013.

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

Records Management Inspections

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

In 2012, NARA completed inspections of two agencies each with a particular focus: the National Geospatial-Intelligence Agency (NGA) Management of Electronic Records and the National Aeronautics and Space Administration (NASA). NARA's inspection reports for each agency, including findings and recommendations will be finalized in FY 2013. NARA's inspection reports for previous inspections from FY 2011 are available at: http://www.archives.gov/records-mgmt/resources/inspections.html.

NGA Inspection

The NGA inspection is the second phase of an inspection started in FY 2011. Phase I focused on the transfer of permanent hard copy map products from NGA to the physical and legal custody of NARA. Phase II focused on the transfer of electronic copy of the same map products. The inspection also continued the review of NGA's records management program, particularly as it operates within the Directorates responsible for developing map products and incorporation of Records Management into a metadata standard and the approval and design phases of digital information systems.

During the second quarter of FY 2012, NGA submitted the Action Plan to address the recommendations from Phase I. The RM Oversight Section has been receiving quarterly updates from NGA on their progress working through the Action Plan. The report and recommendations for Phase II will be finalized in second quarter of FY 2013.

NASA Inspection

The purpose of this inspection was to verify that NASA's processes for shutting down a major program was sufficient to ensure that records documenting the Space Shuttle Program (SSP) were adequate to capture the historically valuable record material.

The main aspects of the inspection included: a review of potential risks to records due in part to storage issues and the transitioning of NASA personnel and contractors out of the program; a review of a Recordation agreement as part of the SSP close out with the National Park Service, Library of Congress, and other parties for a process to incorporate shuttle records including technical documentation into an educational resource; an investigation into delays to the transfer of permanent records to NARA custodial units of a significant portion of shuttle records subject to export control regulations; and a technical assessment of NASA's agency records schedule, known as the NASA Records Retention Schedule (NRRS).

The inspection team made 14 recommendations for changes that are under review by NASA at this time. These recommendations are designed to improve not only the shuttle close out but current and future NASA programs. The inspection report will be finalized in the first quarter of FY 2013.

Presidential Memorandum and Directive on Managing Government Records

In his November 28, 2011, Memorandum on Managing Government Records (http://www.whitehouse.gov/the-press-office/2011/11/28/presidential-memorandum-managing-government-records), President Obama stated "…proper records management is the backbone of open Government." The Memorandum began an executive branch-wide effort to reform records management policies and required that the Director of the Office of Management

and Budget (OMB) and the Archivist of the United States issue a Records Management Directive which focused on:

- Creating a Government wide records management framework that is more efficient and cost effective
- Promoting records management policies and practices that enhance the capability of agencies to fulfill their statutory missions
- Maintaining accountability through documentation of agency actions
- Increasing open Government and appropriate access to Government records
- Supporting agency compliance with applicable legal requirements related to the preservation of information relevant to litigation; and
- Transitioning from paper-based records management to electronic records management where feasible.

Agencies were to initially designate Senior Agency Officials [SAOs] (by December 28, 2011) and then report to NARA within 120 days (by March 27, 2012) on the state of records management at Federal agencies. After reviewing and analyzing the agency reports, NARA was then required to:

- Develop a Directive directing agencies to take specific steps to reform and improve RM policies and practices (by July 31, 2012); and

- In coordination with the Associate Attorney General, draft a Report to the President recommending updates to laws, regulations, and policies governing the management of Federal records (by July 31, 2012).

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

- Facilitated two sessions in early 2012 with agencies SAOs and records officers to allow them to share ideas with each other.

- Launched a social media tool (IdeaScale) to enlist suggestions for improvements from vendors and the public. Over 100 registered users and over 30 ideas posted on the Site.

- Held a public meeting at the National Archives Building to solicit comments from the public on the Presidential Memorandum. Approximately 100 attendees representing agencies, contractors, and vendors attended the meeting.

- Met with leaders of special interest groups and associations (i.e., ARMA, NAGARA, SAA) to obtain feedback for the Directive.

