

June 20, 2007

The Honorable Tom Davis  
Ranking Member, Committee on Oversight  
and Government Reform  
United States House of Representatives  
Washington, D.C. 20515

Dear Congressman Davis:

I am responding to your letter dated June 4, 2007, requesting information from the Nuclear Regulatory Commission (NRC) describing how NRC implements key information technology laws and also determine the influence of the Chief Information Officer. The NRC's detailed responses to your questions are enclosed.

If you have any questions, please contact me.

Sincerely,

*/RA/*

Dale E. Klein

Enclosure:  
As stated

cc: Representative Henry A. Waxman

## Congressional Responses

1. Please provide the name and official title of the individual currently fulfilling the responsibilities and duties of agency Chief Information Officer as delineated in the Clinger-Cohen Act 1996 (P.L. 104-106) and the Federal Information Security Management Act of 2002 ('FISMA') (P.L. 107-347). If the individual is serving in an "acting" capacity, please explain the steps you are taking to finalize an appointment to this position.

*Darren B. Ash*

*Deputy Executive Director for Information Services and Chief Information Officer (CIO)  
Office of the Executive Director for Operations*

2. Since FISMA was enacted in December 2002, how many individuals have served in the agency CIO position and what were the periods of their service?

*There have been a total of four individuals who have served in the agency CIO position. Their names and periods of service are as follows:*

*Stuart Reiter - CIO (June 2001 - April 2003)*

*Jacqueline Silber - Acting CIO (April 2003 - June 2003)*

*Ellis Merschoff - CIO (June 2003 - June 2004)*

*Jacqueline Silber - CIO (May 2004 - January 2005)*

*Jacqueline Silber - Deputy Executive Director for Information Services and Administration and CIO (February 2005 - May 2007)*

*Darren Ash - Deputy Executive Director for Information Services and CIO (May 2007 to present)*

3. Does the agency CIO have a direct report relationship to you?

*No.*

*If not, to whom does the agency CIO directly report on a day-to-day basis?*

*The CIO reports directly to the Executive Director for Operations (EDO), who is the most senior career service executive at the NRC and is responsible for day-to-day agency operations.*

4. What functions does the agency CIO's office perform? What is the CIO's jurisdiction within the agency? Also, please describe the structure of the agency CIO's office including total number of employees, their titles, and responsibilities.

*The CIO also serves as the Deputy Executive Director for Information Services. His responsibilities include providing policy direction, leadership and oversight for information technology and information management (IT/IM) activities at the Nuclear Regulatory Commission (NRC). The CIO office is responsible for information technology (IT) infrastructure, applications development, business process improvement, and information management services. The CIO represents the NRC on the Federal CIO Council and is designated as the NRC Chief Freedom of Information*

*Act Officer. The CIO provides leadership, guidance and direction to the Office of Information Services (OIS).*

*OIS has 176 FTE. The functions for OIS are located at: <http://www.nrc.gov/about-nrc/organization/oisfuncdesc.html>. This information, including the organizational structure is also attached.*

5. Is the agency CIO a member of formal executive-level strategic planning, budget, and program-area process re-design committees, groups, or councils established in?

*Yes. The CIO is a member of the NRC's Program Review Committee (PRC), is the Chair of the Information Technology Senior Advisory Council (ITSAC), and a member of the Executive Director for Operations Executive Team.*

- a. What are the responsibilities of the agency CIO on these committees and groups?

*PRC - The PRC is an executive management review body to facilitate decision making regarding the NRC's long range program planning, budgeting, and performance management. The CIO brings an IT/IM perspective to the executive management review.*

*ITSAC - Established by the CIO, it is a cross-agency senior management investment review committee established to make agency-level recommendations on funding and management of the NRC's IT capital investment portfolio. The ITSAC is chaired by the CIO and its members consist of Office Directors from major NRC offices and a rotating Regional Administrator. The ITSAC serves as a forum for addressing agency-level IT initiatives and issues.*

*EDO Executive Team - Comprised of the three Deputy Executive Directors, they assist the EDO in the overall planning, management, control, and coordination of the operational and administrative activities of the agency. This includes directing policy development, agency operational activities, and implementation of Commission policy directives.*

- b. Has the agency CIO made, or played a vital role in making strategic business decisions for the department/agency? Please provide several noteworthy examples.

*Yes. A few noteworthy examples are:*

*Infrastructure and Services Support Contract (ISSC) - The CIO championed the successful implementation and ongoing operation of the agencywide infrastructure services support program, which uses a hybrid approach of providing desktop services (desktop installation, maintenance and customer support services, equipment refresh, and LAN/WAN connectivity) at specific levels of performance based on the number of users (seats), and provides technical services such as infrastructure development on a level of effort basis. Under this approach, the contractor is fully responsible for providing integrated seat services at a fixed price per desktop, including operations and support for desktop equipment, a help desk function, local and wide area network connectivity,*

*maintenance, and a periodic refresh of equipment, while providing NRC the flexibility needed to support evolving business requirements.*

*Agencywide Documents Access and Management System (ADAMS) - The NRC received the 2003 Archivist's Achievement Award in Records Management on May 13, 2003, at the National Archives and Records Administration's (NARA) annual Records Administration Conference. The award is in recognition of NRC's work on the development and implementation of ADAMS as an electronic records management system. ADAMS is the first enterprise-wide electronic records management system to receive NARA approval. As a result, OIS has been deeply involved in sharing lessons learned with other agencies who are currently exploring the development and deployment of electronic records management systems. OIS has demonstrated and presented ADAMS to several Federal agencies and at Federal and industry conferences and symposia. OIS continues to work very closely with NARA as it develops policies and procedures governing the development and implementation of electronic records management systems and the transfer of electronic records to NARA for permanent storage.*

