U.S. NUCLEAR REGULATORY COMMISSION MANAGEMENT DIRECTIVE (MD)

MD 9.22	ORGANIZATION AND FUNCTIONS, OFFICE OF THE CHIEF INFORMATION OFFICER	DT-16-41
Volume 9:	NRC Organization and Functions	
Approved By:	Victor M. McCree Executive Director for Operations	
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EXECUTIVE SUMMARY

Management Directive (MD) 9.22, "Organization and Functions, Office of the Chief Information Officer," replaces Manual Chapter and Appendix NRC-0133. MD 9.22 reflects the current organizational structure, responsibilities, and authorities of the Office of the Chief Information Officer and explains current service delivery processes. There is no handbook; Appendix NRC-0133 was not converted.

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I. SUPERVISION

The Office of the Chief Information Officer (OCIO) is under the direction of the Chief Information Officer (CIO) who reports to the Executive Director for Operations (EDO).

II. FUNCTIONS

A. The office directs and coordinates agencywide information resource planning to ensure that agency information technology (IT), information management (IM), and IT security resources are selected and managed to provide maximum value to the agency. The OCIO also coordinates the development and updating of agencywide IT, IM, and cybersecurity policies.

B. Specifically, the office—

1. Creates the agency's operating environment and ensures systems application standards are adhered to throughout the agency.
2. Oversees the agency's implementation of information privacy protections (Privacy) in accordance with the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act of 1974 (5 U.S.C. 552a). This includes forms and records management and NRC compliance with Federal laws, regulations, and policies.
3. Provides direction and coordination of functions and services related to IT/IM portfolio management, IT governance, information and records management, IT financial planning, and workload management.
4. Directs and coordinates IT/IM strategic and short-range budget, cost, and resource planning activities.
5. Develops and maintains the agency's IT/IM Strategic Plan and enterprise IT/IM roadmap in alignment with the NRC Strategic Plan.
6. Manages the agency's Enterprise Architecture (EA) program and ensures alignment with Federal EA requirements.
7. Manages the agency's CyberStat, FedStat, PortfolioStat, and TechStat programs.
8. Develops and manages the NRC's IT investment portfolio and Capital Planning Investment Control processes.
9. Directs, coordinates, and assists in the development, review, approval, and dissemination of IT/IM policies, procedures, and management directives, including policies related to the use of new and emerging technologies, social media, technology standards, and application development and maintenance.

10. Manages changes to NRC information tools such as file plans and record retention, and develops and promulgates a structured framework for classifying and organizing NRC information.

11. Provides direction and coordination related to IT solution management and innovation, application planning and testing, application development, and production integration functions and services.

12. Uses the agency's IT/IM lifecycle management program and associated procedures to design, develop, test, and transition solutions that—

    (a) Meet broad-based requirements addressing several discreet business processes and are built on agencywide platforms;

    (b) Meet program specific requirements and are built on platforms that meet the program's specific requirements; or

    (c) Significantly upgrade, modernize, or build upon the NRC's existing IT infrastructure.

13. Ensures development of and maintains standard operating procedures for infrastructure or application operations support.

14. Works with agency IT/IM project managers to define, establish, promulgate, explain, and support the use of project management standards and best practices.

15. Develops approaches for implementing new technologies within the agency.

16. Directs, oversees, and coordinates the operation of the agency IT infrastructure to provide the following:

    (a) Network operations (desktop and laptop computer hardware and software, telecommunications services, Web services, e-mail, file and print, remote access/telecommuting services, backup/recovery for systems, and operation, maintenance, and support of the agency's Network Operations Center and data centers),

    (b) Security operations,

    (c) Systems engineering,

    (d) Applications operations, and

    (e) Information and data operations functions and services.

17. Ensures compliance with the Federal Information Security Management Act of 2002 (FISMA), as amended, and coordinates with agency IT information system owners to ensure IT systems are operationally secure.

18. Manages, oversees, and provides day-to-day technical support, application hosting services, and system administration for business critical enterprisewide applications.

