UNITED STATES
DEPARTMENT OF AGRICULTURE (USDA)

FEDERAL INFORMATION TECHNOLOGY ACQUISITION REFORM ACT (FITARA)

COMMON BASELINE and IMPLEMENTATION PLAN

Version 2.0

November 14, 2015

(public release version)

TABLE OF CONTENTS

1 PURPOSE AND INTRODUCTION 1
1.1 Purpose of the FITARA Common Baseline Implementation Plan 1
1.2 Introduction 2
1.3 Path Forward 4
1.4 CIO Assignment Plan 5
2 CIO'S AND OTHER SENIOR AGENCY OFFICIALS' ROLES AND RESPONSIBILITIES 7
2.1 Chief Information Officer (CIO) 7
2.2 Chief Financial Officer (CFO) 7
2.3 Chief Acquisition Officer (CAO) 7
2.4 Chief Human Capital officer (CHCO) 7
2.5 Senior Procurment Executive (SPE) 8
2.6 Director, Office of Budget and program Analysis (OBPA) 8
3 AGENCY AND STAFF OFFICE EXCEPTIONS 9
4 NEW POLICY REQUIREMENTS 9
5 NEW INTERAGENCY AGREEMENTS 9
6 COMMON BASELINE 9
6.1 **BUDGET FORMULATION AND PLANNING** 9
6.1.1 A1. Visibility of IT resource plans/decisions to CIO. 9
6.1.2 A2. Visibility of IT resource plans/decisions in budget materials. 10
6.1.3 B1. CIO role in pre-budget submission for programs that include IT and overall portfolio. 11
6.1.4 B2. CIO role in pre-budget submission for programs that include IT and overall portfolio. 11
6.1.5 C1. CIO role in planning program management. 11
6.1.6 C2. CIO, CFO and program leadership to define process to enable. 12
6.1.7 D1. CIO reviews and approves Major IT investment portion of budget request... 12
6.1.8 D2. CIO and CFO Certify IT Portfolio. 12
6.2 **ACQUISITION AND EXECUTION** 13
6.2.1 E1. Ongoing CIO engagement with program managers. 13
6.2.2 E2. Ongoing CIO engagement with program managers. 14
6.2.3 F1. Visibility of IT planned expenditure reporting to CIO. 14
6.2.4 F2. Visibility of IT planned expenditure reporting to CIO. 14

6.2.5 G1. CIO defines IT processes and policies. 15
6.2.6 H1. CIO role on program governance boards. 16
6.2.7 H2. Participate with CIO on governance boards as appropriate. 16
6.2.8 I1. Shared acquisition and procurement responsibilities. 16
6.2.9 I2. Shared acquisition and procurement responsibilities. 17
6.2.10 J1. CIO role in recommending modification, termination, or pause of IT projects or initiatives. 18
6.2.11 K1. CIO review and approval of acquisition strategy and acquisition plan. 18
6.2.12 K2. SPE ensures IT contract actions consistent with CIO approved acquisition strategies and plans. 19
6.2.13 L1. CIO approval of reprogramming. 19
6.2.14 L2. CIO approval of reprogramming. 19
6.3 **ORGANIZATION AND WORKFORCE** 21
6.3.1 M1. CIO approves bureau CIOs. 21
6.3.2 N1. CIO role in ongoing bureau CIOs' evaluations. 21
6.3.3 N2. CIO role in ongoing bureau CIOs' evaluations. 22
6.3.4 O1. Bureau IT Leadership Directory. 22
6.3.5 O2. Bureau IT Leadership Directory. 22
6.3.6 P1. IT Workforce. 22
6.3.7 P2. IT Workforce. 23
6.3.8 Q1. CIO reports to agency head (or deputy/COO). 23
6.4 **COMPILATION OF PROCESS FLOWS AND POLICIES** 24

7 FITARA COMMON BASELINE IMPLEMENTATION PLAN APPROVAL(S) 25

APPENDIX A: ACRONYMS A-1

1 PURPOSE AND INTRODUCTION

1.1 PURPOSE of the FITARA COMMON BASELINE IMPLEMENTATION PLAN

The Federal IT Acquisition Reform Act (FITARA) was enacted on December 19, 2014, which outlines specific requirements related to:

- Chief Information Officer (CIO) Authority Enhancements
- Enhanced Transparency and Improved Risk Management in Information Technology Investments
- Portfolio Review
- Expansion of Training and Use of Information Technology Cadres
- Federal Data Center Consolidation Initiative (FDCCI)
- Maximizing the Benefit of the Federal Strategic Sourcing Initiative (SSI)
- Government-wide Software Purchasing Program

OMB provided specific guidance on the implementation of this act across the federal sector to ensure that government-wide implementation is consistent with existing laws, policies, and management practices by issuing the Management and Oversight of Federal IT Memoranda (M-15-14).

OMB's guidance states that each covered agency shall conduct a self-assessment that identifies current conformity with or gaps in conformity with the Common Baseline, and articulates an implementation plan describing the changes it will make to ensure that all Common Baseline responsibilities are implemented by December 31, 2015. The self-assessment shall include a discussion of how agency senior leaders and program leaders will work in partnership to facilitate the successful implementation of the Common Baseline and how the agency CIO will be enabled as a strategic partner integrated in shaping Agency strategies, budgets, and operations. The Deputy Secretary is responsible for the completion of this implementation plan.

The USDA believes that by implementing this Common Baseline, we are in a position to show that:

- USDA has identified real opportunities for change;
- USDA presents a compelling and feasible plan to act on these changes;
- USDA integrates agency senior leadership with the leadership in bureaus to jointly drive the mission; and the
- USDA CIO serves as the single point of accountability for the roles and responsibilities identified in this Plan.

If you have any comments concerning the USDA Common Baseline Implementation Plan, please send an email to the USDA Executive Director for FITARA at AgITGovernance@ocio.usda.gov.

1.2 INTRODUCTION

This Implementation Plan represents the U.S Department of Agriculture's (USDA) commitment to implement the Office of Management and Budget's (OMB) Federal Information Technology Acquisition Reform Act (FITARA) Common Baseline, as articulated in OMB Memorandum M-15-14. The Common Baseline reinforces the role and authority of USDA's Chief Information Officer (CIO) in establishing an inclusive, integrated governance process that manages Information Technology (IT) as a strategic resource. This Common Baseline establishes a framework for USDA to implement the specific authorities that FITARA gives to CFO Act agency CIOs, and builds upon the responsibilities outlined in the Clinger-Cohen Act of 1996. The Common Baseline speaks to the roles and responsibilities of other applicable senior Department officials including the Chief Financial Officer (CFO), the Chief Acquisition Officer (CAO), Senior Procurement Executive (SPE), and the Chief Human Capital Officer (CHCO). At USDA, the CIO is working collaboratively with these senior officials and their bureau counterparts, as well as the Deputy Secretary and other executive level staff to ensure full implementation of FITARA consistent with the Common Baseline.

Information Technology (IT) plays a critical role in the USDA's ability to carry out its mission to "…provide leadership on food, agriculture, natural resources, rural development, nutrition, and related issues based on sound public policy, the best available science, and efficient management." Each year the complexity of the IT environment grows, and making sound IT investment decisions requires greater amounts of information.

