

### **PART 3. OFFICE OF INFORMATION SERVICES**

#### **ORGANIZATION**

##### **1. Assistant Archivist for Information Services**

- a. Serves as the National Archives and Records Administration (NARA) Chief Information Officer (CIO) and leads a NARA-wide information technology (IT) program to carry out the provisions of the Information Technology Management Reform Act of 1996 and the E-Government Act of 2002.
- b. Serves as the NARA representative to the CIO Council and related committees and establishes partnerships with other Federal agencies to implement IT initiatives.
- c. Administers NARA information resources management (IRM) programs, projects, processes and infrastructure, in accordance with the Federal Paperwork Reduction Act, 44 U.S.C. ch. 35.
- d. Administers the NARA Enterprise Architecture (EA) program, develops NARA EA policies, and establishes and oversees EA governance for the agency.
- e. Administers NARA's internal records management program.
- f. Administers NARA's product management, workflow redesign, program analysis, and project management programs.
- g. Ensures that the NARA IT program conforms to all NARA and Federal standards, policies, and guidelines for interconnectivity and interoperability, computer system efficiency, and computer security.

##### **2. Deputy Chief Information Officer**

- a. Assists the CIO in leading the agency-wide IT program and carrying out the provisions of enacted IT legislation.
- b. In coordination with the CIO, manages all day-to-day functions of the IT and IRM program divisions and staffs.
- c. Directs NARA's product management, workflow redesign, program analysis, and project management programs.
- d. In coordination with the Chief Technology Officer (CTO), leads a team of IT subject area specialists, program office experts, and technical experts to resolve problems and issues with NARA IT projects, infrastructure, systems, and networks.

- e. Ensures that NH meets NARA Strategic Plan and Annual Performance Plan IT goals and targets. Manages office resources and oversees process and organizational improvement initiatives to facilitate target achievement.
- f. Ensures that NH implements NARA Inspector General and General Accounting Office and other oversight body recommendations for the IT and IRM program.
- g. Administers the NH IT and IRM budget, personnel, and contracts.
- h. Ensures that privacy impact assessments are conducted and reviewed for applicable IT systems.

**3. Chief Technology Officer**

- a. Serves as advisor to the CIO and Deputy CIO, office heads and high-level managers within NARA, and senior officials throughout the Government on NARA-related IT initiatives and issues and on setting NARA's overall IT direction.
- b. Directs the planning, architecture, design, and configuration management of all agency-wide hardware, software, database management systems, telecommunications, data and LAN/WAN networks and related equipment and approves systems development methodologies and configuration changes to NARA's technology infrastructure.
- c. Manages NARA's Enterprise Architecture (EA) program, and directs the development and maintenance of NARA's Enterprise Architecture work products. Co-chairs the Architecture Review Board (ARB) with the Director of the Product Management Staff (NHM).
- d. Provides guidance and technical leadership to NARA IT managers and staff involved in the design, development, implementation, modification, maintenance and integration of intra- and inter-agency and public access systems through which NARA administers its programs.
- e. In coordination with the CIO, Deputy CIO, and the IT Policy Branch (NHPL), develops guidance and processes for the acquisition and development of IT systems.
- f. In coordination with NARA offices, leads, plans, and coordinates organizational re-engineering from the IT perspective. Recommends strategies for IT managers in addressing NARA's IT needs. Evaluates new information technologies for adoption by NARA and reviews existing technologies to determine continued operational capability.

**4. IT Security Staff**

- a. Implements the NARA computer security training program for all NARA staff and contractors.

- b. Ensures compliance, including the preparation of required reports and documentation, with Government-wide computer security policy, procedures, laws, and regulations.
- c. Ensures computer security is an integral component of new system design for all NARA IT applications and services.
- d. Responds to NARA Inspector General and General Accounting Office and other oversight bodies on inquiries pertaining to computer security.
- e. Develops and implements the IT Security Program Plan and the Computer Security Response Program.
- f. Manages the Certification and Accreditation program for all IT systems.
- g. In conjunction with the CTO, develops the NARA-wide IT security architecture.
- h. Provides guidance, training, and support to the Information System Security Officers (ISSOs) and assistant ISSOs.