*The IT/IM Strategic Plan - The CIO established an agency-level IT/IM Strategic Planning Group (ISPG) to produce the FY 2008 - 2012 IT/IM Strategic Plan. The IT/IM plan responds to the Federal requirement in the Paperwork Reduction Act and the Clinger-Cohen Act which directs agencies to establish goals and measures of the contribution of IT/IM activities to agency productivity, efficiency, effectiveness and service to the public. The plan describes how IT/IM activities at the NRC help accomplish the agency's mission. The goals, strategies and measures in the plan provide the foundation for directing and assessing the performance of the NRC's IT/IM program through FY 2012. The CIO directly oversees a significant portion of the agency's IT/IM program, but the scope extends to every NRC organization.*

6. Please outline the policy, operational, and budget authorities delegated to the CIO. What, if any, additional duties or responsibilities does the agency CIO have other than information resources management?

*As delegated by the EDO, the CIO develops and implements an agencywide framework that includes policies, processes, and procedures for IT capital investments, Enterprise Architecture, information management, and IT security that meets the requirements of Federal statutes and regulations, and guidance from the Office of Management and Budget (as stated in OMB Circular A-11, Part 7, and Circular A-130) and the Government Accountability Office.*

*The CIO establishes the Project Management Methodology and oversees the management of IT investments. He established the Enterprise Architecture Review Board and approved its charter. He also establishes other review or advisory bodies, as necessary, to involve agency program officials in IT investment planning and management oversight in order to ensure agencywide coordination of IT programs.*

*The CIO chairs the ITSAC, approves its membership, and approves revisions to its charter as needed. He established the Information Technology Business Council (ITBC) and approves its membership and charter. The ITSAC sets the IT investment strategy for the agency, assuring a balance of programmatic and infrastructure IT support;*

*reviews, concurs, and prioritizes the IT investment portfolio provided by the ITBC and submits it to the CIO; and, when requested by the CIO, serves as the executive review function for significant issues in the management control and evaluation phases of capital planning and investment control.*

7. Do the component organizations that comprise your agency have designated CIOs? If so, please list the component organization, and the name and official title of the person serving as CIO for that component.

*N/A*

8. Please tell us (a) how are the component organization CIOs are selected, (b) to whom do they report, and (c) the parameters of the decisional and budgetary authority of the component organizations?

*N/A*

9. What percentage of total information management and technology expenditures are controlled or approved by the agency CIO?

*The CIO controls 66 percent of IT/IM expenditures for FY 2007.*

What percentage is controlled by component organizations that comprise your agency?

*The percentage controlled by component organizations within the NRC is 34 percent.*

10. What resources does your Department or Agency provide to the CIO office and its organizational components to maintain an effective agencywide security program?

*OIS is responsible for developing and maintaining the agencywide IT security program and for developing policy for the handling of all sensitive unclassified non-safeguards information, including personally identifiable information. OIS develops and maintain risk-based IT security policies, procedures, System Development Life Cycle Management Methodology, and control techniques that cost-effectively reduce IT risks to an acceptable level and ensure that IT security is addressed throughout the life cycle of each NRC information system. OIS provides 8 FTE to support these efforts.*

*In addition to the OIS staff noted above, the CIO works with the Office of Nuclear Security Incident Response (NSIR) and the Office of Administration (ADM) to maintain an agencywide information security program. NSIR plans, coordinates, and manages the information security program to protect classified and safeguards information for the agency; administers secure telecommunications, declassification, foreign disclosure of information, foreign ownership, control or influence, and authorized classifiers and safeguards information designators programs; acts as the NRC Central Office of Record for communications security material; operates the NRC's secure communications center; and maintains the certification of NRC's Sensitive Compartmented Information Facility. NSIR provides 7 FTE to support the agencywide information security program.*

*ADM is responsible for the NRC personnel and physical security programs to establish physical security safeguards for the protection of Headquarters, regional offices, and contractor facilities; assure the safe storage of classified and sensitive unclassified information; and conduct background checks for employees and contractors. ADM provides 9 FTE in support of the agencywide information security program.*

11. Please describe the agency CIO's role in developing information technology budget submissions and business case justifications for major information technology investments. Are the CIOs of agency's component organizations involved in these processes? If so, please describe their contributions.

*The sponsoring office of an IT investment is responsible for the business justification for the investment. The CIO concurs with IT investments and recommends approval to the EDO or Commission, as appropriate. The CIO reviews programs taking into consideration agency resource requirements; compliance with government-wide guidance/directives; and impact on the agency's architecture, infrastructure, and IT portfolio.*

12. Please provide the name and job title of the individual managing privacy issues in the agency? To whom does this individual report and what responsibilities does the individual have?

*On March 18, 2005, Mr. Edward T. Baker, III, was designated to serve as the NRC's Senior Agency Official for Privacy, in response to OMB memorandum (M-05-08) dated February 11, 2005. Mr. Baker reports to Darren B. Ash, NRC's CIO. Mr. Baker's full title is Director, OIS and Deputy CIO. His responsibilities include providing principal advice and assistance to the Chairman, the Commissioners, the EDO, Deputy Executive Director for Information Services, and other agency executives to ensure that agency IT/IM resources are selected and managed in a manner that maximizes their value to accomplish the agency's mission and manage risks. For specific questions regarding privacy issues, Russell Nichols is the NRC Freedom of Information Act and Privacy Act Officer.*

13. Ensuring adequate information security in the federal government requires skilled and dedicated IT employees. The federal government, for example, finds itself competing against the private sector for talented IT workers. Do federal agencies have the resources necessary to execute the elaborate security measures that are necessary in order to maintain their systems and to keep the government connected to people and businesses?