For example, the Department improves the Nation's economy and quality of life by touching the lives of almost every person in America, every day. Nearly 100,000 employees deliver more than $144 billion in public services through the Department's more than 300 programs worldwide, providing leadership on food, agriculture, natural resources, rural development, nutrition, and related issues based on sound public policy, the best available science, and efficient management. USDA needs to respond effectively to the challenges posed by the diversity, complexity, and volume of IT investment proposals brought forward by various stakeholders throughout the Department. This new integrated IT governance framework supports government priorities and program delivery.

USDA's Integrated Information Technology Governance Framework (IITGF) is a holistic set of processes, procedures, and guidelines that assist the Office of the Chief Information Officer's (OCIO's) customers to improve mission delivery. It does this by providing structure around the budget formulation, budget execution, enterprise architecture, capital planning, IT security, Section 508, Records Management, and portfolio/project management processes.

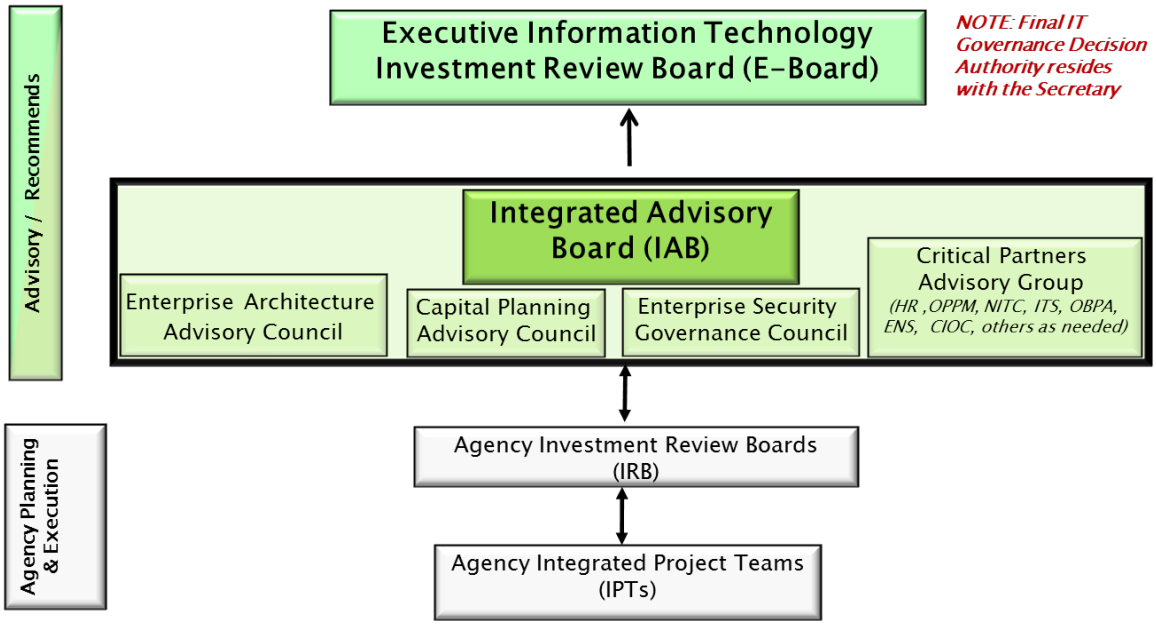
Implementing the IITGF satisfies the following goals:

- *Provides a coherent and effective project management methodology to guide IT project management at USDA. The methodology is intended to consistently deliver IT capabilities that provide maximum support to USDA business needs within approved cost and schedule constraints.*

- *Better integrates IT project planning and execution with IT Governance, including more effective multi-disciplinary reviews of IT projects by the stakeholders and IT executive governance bodies.*
- *Enables the CIO to have insight and access to the approval process of an investment throughout the System Development Life Cycle (SDLC), which includes incremental development methodologies.*

Governance decision making is differentiated at multiple levels in the IITGF.

In addition, USDA has strengthened the existing governance system to ensure that the CIO actively engages with all key stakeholders involved in the governance structure graphic below. The governance system provides clear lines of authority from the Secretary and Deputy Secretary to the CIO. The CIO, or designee, will engage at the Department-level and throughout all Bureaus and Staff Offices, using existing governance bodies in the key areas of finance, budget, acquisition, and human resources. These bodies consist of Departmental and Bureau leadership in the specific subject-matter area. The CIO will engage directly with each group, ensuring active involvement in policy decisions that are related to information technology.

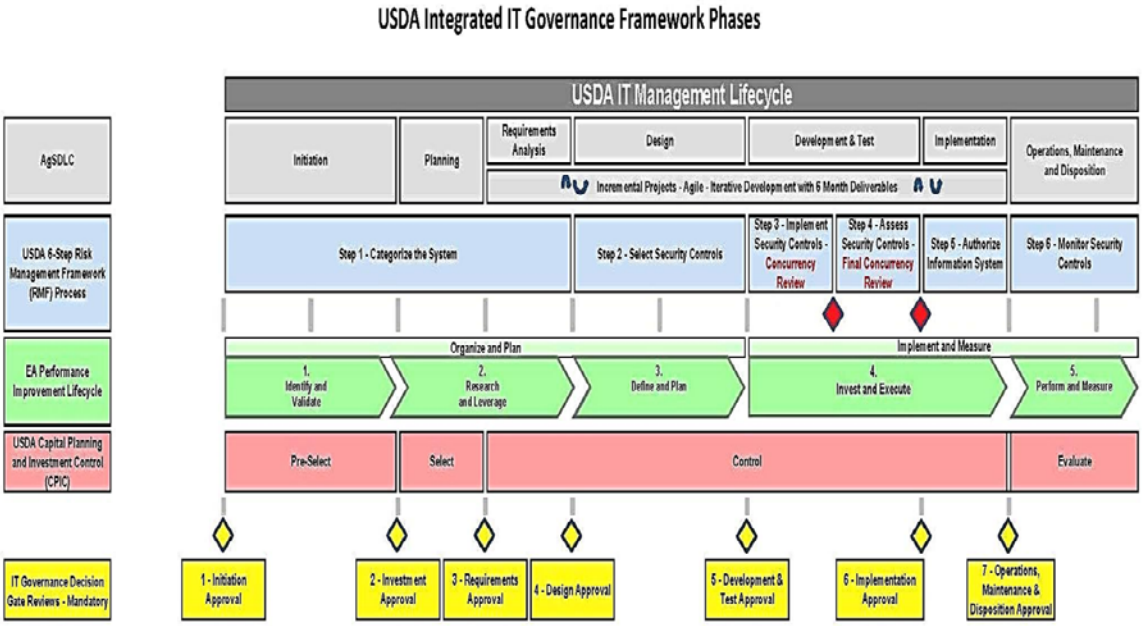


Executive Information Technology Investment Review Board (E-Board) - Composed of the Department's senior leaders. Its responsibilities ensures that proposed investments contribute to the Secretary's strategic vision and mission requirements, employ sound IT investment methodologies, comply with Departmental enterprise architecture, employ sound security measures, and provide the highest return on the investment or acceptable project risk. The E-Board provides the Secretary with recommendations for review and decision authority.

