

National Archives and Records Administration

NARA 101
October 2, 2005

SUBJECT: NARA Organization and Delegation of Authority

101.1 Purpose of this directive

This directive designates the approved organizational units within the National Archives and Records Administration (NARA), the functional statements of these units, the delegation of program authorities from the Archivist of the United States to NARA officials, the official process units must use to make changes to these functional statements and delegations, and the designated officials to perform in the absence of the Archivist (succession to command).

101.2 Definitions

For the purpose of this directive and when referring to organizational units in other directives or internal correspondence, the following terms mean:

- a. **Office heads** - the assistant archivists for the offices identified in parts 2 - 6 and the Director of the Federal Register.
- b. **Staff directors** - the directors of the Congressional Affairs and Communications Staff (NCON), Equal Employment Opportunity and Diversity Programs (NEEO), the Policy and Planning Staff (NPOL); and the General Counsel (NGC).
- c. **NHPRC** - the Executive Director of the National Historical Publications and Records Commission.
- d. **Secretary** - the Secretary of the National Archives Trust Fund Board, who is also the Director of the National Archives Trust Fund Division.
- e. **OIG** - the head of the Office of the Inspector General.
- f. **ISOO** - the Director of the Information Security Oversight Office.

101.3 Organization of this directive

The basic directive provides the policy for NARA's organization and delegation of authority, and provides procedures for making changes to the organization. Part 1 describes the organization of the Office of the Archivist of the United States, authorities retained by the Archivist, and authorities delegated to officials identified in subpars. 101.2b and c. Parts 2 through 7 describe the internal organization of offices (exclusive of the Office of the Archivist) down to the smallest formally organized unit. Each part includes the organization of the office and the delegation of authorities.

101.4 Succession to command

- a. Whenever the Archivist is unable because of absence or disability to perform his or her duties -- the Deputy Archivist acts as Archivist.
- b. In the event of a vacancy in the Office of the Archivist -- the Deputy Archivist acts as Archivist until an Archivist is appointed under 44 U.S.C. 2103(a).
- c. In the event the position of Deputy Archivist becomes vacant, or the Deputy Archivist is absent, disabled, or acting as Archivist because of a vacancy or the Archivist's disability -- the officials designated below (in the order indicated) succeed to the position of Deputy Archivist in an acting capacity, unless and until the Archivist or acting Archivist designates or appoints another person to serve as Deputy Archivist or acting Deputy Archivist.
 - (1) Assistant Archivist for Administration
 - (2) Assistant Archivist for Records Services - Washington, DC
 - (3) Assistant Archivist for Regional Records Services
 - (4) Assistant Archivist for Presidential Libraries
 - (5) Assistant Archivist for Information Services
 - (6) Director of the Federal Register
 - (7) Director, National Personnel Records Center
 - (8) Director, Jimmy Carter Library
- d. In the event of a Presidentially declared national emergency, if the Archivist is unable for any reason to perform the duties of the office, this line of succession also applies.

101.5 Delegation of authority

- a. **Basic policy.** To the fullest extent practicable, the Archivist delegates authority to officials with operational responsibility.
- b. **Authority of the Archivist.** All authority lodged in NARA is vested in the Archivist of the United States. The Archivist may delegate and authorize successive redelegation of any of the functions assigned to him or her, except as otherwise expressly provided by law.
- c. **Observance of laws, regulations, program directions, and instructions.** Any authority delegated to an office head, staff director, or the NHPRC is exercised under such applicable laws and regulations and such program directives and instructions as are in effect on the date of the exercise of this authority. In the event of an emergency and

their inability to communicate with the Archivist, these officials are authorized, without prior approval of the Archivist, to take actions necessary for the safety and protection of persons and property under NARA control.

d. **Delegation and redelegation**

- (1) The Archivist has established specific organization channels for the delegation and redelegation of authorities within NARA. Through these channels the Archivist delegates authorities directly to office heads, staff directors, and the NHPRC. Each of these officials in turn redelegates authority to officials reporting to them except where specifically precluded by the delegation from the Archivist, and each establishes such limitations on the exercise of delegated authority as may be determined to be in the best interest of NARA.
- (2) Unless stated otherwise, when an authority is redelegated by an official below the office head or equivalent level, the redelegating official is not listed as a recipient of the initial redelegation of the authority. Only the official exercising the redelegated authority is listed in the "delegation of authorities" portion of parts 1 through 7.
- (3) Subordinate units may delegate authority to a division director or equivalent, unless stated otherwise.
- (4) Any person authorized to act for an officer or employee delegated authority hereunder, may exercise the authority of the absent or disabled officer or employee, subject to the limitations that may be imposed.

e. **Restrictions.** Delegated authorities may be redelegated within specified limitations. All delegations and redelegations of program authority must appear in NARA 101. Informal communications are not to be used for the dissemination of delegations of authority or limitations thereto. This does not, however, preclude managers from placing temporary limitations on subordinates when directed by management judgment.