- Discussed the Memorandum and the Directive at numerous conferences and events including SAA, ARMA (national conference and multiple local chapter events), FOSE, NAGARA, and RACO.

NARA delivered the Managing Government Records Directive and the Report to the President to OMB in early July 2012. The Directive was subsequently sent out for Government-wide review and comment adjudication. The Managing Government Records Directive (OMB M-12-18) was jointly issued by the Archivist and the Acting Director of OMB on August 24, 2012.

Following the release of the Directive, we established a Project Management Office to manage the many action items associated with Directive.

OMB/NARA Directive on Managing Government Records

The Managing Government Records Directive (http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf) consists of two parts. Part 1 contains the following two central goals that Federal Agencies shall work toward:

- *Goal #1: Require electronic recordkeeping to ensure transparency, efficiency, and accountability.* Agencies must meet the following targets in support of this goal:

  o By 2019, agencies manage all permanent electronic records in electronic formats

  o By 2016, agencies manage permanent and temporary email in accessible, electronic format

- *Goal #2: Demonstrate compliance with Federal records management statutes and regulations.* Agencies must meet the following requirements in support of this goal:

  o Agencies must designate Senior Agency Official (SAO) to work with Agency Records Officer (ARO) to ensure compliance

  o SAO/ARO work to identify legacy permanent records and schedule records

  o ARO must obtain NARA Certificate of Federal Records Management Training

  o Agencies Establish RM Training for Staff

Part II of the Directive provides a list of actions that NARA and other agencies (OMB and OPM) will take to assist agencies in meeting the two central goals. The actions and dates are provided in the Table below.

Completion Date	Action Item
November 15, 2012	Each agency will designate its Senior Agency Official (SAO) to oversee review of records management program.
December 31, 2012	The Archivist will convene the first of periodic meetings with SAOs to review agency progress implementing the Directive. *already scheduled for November 28, 2012.*
October 1, 2013	SAOs will complete their annual report according to NARA's template and send it to the Chief Records Officer for the U.S. Government.
December 31, 2013	The SAO will ensure all permanent records are identified for transfer and reported to NARA.
December 31, 2013	NARA will complete, and make available, revised guidance, including metadata requirements, for transferring permanent

Completion Date	Action Item
	electronic records, to include additional sustainable formats commonly used to meet agency business needs.
December 31, 2013	NARA (working with the CIO Council and the Federal Records Council) will produce a comprehensive plan in collaboration with its stakeholders to describe suitable approaches for the automated management of email, social media, and other types of digital record content, including advanced search techniques.
December 31, 2013	NARA will issue new guidance that describes methods for managing, disposing, and transferring email.
December 31, 2013	NARA will incorporate into existing reporting requirements an annual agency update on new cloud initiatives, including a description of how each new initiative meets Federal Records Act obligations and the goals outlined in this Directive.
December 31, 2013	NARA will determine the feasibility of establishing a secure cloud-based service to store and manage unclassified electronic records on behalf of agencies.
December 31, 2013	NARA, in cooperation with the Federal Chief Information Officers Council, the Federal Records Council, and other Government-wide councils that express interest, will establish a Community of Interest (COI) to bring together leaders from the information technology, legal counsel, and records management communities to solve specific records management challenges.
December 31, 2013	OPM will establish a formal records management occupational series to elevate records management roles, responsibilities, and skill sets for agency records officers and other records professionals.
December 31, 2013	NARA will identify a government-wide analytical tool to evaluate the effectiveness of records management programs.
December 31, 2014	The designated Agency Records Officer for each agency must hold the NARA certificate of Federal Records Management Training.
December 31, 2014	All Federal agencies must establish a method to inform all employees of their records management responsibilities in law and policy, and develop suitable records management training for appropriate staff.
December 31, 2015	NARA will improve the current Request for Records Disposition Authority process.
December 31, 2017	NARA, in consultation with appropriate oversight agencies, will make substantive changes to the General Records Schedules (GRS).
By the next revision of OMB Circular A-130	OMB will update A-130 to explicitly require that agencies must incorporate records management requirements when moving to cloud-based services or storage solutions.

