



NATIONAL
ARCHIVES

FISCAL YEAR 2015 ANNUAL PERFORMANCE PLAN

**Submitted to Congress
March 10, 2014**

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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PREFACE

The National Archives and Records Administration is a public trust on which our democracy depends. We enable people to inspect for themselves the record of what Government has done. We enable officials and agencies to review their actions and help citizens hold them accountable. We ensure continuing access to the records that document the rights of American citizens, the actions of Federal officials, and the national experience.

To ensure that we preserve the past to protect the future, the National Archives and Records Administration (NARA) appraises, acquires, arranges, describes, preserves, and makes available to the public the historically valuable records of the three branches of Government. We establish policies and procedures for managing U.S. Government records. We assist and train Federal agencies in documenting their activities, administering records management programs, scheduling records, and retiring non-current records to regional records services facilities for cost-effective storage. We fund grants to increase access to the nation's historical documents. We manage a nationwide system of Presidential Libraries, records centers, and regional archives. We administer the Information Security Oversight Office, which oversees the Government's security classification program and the Office of Government Information Services, responsible for the review of agencies' FOIA administration practices and compliance with FOIA. We publish the *Federal Register*, *Statutes at Large*, Government regulations, and Presidential and other public documents.

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

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

Mission:

WE DRIVE OPENNESS, CULTIVATE PUBLIC PARTICIPATION, AND STRENGTHEN OUR NATION'S
DEMOCRACY THROUGH PUBLIC ACCESS TO HIGH-VALUE GOVERNMENT RECORDS.

Vision:

WE WILL BE KNOWN FOR CUTTING-EDGE ACCESS TO EXTRAORDINARY VOLUMES OF GOVERNMENT
INFORMATION AND UNPRECEDENTED ENGAGEMENT TO BRING GREATER MEANING TO THE
AMERICAN EXPERIENCE.

Our Strategic Goals:

Make Access Happen

Connect With Customers

Maximize NARA's Value to the Nation

Build Our Future Through Our People

These goals and the objectives and initiatives to achieve them are detailed in *The Strategic Plan of the National Archives and Records Administration, 2014-2018*, which will be issued in February 2014. This annual performance plan is based on our Strategic Plan and builds on expected performance in FY 2014. It details the actions and outcomes that must occur in FY 2015 for us to move forward on meeting the goals and objectives in our Strategic Plan. In addition to listing performance goals and measures for evaluating our performance, the plan describes the processes, skills, and technologies, the human capital, and the informational resources needed to meet the year's performance goals. The *President's Budget* identifies the lower-priority program activities as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at <http://www.whitehouse.gov/omb/budget>. We received no aid from non-Federal parties in preparing this plan.

Following is a summary of the resources, by budget authority, we are requesting to meet our FY 2015 objectives. Our budget is linked to the goals in this plan.

| | |
|------------------------------------|------------------|
| <i>(Dollars in thousands)</i> | |
| Operating Expenses | \$340,486 |
| Office of Inspector General | \$4,130 |
| Repairs/Restorations | \$7,600 |
| Grants | \$5,000 |
| Total Budget Authority | \$357,216 |
| | |
| Redemption of Debt | \$19,514 |
| Total Appropriation | \$376,730 |
| | |
| Total FTE | 3,018 |

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

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

Our performance measurement system, which we continuously work to improve, is technically

sophisticated, well-established, and provides a decade of trends. The system uses an industrial-strength database and delivers both out-of-the-box and ad hoc analytical tools to everyone in NARA. It thereby has the capacity to support both the data and the analyses that management requires. The system is well established, dating from 1998. As a result, managers throughout NARA accept its figures as official. This not only simplifies management conversations, it encourages everyone to supply good data. Lastly, the availability of trend data gives the agency the ability to see how things have changed over time.

We must succeed in reaching our goals because the National Archives and Records Administration is not an ordinary Federal agency. Our mission is to drive openness, cultivate public participation, and strengthen our nation’s democracy through public access to high-value government records. This mission puts us at the very heart of continuity of government, public trust, and the national morale. Whether publishing the *Federal Register*, protecting the critical records assets of Federal agencies nationwide, serving American’s veterans, solving the challenge of preserving electronic information so it is readily accessible in the future, or displaying our nation’s Charters of Freedom—the Declaration of Independence, the Constitution, and the Bill of Rights—to inspire the American public, NARA plays a critical role in keeping America’s history and democratic ideals safe and secure. This performance plan is our FY 2015 road map for meeting the great expectations of our nation.