Integrated Advisory Board (IAB) - The IAB is comprised of three councils and one group: Enterprise Architecture Advisory Council, Capital Planning Advisory Council, Enterprise Security Governance Council, and the Critical Partners Advisory Group. The IAB is a key component of the Integrated IT Governance Framework structure that ensures the accountability and success of IT governance objectives. The prime purpose of the IAB is to create a forum for technology leadership to ensure that all technology decisions align with Department and Agency/Staff Office level goals, strategies, objectives, and mission needs.

Agency-level Investment Review Boards (IRBs) and Integrated Project Teams (IPTs) - Agency-level IRBs will review and approve investments before they enter the USDA IITGF process. Agency-level IPTs assist in providing technical review and governance to proposed system development efforts. Any agency-level proposed or existing initiatives that are or become an enterprise, shared service, or major IT investment, will be submitted to the Department for review and approval by the USDA CIO, as well proceeding through the governance boards, including the IAB and E-Board.

The Integrated IT Governance Framework



1.3 PATH FORWARD

The USDA CIO has been working closely with senior leadership both at the Department level and within the Bureaus and Staff Offices to consistently engage and align USDA's budget, finance, acquisitions, human resources, and IT communities. This approach is consistent with FITARA's expectation of inclusive senior level engagement between the CIO and other Senior Officials, and improved relationships between the CIO and Bureau counterparts. USDA has instituted processes for planning IT spending and reviewing contract actions through the establishment of a collaboratively led review by Department's IT leadership consisting of OCIO, SPE and CFO.

The Department is moving in the direction of enhanced CIO authority with greater transparency and risk management of IT investments, the review of agencies and staff offices portfolios, consolidating data centers, the expansion of recruitment and training, maximizing the benefits of strategic sourcing initiatives, and government-wide software purchasing programs. USDA will also make changes, as appropriate, to existing policies, procedures, and governance structures to fully meet FITARA's requirements.

Fully implementing the FITARA Common Baseline will be challenging since the USDA is a large, decentralized agency with 80,000+ employees in 29 Bureaus and Staff Offices across the country. However, the USDA focus will show the need for strong, cohesive leadership, transparency in actions and decisions, and clear and consistent communication throughout USDA.

1.4 CIO ASSIGNMENT PLAN

The FITARA implementation guidance requires the CIO to develop a Departmental assignment plan if a CIO intends to delegate aspects of the Common Baseline to other Department officials. Given USDA's organizational and geographically dispersed locations, the Department will delegate some of the FITARA Common Baseline actions.

The USDA CIO will maintain the majority of those controls at the Office of the Chief Information Officer (OCIO) level with the exception of:

- FITARA Element I1. CIO Role/Responsibility: *Shared acquisition and procurement responsibilities*. The CIO reviews all estimates of IT related costs and ensures all acquisition strategies and acquisition plans that include IT apply adequate incremental development principles.
- FITARA Element J1. CIO Role/Responsibility: *CIO role in recommending modification, termination, or pause of IT projects or initiatives*. The CIO shall conduct TechStat reviews or use other appropriate performance measurements to evaluate the use of the IT resources of the agency.
- The CIO may recommend to the agency head the modification, pause, or termination of any acquisition, investment, or activity that includes a significant IT component based on the CIO's evaluation, within the terms of the relevant contracts and applicable regulations.

Should a Bureau or Staff Office assume responsibility for one of the above areas, the USDA CIO will provide a Delegation of Authority Memorandum to that Bureau or Staff Office CIO's in a rules-based manner using the following criteria:

- The Agency or Staff Office has control of all IT spending;
- No cyber security issues;
- Good transparency into the Portfolio;
- IT PM Certification, Level 3 for Major IT investments and Level 2 for Non-Major IT investments and Integrated Product Team members; and
- Good USDA Corporate citizen - includes being **Green** on the IT Federal Dashboard, accurate reporting and openly shares with the Department.

The Assignment Plan will evolve as the CIO further establishes a direct line of accountability for IT management and executes the Assignment Plan where delegation is permissible. This organizational alignment and accountability will enable USDA to develop and refresh an Assignment Plan outlining delegation of relevant Common Baseline Elements.

2 CIO's AND OTHER SENIOR AGENCY OFFICIALS' ROLES AND RESPONSIBILITIES

2.1 CHIEF INFORMATION OFFICER (CIO)

The CIO serves as the USDA senior official to advise the Secretary and Deputy Secretary on Enterprise IT Governance matters. He is the principal senior official for developing, establishing, executing, and maintaining the IITGF process. He is also responsible for advising and assisting the Under Secretaries, agency and staff office CIOs, and the E-Board in executing IT investments and governance oversight.

2.2 CHIEF FINANCIAL OFFICER (CFO)

The CFO participates on the Executive Information Technology Investment Review Board (E-Board) and provides staff to serve on the Integrated Advisory Board (IAB). He also provides financial analysis to the CIO and his or her staff in support of evaluating and monitoring investments. The CFO is responsible for capturing spending information and providing that information to the CIO on a monthly basis in order to assist in evaluating the compliance investments.

2.3 CHIEF ACQUISITION OFFICER (CAO)

The CAO is accountable for overall strategy and management of IT acquisitions. The CAO reviews the IT acquisition strategy in coordination with the CIO and the CFO. The CAO delegates policy and oversight aspects of IT acquisitions to the Senior Procurement Executive (SPE). Operational aspects of IT procurement are delegated by the SPE to Heads of Contacting Activity Designees (HCADs) who are responsible for ensuring IT procurements under their purview comply with applicable laws, regulations, guidance and procedures.

2.4 CHIEF HUMAN CAPITAL OFFICER (CHCO)

Chief Human Capital Officer (CHCO): The CHCO is responsible for administration of USDA performance management and employment policy and specifically the management of the recruitment and performance review process for Senior Executive Service (SES), Senior Level (SL), Scientific or Professional (ST), and Senior Science and Technology (SSTS) positions.

With regard to FITARA responsibilities, the CHCO will:

- Establish a formal Standard Operating Procedure (SOP) for recruitment and selection packages for SES/SL/ST/SSTS positions;
- Manage the recruitment process for filling Bureau CIO positions at the SES/SL level;
- Make classification determinations for SES CIO positions;
- Manage the allocation process for new SES/SL positions;
- Notify the OCIO staff to provide a subject matter expert (SME) for representation on the Executive Resources Boards (ERB) for staffing SES CIO positions;

- Provide for the review/concurrence of the Department's CIO in the selection of all SES CIO positions;
- Collaborate with the USDA CIO in establishing a process for the review/approval of the selection for Bureau CIO positions at the GS-15 level;
- Work with the Department's CIO in implementing a review/concurrence process of the performance assessments for SES CIO positions;
- Collaborate with the USDA CIO in establishing a process for the review/concurrence of performance assessments for Bureau CIO positions at the GS-15 level.
- Collaborate with OCIO on the data call to Bureau Heads/Mission Area Human Resources Directors (MAHRDs) to validate current information for the CIO Leadership Directory and establish a process for maintaining this data for SES and GS-15 positions.

2.5 SENIOR PROCURMENT EXECUTIVE (SPE)

The SPE is responsible for establishing policy regarding the acquisition of IT products and services and ensuring that IT procurements comply with applicable laws, regulations, guidance and procedures. The SPE collaborates with the CIO to issue FITARA-based policy related to the acquisition of IT products and services, including policy to ensure IT acquisitions are approved by the CIO prior to obligating funds. The SPE implements enhancements to USDA's enterprise acquisition system to support FITARA requirements.