**5. NARA Records Management Staff**

- a. The NARA Records Officer is the director of the NARA Records Management Staff.
- b. Develops policy and procedures for managing NARA's operational records throughout the records life cycle. Prepares formal directives and other guidance products for dissemination to employees via NARA's intranet and other communications channels.
- c. Assists NARA units and employees in implementing records management policy, procedures, guidance, and best practices.
- d. In collaboration with records creators, prepares records schedules for submission to the Life Cycle Management Division (NWML) and approval by the Archivist.
- e. Maintains and updates the NARA Records Schedule.
- f. Ensures that records management functionalities are an integral part of IT systems design.
- g. Manages the NARA vital records program.
- h. Leads special records management projects, particularly for electronic records.
- i. Arranges for the accessioning of permanent operational records into holdings of the National Archives.

- j. Approves the destruction of operational records stored in all Federal records centers.
- k. For Washington, DC area units:
  - (1) Arranges for the transfer of non-current operational records to the Washington National Records Center (WNRC);
  - (2) Coordinates requests from units for retrieval of their non-current records stored at WNRC; and
  - (3) Manages the storage and retrieval of non-current records stored in the Archives II Records Staging Area.

**6. Center for Advanced Systems and Technologies**

**a. Advanced Research in Archival Science, Computer Science and Engineering**

- (1) Serves as NARA lead in coordination of IT research activities in government-wide, interagency, and collaborative activities.
- (2) Organizes, sponsors, and participates in research to identify, stimulate and evaluate advances in computer science, archival science, and related technologies capable of improving the lifecycle management of records. Areas of research include:
  - (a) Computational, security and data management requirements for lifecycle management of electronic records, not available in the marketplace.
  - (b) Emerging technologies that offer promise for addressing or improving responses to requirements for lifecycle management of electronic records.
  - (c) Archival and information sciences to improve the conceptual foundation for analyzing, evaluating and applying information technology across the lifecycle of records.
- (3) Collaborates in interagency and government-wide activities and in interactions with professional and academic activities related to research and development of advanced systems and technologies.
- (4) Coordinates with NARA program offices on the selection of areas of research.

**b. Applied Research and Exploratory Development**

Conducts research, development, and evaluation activities focused on translating the results of advanced technology research to make them applicable to the fulfillment of NARA's mission for the lifecycle management of records across the U.S. Government:

- (1) Leads, coordinates, and conducts research, testing, and prototyping to explore and evaluate application of the results of advanced technology research to the lifecycle management of records and publishes findings, where applicable.
- (2) Leads and coordinates NARA-wide activities to identify technologies and methods, establish standards, and develop standard operating procedures for the lifecycle management of electronic records, including transfer to NARA's custody, preservation, metadata management, and sustained access, among others.
- (3) Explores and promotes archival and data format software projects to counteract rapid obsolescence in data formats, hardware, and software.
- (4) Fosters the development and supports the sustainability of open source solutions that may be useful to NARA.
- (5) Provides technical analysis and expertise on applicability, sufficiency, and risks of various information technologies and methods for lifecycle management of records from a government-wide and full lifecycle perspective.

**c. Knowledge for NARA Operations and Work**

Promotes the collection and dissemination of technical and scientific knowledge across NARA to improve performance at the level of both agency operations and individual work.

- (1) Promotes and facilitates knowledge transfer concerning information technologies and related sciences to NARA operations and work.
- (2) Advises the Archivist, the Chief Information Officer, and other managers on topics and issues related to advanced systems and technologies.
- (3) Provides and mentors developmental assignments for archivists and other staff of NARA to increase knowledge and skills relevant to lifecycle management of electronic records and the application of science and technology to NARA operations and work.