*The IT security skills necessary to maintain secure systems are difficult to find and retain within the Federal government. These skills are in short supply and high demand, requiring higher salaries. A high turnover rate is experienced as individuals with these skills seek more appealing opportunities. This experience is not unique to the NRC. In addition, the NRC's security clearance process for contractors has exacerbated the skill gaps, as major concerns have been identified during the clearance review that require adjudication and/or denial of access. Consequently, there continues to be a challenge maintaining a full and knowledgeable IT security staff. Furthermore, with more frequent and sophisticated attacks of IT systems and infrastructure, it may be advantageous to*

*move away from measuring adequate information security in the Federal government through a score card approach based on security compliance, and move toward a risk-based approach based on the degree to which systems are secure by the incorporation of mitigating controls and/or the management of risks.*

14. What percentage of the total agency budget is allocated for IT?

*Of the agency's total FY 2007 budget, 14.5 percent is allocated for IT.*

For security?

*A total of approximately 1.2 percent of the agency's FY 2007 budget is allocated for information security.*

Please provide a breakdown of the IT security budget.

*A breakdown of the FY 2007 IT security budget is as follows:*

*Mission Critical Systems: 46%*

*IT Infrastructure Systems: 53%*

*Enterprise Architecture and Planning: 1%*

## **Office of Information Services**

**Director:** Edward Baker

**Deputy Director:** Kathryn Greene

Plans, directs, and oversees the delivery of centralized information technology (IT) infrastructure, applications, and information management (IM) services, and the development and implementation of IT and IM plans, architecture, and policies to support the mission, goals, and priorities of the agency. Advances the achievement of NRC's mission by assisting management in recognizing where IT can add value while transforming or supporting agency operations.

Provides principal advice and assistance to the Chairman, the Commissioners, the EDO, Deputy Executive Director for Information Services and Administration, and other agency executives to ensure that agency IT and IM resources are selected and managed in a manner that maximizes their value to accomplishment of the agency's mission and manages risks. Directs and coordinates agencywide information resources planning. Coordinates development and annual update of OIS-related information in the NRC Strategic Plan, directs the agency's IT Capital Planning and Investment Control Process, and coordinates the activities of the IT Business Council charged with reviewing the business case for major information technology initiatives and providing office input on OIS plans, policy, and standards. Develops coordinated responses to Commission, OMB, and congressional inquiries, and coordinates activities associated with NRC's participation in the Federal CIO Council. Coordinates the development and update of agencywide information resources management policy. Provides authoritative assistance, consultation, and guidance to senior agency management in the area of computer security and compliance.

The OIS provides advice and oversight to ensure the NRC complies with Best Practices and applicable Federal Laws and regulation. These laws and regulations include the Clinger-Cohen Act, the Government Paperwork Reduction Act, and the Federal Information Security Act.

## **Computer Security Team**

**Senior IT Security Officer/Team Leader:** Kathy Lyons-Burke

Provides direction and coordination of the agency's computer security program, including conducting IT security risk analysis and reviews, certifying and accrediting the agency's IT systems, and directing the agency's computer security awareness program. Provides 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 FISMA, OMB, and GAO guidance.

## **Program Management, Policy Development, and Analysis Staff**

**Director:** Sharon Stewart

**Deputy Director:** (Vacant)

Provides focus and management attention on major programs and issues and assists in the development of office policy. Provides direction and coordination of strategic planning, administrative and financial support functions that include: long-range and short-range program planning, budget development, financial management, performance monitoring, internal control reviews, human resource analysis, and resource control, and administrative services such as facilities management and other general administrative matters. Reviews and recommends general administrative procedures. As the Office spokesman, formulates coordinated responses to the Commission, Office of Management and Budget (OMB), Congressional inquiries, and assists in the office coordination of intra- and inter-agency special projects.

## **Program Planning and Budget Formulation Team**

**Team Leader:** (Vacant)

Provides direction and coordination of strategic planning and short-range resource planning and forecasting, budget development, and coordination. Coordinates the annual OIS budget submission. Provides analysis of cost management and performance management data. Provides central coordination of OMB Circular A-11 IT exhibits, including the OMB Exhibit 53 (Agency IT Resources). Coordinates the execution of the office's financial resources, including approval of funds certification and requests for resources reprogrammings and transfers. Manages and coordinates OIS quarterly budget execution reviews. Manages and coordinates the annual development and quarterly updates of the OIS Operating Plan.

## **Policy, Planning and Administrative Support Section**

**Chief:** Leslie Donaldson

Provides direction and coordination of Office of Information Services program planning activities, including development of internal policies and procedures, long-range training strategies, strategic workforce planning, and acquisition planning. Manages the office Internal Management Control Program, conducts program evaluations, and serves as office point of contact for OIG and GAO audits. Provides administrative and management support and coordination in areas including personnel action processing, facility management, training, and time and labor reporting.

## **Infrastructure and Computer Operations Division**

**Director:** Thomas Rich

**Deputy Director:** Karen Paradiso

Responsible for the development, integration, implementation, management, and support of the agency's information technology (IT) infrastructure to support the mission and program activities of the NRC. Manages and operates the agency Customer Support Center which functions as a single point of contact for service questions, service requests, problem reporting, and request status. Responsible for the operation and support of agency wide application systems and timesharing services. Provides operations and services, voice mail system, local and long distance voice service, personnel communications equipment (pagers, faxes, modems, cellular), and support for the NRC Operations Center. Responsible for installation, maintenance, and support of all agency desktop systems. Provides hardware and software maintenance, support, and acquisition. Develops components of the agency's information technology architecture pertaining to IT infrastructure development, standards, and practices. Provides technical guidance and direct assistance as needed to headquarters and regional offices concerning implementation of agency wide application systems and IT infrastructure issues and practices. Serves as a liaison with application development teams and coordinates program office infrastructure development, operations, and support requirements.