The SPE supports the use of Federal and Departmental procurement vehicles that align to enterprise level IT acquisition strategy established by the CIO. The SPE reviews IT acquisition strategy in coordination with CIO and the CFO. The SPE delegates operational aspects of IT procurement to Heads of Contracting Activity Designees (HCADs) who are responsible for ensuring IT procurements comply with applicable laws, regulations, guidance and procedures. For purposes in this Implementation Plan, at the USDA, the SPE assumes those responsibilities of the CAO.

2.6 DIRECTOR, OFFICE OF BUDGET AND PROGRAM ANALYSIS (OBPA)

As the head of the Office of Budget and Program Analysis (OBPA), the Budget Officer is responsible for overseeing the administration and coordination of the USDA budget process. As such, the Budget Officer issues guidance for and manages the Department-wide process to formulate the annual budget request and preparation of justification materials that support the policy priorities of the Administration and programmatic needs of the Department's agencies and offices. As a part of this overall budget development process, OBPA works with the OCIO to include guidance to agencies to collect information needed for OCIO review of budget proposals and to provide information needed by policy officials in the budget decision-making process.

OBPA also supports the execution of the Department's budget when the relevant appropriations bills are signed into law. One component of these execution activities includes the development of guidance for the preparation of agency and staff office operating plans. In the development of these plans, the agencies and offices describe planned actions at the program, project, and activity (PPA) levels. The Budget Officer will review and clear these plans prior to submitting them to USDA policy officials, OMB and

Congress. Annual appropriations acts generally include requirements for notification of the Appropriations Committees in advance of reprogramming or other funding actions that meet specified thresholds. These thresholds may require identification of USDA's major IT investments as separate PPAs to be displayed in future operating plans. Agencies are responsible for identifying instances where reprogramming or other funding changes are needed and forwarding those actions for review within the Department. The Budget Officer is responsible for engaging OMB and the relevant subcommittees of the House and Senate Appropriations Committees to convey information pertaining to these requests, which may affect resource allocations for IT investments or related activities.

3 AGENCY AND STAFF OFFICE EXCEPTIONS

Currently, USDA does not have agency and staff office exceptions. As the implementation of the law progresses there may be exception discoveries. With respect to Offices of Inspectors General (OIG), USDA will implement this plan in a manner that does not impact the independence of those offices and the authorities Inspectors General have over the personnel, performance, procurement, and budget of the OIG, as provided in the Inspector General Act of 1978, as amended (5 U.S.C. App 3).

4 NEW POLICY REQUIREMENTS

USDA has conducted an in-depth policy review and, as a result of the FITARA implementation within USDA, there may well be updates to existing departmental regulations (DRs) (policies) as well the possibility of developing new policies to meet emerging requirements.

5 NEW INTERAGENCY AGREEMENTS

There are currently no new interagency agreements (IAAs) envisioned. As the implementation of FITARA progresses within USDA, there may be new IAAs required or updates to existing IAAs.

6 COMMON BASELINE

6.1 BUDGET FORMULATION AND PLANNING

6.1.1 A1. Visibility of IT resource plans/decisions to CIO.

USDA CIO ensures IT budget requests and Passback submissions are approved by all agencies CFOs and CIOs via signed memos uploaded to the OCIO Portfolio Management tool. The memo for the CIOs is a part of the tools workflow approval process. In addition, the Major IT Portfolio Summary data is submitted to the USDA CIO and other budget officials for their review.

For the BY2017 budget planning and formulation process, OBPA coordinated with OCIO to supplement its Chapter 11 Agency Estimate budget guidance to include a new OCIO form for the collection of IT-specific budget information. This form was used to capture Capital Planning and Enterprise Architecture data that provided additional insight into the agencies IT budget planning process.

In addition, the OCIO Capital Planning and IT Governance Division (CPIGD) required the agencies to develop detailed life cycle cost (DLCC) for each investment within the USDA IT Portfolio. The details include non-system and system costs as they relate to the following resources: equipment, software, personnel, support services, and supplies. These costs are reviewed prior to becoming a part of the USDA IT Portfolio submission to OMB.

OCIO and OBPA will begin the pre-planning budget process for the BY2018 submission in early quarter (Q) 3 of FY2106 and validate if the data captured provides additional insight into the pre-budget submission process, or if any additional information is needed by the CIO in order to make sound decisions about the USDA IT Portfolio. USDA Information Resource Management (IRM) will draft an approval memorandum for both the CIO and OBPA Director as evidence of visibility of IT Resource decisions.

To fully comply with this requirement, the USDA views the budget formulation process that includes touch points with the CIO:

- CIO will collaborate with OBPA to prepare agency guidance for the budget formulation process;
- CIO will be included in meetings with agency Administrators and Under Secretaries where the Secretary reviews his priorities for the Departmental estimates;
- CIO will review agency Estimates submitted as part of Chapter 11 and provide input to the Office of the Secretariat (OSEC) decision making process;
- Use Budget Exhibit 11-2 or modify *Exhibit – Analysis of IT Resources* to expressly report IT spend by agency;
- Re-programming: work with OSEC to include CIO in the review/approval process for Agencies re-programming requests; and
- Portfolio Management Process – it is recommended that the CPIGD, who is also responsible for the Portfolio Management process, re-evaluate and adjust the timing for the portfolio review process to support the budget formulation and departmental estimate process to reduce duplication of effort.

6.1.2 A2. Visibility of IT resource plans/decisions in budget materials.

The USDA CIO and OBPA will continue to collaborate and update existing OBPA Chapter 11 (Agency Estimates), and Chapter 12 (Departmental Estimates) Budget Guidance to appropriately reflect the level of detail required to provide adequate visibility into IT investments to enable sound decision making.

The budget formulation process is focused on resource allocation decisions which may affect current and future acquisition programs. In order to be effective with this process, the CIO and Budget Officer will work with senior policy officials, including the Secretary's Office, to identify resource needs in support of existing policy priorities and the Department's strategic goals and objectives.

In addition, early engagement with the USDA Mission Areas, understanding their lines of businesses (LOB) in order to have a cohesive synergy with the information technology communities and incorporating the CIO into the pre-planning process along with the CFO, and Budget Officer will ensure clear visibility into the prioritization of programs before any final decisions are submitted to start the approval of any budget formulation requests.

6.1.3 B1. CIO role in pre-budget submission for programs that include IT and overall portfolio.

Currently, USDA is partially in compliance with the requirement by performing annual pre-budget submission and IT portfolio reviews with all Bureaus.

To become fully compliant with this requirement, the OCIO will enhance its participation in the overall budget formulation process by Q3 FY2016. In addition, OCIO and OBPA will enhance their collaboration for reviewing agency and office requests for funding when that funding would be used for IT-related activities. The CFO, SPE, CIO, and Budget Officer will develop appropriate Department-wide guidance as part of the annual budget formulation process to ensure that the necessary process enhancements are achieved.

The USDA will also standardize and formalize a compliant pre-budget submission process, which will include enhancing the maturation of the existing Capital Planning and Investment Control (CPIC), enterprise architecture, and budget formulation processes. Additional evidence of the CIO, CFO, and SPE participation in all pre-budget submission and IT portfolio review would be through meeting minutes and any applicable post action plans. As a result, this will ensure that IT resources are well developed and able to achieve program and business objectives.