National Archives and Records Administration

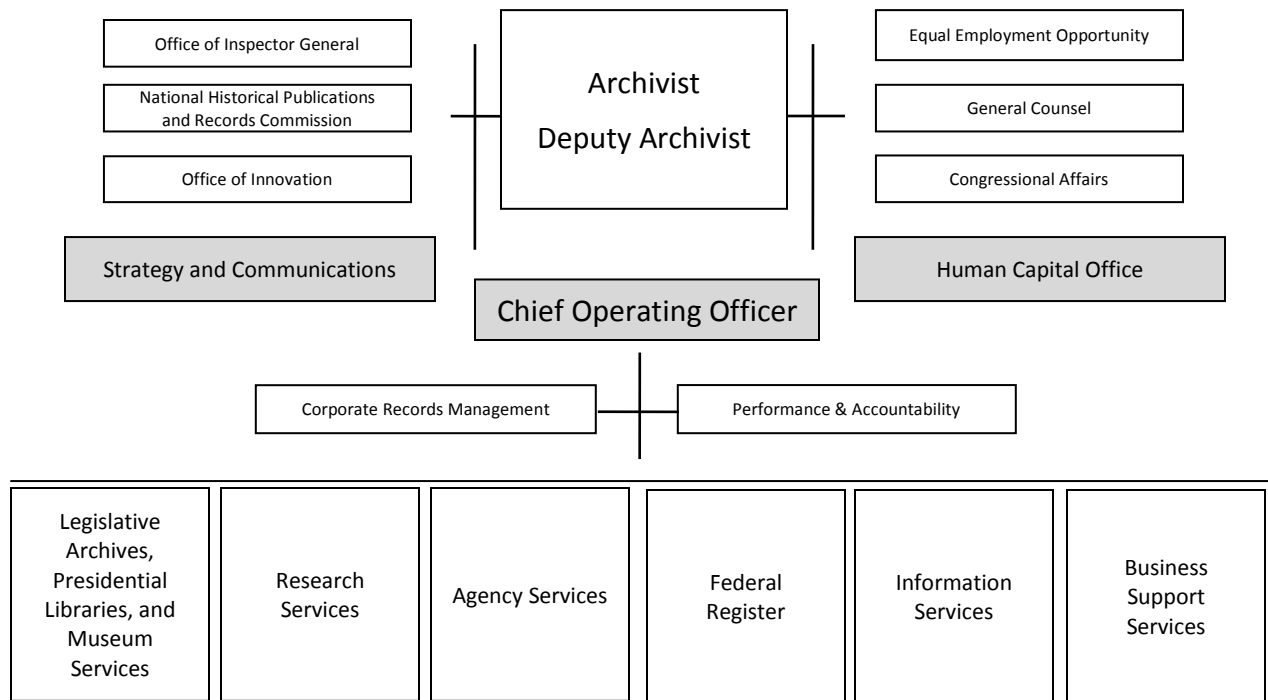


Figure 1. NARA’s Organization Chart (as of January 31, 2014)



Strategic Goal
MAKE ACCESS HAPPEN

Make Access Happen establishes “public access” as NARA’s core purpose. *Make Access Happen* states that public access is the ultimate outcome of all of our work. *Make Access Happen* also signals a significant shift in strategy and purpose: We will reach beyond the traditional role of making records available for others to discover, and will *make* access happen by providing flexible tools and accessible resources that promote public participation.

Objective: **Make all records available to the public in digital form to ensure that anyone can explore, discover, and learn from NARA holdings**
Goal Leader: Office of Innovation

| <i>FY 14 Estimated Performance Goals:</i> | <i>FY 15 Projected Performance Goals:</i> |
|--|--|
| <ul style="list-style-type: none"> • Increase the number of archival records available online (existing measure) • Increase the percent of archival holdings processed (existing measure) • Increase the percent of archival holdings described in an online catalog (existing measure) | <ul style="list-style-type: none"> • Increase the number of retrievals of digital archival records (set baseline) • Increase the number of repeat online visitors (set baseline) • Increase the number of archival records available online (existing measure) • Increase the percent of archival holdings processed (existing measure) • Increase the percent of archival holdings described in an online catalog (existing measure) |
| Strategic Initiative 1: | Describe all holdings online to make them easy to use and provide archival context. |
| <ul style="list-style-type: none"> • Launch the production version of the Online Public Access tool. | |
| Strategic Initiative 2: | Digitize all analog archival records to make them available online. |
| <ul style="list-style-type: none"> • Develop a digitization plan for NARA’s holdings. | <ul style="list-style-type: none"> • Launch implementation of new digitization plan for NARA’s holdings. |
| Strategic Initiative 3: | Accelerate processing of analog and digital records to quickly make our records available to the public. |
| <ul style="list-style-type: none"> • Develop a concept of operations and a prototype for a Digital Processing Environment. | <ul style="list-style-type: none"> • Complete the production design of a Digital Processing Environment for initial applications. |

Significance: The Internet has extended enormously our reach. The chart below tells the story. From 2005 to 2013, the number of online visits to NARA more than doubled, until now they constituted 94 percent of visits to NARA. This dwarfs the number of exhibition visits shown in red on the chart, despite its increase of 12 percent. Our 170,000 research room visitors are too few to even be visible here. If we included online visits through partners hosting digital images of our records, the picture would be even more dramatic. Clearly, our main opportunity for *making access happen* lies online.

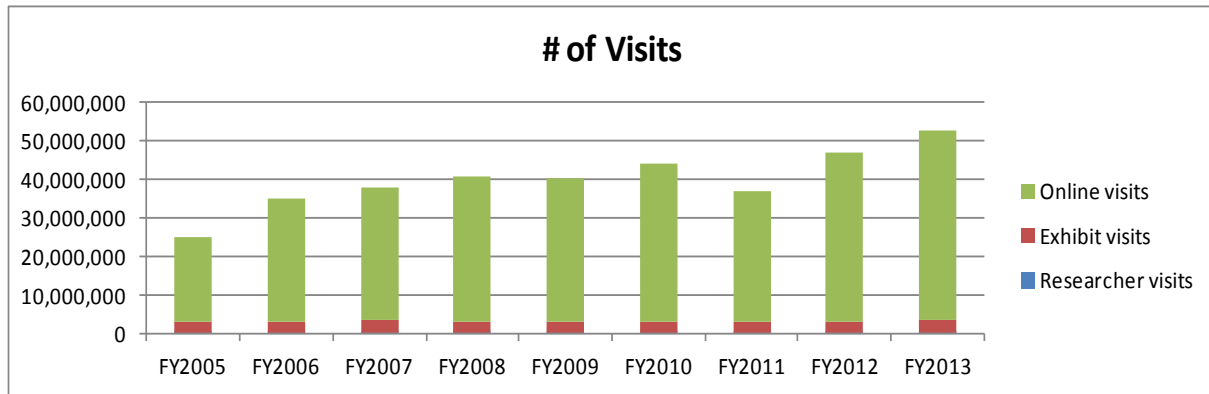


Figure 2. Visits to NARA 2005-2013, Online, Exhibit, Researcher

The chart above is all the more striking when you realize that *less than two percent of our records are currently available online*. We therefore think that the best way to make access happen is to make more of our records available in digital form – which is exactly this objective.

Means and Strategies To make access happen by making records available in digital form, we are focusing on three initiatives:

- *Describe all holdings online.* Before people can use our records, they have to find them. That requires an online catalog and content to go in it. More than 80 percent of our records are already described online. We intend to reach 100 percent.
- *Digitize.* The core initiative is our digitization program by which we make digital versions of our documents, photographs, maps, movies, and sound recordings. This work is the key to increasing the number of records available to the public online.
- *Process.* Before describing or digitizing records, we need to *process* them. That means going through the boxes, inventorying the contents in detail, doing basic preservation work, and identifying any restrictions such as those imposed by the Privacy Act. We will accelerate processing of analog and digital records to quickly make our records available to the public. This solution is consistent with the Digital Processing Environment outlined in the FY2014 President's Budget submission.