Records Management Training

NARA's National Records Management Training Program sponsors the annual Records Administration Conference (RACO), a free of charge, half-day meeting for Federal records officers, records management professionals, information managers and information technology professionals with an interest in Federal records and information management. As part of this conference, the Archivist of the United States, David S. Ferriero presents Archivist Achievement Awards to selected agencies that have demonstrated best practices in records management. The award winners for 2012 were the U.S. Department of State, Records and Archives Management Division, and the U.S. Department of the Treasury, Office of Privacy, Transparency, and Records.

 The Department of State received the award for their development of the Retired Records Inventory Management System (RIMS), which helps track retired records world-wide. The Department of the Treasury received the award for the establishment and ongoing support of Records and Information Management Month (RIMM), which brings records management advocacy and education not just to the Department of Treasury, but to agencies across the Federal Government.

The National Records Management Training Program also provides formal records management training for Agency records professionals across the country. While the majority of this training is conducted face-to-face in classrooms, NARA is focusing its efforts on developing more online training to meet the needs of our national customers. This training includes content supporting the Certificate in Federal Records Management, which is mentioned above as a requirement in the OMB/NARA Directive on Managing Government Records.

Electronic Records Scheduled

In FY 2012, NARA continued its partnerships with Federal agencies to increase the number of electronic records series and systems scheduled across the Government and to increase the number of permanent electronic records transferred to the National Archives. Continuing the approach begun in 2004 following the passage of the E-Government Act of 2002, NARA concentrated on the important electronic records of the CFO Act agencies to ensure that all existing records are scheduled even though the September 30, 2009, deadline established by NARA in accordance with the Act has passed. NARA's continuing efforts to monitor agency electronic record scheduling progress (as described in NARA Bulletin 2010-02) will ensure that agency business assets are maintained for as long as needed to protect the legal and financial rights of the Government and its citizens, and to preserve records of enduring historical value.

In FY 2012, NARA continued to provide support to agencies to help them schedule their electronic records. For FY 2012, NARA set a goal to work with Federal agencies to schedule 1,134 electronic records series and electronic systems from the following CFO Act agencies and their components and bureaus. Additionally, as part of the FY 2012 deployment of NARA's Electronic Records Archives (ERA) system, NARA required these agencies to use ERA to submit their records schedules to NARA:

Department of Homeland Security
Department of Health and Human Services
Department of Transportation
Department of Justice
Department of the Treasury

Environmental Protection Agency
Department of Commerce
Department of Interior
Department of Education
Department of Agriculture
Department of Labor
Central Intelligence Agency
Department of Defense
Department of State
Nuclear Regulatory Commission

As of September 30, 2012, NARA reached 37 percent of this goal, and approved schedules for 418 electronic systems and series of records. Of these systems and series approved by NARA, 25 percent of the total covered permanently valuable records that will be transferred to NARA. In large measure, the reason we did not meet the planned goal of approving 1,134 electronic series and systems has to do with a major effort undertaken by the records appraisal staff to reduce the existing records scheduling backlog, which is described in more detail below.

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

Records Scheduling Backlog Project

In early FY 2012, NARA took specific actions to identify record schedules that had been submitted more than two years prior (FY 2009 and earlier) that could be quickly closed out or withdrawn. In the 3rd quarter NARA launched an initiative to focus on completing the remaining backlog schedules. This effort included the entire appraisal staff and was conducted in response to a Government Accountability Office report (GAO-11-15) that highlighted the risks of bringing in more schedules than NARA could process due to successful promotion of records scheduling. Increasing efforts to reduce the existing backlog and developing strategies for proactive backlog prevention will allow NARA to minimize the risk of being overwhelmed by agency schedule submissions.

The initiative began in May 2012, using a database to track backlog schedule progress in detail, as well as collect data on reasons why a schedule was not completed within 2 years. NARA announced the initiative to agencies through meetings and communications. Agencies were responsive to quickly turning around requests for information and scheduling appraisal meetings with program offices. The backlog was reduced 40 percent prior to the start of the initiative, and by the end of the fiscal year, 85 percent of the backlog schedules were closed. The initiative created momentum for schedules due to become backlog in FY 2013 resulting in a backlog of less than half that of FY 2012.