6.1.4 B2. CIO role in pre-budget submission for programs that include IT and overall portfolio.

See 6.1.3, B1.

6.1.5 C1. CIO role in planning program management.

Through the existing USDA Enterprise IT Governance process and integrated governance framework, IT governance spans the culture, organization, policy, and practices that provide IT management and control. This enables the CIO and the IT Governance Boards to be in alignment with the strategic direction of IT. It also facilitates the alignment of IT and the business with respect to services and projects; delivers maximum business and IT collaborative value and assesses the return on investment; and provides the opportunity for resource management through high-level direction for sourcing and use of IT resources.

Aggregating funding of IT at the enterprise level ensures that adequate IT capability and infrastructure is in place and managed in order to support current and expected future business requirements.

In the initiation stage of the IT Governance process (Decision Gate 1), the Bureaus have to provide a summary of the resources they require with supporting documentation that includes their Mission Needs Statement, funding profile, and Enterprise Architecture Concept Overview Diagram. Further, as Bureaus go through the Agriculture System

Development Life Cycle (AgSDLC) they must provide required artifacts. The CFO Delegate is included in the IITGF and is a part of the IAB.

The Enterprise IT Governance DR addressing this element should be an officially published policy by end of calendar year 2015.

6.1.6 C2. CIO, CFO and program leadership to define process to enable.

See 6.1.5, C1. The CFO Delegate is part of the IAB. The USDA IT Governance structure provides the list of CIO, CFO, and other leadership members.

6.1.7 D1. CIO reviews and approves Major IT investment portion of budget request.

Currently, the CPIGD provides all applicable USDA Bureaus Major IT Portfolio Summaries (formerly OMB Exhibit 53) to the CIO, CFO, and OBPA for review prior to submitting budget information to OMB.

As a part of OBPA budget approval process the CIO in conjunction with the CFO and OBPA Director will jointly approve the major investments budget in a memorandum as evidence of visibility of IT Resource decisions. As outlined in 6.1.3 above, OBPA will continue to work with the CIO and other 'C' level senior staff (CXOs) to develop appropriate guidance as part of the budget formulation process.

6.1.8 D2. CIO and CFO Certify IT Portfolio.

See 6.1.7, D1.

Budget Formulation and Planning Milestones

Date	Milestone
December 31, 2015	• The Enterprise IT Governance DR addressing the CIO involvement with planning for IT resources at all points in the lifecycle should be an officially published policy.
Q2 FY2016	• The CFO, SPE, CIO, and Budget Officer will develop appropriate Department-wide guidance as part of the annual budget formulation process to ensure budget formulation process enhancements are achieved
Q3 FY2106	• CIO will collaborate with OBPA to prepare agency budget guidance for the budget formulation process • CIO will be included in meetings with Agency Administrators and Under Secretaries where the Secretary reviews priorities for the Departmental estimates • CIO will review Agency Estimates submitted as part of Chapter 11 and provide input to the OSEC decision making process
Q3 FY2016	• Approval memorandum for CIO and OBPA Director as evidence of visibility of IT Resource decisions
May 2016	• Executive Director for FITARA defines OCIO review criteria and decision making process after receiving budget packets from the Agency's during first phase of the USDA internal review process (Chapter 11 submission.)

Date	Milestone
May 2016	• Executive Director for FITARA and CPIGD will work with OBPA to create timelines for OCIO review and input to Budget Director and Office of the Secretary for budget decisions.
May 2016	• CPIGD will collaborate with OBPA to prepare instructions and incorporate modified exhibits (Exhibits 11-2, 12 and Appendix A) to send to the bureaus to prepare.
June 2016	• OCIO review Agency Budget request and provide input to Budget Director and Office of the Secretary.
Q4 FY2016 (date depends on Secretary's schedule)	• Include CIO in USDA Budget Priority meetings with Agency Administrators and Under Secretaries (next opportunity FY2018 submissions)
Mid-August 2016	• Agency draft final estimates for Departmental Estimates
Mid-September 2016	• USDA submits Departmental Estimates to OMB

6.2 ACQUISITION AND EXECUTION

6.2.1 E1. Ongoing CIO engagement with program managers.

CIO engagement with program managers is a part of the *USDA IT Strategic Plan, Fiscal Years 2014-2018* - Goal #1: Align IT Investments with mission and business priorities. The goal is further delineated by Objective 1.3 to provide proactive stewardship of tax dollars to ensure IT investments deliver maximum performance and value to the mission. This strategic element applies a standardized and rigorous framework for measuring IT investment's value to the Bureaus and the Department. In addition, the objective also performs formal governance gate reviews of major IT investments to determine the optimum path forward, which could include termination of the investment.

USDA also requires all portfolio investments to map to at least one of the Department's strategic goals. Bureaus are also required to map one of their strategic goals to the CIO's IT Strategic goals as part of the IT Portfolio management process.

USDA will fully comply with the requirements by leveraging the existing process that major and non-major IT investments shall perform an annual Operational Analysis (OA) ensuring that investments are appropriately delivering customer value and meeting the business objects of the programs. Furthermore, USDA plans to improve the annual USDA IT portfolio review process by adding the reporting requirement for each bureau to map all investments to their bureau level Strategic Objectives, which are aligned to the Department's Strategic objectives.

The OCIO will additionally continue to review major investments on a monthly basis and non-major investments on a quarterly basis to ensure investments are still aligned to the

previously established baseline. Finally, the OCIO will work directly with the program managers to improve the communication between both parties.

6.2.2 E2. Ongoing CIO engagement with program managers.

Currently, the USDA CPIGD monthly and quarterly reviews assess the results of the metrics provided by the USDA Bureaus.

The CIO along with the USDA CIO Council will take this deliverable as an action item to define standardized performance metrics for the USDA LOB. The same Council or subset thereof will ensure the OMB has the latest set of lines of business identified by USDA.

This Council consists of CIOs from the 29 USDA bureaus and staff offices and will ensure the metrics are well defined, can be measured and reported by the agencies via their portfolio of investments.

6.2.3 F1. Visibility of IT planned expenditure reporting to CIO.

USDA uses the Acquisition Approval Requests (AARs) process, the USDA IT Governance process, supporting monthly and quarterly investment business case updates, and the CPIC Detailed Life Cycle Cost (DLCCs) process as evidence of compliance with this element. OCIO and OCFO will collaborate to design and plan an operating budget for IT investments once the approved budget is enacted.

The CIO shall review the financial information with key performance indicators to ensure the projects are accomplishing the desired results within the established budget and also collaborate with the CAO to ensure the spending is congruent with approved acquisition strategies and plans. The CIO will also coordinate with the CFO and the Director of the OBPA if and when corrective actions are identified that have a financial impact.

The CIO will, in concert with OBPA, OCFO, set agency-level policy in FY2017 to ensure that the CIO, Budget Officer, and CFO review all expenditures for IT at the system and/or investment level during planning and execution in detail sufficient for informed decision making. To achieve this goal, OBPA and OCFO will coordinate with OCIO on the development of guidance for the agency operating plans to ensure that planned expenditures for major IT investments are appropriately reflected in the plans. OCIO and the agencies, through their regular process of monitoring IT investment spending, will inform OBPA and OCFO of changes to the planned expenditures for IT investments that would require a reprogramming notification to the Appropriations Committees.