Our first initiative, *describe all holdings online to make them easy to use and provide archival context*, is a basic building block for us to make access happen. It allows us to provide public access (and public participation) by making the information about our holdings available and discoverable, and also by providing it in a form that the public can use, reuse, and enhance. To achieve this, we will continue to incrementally reduce our description backlog—85 percent described in FY 2014, 90 percent in FY 2015, with a goal of 100 percent described by FY 2017. In FY 2014, roll-out of the updated descriptive entry system, the Description and Authorities Service (DAS), will streamline description entry, review,

tracking, and reporting. The next generation of the Online Public Access (OPA) system—NARA’s online catalog—will also be launched FY 2014. Both will greatly enhance the searchability and availability of our cataloguing data so that the data can be made available to the public more quickly.

Our second initiative, *digitize all analog archival records to make them available online*, goes hand-in-hand with description of 100 percent of our records as a basic building block for us to make access happen. With more than 12 billion items to digitize, we will have to plan and execute strategically and with a focus on identifying and prioritizing those records that will be of maximum interest and use to the public as we work incrementally toward the goal of 100 percent digitization. In FY 2014 we will develop the plan for digitization and making the digitized materials readily and securely available to the public. In FY 2015, we will launch the implementation of that plan.

Third, we must *accelerate processing of analog and digital records to quickly make our records available to the public*. To make this happen, we need to enhance the framework in which we receive, ingest, process, preserve, and provide access to electronic records and other digital materials in our custody. We will do this through a phased approach; one of the first enhancements is the system supporting the ingest process functions, known as the Digital Processing Environment (DPE). The continuing increase in electronic records and the Presidential Directive for Records Management that instructs agencies to process their records in an electronic manner are the drivers for this enhancement. Work in FY 2014 will focus on developing a pilot for DPE that can effectively reside in a Federal Cloud environment, or within a Federal data center. This pilot will serve as an evaluation tool to allow NARA and some agencies to assess the performance of DPE and make changes to the requirements, if required. Work in FY 2015 will focus on creating a production version of DPE that can be used to process records.

Key external factors We intend to accomplish some of this goal through partnerships with other organizations that want to publish our holdings on their web sites. Progress in processing Presidential records may be hindered by an unusually large number of special access requests or Presidential Records Act (PRA)/FOIA requests and the need to review records page by page.

FY 2013 Results Our FY 2013 Performance results were published in NARA’s FY 2013 Performance and Accountability Report, which is available online at:

<http://www.archives.gov/about/plansreports/performance-accountability/2013/index.html>

Our FY 2014 Performance results will be integrated with our FY 2015 and FY 2016 Annual Performance Plan in this section.

Verification and Validation

| <i>Performance Data</i> | | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 | FY 2015 | |
|--|---------------|----------------|----------------|----------------|----------------|----------------|----------------|----------|
| Number of retrievals of digital archival records. | <i>Target</i> | | | | | | — | Baseline |
| | <i>Actual</i> | — | — | — | — | | | |
| Percent of online visitors who are repeat visitors. | <i>Target</i> | | | | | | — | Baseline |
| | <i>Actual</i> | — | — | — | — | | | |
| Percent of traditional records available online. | <i>Target</i> | 0.30 | 0.65 | 1.0 | 1.2 | 1.4 | 1.6 | |
| | <i>Actual</i> | 0.06 | 0.8 | 1.2 | 1.2 | | | |
| Percent of traditional archival holdings described in an online catalog. | <i>Target</i> | 70 | 75 | 80 | 85 | 85 | 90 | |
| | <i>Actual</i> | 72 | 74 | 81 | 83 | | | |
| Percent of electronic archival holdings described in an online catalog. | <i>Target</i> | 70 | 75 | 80 | 85 | 85 | 90 | |
| | <i>Actual</i> | 96 | 96 | 87 | 93 | | | |
| Percent of artifact archival holdings described in an online catalog. | <i>Target</i> | 70 | 75 | 80 | 85 | 95 | 95 | |
| | <i>Actual</i> | 74 | 78 | 88 | 95 | | | |
| Percent of archival holdings processed. | <i>Target</i> | 51 | 55 | 60 | 65 | 67 | 70 | |
| | <i>Actual</i> | 47 | 53 | 60 | 65 | | | |

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

Definitions NARA's Digitization Strategy: <http://www.archives.gov/digitization/strategy.html>.



Strategic Goal
CONNECT WITH CUSTOMERS

Connect with Customers challenges us to continuously improve customer service, cultivate public participation, and generate new understanding of the importance of records in a democracy. We will continuously engage with and learn from our customers—individuals, organizations, and other Federal agencies. We will build long-term, positive, effective relationships, and provide a consistent customer experience across programs, platforms and locations. We will be an exemplary culture of open government.

Objective: **Improve internal and external customer engagement to cultivate and sustain public participation.**
Goal Leader: Office of Research Services

| <i>FY 14 Estimated Performance Goals:</i> | <i>FY 15 Projected Performance Goals:</i> |
|---|--|
| <ul style="list-style-type: none"> • Meet or exceed targets on our customer service metrics (existing measures) <ul style="list-style-type: none"> ▪ Sustain the percent of DD-214/separation requests answered within 10 working days ▪ Increase the percent of Freedom of Information Act requests for Federal records answered within 20 working days ▪ Improve customer satisfaction with NARA records management services ▪ Improve customer satisfaction with customers retrieving military records from NPRC | <ul style="list-style-type: none"> • Increase the number of contributions (tagging, comments) by the public on NARA and third-party platforms (set baseline) • Increase the number of Federal Register.gov subscriptions • Increase the number of MyFR.gov accounts • Meet or exceed targets on our customer service metrics <ul style="list-style-type: none"> ▪ Sustain the percent of DD-214/separation requests answered within 10 working days ▪ Increase the percent of Freedom of Information Act requests for Federal records answered within 20 working days ▪ Improve customer satisfaction with NARA records management services ▪ Improve customer satisfaction with NARA internal services ▪ Improve customer satisfaction with customers retrieving military records from NPRC |
| Strategic Initiative 1: | Integrate customer service activities to more proactively respond to and effectively understand our customer needs. |
| <ul style="list-style-type: none"> • Streamline NARA’s public facing telephone tree operations. • Develop requirements and concept of operations for a NARA-wide researcher registration system. • Deploy enhancements to NARA’s 311 internal customer service delivery system. | <ul style="list-style-type: none"> • Complete development, testing, and acceptance of a NARA-wide researcher registration system. |