101.6 Changes to NARA organization and delegation of authority

a. The Archivist must approve changes to NARA organization and delegation of authority (see par. 101.7). NPOL prepares a transmittal memo to be signed by the Archivist, along with the revised part(s).

b. Intended permanent or temporary changes are announced in a NARA notice. The notice should outline the intended changes and set a date for effecting the change. A temporary change is not incorporated into NARA 101.

101.7 Procedures for proposing changes to the NARA organization

The office head, staff director, ISOO, NHPRC, or OIG must prepare a proposal, as part of a three-step process, for any reorganization. For major reorganizations, this process must begin several months before a proposed effective date.

- a. **Step 1** – Submit to the Archivist (through NPOL)
 - (1) A summary description of the proposed change; and
 - (2) Identification of the problems addressed by the proposal, an analysis of alternative organizational and managerial solutions, a discussion of how the proposal conforms to NARA's strategic plan, and a summary of anticipated benefits of the proposed change.

- b. **Step 2** – Upon the Archivist's preliminary approval of the proposal, NPOL notifies the office head, staff director, ISOO, NHPRC, or OIG who must compile the following for further review by the Archivist and Archivist's staff:
 - (1) Proposed functional statements and changes to delegations of authority;
 - (2) The current and proposed staffing patterns, including the number of positions by grade, series, title, and salary for each affected organizational element before and after the proposed change, and any new position descriptions. (If staff additions are contemplated, a plan must be included detailing any necessary budgetary adjustments within the funding area. If there are any staff reductions, include a plan to show how this will be accomplished);
 - (3) Proposed organization codes;
 - (4) A summary of any changes in budget requirements;
 - (5) Anticipated effect on the public;
 - (6) Anticipated impact on equal employment opportunity (EEO); and
 - (7) A proposed implementation plan, including responsible officials, intermediate objectives, and a timetable for accomplishment.

- c. **Step 3** – If the Archivist approves (see par. 101.8), submit the following to NPOL within 10 workdays:
 - (1) A draft change to NARA 101, if changes in functional statements or delegations of authority are necessary;
 - (2) Proposed relocation of employees;
 - (3) Office, work, and storage space required;

- (4) Equipment to be moved, acquired or excessed;
- (5) Office automation and telephone changes;
- (6) A revised operating budget and allowance, if appropriate, an estimate of dollars and FTEs to be transferred from existing organizations, and dollar and FTE estimates for the following fiscal year;
- (7) A list of directives (including regulations) required to be changed; and
- (8) A final implementation plan (including responsible officials), objectives, and a timetable for accomplishment.

101.8 Analysis and approval of proposal

a. NPOL coordinates analysis of the proposal among the appropriate units. The Archivist makes the final decision. The analysis considers, as appropriate:

- (1) The proposed reorganization and alternatives considered as solutions to the problems cited.
- (2) The comparability of the proposed reorganization with NARA's strategic plan.
- (3) The budgetary effects of the proposed reorganization.
- (4) The position management and classification problems created or resolved and the time needed to complete classification changes.
- (5) The cost and time needed for staff relocation, acquisition or relocation of equipment, and telephone changes.
- (6) The cost, time, and effect of changes in accounting and/or automated reporting systems.
- (7) The effect on the public.
- (8) Any anticipated areas of concern for labor relations.
- (9) Anticipated impact on EEO.
- (10) The feasibility of the implementation plan.

b. NPOL prepares the final documents for the Archivist's signature, and includes the organizing office's implementation plan.

101.9 Implementation phase

Upon approval of an organizational change, the head of the reorganizing office ensures that all implementation goals are met within 120 days of approval of the reorganization. Office heads, staff directors, ISOO, NHPRC, or OIG may request an extension from the Archivist. For reorganizations initiated by the Archivist, NPOL coordinates the implementation. During this phase

- a. The Office of Administration consults or negotiates with labor organizations.
- b. The reorganizing office must complete the tasks as specified in the implementation plan, approved by NPOL.

101.10 Publication in the *Federal Register*

NPOL and NGC jointly determine if changes to NARA 101 are of interest to the public. NPOL provides instructions for publication in the *Federal Register*.