6.2.4 F2. Visibility of IT planned expenditure reporting to CIO.

The CFO will lead a CFO/CIO/SPE team to determine appropriate level of detail and develop accounting structures to capture and categorize actual obligations and expenses for information technology investments. The data will be made available to the CIO and SPE for monthly review. The information capture structures will be established for FY 2016 reporting. The SPE will use the monthly reports to enhance oversight of contract management activities in consultation with the CIO.

In addition, this CFO-lead team will also determine appropriate costs at the investment or system level and develop accounting structures to capture and categorize costs. The data

will be made available to the CIO and SPE for monthly review. In accordance with the CFO Act, the CFO will retain approval and management of agency financial management systems design or enhancement projects while making information available to the CIO for portfolio reviews on the approved schedule.

The USDA CFO, CIO and SPE will reinforce this requirement with the existing compliance with the Fiscal Year 2003 Agriculture Appropriations Act (Public Law 108-7) which states, *"None of the funds made available to USDA by this Act may be used to acquire new IT systems or significant upgrades, as determined by the Office the Chief Information Officer (OCIO), without the approval of the Chief Information Officer and the concurrence of the EITRB."* In addition, DR 5039-7, Delegation of Procurement Authority for Information Technology, dated September 18, 1998, Background, Section 3d, states that: *"Proposed IT acquisitions and information resources activities must comply with all requirements established by the OCIO. OCIO oversight includes both approving IT investments and monitoring and evaluating the performance of these investments. Requirements include: (1) compliance with the Capital Planning and Investment Control Process; (2) compliance with standards of the USDA Information Systems Technology Architectures; (3) obtaining technical approvals in accordance with DR 3130-1; and (4) compliance with requirements of any prevailing OCIO moratoriums or USDA Departmental directives."*

Furthermore, the Office of Procurement and Property Management (OPPM) under the leadership of the Senior Procurement Executive (SPE), and in conjunction with the CAO, ensures acquisition personnel comply with Procurement Advisory (PA) 53 and that USDA contracting activities have process and procedures to support PA 53. (Click here for an older, historical version of PA 53 that contains letters from the OCIO related to the AAR process.) The purpose of PA 53 is to disseminate information, issued by the USDA OCIO, regarding the IT acquisition approval process, and to remind acquisition personnel of these requirements.

6.2.5 G1. CIO defines IT processes and policies.

The Integrated IT Governance Guidebook: Framework (IITGF) defines the existing governance process and the associated swim lanes from concept to disposition, a list of Bureaus, and the CIO or delegate participating in the governance process. The Guidebook is considered a best practice – the overarching and enforceable Departmental policy and practice directives are in the formal clearance process and should be published by the end of calendar year 2015. The IITGF shows the decision gates and requirements to make decisions at all stages of the investments lifecycle. This process determines when investments should progress to the next governance decision gate.

The current Departmental Regulations (directives) are listed here, with the majority of the Departmental IT directives located within the 3000 Series. The USDA IT-specific policies can also be found at the USDA Digital Strategy webpage located here.

Currently, no Department-wide IT governance DR is in effect at USDA, but the Enterprise IT Governance DR addresses these shortcomings and is currently in formal clearance process and should be published by the end of calendar year 2015.In addition, the USDA

has identified seven DRs (and associated procedures) that are FITARA-specific with three of these in Departmental formal clearance (and should be formally published and implemented soon), three directives nearing formal clearance (i.e., OCIO internal clearance), and one recently published that pertain to governance, capital planning, investment control, cost estimating, cloud computing, enterprise-wide initiatives, and IT program and project manager certification requirements:

- Enterprise Information Technology Governance DR – Departmental Formal Clearance
- Enterprise Information Technology Governance Procedures – In Development
- Non-Major Information Technology Investments DR– Departmental Formal Clearance
- IT Capital Planning and Investment Control Process (CPIC)DR– OCIO Internal Review
- IT Capital Planning and Investment Control Process (CPIC) Procedures – In Development
- IT Program and Project Managers Certification Requirements DR– Departmental Formal Clearance
- IT Cost Estimating DR– OCIO Internal Review
- Cloud Computing DR – published in September 2015
- CIO Council DR – OCIO Internal Review

6.2.6 H1. CIO role on program governance boards.

Currently, three-fourths of USDA Bureau and staff offices who have established governance boards, have already augmented their formal IT governance review board Charters to include an OCIO delegate as a non-voting, ex officio member.

The CIO/OCIO Delegates will participate in Bureau-level Governance Boards and will increase participation over the next several months. A standardized process will be put in place to identify and capture all CIO (or CIO delegates) participation in governance boards. USDA has compiled a list of bureau-level governance boards where the CIO is currently represented and will publish this list according to the OMB August IDC instructions.

6.2.7 H2. Participate with CIO on governance boards as appropriate.

See 6.2.6, H1 as reference. The USDA CIO issued a memorandum to Bureaus and staff offices who have established IT governance boards requesting that an OCIO Delegate be added to their formal Charters.

6.2.8 I1. Shared acquisition and procurement responsibilities.

The IT Acquisition Approval Request (AAR) process is the mechanism by which the CIO monitors and reviews agency-level IT spending. The CIO uses this process to:

- Improve the management of the USDA-wide IT portfolio and underlying IT projects;
- Ensure compliance with applicable laws and rules;

- Institutionalize information exchange between staff at the Department level and at the Agency level; and
- Address Department-wide redundancies and inefficiencies.

The AAR process was established as a requirement in the USDA Appropriations Act, Title VII, General Provisions, Section 711, which states that "none of the funds available to the Department of Agriculture for IT shall be obligated for projects over $25,000 without prior receipt of written approval by the CIO. The CIO has delegated approval of AARs that are $50,000,000 or less to the Associate CIO for Information Resource Management. Along with the AAR Process, the monthly and quarterly reviews of the Major and Non-Major IT Business Cases, supporting artifacts such as, acquisition strategies and associated plans, cover the requirements of this element.

If the required supporting documents are not provided with requests for procurement, contracting activities may be required to obtain needed documents prior to contract award.

The SPE in collaboration with OCIO is in the process of updating acquisition documents and tools to reflect the new acquisition requirements by December 2015. OCIO is also updating the AAR instructional document, AAR Guidebook and Procurement Advisory 53 to reflect the new requirements not already included in the AAR process by December 2015.

6.2.9 I2. Shared acquisition and procurement responsibilities.

The CIO, CFO, and SPE partnered to ensure all major and non-major IT acquisition programs are managed by the appropriate specialized and certified personnel. The system of record for certifications is the Federal Acquisition Institute Training Application System (FAITAS) sponsored by the Federal Acquisition Institute. The Program/Project Managers are tracked in both the OCIO Portfolio Management and the FAITAS tools. Talent profiles are tracked in AgLearn, USDA's official learning management system, and reports are available upon request. Appropriate FAC-P/PM certifications – at the USDA PMs of major investments are required to have Level 3 and PMs of non-major investments are required to have Level 2 certification. This requirement is reinforced as one of the rating criteria used in OCIO CPIGD monthly and quarterly investment reviews.
In addition to the above current policy and process, USDA follows the guidelines from OMB and the Department by embracing Category Management, Strategic Sourcing Initiatives, and Shared Services with focused teams. Leveraging the listed opportunities allows USDA to identify cost savings, avoidance, and eliminates redundancy and waste through rationalization of commonly used commodities.