| <i>FY 14 Estimated Performance Goals:</i> | | <i>FY 15 Projected Performance Goals:</i> | |
|---|---|---|--|
| | | | |
| Strategic Initiative 2: | Expand our use of public participation and crowd-sourcing tools to improve public access and engagement. | | |
| <ul style="list-style-type: none"> Digitize 20 WW1/WW2 films and deploy the Citizen Archivist community to work on their transcription. | <ul style="list-style-type: none"> Digitize 50 WW1/WW2 films and deploy the Citizen Archivist community to work on their transcription. | | |
| Strategic Initiative 3: | Create a unified national outreach program (exhibitions, educational, and public programming) that engages diverse audiences in learning about government records and inspires active participation in America’s democratic process. | | |
| <ul style="list-style-type: none"> Develop a detailed plan for an expanded national outreach program. | <ul style="list-style-type: none"> Launch an expanded national traveling exhibit program. Launch an expanded national education and public program initiative in collaboration with the traveling exhibit program. | | |
| Strategic Initiative 4: | Develop a virtual regulatory environment to increase transparency and expand public participation in the Federal rule-making process. | | |
| <ul style="list-style-type: none"> Establish a process for earlier engagement with Federal agencies on their rule making process. Develop a new tagging strategy with the Government Printing Office for rule making documents. Give <i>federalregister.gov</i> official status. | <ul style="list-style-type: none"> Synchronize <i>regulations.gov</i> and <i>federalregister.gov</i> to provide a seamless commenting experience. Work with EPA and OMB to develop a standardized taxonomy for use in rulemaking documents. | | |

Significance We will continuously engage with and learn from our customers—individuals, organizations, and other Federal agencies—to build effective relationships and provide a consistent customer experience across programs and locations. Our customers deserve the best service we can deliver.

Means and Strategies We want to truly connect with our customers so they seek NARA as their “preferred destination” for authentic sources of information. To reach this goal, we welcome and encourage customer participation to provide a unified experience across all business lines. We cultivate our own internal customer service to better serve our internal customers/communities, each other. Ultimately, it is about turning “no” into “let’s see what we can do to help you”; providing other avenues for finding the information our customers need if we do not have it; reaching beyond ourselves with sustainable solutions; and gaining new interest and expectations for our holdings and the work we do. We propose to capture “repeat” visits to NARA in addition to initial visits both physically and online.

We will work to coordinate our efforts to ensure that our customer service meets our customer’s needs. Some of the strategies we will take toward that end include:

- measuring performance against customer service standards
- developing a national approach to systematically collect customer request/feedback

- deliberately taking actions to improve services based on customer feedback
- developing and implementing customer service training for staff, and
- standardizing customer service across our programs and locations.

We are undertaking four initiatives to move us toward this strategic objective. First, we plan to *integrate internal and external customer service activities to more proactively respond to and effectively understand our customer needs*. Through this initiative we hope to improve customer service, identify new service opportunities, and better track customer relationships. One way to do this is through a nationwide researcher registration system. We plan to build the requirements for this system during FY 2014, and develop, test, and accept the system during FY 2015. Another effort we plan to undertake in FY 2014 is improvement of our telephone tree operations, simplifying it for customers trying to reach us by phone. We also plan to bolster internal customer service by way of enhancing the “NARA 311” internal customer service delivery system during FY 2014.

Our second initiative is to *expand our use of public participation and crowd-sourcing tools to improve public access and engagement*. Key to connecting with customers is to provide them with tools that allow them to work with our records. We have seen success in our initial Citizen Archivist pilot programs and in other initiatives across the Federal Government, such as the Citizen Scientist initiatives. To expand public participation and crowdsourcing, in FY2014 we will digitize 20 WW1/WW2 films, and expand the scope of our Citizen Archivist community to work on transcription. We will continue in FY2015 and digitize 50 WW1/WW2 films, hold Citizen Archivist workshops and transcribe-a-thons, and make films and digitized photographs available online via apps and other social media platforms.

Another initiative is to *create a unified national outreach program (exhibitions, educational, and public programming) that engages diverse audiences in learning about government records and inspires active participation in America’s democratic process*. This program will enable us to expand our current outreach program through a variety of venues and collaborations, including better sharing expertise and resources across the agency and reinforcing the NARA brand in all of our facilities. In FY 2014 we plan to develop a detailed plan for expanded national outreach; in FY 2015, we will launch the plan as well as an expanded national traveling exhibit.

Finally, we plan to *develop a virtual regulatory environment to increase transparency and expand public participation in the Federal rule-making process*. This effort has two dimensions – an outward facing effort directed at improving the experience of public participation in the process, and an inward facing effort directed at improving the experience of Federal agencies that develop, review comments about, and promulgate Federal regulations. Both customer groups deserve our best efforts to support their ability to access and use the Federal rule-making process. In large part, these efforts both involve synchronizing existing resources, particularly the *federalregister.gov* (operated by NARA) and *regulations.gov* (operated by the Environmental Protection Agency) websites. In cooperation with EPA and GPO, we will establish a working group to identify and complete tasks that achieve goals relating to both dimensions of this effort. Among these goals in FY 2014 are giving *federalregister.gov* official status, engaging our agency customers earlier in the rule-making process, and setting the stage for better future synchronization by improving our technical foundation for doing so. For FY 2015, our goal is to improve the public experience by creating a seamless commenting process across both websites, and by moving forward on steps that have been identified by the working group to simplify the document creation and submission processes for Federal agencies.

Key external factors Unexpected increases in records holdings or public interest in groups of records can significantly increase workloads and response times. We cannot control the response time for FOIAs that must be referred to other agencies. We are dependent upon cooperation from EPA’s e-rulemaking program office for some of the goals established for improving the Federal rule-making process and GPO who owns the domain name and has the contract for FR 2.0 development and maintenance.

FY 2013 Results Our FY 2013 Performance results were published in NARA’s FY 2013 Performance and Accountability Report, which is available online at:

<http://www.archives.gov/about/plansreports/performance-accountability/2013/index.html>

Our FY 2014 Performance results will be integrated with our FY 2015 and FY 2016 Annual Performance Plan in this section.