### **Network Operations and Customer Services Branch**

**Chief:** James Shields

Serves as the central organization for information technology infrastructure support and service. Manages and operates the Network Control Center, Hardware/Software Support Desk, and Customer Support Center, which provide a single point of contact for service questions, service requests, problem reporting, request status, desktop hardware/software support, maintenance, acquisition, and installation, network maintenance, support, and administration, and central management of all desktop and network resources and services. Answers user questions and resolves problems as appropriate. Implements and supports network, operating system, integration, desktop, hardware, and software standards. Provides virus protection, eradication and data recovery services. Forwards requests/problems requiring resolution or action by other units to the appropriate group. Coordinates infrastructure support and service activities with office IT coordinators and Regional office IT staff. Tracks the status of open requests and coordinates problem/request resolution as necessary. Serves as project lead for customer support activities.

### **Customer Services Team**

**Team Leader:** Joseph Turner

Responsible for Customer Satisfaction Surveys; Asset Management - laptops, desktops; Property Accounting for ITID; Help Desk Management; Hardware/Software Refresh; handle OCM, OEDO, SECY, and OIS purchases; Service Request Tracking System; Moves/Adds/Changes; Consolidated Test Facility Administration; and Training Liaison.

## **Network and Security Operations Team**

**Team Leader:** David Offutt

Responsible for Address/Domain Management; Application and E-mail Services; Configuration Management; LAN/MAN/WAN Services; File and Print Services; Remote Access Services; Maintenance Support; Mobile/Telecommuting Support; Network Management; Network Operations; Operations Configuration Control Board; Backup/Recovery Services for network servers, Unix/NT servers; and High Performance Computing Support. Responsible for GISRA/FISMA Reporting; Configuration Baseline Management; Firewall/DMZ Management; FedCIRC Incident Reporting; Patch Application and Tracking; OMB Reporting; and LAN/WAN Security Assessments and Reviews.

## **Development and Deployment Branch**

**Chief:** William Szyperski

Responsible for the development, integration, and implementation of all information technology infrastructure resources including local and wide area networks, desktop systems, network servers, Intranet/Internet services high performance UNIX systems; emergency telecommunications; network and desktop integration standards; integration of network and desktop operating systems; network operating systems and software; IT infrastructure security; and videoconferencing development. Develops network, desktop, and infrastructure standards for all infrastructure resources. Serves as a liaison with applications development teams and coordinates infrastructure development, operations, and support requirements.

## **Network Integration Team**

**Team Leader:** Michael Williams

Responsible for the planning, development, integration, and implementation of back-end network resources such as routers, switches, firewalls, domain servers, file servers, e-mail servers, high performance computing servers, etc. Develops standards for these resources and serves as project lead for planning, integration, and coordination of these evolutionary system upgrades for agency wide IT infrastructure systems.

## **Computer Operations and Telecommunications Branch**

**Chief:** Marvin Bell

Responsible for the management, operation, and support of agencywide production application environments, timesharing services, and telecommunications. Provides operations and administrative support for the agency Data Center, communications systems including operation of the NRC message center, videoconferencing services, voice mail system, local and long distance voice service, personnel communications equipment (pagers, faxes, modems, cellular), emergency telecommunications and support for the NRC Operations Center emergency telecommunications. Serves as project lead for the development and management of production application environment activities.

## **Telecommunications Team**

**Team Leader:** Stanley Wood

Responsible for FTS Support for Emergency Telecommunications; FTS Designated Agency Representative; FTS Support for WAN - Monitoring, Ordering, Design; Conferencing Support (Video and Audio); Internet Services; Emergency Telecommunications Support to NSIR (On-call); Fax Machine Support; FTS 2001 Contract Administration; Inventory Administration (Cells, Modems, Pagers, Conference Phones, etc.); Local Phone Service Administration; Miscellaneous Telecommunications Services; Support and Consultation to NSIR/Regions; and Telephone Operators.

## **Business Process Improvement and Applications Division**

**Director:** James Corbett

**Deputy Director:** Virginia Huth

Provides comprehensive strategic, analytical, business, and technical services in support of efficient and effective planning, acquisition, development, and management of IT investments and applications. Responsible for the development and implementation of the agency's Information Systems Security Program (ISSP), including administering the certification and accreditation process. These services include developing and maintaining the agency's Enterprise Architecture (EA), including Strategic Planning and Technology Assessment; Business Process Improvement and Project Management; and Business and Application Support Services, including database administration, development of business cases, and a Single Point of Contact for coordinating IT requests from across the Agency. Develops, plans, and implements the NRC's Enterprise Architecture program, including development of a "To-Be" EA that is driven by the NRC's IT/IM Strategic Direction. Responsible for external interface in support of Federal task groups and other interagency initiatives. Works with NRC program offices to improve awareness and acceptance of the role of Enterprise Architecture in achieving the agency Strategic and Programmatic goals. Coordinates Enterprise Architecture with other key tools in support of the IT Governance process, including IT Strategic Planning, Capital Planning and Investment Control, portfolio management, and project management. Responsible for the Secretariat function for the IT Governance boards.

### **Enterprise Architecture and Standards Branch**

**Chief:** Susan Daniel

Implements the NR's Enterprise Architecture (EA) program. Provides support for development of the IT/IM Strategic Plan. Works with customers to understand business needs and to identify opportunities where IT/IM may be used to make their activities more effective and efficient. Presents key EA and IT/IM Strategic Planning recommendations to the various IT Governance boards for review. Coordinates with the Business and Application Support Branch to ensure that the IT investment portfolio is in alignment with the EA.