Reducing the records scheduling backlog will be an ongoing project. NARA's goal is to reduce the number of schedules that become backlog each fiscal year. In order to achieve this goal, only those schedules which meet the minimum requirements for registration per 36 CFR 1225 will be accepted. Use of NARA's Electronic Records Archives (ERA) system for records scheduling is mandatory for all agencies beginning in FY 2013. The structured form for schedules in that

system will assist agencies in submitting schedules containing the information required by the regulations. NARA will remind agencies of schedule requirements and the timeline for appraisal and processing of records schedules, and will increase enforcement of our own procedures for withdrawing schedules when agencies are non-responsive, or an outside event prevents them from being responsive in a timely manner (40 days).

For FY 2013, NARA will continue prioritizing those schedules that are or will become backlog in the next fiscal year, and will track those record schedules more closely to facilitate their completion before the end of the fiscal year. NARA will continue to partner with agencies to prioritize schedules and to increase the number of schedules completed within 2 years.

Electronic Records Transferred to NARA

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

Agency	Number of Transfers Received FY 2012
Administration for Children and Families	2
Agency for Health Care Research and Quality	2
Agricultural Marketing Service	4
Alcohol, Drug Abuse, and Mental Health Administration	2
Army Commands – 1 transfer Army Staff -- 1 transfer Bureau of Export Administration – 1 transfer Bureau of Labor Statistics	1
Bureau of Naval Personnel	7
Bureau of Public Debt	1
Bureau of Reclamation	6
Census, Bureau of the	12
Centers for Disease Control and Prevention	10
Centers for Medicare and Medicaid Services	2
Central Command	3
Citizenship and Immigration Services, U. S.	2
Consumer Product Safety Commission	1
Cooperative State Research, Education and Extension Service	2
Defense, Office of the Secretary of	5
Department of Justice	2
Department of Veterans Affairs	5
Education, Department of	7

Agency	Number of Transfers Received FY 2012
Energy, Department of	1
Environmental Protection Agency	4
Equal Employment Opportunity Commission	3
FBI	24
Federal Aviation Administration	3
Federal Communications Commission	1
Federal Highway Administration	9
Federal Railroad Administration	1
Federal Reserve System	13
Fish and Wildlife Service	2
Food and Drug Administration	2
Foreign Agriculture Service	2
Health Resources and Services Administration	1
Mine Safety and Health Administration	1
National Aeronautics and Space Administration	27
National Agricultural Statistics Service	8
National Drug Intelligence Center	1
National Geospatial - Intelligence Agency	7
National Mediation Board	2
National Oceanic and Atmospheric Administration	1
National Park Service	2
National Science Foundation	1
National Technical Information Service	1
Navy, Department of	8
Office of the Comptroller of the Currency	1
Parole Commission, U.S.	1
Peace Corps	2
Secret Service, U.S.	1
Securities and Exchange Commission	1
Small Business Administration	1
Temporary Committees, Commissions and Boards	5
USGS	1
TOTAL	217

Alleged Unauthorized Disposition of Federal Records

Under 44 USC 3106, Federal agencies are required to notify the Archivist of the United States of any alleged unauthorized disposition of the agency's records. NARA also receives notifications from other sources such as the news media and private citizens. NARA establishes a case to

track each allegation and communicates with the agency until the issue is resolved. Summary statistics on FY 2012 cases are as follows:

Open cases, start of FY 2012:   33
Cases opened in FY 2012:   21
Cases closed in FY 2012:   16
Open cases, end of FY 2012:   38

Of the 38 cases open at the end of FY 2012, ten cases are involved in ongoing litigation and four cases are under investigation by the agency. NARA monitors the status of these cases and is not reporting them here. Table 1 lists the 24 cases that are open and are pending action by the agency or review by NARA. Table 2 lists the 16 cases closed in FY 2012.