Verification and Validation

| <i>Performance Data</i> | | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 | FY 2015 | |
|---|---------------|---------|---------|---------|---------|---------|----------|-----|
| Number of contributions (tagging, comments) by the public on NARA and third-party platforms | <i>Target</i> | — | | | | | Baseline | |
| | <i>Actual</i> | — | — | — | — | | | |
| Number of <i>FederalRegister.gov</i> subscriptions | <i>Target</i> | — | | | | | Baseline | TBD |
| | <i>Actual</i> | — | 2,487 | 9,821 | 21,423 | | | |
| Number of <i>FederalRegister.gov</i> MyFR.gov accounts | <i>Target</i> | — | | | | | Baseline | TBD |
| | <i>Actual</i> | — | — | 4,611 | 15,928 | | | |
| Number of clicks on the <i>FederalRegister.gov</i> commenting feature | <i>Target</i> | — | | | | | Baseline | TBD |
| | <i>Actual</i> | — | — | 7,462 | 65,088 | | | |
| Number of <i>Office of Federal Register Publications</i> retrieved online (in millions) | <i>Target</i> | — | — | — | — | — | — | |
| | <i>Actual</i> | 318 | 230 | 266 | 294 | | | |
| Percent of DD-214/separation requests answered within 10 working days | <i>Target</i> | — | — | — | — | 95 | 95 | |
| | <i>Actual</i> | 94 | 93 | 92 | 95 | | | |
| Percent of Freedom of Information Act requests for Federal records completed within 20 working days | <i>Target</i> | 87 | 88 | 89 | 90 | 85 | 86 | |
| | <i>Actual</i> | 90 | 91 | 84 | 83 | | | |
| Customer satisfaction with NARA records management services | <i>Target</i> | — | | | | | — | TBD |
| | <i>Actual</i> | 81 | 81 | 81 | 81 | | | |
| Customer satisfaction with NARA internal services | <i>Target</i> | — | | | | | Baseline | TBD |
| | <i>Actual</i> | — | — | TBD | TBD | | | |
| Customer satisfaction with retrieving military records from NPRC | <i>Target</i> | — | — | — | — | 87 | >88 | |
| | <i>Actual</i> | 85 | 92 | 90 | 86 | | | |
| Number of daily researcher visits (in thousands) | <i>Target</i> | — | — | — | — | — | — | |
| | <i>Actual</i> | 137 | 129 | 123 | 114 | | | |
| Number of website visits (in millions) | <i>Target</i> | — | — | — | — | — | — | |
| | <i>Actual</i> | 41 | 34 | 44 | 50 | | | |
| Number of daily general visits to museums and exhibitions (in millions) | <i>Target</i> | — | — | — | — | — | — | |
| | <i>Actual</i> | 2.8 | 3.0 | 3.1 | 3.2 | | | |
| Number of public program attendees, excluding education (in thousands) | <i>Target</i> | — | — | — | — | — | — | |
| | <i>Actual</i> | 392 | 474 | 369 | 470 | | | |
| Number of education program attendees | <i>Target</i> | — | — | — | — | — | — | |
| | <i>Actual</i> | 196 | 336 | 310 | 324 | | | |

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

Definitions Crowd-sourcing: The practice of obtaining needed services, ideas, or content by soliciting contributions from a large group of people and especially from the online community rather than from traditional employees or supplier.

DD-214/Separation Requests: Military service separation records.

Tagging: The process of creating tags to identify images or text within a website as categories or topics. A tag is a non-hierarchical keyword or term assigned to a piece of information (such as an Internet bookmark, digital image, or computer file). This kind of metadata helps describe an item and allows it to be found again by browsing or searching.



Strategic Goal

MAXIMIZE NARA’S VALUE TO THE NATION

Maximize NARA’s Value to the Nation recognizes public access to government information creates measurable economic value, which adds to the enduring cultural and historical value of our records. We will continue to be an effective steward of the government resources that we hold in trust and will constantly strive to be a responsive 21st-century government agency. We will strive to implement new business practices to achieve greater efficiency and effectiveness in all we do and ensure institutional sustainability.

Objective: **Reform and modernize records management policies and practices within the Federal government to effectively support the transition to a digital government.**

Goal Leader: Agency Services

| <i>FY 14 Estimated Performance Goals:</i> | | <i>FY 15 Projected Performance Goals:</i> | |
|--|--|---|--|
| <ul style="list-style-type: none"> The percent of agencies that are in the low risk category of the Records Management Self Assessment increases. The percent of agencies that have implemented Goal 1.2 of the Managing Government Records Directive—managing all email electronically by the end of 2016—increases. The percent of agencies that have implemented Goal 1.1 of the Managing Government Records Directive—managing all permanent records electronically by the end of 2019—increases. | <ul style="list-style-type: none"> The percent of agencies that are in the low risk category of the Records Management Self Assessment increases. The percent of agencies that have implemented Goal 1.2 of the Managing Government Records Directive—managing all email electronically by the end of 2016— increases. The percent of agencies that have implemented Goal 1.1 of the Managing Government Records Directive—managing all permanent records electronically by the end of 2019—increases. Increase the number of archival records made available to the public through NHPRC grants (arranged, catalogued, digitized) | | |
| Strategic Initiative 1: | Establish requirements for Federal agencies to manage all permanent electronic records in an electronic format to support the transition to a digital government. | | |
| <ul style="list-style-type: none"> Revise format guidance for the transfer of permanent electronic records. Provide email guidance (Capstone) training to Federal agencies. | <ul style="list-style-type: none"> Release an analytical tool for government-wide use. Convert core records management training to online delivery methods. | | |
| Strategic Initiative 2: | Stimulate investigation of applied research in automated technologies to reduce the burden of records management responsibilities. | | |
| <ul style="list-style-type: none"> Issue the Automated Electronic Records Management Plan and Report. | <ul style="list-style-type: none"> Develop minimal requirements for commercial or agency-supplied electronic records management services. | | |

Significance NARA will develop and demonstrate new practices and technology that lead the industry and set the standard for “cutting edge” of records management, public participation in government, and cultural and civic engagement.

Means and Strategies Each year records management becomes more challenging. The volume of electronic records created in various formats across a range of information technology platforms grows and evolves. Numerous software upgrades, introductions of new technologies, and technological obsolescence are examples of a few of the challenges we face in trying to ensure that the permanent records of our nation are available and accessible.