19. Manages and oversees the day-to-day information and data operations services for the agency, including database administration; operation of the agency's Document Processing Center; and operations and systems to capture, manage, and deliver electronic documents and information both internal and external to the agency.

20. Manages and oversees IT system engineering services for the agency to ensure the IT infrastructure is kept up-to-date and functioning as expected, including ensuring that disaster recovery capabilities and facilities are in place and are subject to comprehensive and realistic testing.

21. Collects, disseminates, manages, and preserves the scientific and technical information required by NRC staff to carry out the agency's regulatory responsibilities.

22. Manages, maintains, and monitors information collections and reference assistance with both internal and external sources of scientific and technical literature, including international materials.

23. Operates and maintains the Public Meeting Notice System by implementing agency policy, posting notices, providing staff guidance, and providing database input and reporting.

24. Develops and oversees the implementation of mechanisms to ensure agency compliance with Federal requirements for information quality, including establishing agency guidelines and developing and executing a process to receive, review, and respond to information quality complaints and requests for correction of NRC information that is made public.

25. Manages and implements the Sensitive Unclassified Non-Safeguards Information Program until it is terminated in accordance with 32 CFR Part 2002, and manages the NRC's implementation of the Controlled Unclassified Information (CUI) Program, including the NRC's transition to that program, in accordance with 32 CFR Part 2002.

26. Provides oversight and monitors compliance with Presidential Directives, Federal laws, United States codes and regulations relative to changes and updates to IT/IM.

27. Provides oversight to ensure the NRC complies with best practices and applicable Federal laws and regulations, including Government Paperwork Elimination Act (GPEA) of 1998 and the Paperwork Reduction Act (PRA) of 1995.

28. As the IT/IM Product Line Lead, OCIO is responsible for the following:

    (a) Plans, directs, and oversees the delivery of centralized IT infrastructure, applications, and IM services, and the development and implementation of IT/IM plans, architecture, and policies to support the mission, goals, and priorities of the agency.

(b) Advances the achievement of NRC's mission by assisting management in recognizing where IT can add value while transforming or supporting agency operations.

(c) Ensures that agency IT/IM resources and investments are selected and managed in a manner that maximizes their value to accomplish the agency's mission.

(d) Directs and coordinates agencywide information resources planning.

(e) Coordinates development and annual update of OCIO-related information in the NRC Strategic Plan, directs the agency's IT Capital Planning and Investment Control Process, and coordinates the activities of the Information Technology Board charged with reviewing the business cases for major information technology initiatives and providing office input on OCIO plans, policy, and standards.

(f) Leads, manages, and facilitates IT/IM resource allocation and budget formulation processes.

(g) Reports and monitors the use of product line funding and full-time equivalent (FTE) use.

(h) Signs the IT/IM annual reasonable assurance certification. In accordance with the Government Performance and Results Act (GPRA) of 1993 (Pub. L. 103-62), OCIO serves as the product line lead responsible for oversight in identifying inefficiencies in IT/IM services and support.

29. Manages the Information Collection Program and maintains responsibility for ensuring the agency's compliance with the Paperwork Reduction Act and OMB's implementing regulations and guidelines.

30. Supports oversight and coordination of the operation and compliance of the agency's IT infrastructure according to Federal IT Acquisition Reform Act (FITARA) of 2014 (Pub. L. 113-291):

(a) Maintains a significant role as the business line lead in the decision process for all annual and multi-year planning, programming, budgeting and execution decisions, related reporting requirements, and reports related to IT.

(b) Reviews, in conjunction with the Chief Human Capital Officer of the agency, all positions with IT responsibilities requested in the budget request to ensure the positions meet the ongoing requirements of the agency.

(c) Reviews, approves, and participates in NRC IT governance processes used to approve IT contracts for OCIO or other agreements.

(d) Submits to the Office of Management and Budget (OMB) a comprehensive inventory of the data centers owned, operated, or maintained by or on behalf of the agency.

(e) Provides guidance on implementing the Federal Data Center Consolidation Initiative strategy.