Table 1: Open cases pending agency action or NARA review

Case Opened	Agency	Records	Status
August 1998	**Dept. of Army**, Office of Deputy Chief of Staff for Operations and Plans	Records of action officers	Pending agency response or follow-up
March 1999	**Dept. of Interior**, Bureau of Indian Affairs	Records of Crow Agency, Montana	Pending agency response or follow-up
July 2007	**Federal Labor Relations Authority**	Records of FLRA Chair	Pending agency response or follow-up
April 2008	**Dept. of Defense,** Office of Secretary of Defense	Video recordings of interrogations	Pending agency response or follow-up
May 2008	**Dept. of Defense,** Defense Intelligence Agency	Video recordings of interrogations of terrorism suspect	Pending agency response or follow-up
December 2008	**Dept. of Defense,** Office of the Secretary of Defense	Documents relating to torture issue	Pending agency response or follow-up
November 2009	**Dept. of Defense,** Office of Secretary of Defense	E-mail and electronic records of Coalition Provisional Authority, Iraq	Pending agency response or follow-up
March 2010	**Dept. of Interior,** Bureau of Indian Affairs, Office of the Special Trustee for American Indians	Records at agency locations in western U. S.	Pending agency response or follow-up
June 2010	**Securities and Exchange Commission**	Matter Under Inquiry files	Pending agency response or follow-up
December 2010	**Dept. of Energy**	Oil shale research records	Pending NARA review

Case Opened	Agency	Records	Status
February 2011	**Dept. of Health and Human Services**	E-mail of the Secretary	Pending NARA review
April 2011	**Dept. of Energy**	Records relating to Yucca Mountain site	Pending agency response or follow-up
April 2011	**Dept. of Homeland Security**	Water-damaged records of Office of Intelligence & Analysis	Pending agency response or follow-up
April 2011	**Dept. of Homeland Security,** Federal Emergency Management Agency	Remedial Action Management Program records	Pending agency response or follow-up
September 2011	**Securities and Exchange Commission**	Investigative case files	Pending NARA review
October 2011	**Dept. of Interior**	Records on registration of aliens in Northern Mariana Islands	Pending agency response or follow-up
October 2011	**Office of Personnel Management**	Electronic records relating to USAStaffing system	Pending agency response or follow-up
December 2011	**Dept. of Defense,** Joint Staff	Emails of Lt. General Stanley McChrystal	Pending agency response or follow-up
June 2012	**Dept. of Agriculture,** Farm Service Agency	Records destroyed by fire in Oregon office	Pending agency response or follow-up
July 2012	**Peace Corps**	Records from overseas post in Mauritania	Pending agency response or follow-up
September 2012	**Dept. of Air Force**	Mental health record at Kirtland AFB	Pending NARA review
September 2012	**Dept. of Defense,** U.S. Central Command	Records of fuel supply and delivery in Afghanistan	Pending agency response or follow-up
September 2012	**Dept. of Energy**	Use of personal email for official business	Pending agency response or follow-up
September 2012	**Dept. of Homeland Security,** U.S. Citizenship and Immigration Services	Duplicate original naturalization record	Pending agency response or follow-up

Table 2 covers cases of alleged unauthorized disposition closed in FY 2012. The table specifies those allegations that are founded, for which the agency takes corrective action to prevent additional unauthorized dispositions.