Public access to government information supports the principles of open government and makes it possible for an informed citizenry. The permanent records of our Federal Government protect the rights of citizens, hold government officials accountable for their actions, and documents present day decisions and events that shape our history. With proper records management, we minimize the risk of losing permanent records that are not only valuable both culturally, and historically, but also make a measurable economic impact to the nation.

In FY 2012, Presidential Memorandum, *Managing Government Records*, called for reform of records management policies and practices to address these challenges and improve performance and promote openness and accountability. In response, the Director of OMB and the Archivist of the United States issued the *Managing Government Records Directive* to address ways to modernize the management of Government records and update records management policies and practices in the Federal Government with emphasis on managing electronic records.

We will continue to engage agencies, our customers, and our stakeholders as we pursue innovative ways to manage electronic records and transition to a digital government. We will address the tasks outlined in the Directive through two initiatives:

The first initiative, *establish requirements for Federal agencies to manage all permanent electronic records in an electronic format to support the transition to a digital government*, will help Federal agencies in their planning, implementation, and transition towards achieving Goal 1.1 and Goal 1.2 of the Managing Government Record Directive. In FY 2014, we will issue revised guidance for the transfer of permanent records. This guidance will specify which file formats are acceptable when transferring permanent electronic records to NARA. It will also contain an appendix that we will update to reflect the continual format changes in how agencies create and use electronic records. In addition, we will provide extensive training on the new Email Guidance (Capstone) to Federal agencies. Both efforts support specific actions in the Directive.

For our second initiative, *stimulate investigation of applied research in automated technologies to reduce the burden of records management responsibilities*, we will issue a comprehensive plan (supporting Goal A3 of the Managing Government Record Directive) that addresses approaches and technologies for managing electronic records that are available today, proposes steps to explore ways of making automation more accessible to agencies, and outlines elements of a future state that will allow for greatly improved management of electronic records in the future. Specifically, we will work with agencies and the vendor community to develop minimal requirements for commercial or agency-supplied electronic records management services. This work will begin in FY 2014 and be completed by the end of FY 2015.

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

FY 2013 Results Our FY 2013 Performance results were published in NARA’s FY 2013 Performance and Accountability Report, which is available online at:

<http://www.archives.gov/about/plansreports/performance-accountability/2013/index.html>

Our FY 2014 Performance results will be integrated with our FY 2015 and FY 2016 Annual Performance Plan in this section.

Verification and Validation

| <i>Performance Data</i> | | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 | FY 2015 |
|---|---------------|---------|---------|---------|---------|----------|----------|
| Percent of cabinet level agencies/departments that are in the low risk category of the Records Management Self Assessment increases | <i>Target</i> | | | | | Baseline | TBD |
| | <i>Actual</i> | 8 | 10 | 26 | TBD | | |
| Percent of independent level agencies that are in the low risk category of the Records Management Self Assessment increases | <i>Target</i> | | | | | Baseline | TBD |
| | <i>Actual</i> | 3 | 12 | 8 | TBD | | |
| Percent of cabinet level agencies/departments that manage all email electronically | <i>Target</i> | | | | | Baseline | TBD |
| | <i>Actual</i> | — | — | — | — | | |
| Percent of independent level agencies that manage all email electronically | <i>Target</i> | | | | | Baseline | TBD |
| | <i>Actual</i> | — | — | — | — | | |
| Percent of cabinet level agencies/departments that manage all permanent records electronically | <i>Target</i> | | | | | Baseline | TBD |
| | <i>Actual</i> | — | — | — | — | | |
| Percent of independent level agencies that manage all permanent records electronically | <i>Target</i> | | | | | Baseline | TBD |
| | <i>Actual</i> | — | — | — | — | | |
| Number of archival records made available to the public through NHPRC grants (arranged, catalogued, digitized) | <i>Target</i> | | | | | — | Baseline |
| | <i>Actual</i> | — | — | — | — | | |

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

Objective:**Drive public and commercial use and re-use of NARA records to create measurable economic activity.***Goal Leader: Business Services*

| <i>FY 14 Estimated Performance Goals:</i> | <i>FY 15 Projected Performance Goals:</i> |
|---|--|
| <ul style="list-style-type: none"> • Increase the number of archival electronic records available in a machine-readable open format with standard metadata. • Increase the number of NARA-related data sets published in <i>Data.gov</i>. • Increase the number of downloads of NARA data sets from <i>Data.gov</i>. • Achieve LEED Gold certification for the National Archives at College Park. | <ul style="list-style-type: none"> • Establish baseline for valuing NARA’s economic impact to communities of people visiting NARA facilities. • Increase the number of archival electronic records available in a machine-readable open format with standard metadata. • Increase the number of NARA-related data sets published in <i>Data.gov</i>. • Increase the number of downloads of NARA data sets from <i>Data.gov</i>. • Identify plan for achieving LEED certification at other NARA buildings. |
| Strategic Initiative: | Provide direct access to record data in machine readable forms to allow efficient use of NARA data. |
| <ul style="list-style-type: none"> • Launch for the public an API for NARA’s online catalog. | <ul style="list-style-type: none"> • Analyze NARA information systems and identify candidates for further APIs. |

Significance The value we bring to geographic localities across the country by our physical presence is recognized and growing. While this value is not easily quantifiable, we will know we are successful when we can demonstrate our contribution to the greater economy and see that contribution broadening.

Means and Strategies Our value to the nation is demonstrated in part by how we promote efficiency and economy. In addition, the “Big Data” information we have is a national asset. Its use creates jobs and new industries. Through this strategic objective, we strive to better understand how NARA fits into the user communities and the economy at large. We recognize our presence provides economic benefits to the communities we serve; however, we want our work and our assets to have economic value far beyond our immediate communities. We want to leverage our resources beyond the brick and mortar NARA to generate economic benefits to the nation.

The White House’s Digital Government Strategy directs agencies to make high value data and content in customer-facing systems available through web APIs. The White House’s Open Data Policy directs agencies to manage government information as an asset throughout its lifecycle to promote openness and interoperability. Currently, we have provided limited API capabilities for small datasets through *Data.gov*, but we are undertaking an initiative to help us in meeting our objective to *provide direct access to record data in machine readable forms to allow efficient use of NARA data*. We will meet the requirements of the Digital Government Strategy and use APIs to provide direct access to records and metadata in open and machine-readable formats to expand the availability and public use of NARA data. In FY 2014 we will develop and launch an API for NARA’s online catalog. We will then support the

public's leveraging of the API to use NARA's online catalog, through documentation and issue resolution.