III. DELEGATION OF AUTHORITY TO THE CHIEF INFORMATION OFFICER

The CIO is authorized and directed to take action necessary to carry out the functions assigned by this directive or other official directives or communications, subject to the limitations prescribed therein.

A. Serves as the NRC Chief Freedom of Information Act (FOIA) Officer, and acts as deciding official on appeals of FOIA determinations.

B. Serves as the Senior Agency Official (SAO) for Records Management and is responsible for ensuring the agency's compliance with records management statutes and regulations.

C. Oversees the agency's information collection activities in accordance with the Paperwork Reduction Act of 1995 (44 U.S.C. 3501 et seq.) and OMB's implementing regulations.

D. Redelegates to others the authority delegated to the CIO, except where expressly prohibited.

1. These redelegations will be done in writing and will be subject to any stipulations that the CIO may deem necessary, including any limitations on future redelegations of authority.
2. The CIO will maintain a record of all redelegations and send a memorandum specifying the redelegations will be sent to—

   (a) The Chairman,

   (b) The Secretary of the Commission,

   (c) The Executive Director for Operations,

   (d) The General Counsel,

   (e) The Chief Human Capital Officer, and

   (f) The Director of the Office of Administration

IV. REDELEGATIONS OF AUTHORITY TO THE DEPUTY DIRECTOR

A. The Deputy Director of OCIO serves as the agency's Deputy CIO.

B. This delegation to the Deputy Director of OCIO includes the authority to—

1. Serve as the Deputy CIO. The Deputy CIO is authorized and directed to act for the CIO when the CIO is absent or unavailable.
2. The Deputy CIO serves as the agency's SAO for Privacy and carries out the roles and responsibilities of this position as directed by the CIO.

3. The Deputy CIO serves as the agency's Deputy SAO for Records Management and carries out the roles and responsibilities of this position as directed by the CIO.

4. Redelegate to others the authority delegated to the Deputy CIO, except where expressly prohibited.

   (a) These redelegations will be done in writing and will be subject to any stipulations that the Deputy CIO may deem necessary, including any limitations on future redelegations of authority.

   (b) The Deputy CIO will maintain a record of all redelegations and send a memorandum specifying the redelegation(s) to the CIO. A copy of the memorandum will be sent to—

      (i) The Chairman,

      (ii) The Secretary of the Commission,

      (iii) The Executive Director for Operations,

      (iv) The General Counsel,

      (v) The Chief Human Capital Officer, and

      (vi) The Director of the Office of Administration.

V. REDELEGATIONS TO THE CHIEF INFORMATION SECURITY OFFICER (CISO), INFORMATION SECURITY DIRECTORATE (ISD), OCIO

A. The Director of the Information Security Directorate serves as the Chief Information Security Officer (CISO), OCIO.

B. This delegation to the CISO, ISD, OCIO, includes the authority to—

1. Provide NRC cybersecurity requirements, processes, procedures, policies standards, and templates for IT efforts.

2. Identify and reports on cybersecurity issues with proposed investments.

3. Provide oversight of IT efforts to identify cybersecurity risks.

4. Provide an assessment of risk and authorization recommendations for IT implementations to the NRC Designated Approving Authority.

5. Plan, direct and oversee the implementation of a comprehensive, coordinated, integrated, and cost-effective NRC IT Security Program.

6. Serve as the primary reporting authority to the United States Computer Emergency Readiness Team, OMB, law enforcement and criminal investigative groups in the reporting of cyber-related attacks against NRC's infrastructure.