- (4) At the request of other NARA offices, contributes to activities aimed at improving agencies' lifecycle management of records; for example, by providing expert information and advice to policy development, records management evaluations, records management training and assistance, and other activities.
- (5) Supports other units in public communications activities related to information technology, computer science, archival science and related fields.
- (6) Supports workforce development to meet needs for technical knowledge and skills in the performance of records management and archival functions.

**7. Information Technology Policy and Administration Division**

**a. Capital Planning Branch**

- (1) Develops policies, standards, guidance, and processes for the selection, control, and evaluation of NARA IT investments, programs, systems, and services.
- (2) Manages the IT capital planning process and reviews and analyzes proposed projects.

**b. IT Policy Branch.** In coordination with the CIO and Deputy CIO:

- (1) Develops and monitors progress on NH operating plans and budgets.
- (2) Tracks and implements the NH IT and IRM budget and staffing and reviews NH contract documentation.
- (3) Monitors progress and reports to external organizations on NARA's E-Government participation and internally on NARA's IT Annual Performance Plan objectives and targets.
- (4) Coordinates responses and action plans for NARA Inspector General and General Accountability Office and other oversight body audits and investigations.
- (5) In coordination with NHT, the CTO , and other NHP teams, plans and develops NARA's IT policies related to data and voice communications, user interfaces, databases, hardware, and systems and applications software.

- (6) In coordination with the CTO, develops guidance and processes for the acquisition and development of IT systems.
- (7) Manages administrative functions for NH such as recurring procurements, correspondence tracking, scheduling of training, coordination of comments on agency proposals, and administration of the NH management controls program.
- (8) In consultation with NCON as appropriate, implements NARA's Section 508 Program.

**c. Data and Database Administration Branch**

- (1) For records lifecycle data, in coordination with the Lifecycle Coordination staff (NPOL) works with appropriate offices to develop, maintain, and advocate NARA data architecture and data content and value standards and provides appropriate guidance and training to NARA staff.
- (2) For non-records lifecycle data, works with appropriate NARA offices to develop, maintain, and advocate NARA data architecture and data content and value standards and provides appropriate guidance and training to NARA staff.
- (3) Coordinates the clearance of information collections under the Paperwork Reduction Act.
- (4) Implements the NARA forms management program.
- (5) In coordination with the CTO, NHT, and other NHP teams, establishes standards for all activities related to the selection and use of database management systems.
- (6) Implements NARA's Information Quality Program.

**8. Information Technology Services Division**

**a. Division Director**

- (1) Administers the operation of NARA's IT infrastructure, including voice and data communications systems, by NARA staff and contractors.
- (2) In coordination with the Deputy CIO, develops the NHT operating plan and budget.

**b. IT Services Branch**

- (1) Provides Contracting Officer's Representative (COR) services for the Information Technology Support Systems (ITSS) contract, NARA's nationwide network operations contract.
- (2) In coordination with NH Divisions, Staffs and other program offices, provides IT resources in support of IT systems, applications and infrastructure throughout their lifecycle.
- (3) Ensures centralized customer support services related to help desk, asset management, and delivery of overall IT support services. Coordinates reporting of asset management activity with the Office of Administration to ensure proper personal property accountability, as appropriate.
- (4) Provides centralized change management, configuration management, problem management, service desk, service level management, incident management, release management and security management policies, processes, and procedures.
- (5) Provides centralized acquisition management services for the Division and in support of the purchase of IT equipment for systems in development. Coordinates purchases as necessary with the Acquisition Services Division in accordance with procedures described in the NARA Procurement directive (NARA 501) and its supplemental NARA Procurement Guide.

**c. IT Operations Branch**

- (1) Operates maintains and manages NARA's nationwide IT network infrastructure.
- (2) Operates, maintains, and manages NARA's voice and data communications systems.
- (3) Monitors network utilization, the status of all network devices, as well as the desktop environment to ensure performance requirements are met.
- (4) In conjunction with the IT Security Staff, implements, operates, and maintains IT security operations for NARA's IT infrastructure.