Table 2: Cases closed in FY 2012

Case Opened	Agency	Records	Resolution
February 2009	**Dept. of Homeland Security**	Hard copies of Secretary's briefing books	Allegation founded – corrective action taken
August 2009	**Federal Trade Commission**	Consumer complaint letters	Allegation not founded
November 2009	**Dept. of Veterans Affairs**	Records destroyed by flood	Allegation not founded
August 2010	**Dept. of Interior,** Bureau of Indian Affairs, Office of the Special Trustee for American Indians	Records in agency facility in Albuquerque, NM	Allegation founded – corrective action taken
October 2010	**Dept. of Labor**, Bureau of Labor Statistics	LabStat electronic records	Allegation founded – corrective action taken
August 2011	**Dept. of Justice,** Executive Office for U.S. Attorneys	U.S. Attorney subject files	Allegation founded – corrective action taken
November 2011	**Dept. of Agriculture,** Forest Service	Alienation of records to a private organization	Allegation not founded
November 2011	**Peace Corps**	Financial disclosure forms	Allegation founded – corrective action taken
December 2011	**Dept. of Agriculture,** Forest Service	Wallowa Management Office records	Allegation founded – corrective action taken
January 2012	**Dept. of Health and Human Services,** Food and Drug Administration	E-mails relating to U.S. heparin supply	Allegation founded – corrective action taken
February 2012	**Dept. of Transportation,** Federal Aviation Administration	Enforcement investigative reports	Allegation founded – corrective action taken
April 2012	**Dept. of State**	Passport and citizenship case files	Allegation founded – corrective action taken
May 2012	**Dept. of Justice**	Civil rights complaint records	Allegation not founded
May 2012	**Dept. of Veterans Affairs**	Administrative Investigative Board case file	Allegation founded – corrective action taken
June 2012	**Dept. of Labor**	Office of Federal Contract Compliance Programs records	Allegation founded – corrective action taken
August 2012	**Dept. of Air Force**	Fuel product records	Allegation founded – corrective action taken

Definitions

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

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

Goal 2	Preserve and Process
Accession	Archival materials transferred to the legal custody of NARA.
Appropriate space	Storage areas that meet physical and environmental standards for the type of materials stored there.
At-risk	Records that have a media base near or at the point of deterioration to such an extent that the image or information in the physical media of the record is being or soon will be lost, or records that are stored on media accessible only through obsolete or near-obsolete technology.
Declassification Program review	An evaluation by the Information Security Oversight Office (ISOO) of the declassification aspects of an executive branch agency's security classification program to determine whether an agency has met the requirements of Executive Order 13526. The review may include the appropriateness of agency declassification actions, the quality of agency actions to identify classified equities of other agencies, and the appropriateness of agency action to exempt records from automatic declassification based upon application of declassification guidance or the application of file series exemptions approved by the Interagency Security Classification Appeals Panel (ISCAP). The results of a declassification program review, along with any appropriate recommendations for improvement, are reported to the designated agency senior official for Executive Order 13526.
Equity-holding agency	An agency that may have classified information in a document, whether or not it created the document. Without providing a waiver for the declassification of its equities, only the equity-holding agency can declassify information in the document.

Goal 3	Electronic Records
Gigabyte	An International System of Units (SI) standard unit. A measure of computer data size. A gigabyte is one thousand megabytes, $1,000^3$ bytes.
Logical data record	A set of data processed as a unit by a computer system or application independently of its physical environment. Examples: a word processing document; a spreadsheet; an email message; each row in each table of a relational database or each row in an independent logical file database.
Megabyte (Mb)	An International System of Units (SI) standard unit. A measure of computer data size. A megabyte is one million bytes, $1,000^2$ bytes.
Preserved	(1) The physical file containing one or more logical data records has been identified and its location, format, and internal structure(s) specified; (2) logical data records within the file are physically readable and

retrievable; (3) the media, the physical files written on them, and the logical data records they contain are managed to ensure continuing accessibility; and (4) an audit trail is maintained to document record integrity.

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

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

Goal 6	Infrastructure
Applicant	Any U.S. citizen who completed an application for a specific position.
Leadership position	A supervisory position at grade GS-13 or above and non-supervisory positions at grade 15 or above.
NARANET	NARANET is the primary general support system of NARA, providing standard desktop applications, email and calendaring functions, network transport and Internet access to NARA staff and support personnel.
Staff development plan	An individualized plan to enhance employees' knowledge, skills, and abilities and improve performance in their current jobs or of duties outside their current jobs, in response to organizational needs and human resource plans.

| Underrepresented groups | Groups of people tracked by the U.S. Equal Employment Opportunity Commission: Minority groups (Black/African American, Latino-Hispanic, Asian, Native Hawaiian/Pacific Islander, and American Indian/Alaskan Native); Women; Persons with Disabilities. |