7. Develop or revise IT/IM policy in support of new requirements such as those required by the National Institutes of Standards and Technology (NIST) publications and Homeland Security Presidential Directives. Communicates cybersecurity policies, directives, and requirements to NRC staff.
8. Track and provide oversight and support for the Assessment and Authorization (A&A) efforts across NRC. Review and approve security categorization documents. Oversee and assist organizations in completing and maintaining their individual A&A programs.
9. Track and validate Plan of Action and Milestones (POA&M) items and analyze POA&Ms for quality of content and practicality of remediation.
10. Provide authoritative assistance, consultation, and guidance in the area of computer security and compliance and ensures that agency programs comply with Federal guidance including, but not limited to the Federal Information Security Management Act, OMB, and Government Accountability Office guidance.
11. In coordination with the EDO, provide, credible, cogent, and timely advice and counsel to the Chairman, the Commission, and senior management on programmatic, infrastructure, and administrative aspects of cybersecurity.
12. Monitor the NRC intrusion detection and intrusion prevention systems. Maintain an information security incident response report database, conduct trending analysis of events, and recommend actions to minimize or prevent releases.
13. Redelegate to others the authority delegated to the CISO, except where expressly prohibited.

VI. ORGANIZATIONAL STRUCTURE AND INTERNAL ASSIGNMENTS

Organization charts and functional descriptions for OCIO and its components are posted on the NRC internal and external Web sites. Deviations from the standard organizational structure that affect positions or functions at the division level or above must have the concurrence of the Office of the Chief Human Capital Officer (OCHCO) and be approved by the EDO or a DEDO. Deviations from the standard organizational structure that affect positions or functions at the branch level must have the concurrence of OCHCO and must be approved by the CIO.

VII. REFERENCES

Code of Federal Regulations

5 CFR Part 1320, "Controlling Paperwork Burdens on the Public; Regulatory Changes Reflecting Recodification of the Paperwork Reduction Act."

10 CFR Part 1, "Statement of Organization and General Information."

10 CFR Part 9, "Public Records."

32 CFR Part 2002, "Controlled Unclassified Information."

36 CFR Subchapter B, "Records Management."

41 CFR Part 102-194, "Standard and Optional Forms Management Program."

Executive Orders

Executive Order 13011, "Federal Information Technology," July 16, 1996.

Executive Order 13526, "Classified National Security Information," December 9, 2009.

Executive Order 13556, "Controlled Unclassified Information," November 4, 2010.

Executive Order 13589, "Promoting Efficient Spending," November 9, 2011.

Federal Register Notice

Miscellaneous Corrections (80 FR 74974), December 1, 2015, at https://www.gpo.gov/fdsys/pkg/FR-2015-12-01/pdf/2015-30153.pdf.

Nuclear Regulatory Commission Documents

Charter for the NRC Architecture Council (ML15134A474).

Charter for the NRC Information Technology/Information Management Board (ITB) (ML12094A174).

Charter for the NRC IT/IM Portfolio Executive Council (IPEC) (ML13247A436).

Memorandum to Luis A. Reyes, Executive Director for Operations, from Annette L. Vietti-Cook, Secretary, "Staff Requirements – SECY-07-0181 – Proposed Establishment of the Computer Security Office," November 14, 2007 (ML073180484).

Memorandum to Those are the Attached List from Darren B. Ash, Deputy Executive Director for Information Services and Chief Information Officer, "New Computer Security Office – Roles and Responsibilities," December 7, 2007 (ML073370657).

Memorandum to Patrick D. Howard, Director of the Computer Security Office, and Thomas M. Boyce, Director of the Office of Information Services, from R.W. Borchardt, Executive Director for Operations, "Designated Approving Authorities for Listed, Minor Applications and Electronic Government Systems," August 8, 2008 (ML081990476).

Memorandum to James Flanagan, Office of Information Services, from Darren Ash, Deputy Executive Director for Corporate Management, Office of the Executive Director for Operations and Chief Information Officer, "Delegation of Authority – Senior Agency Official for Privacy," November 28, 2012 (ML12318A320).

Memorandum to Darren B. Ash, Chief Information Officer, Glenn M. Tracy, Deputy Executive Director for Materials, Waste, Research, State, Tribal, Compliance, Administration, and Human Capital, and Michael R. Johnson, Deputy Executive Director for Reactor and Preparedness from Victor M. McCree, Executive Director for Operations, "Designated Approving Authority for Major Information Technology Investments," October 30, 2015 (ML15302A197).