Key external factors We cannot know the full scope of economic benefits that making our records more accessible brings to the public.

FY 2013 Results Our FY 2013 Performance results were published in NARA's FY 2013 Performance and Accountability Report, which is available online at:

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Our FY 2014 Performance results will be integrated with our FY 2015 and FY 2016 Annual Performance Plan in this section.

Verification and Validation

| <i>Performance Data</i> | | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 | FY 2015 | |
|---|---------------|---------|---------|---------|---------|----------|---------|----------|
| Estimated dollar value to our communities of people visiting NARA facilities | <i>Target</i> | | | | | | — | Baseline |
| | <i>Actual</i> | — | — | — | — | | | |
| Percent of archival electronic records available in a machine-readable open format with standard metadata | <i>Target</i> | | | | | | — | Baseline |
| | <i>Actual</i> | — | — | — | — | | | |
| Number of downloads of NARA data sets from data.gov | <i>Target</i> | | | | | Baseline | TBD | |
| | <i>Actual</i> | — | — | — | — | | | |
| Number of data sets available in Data.gov | <i>Target</i> | | | | | Baseline | TBD | |
| | <i>Actual</i> | — | — | — | — | | | |

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

Definitions API: An abbreviation for Application Program Interface, a set of routines, protocols, and tools for building software applications. The API specifies how software components should interact and are used when programming graphical user interface (GUI) components. A good API makes it easier to develop a program by providing all the building blocks. A programmer then puts the blocks together.

Big Data: The term used for a collection of data that is so voluminous that it becomes difficult to process using on-hand database management tools or traditional data processing applications.

LEED: Leadership in Energy and Environmental Design is a building certification process to enhance environmental awareness and encourage the design and construction of energy-efficient, water-conserving buildings that use sustainable or green resources and materials.

Machine readable formats: Data in a format that can be read by a computer.



Strategic Goal

BUILD OUR FUTURE THROUGH OUR PEOPLE

Build Our Future Through Our People is our commitment to provide all employees with development and growth opportunities necessary to successfully transition to a digital environment. We have an opportunity to “become more” – to find ways to be better at our jobs, smarter in our work, savvier in our decisions, and bolder in our commitment to leading the archival and information professions to ensure continued relevance and flourishing of archives in a digital society. We will build a modern and engaged workforce, develop the next generation of leaders, and encourage employees to collaborate, innovate, and learn. We will provide a workplace that fosters trust, accepts risk, and rewards collaboration.

Objective: **Create and sustain a culture of empowerment, openness, and inclusion**
Goal Leader: Office of Human Capital

| <i>FY 14 Estimated Performance Goals:</i> | <i>FY 15 Projected Performance Goals:</i> |
|---|--|
| <ul style="list-style-type: none"> • Improve NARA scores on EVS questions about empowerment, openness, and inclusion. • Improve NARA scores on EVS questions about internal communications. | <ul style="list-style-type: none"> • Improve NARA scores on EVS questions about empowerment, openness, and inclusion. • Improve NARA scores on EVS questions about internal communications. |
| <p>Strategic Initiative 1: Foster an employee development culture to promote learning and leadership by all.</p> | |
| <ul style="list-style-type: none"> • Create and implement a strategic Leadership, Manager, and Supervisor development program consistent with NARA’s mission, vision and goals. • Identify learning and development requirements for NARA’s occupational development programs that develop the functional and technical expertise to support today’s mission and prepares the workforce for the future. • Identify the learning and development requirements for a professional growth program that facilitates employee development of core competencies and enables career growth and personal satisfaction for all employees. • Create and begin the implementation of NARA’s executive development program. | <ul style="list-style-type: none"> • Implement occupational development programs to support the functional development and growth of NARA’s workforce. • Implement a NARA-wide professional growth program that enables core competency development, career growth opportunities, and personal satisfaction for all employees. |

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| Strategic Initiative 2: | Cultivate a robust, well-connected internal communications environment to support informed action at all levels. | |
| | <ul style="list-style-type: none"> • Launch mobile access to NARA’s Internal Communication Network for staff. • Implement a NARA managers and supervisors communication resource hub. | |

Significance People are the most important part of any agency. NARA will dedicate itself to promoting a culture that rewards openness and inclusion in its workforce to ensure every employee feels empowered to positively impact the work environment. NARA will invest in the development of its workforce to create leaders at all work levels, maintain the functional expertise required for mission and personal success, and enable employees to take advantage of career growth and career broadening opportunities. In addition, NARA will work to provide a trusting and collaborative workplace that accepts risk, encourages open communication, and ensures that all employees have opportunities to achieve their full potential.

Means and Strategies Changing the culture of an organization is a difficult task and cannot be forced from the top. The organization can support culture changes by rewarding, supporting, and developing the behaviors it hopes to embody. NARA will support its desired culture change by effectively empowering and developing its workforce, and ensuring clear transparent communications with the entire workforce.

Two initiatives will advance our work toward the strategic objective. First, we will *foster an employee development culture to promote learning and leadership by all*. This initiative helps us foster a culture of continuous learning through a strategic learning and development program focusing on leadership development, functional expertise, and career growth for all employees. One of the key elements impacting culture change in any organization is a structured professional development program that ensures professional expertise, supports career growth, and empowers the workforce. While employees are expected to take control of their own careers, the organization will create an environment conducive to their development, and will provide learning and development opportunities consistent with the mission, goals, and vision of the organization. In FY 2014, we will implement a strategic development program for NARA managers and supervisors, and begin implementation of an executive development program. In FY 2015, we will implement an occupational development program that develops the functional and technical expertise to support our mission today and prepare our staff for the future. In addition, we will implement a professional growth program for all staff.

Second, we will *cultivate a robust, well-connected internal communications environment to support informed action at all levels*. We have had good success with the ICN, a software application that encourages both structured and unstructured conversations on any topic. Using it, interested staff are learning about—and contributing to—developments from all over NARA and at all levels. Our next step with the ICN, in FY 2014, is to take it mobile to encourage participation at all hours and places. In addition, we plan to implement a communications resource hub for managers and supervisors. Beyond technology, we have an initiative to improve two-way communications, not just the one-way, top-down kind familiar to everyone.