**9. Product Management Staff**

- a. Serves as product owner for NARANET, and all NARA IT infrastructure that supports common services such as email, desktop productivity tools, and telecommunications. As product owner, represents the user community to help develop requirements and to plan and manage enhancements to the infrastructure. Also performs customer relations activities by ensuring that NARANET meets staff requirements.



- b. Co-chairs the Architecture Review Board (ARB) with the CTO. Manages the ARB process, including development, submission, and approval of the Enterprise Architecture (EA).
- c. In coordination with the CTO, manages the selection and the approval process for all software acquisitions and supports the development of the applications architecture.
- d. Assists product owners in other NARA offices with developing product plans for new IT systems, defining requirements, arranging development support for the enhancement of existing systems, and managing the transition between the retirement of legacy systems and the development of replacement systems.

**10. Systems Development Division**

- a. In coordination with product owners, provides project management services for the development of IT applications and systems, including records lifecycle, multi-office, single office, and stand-alone applications.
- b. In coordination with the Deputy CIO and product owners, manages NARA workflow redesign and program analysis projects.
- c. In coordination with NAA develops the acquisition strategy and manages the integration, scope; schedule, cost, and quality control; communications, and risk management for NARA IT projects.
- d. Manages project milestones and system development deliverables from concept development through requirements definition, system development, implementation, and transition to operations.
- e. Oversees all aspects of IT system development services, either by NARA staff or contractors.
- f. In coordination with the NHP, NPOL and product owners, coordinates review of data and usability issues.
- g. Manages the technical aspects of the IT project portfolio to identify and track dependencies and to identify and implement repeatable processes and reusable components among projects.

**11. Electronic Records Archives Program**

**a. Program Director**

- (1) Oversees creation of an Electronic Records Archives (ERA) system that enables NARA to preserve and make accessible any type of electronic

record in a format that frees it from the computer system in which it was created.

- (2) Oversees activities of the Program Support, Systems Engineering, and the Customer Support and Logistics Divisions.
- (3) Collaborates with Modern Records Programs (NWM) and other NARA units to provide technical assistance to Federal agencies on the management, preservation, and accessibility of electronic records.
- (4) Ensures coordination with internal and external stakeholders in the design, development and deployment of the ERA system.
- (5) Establishes and maintains objective and independent Risk Management and Quality Assurance programs for ERA.

**b. Deputy Program Director**

- (1) Assists the Program Director in leading the ERA program.
- (2) In coordination with the Program Director, manages all day-to-day functions of the ERA program divisions and staffs.
- (3) Assists the Program Director in collaborating with the Modern Records Programs (NWM) and other NARA units to provide technical assistance to Federal agencies on the management, preservation, and accessibility of electronic records.
- (4) In coordination with the Program Director, ensures coordination with internal and external stakeholders in the design, development and deployment of the ERA system.
- (5) Assists the Program Director in establishing and maintaining an objective and independent Risk Management and Quality Assurance programs for ERA.

**c. Program Support Division**

- (1) Directs the day-to-day management of the administrative and support functions of the ERA program.
- (2) Establishes and implements program-wide policies, procedures, and plans.
- (3) Performs program-level administrative and support services, including procurement and management controls.

- (4) Develops and monitors ERA-specific contracts and reimbursable agreements for all aspects of ERA technology services.
- (5) Prepares operating and other budget plans for the program and monitors budget implementation, staffing levels, and personnel actions for the program.
- (6) Manages the ERA Configuration Management activities.
- (7) Coordinates all external oversight activities related to the development of the system.

**d. Systems Engineering Division**

- (1) Oversees the design and development of the ERA system and related applications.
- (2) Deploys ERA systems to NARA units and to Federal agencies for their implementation.
- (3) Reviews recommendations from Independent Verification and Validation contractors on the work of the ERA development contractor(s) and determines appropriate action.