### **Enterprise Architecture Team**

**Team Leader:** (Vacant)

Implements the NRC's Enterprise Architecture program, including documenting NRC's EA models, proposing and maintaining an Enterprise Transition and Sequencing Plan in support of the "To-Be" EA, alignment of the program with the Federal Enterprise Architecture, and ensuring compliance with OMB and other federal requirements. Maintains a repository of the Agency's business processes and associated data, technology, standards, applications, and other EA components. Provides support to the Chief Enterprise Architect for external interface initiatives in support of Federal task groups and other interagency initiatives. Responsible for the Secretariat function for the NRC Enterprise Architecture Review Board (ERB) and provides staff support, including making recommendations regarding opportunities to reduce duplication

among systems, increase data and application reuse, and otherwise improve efficiencies and synergies in enterprise wide business processes through improved use of IT.

### **IT Strategic Planning and Analysis Team**

**Team Leader:** (Vacant)

Provides support for development of the IT/IM Strategic Plan, consistent with the Agency Strategic Plan and the Enterprise Architecture. Develops and coordinates agency business system planning functions in support of IT investment portfolio management. Responsible for the Secretariat function for the NRC IT Senior Advisory Council (ITSAC) and provides staff support, including making recommendations regarding opportunities to reduce duplication among systems, increase data and application reuse, and otherwise improve efficiencies and synergies in enterprise wide business processes through improved use of IT. Provides support to the Chief Enterprise Architect for external interface initiatives in support of Federal task groups and other interagency initiatives.

### **Technology Direction and Standards Team**

**Team Leader:** Clarissa Brown

Coordinates with customers to identify opportunities where specific technologies may be used to make their activities more effective and efficient, including reviewing emerging technologies, conducting pilots, assessing results for broader application at the Agency, and reviewing and implementing best practices. Hosts regular IT Focus Group meetings to bring together business and IT staff to jointly identify business needs and identify possible technology solutions. Serves as a review forum for validating the use of technical standards, technology policies, and particular technology solutions as a precursor to incorporating them into the Technical Reference Model under the EA. Develops and implements policies for management and use of new and emerging technologies.

### **Business Process and Project Management Branch**

**Chief:** Sophonia Simms

Provides enterprise-wide Project Management oversight services to promote and ensure the effective use of IT services to support agency business needs while meeting project performance standards. These Project Management services include providing expertise in Business Process Improvement, Systems Development Life Cycle methods, and Earned Value Management. These services also include providing support to program managers throughout the agency, including developing and maintaining project plans, providing standard reports to business owners, and providing training on the agency's Project Management Methodology and associated procedures. Presents reviews of project performance at major milestones for review by appropriate IT Governance boards. Provides input to the office's educational outreach activities and to support compliance with Clinger-Cohen requirements for IT learning initiatives for project management. Coordinates with Business and Application Support Branch to ensure that project performance is incorporated into the Control and Evaluate phases of CPIC.

### **Project Management Team 1**

**Team Leader:** Wilfred Madison

Provides project management expertise and services to the program offices in the development of applications.

**Project Management Team 2**

**Team Leader:** (Vacant)

Provides project management expertise and services to the program offices in the development of applications.

**Business and Application Support Branch**

**Chief:** Myron Kemerer

Responsible for a range of technical services and processes in direct support of customer requirements and the IT Governance process, including technical support of enterprise-wide applications, and technical support for achieving security certification and accreditation during application development or re-accreditation of legacy systems. Responsible for the development of the agency's Information Systems Security Program and ensuring that IT security policies related to certification and accreditation, training, and awareness are communicated to agency staff. Responsible for a range of business services, including assisting customers with the development of business cases and other materials in support of the Capital Planning and Investment Control (CPIC) process (also known as "Select, Control, Evaluate"). Presents IT investment portfolio recommendations to the various IT Governance boards for review. Manages enterprise-wide contract vehicles for systems development, operation, maintenance, and security support. Provides a Single Point of Contact for IT/IM inquiries within the NRC and directs those inquiries to appropriate channels. Coordinates with the Enterprise Architecture and Standards Branch to ensure that the enterprise architecture is aligned with the IT investment portfolio. Coordinates with the Business Process and Project Management Branch to ensure that project performance is incorporated into the Control and Evaluate phases of CPIC.

**Information Systems Security Team**

**Team Leader:** Mark Resner

Coordinates Information Systems Security Program activities and communicates with the program offices on the implementation of the Program's policies. Provides technical information systems security support and consultation services to NRC programs in support of achieving and maintaining certification and accreditation of NRC's IT systems. Works with system sponsors during new system development to ensure that IT security requirements are addressed as part of the initial system development.

**Application Support and Maintenance Team**

**Team Leader:** Tu Tran

Ensures that all application systems documentation, program modules, and software engineering and development tools are controlled through rigorous application of a central configuration management process. Provides centers of expertise to assist customers with their application projects (e.g., requirements analysis, testing, web, etc.) Provides services that form the foundation for all applications development, maintenance, and operational support activities. Provides resources for problem tracking and resolution assistance for users of agency applications systems. Maintains the applications development and testing environment within which all software under enterprise-wide contracting vehicles are developed, modified, and tested. Provides ongoing technical support for enterprise-wide applications and technical platforms. Provides ongoing support for implementation of the three-tier web architecture, including support for development of small web applications across NRC using reusable, shareable code.