The OPPM group oversees the entire Department-wide initiative known as the Strategic Sourcing Initiative (SSI) - Strategic sourcing is the collaborative and structured process of critically analyzing an organization's spending and using this information to make business decisions about acquiring commodities and services more effectively and efficiently. It is the policy of USDA to conduct its procurements using collaboration and resource sharing to reduce the number of procurement actions and the administrative burden of conducting large numbers of isolated, individual procurements. USDA is strongly encouraging leveraging Federal and Department-wide procurement vehicles. USDA will consider

recommending mandatory usage for appropriate acquisition vehicles as they become available. We will be recommending mandatory usage once appropriate acquisition vehicles are available. USDA requires investment cost estimates be reviewed and/or submitted during the Budget request, Passback, and monthly submissions to OMB.

USDA follows the IITGF that reviews programmatic plans at applicable decision gates stages and aligns with OMB's requirement for no more than 6-month span for project activities. CPIGD reviews, on the behalf of the CIO, the compliance of Bureaus projects within their investments on a monthly and quarterly basis.

Moreover, the purpose of Procurement Advisory 53 is to establish policy and procedures for USDA's Acquisition Workforce (AW), as defined in Section 5 of this Advisory.

The USDA's OPPM, Procurement Policy Division (PPD) strives to promote AW excellence and enable achievement of successful mission outcomes, while safeguarding Government interests, through:

- Human Capital Planning and Career Development
- Professional Certification Training
- Management
- Tools and Technology
- Oversight, Review, and Compliance
- Consistency and Transparency

6.2.10 J1. CIO role in recommending modification, termination, or pause of IT projects or initiatives.

USDA adopted the OMB TechStat process and documents. The Non-Major IT Investments directive is currently in the formal policy clearance stage and is projected to be published by December 31, 2015. This directive for non-major IT investments addresses Bureau level TechStats. Determination of the need for TechStat is reviewed monthly for Majors and quarterly for non-majors. Three consecutive yellow or red ratings will trigger a USDA-led TechStat.

6.2.11 K1. CIO review and approval of acquisition strategy and acquisition plan.

The USDA AAR process compares proposed acquisitions to Acquisition Plans. The CPIGD monthly and quarterly investment ratings include reviews of Acquisition Plans and Acquisition Strategies. The Department also has established a Strategic Sourcing initiative and project management office, which will review acquisition data and make recommendations to the CIO for approval of acquisition strategies and plans as part of the AAR process. Within the USDA governance process, Acquisition Plans and Strategies are also reviewed at various governance decision gates.

In November 2015, to help address FITARA requirements for acquisition approval, OPPM implemented changes in USDA's enterprise level Integrated Acquisition System (IAS) to include a new field on procurement requisitions to capture the AAR number. The system was enhanced to require an AAR number for requisitions greater than $25,000 containing an information technology Budget Object Classification Code (BOCC). The AAR number

is printed on the requisition form and be carried forward to the award. The IAS has the ability to store attachments on the requisition and award so users can attach the AAR approval memo and other required acquisition documents. The AAR number is a reportable field in IAS' reporting utility and specific reports involving the AAR number can now be created.

The OCIO CPIGD and the OPPM will finalize and implement the requirement of the AAR approval process into the procurement workflow process that will require the review/approval of acquisition plans by December 2015. The acquisition will not be completed without the AAR number provided by the OCIO AAR process.

6.2.12 K2. SPE ensures IT contract actions consistent with CIO approved acquisition strategies and plans.

USDA is in partial compliance with the requirement of this element. We are in the process of working with the SPE and OPPM to modify the enterprise IAS to include OCIO AAR numbers and updated CIO/ACIO approval memos. This will ensure that no new contracts or option years of existing contracts are entered into without prior CIO approval. In addition, the Department's Portfolio Management tool and Enterprise IT Governance process addresses the requirement for acquisition approvals. The artifacts: CPIC DR (going through the internal OCIO policy review process), IT Governance DR (in formal clearance of the policy approval process), IT Governance Guidebook, and the AAR Instructions for AgMax, are all evidence in support of this requirement.

A new field was implemented in the new release of the IAS in November 2015. This new field is capturing the AAR number when requisitions are created. IAS will require an AAR number for all IT requisitions containing an information technology CFO BOC code. The AAR number will be printed on the requisition form and be carried forward to the award. IAS has the ability to store attachments on the requisition and award so users can attach the AAR approval memo and other required acquisition documents. The AAR number is a reportable field in IAS' reporting utility and specific reports involving the AAR Number can now be created.

6.2.13 L1. CIO approval of reprogramming.

Significant changes such as re-plans and reprogramming requests are being reviewed and approved by the CIO. Any Notification to Congress for reprogramming requests are also staffed for review and approval prior to release.

6.2.14 L2. CIO approval of reprogramming.

The Office of Executive Secretariat (OES) manages the process for reprogramming notifications being provided to Congress consistent with direction in the relevant annual appropriations legislation. OES, in conjunction with OCIO and consistent with 6.2.4 above, will incorporate additional guidance in this process for the reprogramming notification requirements associated with major IT investments. This policy will need to adhere to the direction provided by Congress to the Department through Section 719 of the 2015 Consolidated Appropriations Act for reprogramming of funds for major investments.

Acquisition and Budget Execution Milestones

Date	Milestone
November 2015	• OPPM will implement changes in USDA's enterprise level Integrated Acquisition System (IAS) to include a new field on procurement requisitions to capture the AAR number
December 2015	• Finalize the Enterprise IT Governance Departmental Regulation addressing the requirement that the CIO defines the development processes, milestones, review gates, and the overall policies for all capital planning, enterprise architecture, and project management and reporting of IT resources • The SPE in collaboration with OCIO will update acquisition documents and tools to reflect the new acquisition requirements. • OCIO will update the AAR instructional document, AAR Guidebook and Procurement Advisory 53 to reflect the new requirements not already included in the AAR process. • The OCIO CPIGD and the OPPM will finalize and implement the requirement of the AAR approval process into the procurement workflow process that will require the review/approval of acquisition plans • Project that the *Enterprise IT Governance* and *Non-Major IT Investments* Departmental Regulations (DRs) will be formally published
Q1 FY2016	• OCFO will develop accounting structures to capture and categorize actual obligations and expenses for IT investments. The data will be made available to the CIO and SPE for monthly review.
Q2 FY2016	• USDA will improve the annual USDA IT portfolio review process by adding the reporting requirement for each bureau to map all investments to their bureau level Strategic Objectives, which are aligned to the Department's Strategic objectives • CIO along with the USDA CIO Council will define standardized performance metrics for the USDA LOB • Project that the *IT Program and Project Managers Certification Requirements*, *IT Cost Estimating*, *IT Capital Planning and Investment Control*, and *CIO Council* DRs will be formally published
Q3 FY2016	• Procedures, as presented in Departmental Manuals, associated with Enterprise IT Governance and IT Capital Planning and Investment Control DRs published
FY2017	• OBPA and OCFO will establish guidance with OCIO for the agency operating plans to ensure that planned expenditures for major IT investments are appropriately reflected in the plans

6.3 ORGANIZATION AND WORKFORCE

6.3.1 M1. CIO approves bureau CIOs.

Currently, there is a process in place with the USDA Office of Human Resources (OHRM), Executive Resources Management Division (ERMD), where the recruitment packages for SES CIO positions are vetted through the Department's CIO for concurrence.