Together, these initiatives will continue to move the culture in the direction of empowerment, openness, and inclusion.

Key external factors NARA has no control over the operations or service availability of mobile cell carriers.

FY 2013 Results Our FY 2013 Performance results were published in NARA’s FY 2013 Performance and Accountability Report, which is available online at:

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Verification and Validation

| <i>Performance Data</i> | | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 | FY 2015 | |
|---|---------------|----------------|----------------|----------------|----------------|----------------|----------------|-----|
| NARA scores on EVS questions about empowerment, openness, and inclusion | <i>Target</i> | | | | | | TBD | TBD |
| | <i>Actual</i> | — | — | — | — | | | |
| NARA scores on EVS questions about internal communications | <i>Target</i> | | | | | | TBD | TBD |
| | <i>Actual</i> | — | — | — | — | | | |

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

Definitions EVS: OPM’s annual Employee Viewpoint Survey.

ICN: NARA’s Internal Collaboration Network is an agency-wide, cross-departmental tool for collaboration and knowledge sharing.

| | | |
|--------------------------------|--|---|
| Objective: | Ensure we have a diverse workforce with the skills necessary to fulfill our mission. <i>Goal Leader: Office of Human Capital</i> | |
| | <i>FY 14 Estimated Performance Goals:</i> | <i>FY 15 Projected Performance Goals:</i> |
| | <ul style="list-style-type: none"> Improve NARA scores on EVS questions about workforce diversity Increase the percent of NARA positions filled in 80 days | <ul style="list-style-type: none"> Increase the participation rate of employees in underrepresented groups as compared to their representation in the Civilian Labor Force (CLF) Improve NARA scores on EVS questions about workforce diversity Improve performance management score for SES employees on OPM’s PAAT Increase the percent of NARA positions filled in 80 days |
| Strategic Initiative 1: | Implement innovative practices and tools to recruit, sustain, and retain a 21st Century workforce. | |
| | <ul style="list-style-type: none"> Implement a talent management strategy. | <ul style="list-style-type: none"> Implement automated performance management structure, systems, and policies. |

| | | |
|--------------------------------|---|--|
| Strategic Initiative 2: | Create new career paths for NARA employees to ensure that we have the necessary competencies and skills in a digital environment. | |
| | <ul style="list-style-type: none"> Identify career paths for 1420 and 1421 occupational series positions. | <ul style="list-style-type: none"> Identify career paths for other occupational series positions. |

Significance NARA will build the workforce of the future by providing opportunities for professional growth, attracting and retaining the next generation of professionals, and maximizing diversity of experience.

Means and Strategies A diverse workforce enhances our agency by ensuring that we can draw on the widest possible variety of viewpoints and experiences to improve the planning and actions we undertake to achieve our mission and goals. Our ability to recruit, sustain, and retain a diverse 21st century workforce is key to NARA’s success. We recognize that a high-performing workforce that embraces diversity empowers all employees to achieve their full potential. Diversity is not limited to simply differences in gender and race, but it includes a variety of differences such as age, religion, sexual orientation, physical size, experience, and thought. By promoting and valuing workforce diversity, we create a work environment rich with opportunities to improve planning, communication, and the actions we take to achieve our mission and goals.

Two initiatives will help advance us toward reaching our strategic objective. The first is to *implement innovative practices and tools to recruit, sustain, and retain a 21st century workforce*. We recognize the value our workforce contributes to meeting our mission today, and the importance of retaining these experienced and knowledgeable staff while effectively recruiting others to bridge staffing gaps to meet future needs. To ensure NARA is focusing its actions and resources on the right point in the employment lifecycle, in FY 2014 we will implement a talent management strategy that helps us identify where the greatest barriers lay—recruiting the best, sustaining the skill level of the workforce and/or retaining the knowledge and skills in key areas. Once we pinpoint the areas with the greatest challenges, we will take action to address issues and make improvements. We will continue to leverage our efforts through our Diversity and Inclusion Strategic Plan to ensure momentum in building a diverse and inclusive workplace. In FY 2015, we plan to implement an automated performance management solution to limit transactional interactions so we can be more consultative with supervisors and managers to build effective performance plans and provide meaningful feedback to staff. Ultimately this feedback will be used to create individual development plans to ensure the agency maintains a staff with the competencies we need now and in the future to successfully achieve NARA’s mission.

Secondly, we will *create new career paths for NARA employees*. Building documented career paths fulfills a desire of staff to understand career growth opportunities and developmental support. This effort also helps to build qualified applicant pools and encourages promotion from within. By removing the guess work of how to get from point A to point B in their career, staff can plan ahead and work with their supervisors to gain the right experience necessary to grow their career at NARA. NARA in turn will be able to anticipate interest in key occupations through tracking participation in developmental programs. This effort will help determine the best strategy that ensures our workforce is prepared and available to meet future needs. In FY 2014, we will start by developing career paths for our two largest occupational series, which include archivist, archives specialist, archives technician, and archives aid positions. In FY 2015, we will develop career paths for other occupational series.

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

FY 2013 Results Our FY 2013 Performance results were published in NARA’s FY 2013 Performance and Accountability Report, which is available online at:

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Verification and Validation

| <i>Performance Data</i> | | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 | FY 2015 | |
|--|---------------|----------------|----------------|----------------|----------------|----------------|----------------|----------|
| Participation rate of employees in underrepresented groups as compared to their representation in the Civilian Labor Force (CLF) | <i>Target</i> | | | | | | TBD | TBD |
| | <i>Actual</i> | — | — | — | — | | | |
| NARA scores on EVS questions about workforce diversity | <i>Target</i> | | | | | | >54 | TBD |
| | <i>Actual</i> | — | 58 | 56 | 54 | | | |
| Performance management score for SES employees on OPM’s PAAT | <i>Target</i> | | | | | | — | Baseline |
| | <i>Actual</i> | — | — | — | — | | | |
| Percent of NARA’s positions filled within 80 days | <i>Target</i> | | | | | | 45 | 50 |
| | <i>Actual</i> | 10 | 12 | 27 | 40 | | | |

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

Definitions Career paths: The way that you progress in your work, either in one job or a series of jobs.

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