**Capital Planning Team**

**Team Leader:** (Vacant)

Coordinates with other functional areas throughout the Office of Information Services to support the development and review of IT business cases. Provides business case and capital planning training to NRC program officials. Manages the agency's enterprise-wide development and operations program, which provides contract resources for developing and maintaining applications systems within a structured methodology. Provides a Secretariat function for the IT Business Council (ITBC), including scheduling meetings, developing agendas, coordinating briefings and presentations, and taking minutes. Serves as a Single Point of Contact for NRC inquiries regarding IT services and policies, including coordinating appropriate OIS resources. Provides guidance, analysis, and technical assistance to offices throughout NRC to support development of personal productivity tools and small databases. Coordinates BPIAD's input to the annual IT/IM Planning and Budgeting Guidance. Coordinates the BPIAD's budget formulation activities and oversees budget execution. Provides input to the office's educational outreach activities in compliance with Clinger-Cohen requirements for IT learning initiatives.

**Division Director:** John Linehan

**Deputy Director:** Jennifer Golder

Plans, develops, and delivers programs and services related to the storage, retrieval, protection, and preservation of NRC information in paper and electronic media. Assists internal and external stakeholders to obtain NRC information through the Public Document Room, ADAMS Support Center, the Technical Library, the File Center, the NRC internal and external Web Sites, and the FOIA and Privacy Act programs. Manages a centralized system for the electronic search and retrieval of internal and external agency documents. Develops and administers the agency information collection budget, and directs the agency's records management services.

### **Information Services Branch**

**Chief:** Susan Johnson

Assists internal and external stakeholders in obtaining information through the NRC Technical Library, the Public Document Room (PDR), the NRC's internal and external Web sites, and the Agencywide Documents Access and Management System (ADAMS). Establishes and implements policies and standards governing these functions. Plans, develops or acquires, and maintains paper and electronic repositories of books, journals, documents, graphics, and other content made accessible to internal and external users through the Library, PDR, ADAMS and NRC's internal and external Web sites. Serves as the business sponsor for ADAMS and for Web content management software. Develops the business case, defines requirements, evaluates alternatives, and develops and executes test plans for new or enhanced software. Provides document processing services for the capture, conversion to electronic form, indexing, and dissemination of documents stored in ADAMS. Provides services for development and maintenance of Web content.

### **ADAMS Development and Document Processing Section**

**Chief:** Wayne Davis

Responsible for document management policy and procedures; business sponsor for ADAMS; functional requirements definition and acceptance testing; consulting services to support NRC business processes; document processing and distribution; ADAMS database QA; user reference guides, job aids; and PDC ADAMS course development.

### **Technical Information Center Section**

**Chief:** Anna McGowan

Provides public services in direct compliance with 10CFR. Relative to publically available NRC information, the section is responsible for information collection maintenance and public access; public reference assistance; provides collection user guides and aids; training; and copying services as administered by staff and performed for the public through a contractor. Provides Tier I support for users of the Electronic Information Exchange (EIE). Directly supports the NRC goal of openness: "The NRC views nuclear regulation as the public's business and, as such, it should be transacted openly and candidly in order to maintain the public's confidence. The goal

to ensure openness explicitly recognizes that the public must be informed about, and have a reasonable opportunity to participate meaningfully in, the NRC's regulatory processes." This section identifies, collects, disseminates, manages, and preserves the scientific and technical information required by NRC staff to carry out the regulatory responsibilities and research duties of the agency nationwide. The section makes these information resources readily available and easily accessible to agency staff at Headquarters and in the regions through its vendor agreements, subscriptions, and acquisitions. Serves agency staff through reference assistance with both internal and external sources of the scientific and technical literature, including international materials.

### **ADAMS Support Center Team**

**Team Leader:** Jeryll Dorsey

Responsible for ADAMS system administration functions including user account maintenance (new accounts, password resets, password expirations, and account deletions) and interaction with the Infrastructure and Computer Operations Division. Provides "Help Desk" services to the NRC staff via groups, one-on-one on-site visits, telephone, or e-mail. Staff services include on-site training; guidance on policy and procedure; document indexing/profiling rules; immediate public release of documents; withdrawing individual documents from public access due to inadvertent release; user assistance relating to Document Processing Center (DPC) operations; modifying official agency records (OARs) and OAR profile data as appropriate; assisting with document searching techniques; and any general assistance on how and when to use ADAMS. Works in conjunction with the ADAMS Development and Document Processing Section in performing pre-defined tests of new and enhanced software for both internal and external ADAMS applications, and in keeping the ADAMS Desk Reference Guide up to date with current ADAMS technology.

### **Web Content Services Team**

**Team Leader:** Joan Hoffman

Responsible for internal and external Web policies, and procedures; business sponsor for Web content management technology; management and design of internal and external Web sites; Web content repository configuration, operation, and administration; assistance, and job aids for office Web liaisons and content providers; response to Web mail; Web content development and maintenance services ; PDC Web course development.

### **Records and FOIA/Privacy Services Branch**

**Chief:** Margie Janney

Develops and implements the agency's records management program. (The branch chief serves as NRC's Records Management Officer). Manages the operations of the NRC File Center and the NRC archives, providing assistance to the NRC staff for the collection, maintenance, retrieval, and access to records required by NRC technical and legal programs, whether in paper, micrographic, or electronic form. Electronically files all agency records for which the electronic image in ADAMS is designated as the official record copy. Develops and administers the agency's information collection budget, and reviews and approves OMB

Clearance Packages. Manages and implements NRC's Freedom of Information Act, Privacy Act, and Information Quality programs. (The FOIA team leader serves as the agency's FOIA Officer). Establishes agency policy for these programs and manages NRC's response to FOIA, privacy, and information quality requests and appeals in coordination with NRC office staff. Maintains required information concerning Privacy Act Systems of Records, and manages the maintenance and dissemination of information concerning NRC public meetings.

### **Records and Archives Services Section**

**Chief:** Deborah Armentrout

Responsible for agency records management program: records schedules; records retirement and retrieval; reference services; and vital records.