Memorandum to David J. Nelson, Chief Information Officer, from Victor M. McCree, Executive Director for Operations, "Designation of the Replacement Senior Agency Official to Oversee the Agency's Records Management Program," September 23, 2016 (ML16257A401).

Letter to William Cira, Acting Information Security Oversight Office, National Archives and Records Administration, from Victor M. McCree, Executive Director for Operations, "Designation of David J. Nelson as the Senior Agency Official Responsible for Controlled Unclassified Information (CUI)," September 23, 2016 (ML16258A286).

Management Directives—

2.3, "Telecommunications."

2.6, "Information Technology Infrastructure."

2.7, "Personal Use of Information Technology."

2.8, "Integrated Information Technology/Information Management (IT/IM) Governance Framework."

3.1, "Freedom of Information Act."

3.2, "Privacy Act."

3.4, "Release of Information to the Public."

3.14, "U.S. Nuclear Regulatory Commission Public Web Site."

3.17, "NRC Information Quality Program."

3.51, "Library Services."

3.52, "Availability and Retention of Codes and Standards."

3.53, "NRC Records and Document Management Program."

3.54, "NRC Collections of Information and Reports Management."

3.55, "Forms Management Program."

4.3, "Financial Management Systems."

4.4, "Internal Control."

4.7, "NRC Long-Range Planning, Programming, and Budget Formulation."

12.5, "NRC Cybersecurity Program."

12.6, "NRC Sensitive Unclassified Information Security Program."

NRC Strategic Planning and Enterprise Architecture Program.

NUREGs

NUREG-0910, Revision 4, "NRC Comprehensive Records Disposition Schedule."

NUREG-1908, "Information Technology/Information Management Strategic Plan."

NRC Organization Charts and Functional Descriptions Web Site: http://www.internal.nrc.gov/HR/organization/html/ocio.html.

NRC Web Site on Organization of the Agency: http://www.nrc.gov/about-nrc/organization.html.

Yellow Announcement YA-05-0077, "Policy Revision: NRC Policy and Procedures for Handling, Marking, and Protecting Sensitive Unclassified Non-Safeguards Information (SUNSI)," October 26, 2005 (ML051220278).

Office of Management and Budget Documents

Circular A-11, "Preparation, Submission, and Execution of the Budget," August 2011.

Circular A-130, "Managing Information as a Strategic Resource," July 28, 2016.

Memorandum M-15-14, "Management and Oversight of Federal Information Technology," dated June 10, 2015, available at https://www.whitehouse.gov/sites/default/files/omb/memoranda/2015/m-15-14.pdf.

Memorandum M-12-18, "Managing Government Records Directive," dated August 24, 2012, available at https://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf.

Presidential Directives

Homeland Security Presidential Directive/HSPD-12, "Policy for a Common Identification Standard for Federal Employees and Contractors," August 27, 2004.

Presidential Decision Directive 63 (PDD-63), "Critical Infrastructure Protection," May 22, 1998.

United States Code

Clinger-Cohen Act of 1996 (formerly the Information Technology Management Reform Act of 1996 (40 U.S.C. 1401 et seq.)).

E-Government Act of 2002 (44 U.S.C. 101).

Electronic Communications Privacy Act of 1986 (18 U.S.C. 2510-22).

Federal Information Security Management Act of 2002 (FISMA), as amended (44 U.S.C. 3551 et seq.).

Federal Information Technology Acquisition Reform Act (FITARA) of 2014 (Pub. L. 113-291).

Freedom of Information Act (5 U.S.C. 552).

Government Management Reform Act (GMRA) of 1994 (Pub. L. 103-356).

Government Paperwork Elimination Act (GPEA) of 1998 (44 U.S.C. 3504 et seq.).

Government Performance and Results Act (GPRA) of 1993 (Pub. L. 103-62).

National Archives and Records Administration (44 U.S.C. Chapter 21).

Paperwork Reduction Act (PRA) of 1995 (44 U.S.C. 3501 et seq.).

Privacy Act of 1974, as amended (5 U.S.C. 552a).