**e. Customer Support and Logistics Division**

- (1) Plans for and oversees deployment of the ERA system and related activities, including site preparation, connection of end user equipment, provision of facilities and other support for training, etc.
- (2) Manages the transition from development to operation in each ERA increment.
- (3) Administers the ERA communications activities, coordinating with NPOL and NCON, to create and implement ERA communications for a variety of audiences.
- (4) Conducts and coordinates organizational change management activities to facilitate successful implementation of the ERA system in coordination with NAO.
- (5) Coordinates the internal and external ERA training activities.
- (6) Provides administrative support to the Advisory Committee on ERA (ACERA).

- (7) Ensures that NARA and other stakeholders' system requirements are collected, processed and incorporated into the ERA requirements document.
- (8) Works closely with NARA personnel to ensure NARA's business practices are understood and shared with the ERA development and support contractors. Provides assistance and leadership in NARA's business process re-engineering efforts related to ERA. Ensures that new NARA business practices, when developed, are incorporated in the ERA system.

**DELEGATION OF AUTHORITIES****Authorities Delegated by the Archivist to NH****12. General Administration**

<b>Delegation</b>	<b>Redelegated To</b>	<b>Limitations</b>
a. Solicit and accept gifts or bequests of money, securities, or other personal property, for the benefit of, or in connection with, the national archival and records activities administered by NARA (44 U.S.C. 2305)	Retained by NH	NH may redelegate the authority to solicit and accept gifts to NHA, NHE, NHI, NHM, NHP, NHR, NHT, and NHV, subject to the requirements of TRUST FUND 1801, ch. 2, part 4, sec. 2
b. Accept orders from other departments, establishments, bureaus, or offices for materials, supplies, equipment, work, or service (31 U.S.C. 1535)	Retained by NH	The authority may not be redelegated

**13. Internal NARA Records Management**

<b>Delegation</b>	<b>Redelegated To</b>	<b>Limitations</b>
a. Exercise responsibility for making and preserving records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of NARA and designed to furnish the information necessary to protect the legal and financial rights of the U.S. Government and of persons directly affected by NARA's activities (44 U.S.C. 3101)	NARA Records Officer	None
b. Establish and maintain an active, continuing program for the economical and efficient management of NARA's records (44 U.S.C. 3102)	NARA Records Officer	None
c. Certify to the Archivist by preparing and signing Standard Form 115, Request for Records Disposition Authority, that the listed records will cease to have sufficient administrative value to warrant further retention after the time periods specified (44 U.S.C. 3303)	NARA Records Officer	None
d. Obtain approval of the Comptroller General of the United States for the disposal of certain classes of records relating to claims and	NARA Records Officer	None

demands by or against the U.S. Government or to accounts in which the U.S. Government is concerned (44 U.S.C. 3309)		
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#### 14. Information Resources Management

Delegation	Redelegated To	Limitations
a. Serve as the Designated Senior Official pursuant to the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 759, sec. 111(a)) and the Designated Senior IRM Official as required by 44 U.S.C. 3506 (c) (4) and is responsible for implementing the provisions of the Paperwork Reduction Act of 1995	Retained by NH	The authority may not be redelegated
b. Responsible for management activities, including planning, budgeting, organizing, directing, training, promoting, controlling, and other managerial activities involving the collection, use, and dissemination of information (44 U.S.C. 3506 (c)(6))	Retained by NH	The authority may not be redelegated
c. Develop and submit to OMB an annual comprehensive budget for all NARA-conducted collections of information from the public (5 CFR 1320.17)	NHP	None
d. Request emergency processing of submissions of information requests (5 CFR 1320.13)	NHP	None
e. Responsible for quality, objectivity, utility, and integrity of information (Pub. L. 106-554, sec. 515)	NHP	None
f. Approve waivers for the Federal Information Processing Standards (FIPS) for computers when compliance would adversely affect NARA's mission or cause a major financial impact (Pub. L. 104-106)	NHT	None

#### 15. Information Security Management

Delegation	Redelegated To	Limitations
Establish policies and procedures relating to, and be responsible for, the development, implementation, and operation of the NARA IRM and telecommunication security program (Pub. L. 104-106)	NHP	None