### **Information Collections Team**

**Team Leader:** Christopher Colburn

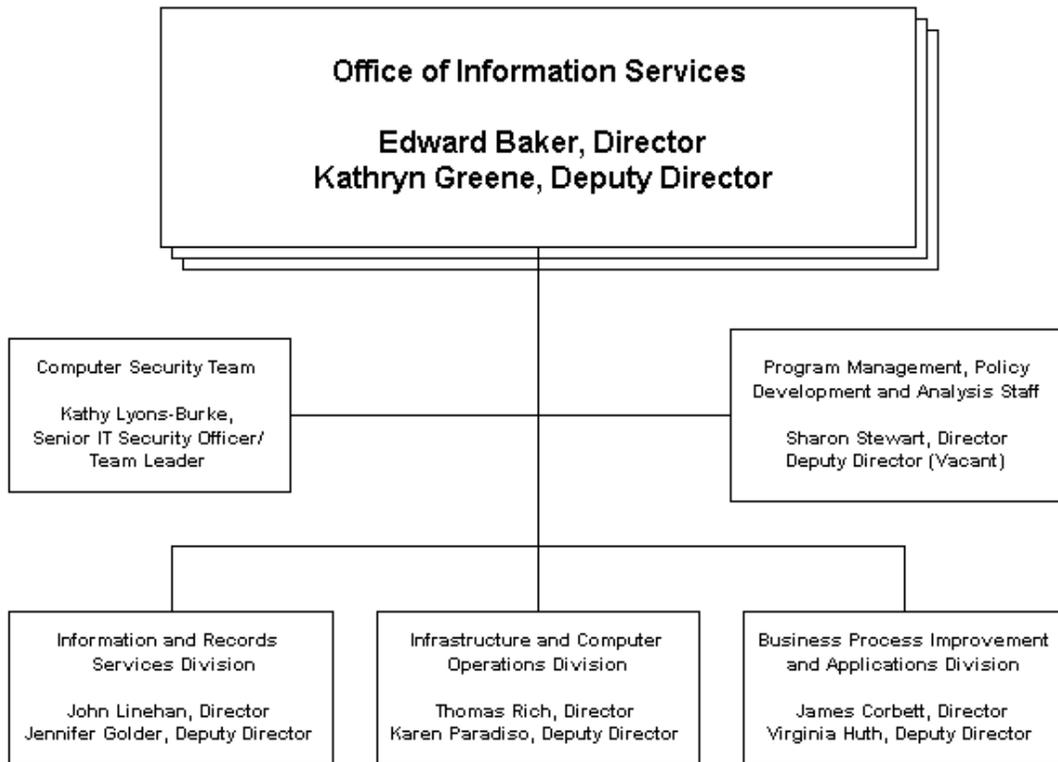
Responsible for Information Collection Budget and OMB Clearance Packages.

### **FOIA/Privacy Team**

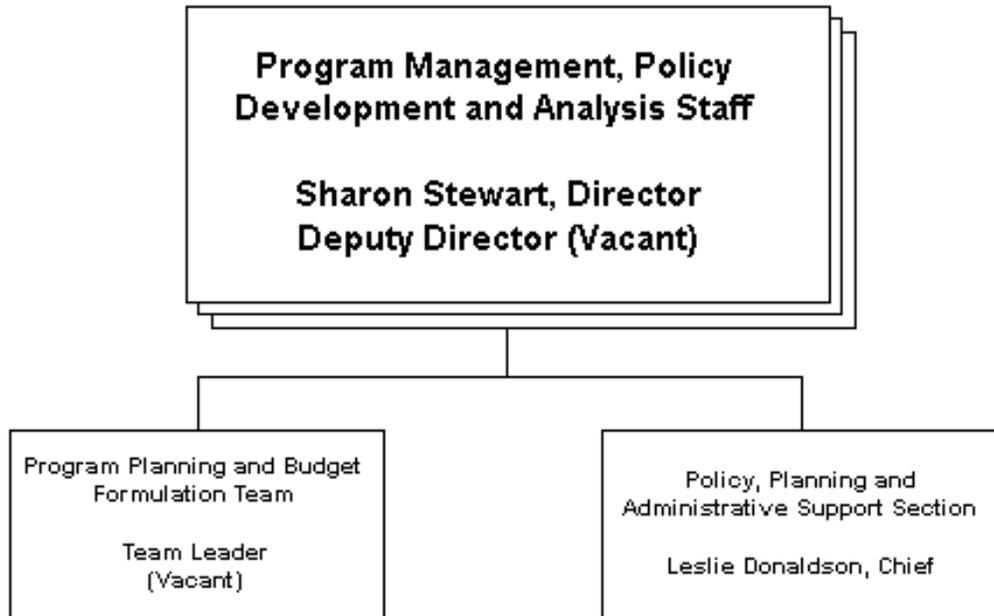
**Team Leader:** Russell Nichols

Responsible for FOIA policy, training, request processing, tracking, annual report; privacy policy, awareness, and request processing, systems of records; Information Quality policy, awareness, request processing; and Public Meeting Notice information maintenance and dissemination.

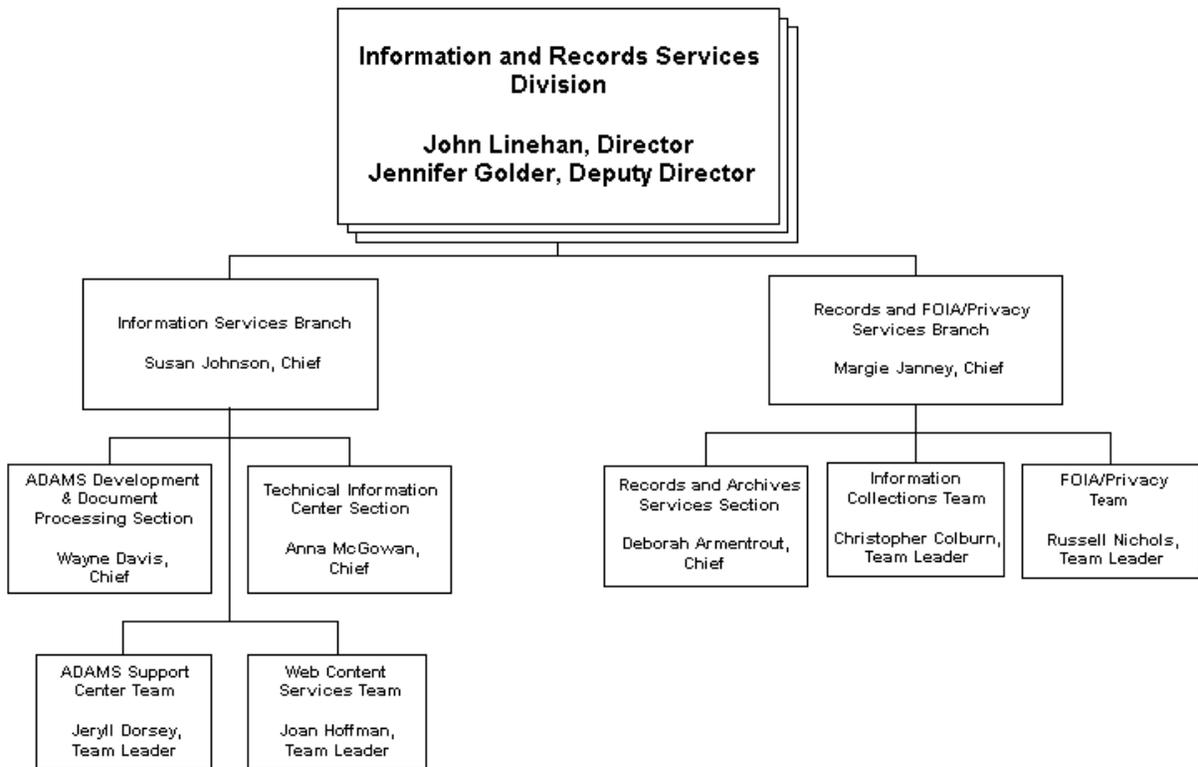
### NRC Office of Information Services Organizational Chart



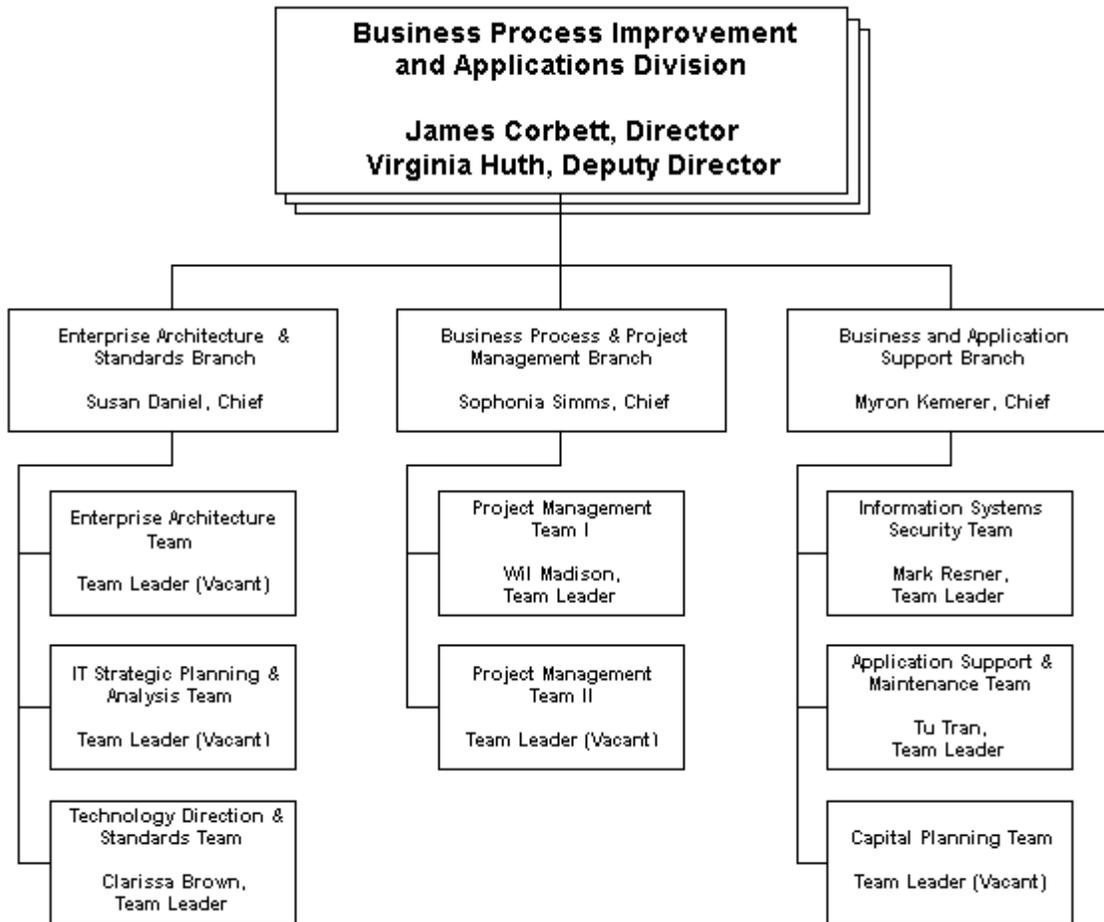
**NRC Office of Information Services Organizational Chart**



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**NRC Office of Information Services Organizational Chart**