The Department CIO in collaboration with OHRM ERMD has implemented via a draft standard operating procedure (SOP) a recruitment process at the Department and Bureau levels. This SOP incorporates the requirement for the review/approval from the Department's CIO, or designee, as a subject matter expert (SME), when establishing the need for a Bureau CIO position and in developing the recruitment package. Bureau CIO positions are SES and GS-15s. OHRM ERMD services and has oversight over the SES. GS-15s are serviced in their respective Mission Area, Bureau or Staff Office. Upon concurrence, the Department's CIO or designee will issue a notice of clearance to the Bureau CIOs and HR servicing organizations. OHRM will work with OCIO to create an Advisory Notice to go to the Bureau CIOs and Executives describing implementing performance plans and detailing the hiring process in mid FY2016.

The USDA CIO, in concert with the CHCO, established an Executive Director for FITARA position in October 2015. This newly created Senior Level (SL) position is located in the OCIO. The Executive Director is charged with leading the USDA practices, processes and procedures that will bring USDA into compliance with FITARA. These responsibilities include: assisting the USDA Bureaus and Staff Offices in establishing management practices that align IT resources with the Department's strategic mission, goals, and programmatic priorities. The Executive Director will also work with the CIO and the USDA Deputy CIO for Policy and Planning to establish the Common Baseline and an implementation plan for roles, responsibilities and authorities of the Department CIO and other applicable Senior Department Officials.

The CHCO will also partner with the CIO to establish the SOP for the recruitment and selection for CIO positions at the SES level with the collaboration of the USDA Mission Area, Bureau and Staff Office Heads by Q1 FY2017. This process and timing will involve collaboration with the CIO to develop a set of competency requirements for IT positions; representation of CIO staff on Executive Review Boards and providing the CIO's input on performance ratings to the Performance Review Boards; obtaining the CIO approval on selections; and a notification process when CIO positions are vacated (targeted for implementation by Q1 FY2016. Also by early FY2017, the CHCO, in consultation with the CIO, will collaborate with the Bureau subject matter experts to assist in the development and establishment of positions at the GS-15 grade level.

6.3.2 N1. CIO role in ongoing bureau CIOs' evaluations.

The OCIO and the CHCO have established and incorporated IT performance requirements for this critical element in the performance plans for Bureau CIO positions at the SES and GS levels. Guidance was issued to Bureau Heads, Deputy Administrators for Management, and Mission Area Human Resources Directors that established the following activities: Separate sets of performance measures related to this element were developed for the SES level and GS-level CIOs. Within 30 days prior to the end of the appraisal

period (and at mid-year reviews), Bureau CIOs provide their accomplishments using an accomplishments template that is submitted to the USDA CIO. Within 15 days after the close of the rating period, the CIO issues his or her performance rating guidance and comments to each Bureau or Program CIO's rating official and provides a copy to the SES or GS CIO being rated. The rating official uses the CIO's input in determining the element rating that will be used to assign the overall summary rating of the Bureau or Program CIO that they rate.

6.3.3 N2. CIO role in ongoing bureau CIOs' evaluations.

USDA OCIO has created critical performance elements for all Bureau CIOs that have been in place since 2013. An official advisory notification will be issued in Q1 FY2016.

6.3.4 O1. Bureau IT Leadership Directory.

USDA OCIO has completed this requirement. USDA will require an update to this requirement with the quarterly Integrated Data Collection (IDC) request.

6.3.5 O2. Bureau IT Leadership Directory.

Bureau Heads should be shown as who this is "Delegated To". OHRM will coordinate with the OCIO point of contact for the initial data call to Bureau Heads/Mission Area Human Resources Directors (MAHRDs) in order to validate current information for these positions, and OHRM will provide the information for SES (Executive Resources Management Division) to the OCIO point of contact. Since OHRM does not service GS-15s, going forward, this information will need to be coordinated with Bureau Heads/MAHRDs by the OCIO. Therefore, maintaining the list will require a coordinated effort between the OCIO, OHRM/ERMD for SESs, and Bureau Heads/MAHRDs for GS-15s.

It should be noted that while OHRM does administer the Department's policy for Performance Management, OHRM does not administer the performance management process for GS-15s, so OCIO's involvement in that process will also need to be coordinated with Bureau Heads/MAHRDs by the OCIO. OHRM will work with OCIO to determine the process.

6.3.6 P1. IT Workforce.

IT Workforce Planning (ITWP) is engaged with the OHRM and the OPPM to meet the FITARA workforce requirements. ITWP, in collaboration with OHRM, OCIO/IRM and OPPM, identified 13 competencies already validated in FAI's competency model and USDA IT competency model to assess a sample of the IT (GS 2210) and IT Program/Project Manager workforce (GS 2210, 0301, and 0343). ITWP worked with OHRM, OPPM, IRM and the USDA CIO and identified individuals to participate in a 180 degree assessment. We will use AgLearn to run these assessments and reports. ITWP, in collaboration with each agency 360 degree process managers is running 180 degree assessments in Q1 FY2016 for those identified individuals and will provide reports to the individuals participating in the assessment. ITWP will run a high level report which we will use to help us identify USDA IT workforce gaps by the end of December 2015.

ITWP, OHRM, and OPPM will analyze the data from the high level report to identify workforce gaps. Once these gaps have been identified, we will recommend development

strategies to agencies help close these gaps. Strategies will consist of recommending courses in AgLearn, recommending potential vendors, and mapping courses to competencies in AgLearn. ITWP has established a vehicle with a vendor to offer FAC P/PM Levels 1, 2, and 3 courses to USDA employees. USDA employees will register through AgLearn and submit an SF-182 to the IT Workforce Program Manager to attend these courses. Agencies are responsible for payment to attend these courses.

6.3.7 P2. IT Workforce.

The USDA ITWP group is engaged with OHRM and OPPM to identify and develop a tentative plan to address all IT workforce competencies requirements. USDA's approach is to:

- Identify and assess 13 critical competencies from the FAC-P/PM competency document and a USDA GS-2210 competency model (still in draft).
- Conduct 180 degree assessments in AgLearn using a sample of individuals with current FAC P/PM Levels 1, 2, and 3 certifications and those interested in obtaining FAC-P/PM certifications.
- Run reports both for individual and USDA-wide all individuals participating in this assessment would receive a report targeting their strengths and weaknesses. The ITWP and Executive Director for FITARA team would receive a report that identifies USDA's strengths and weaknesses.
- Target growth opportunities determine competency weaknesses and develop strategies to strengthen competency weaknesses.
- Tasks include:
    - Review the data from the last assessments (December 2015 and January 2016)
    - Determine high level gaps (January 2016)
    - Present findings to CIOs, InfoSec PMs, and FAC-P/PMs. (February 2016)
    - Deliver feedback reports to individuals who request them (January through March 2016)
    - Review training plans and opportunities (March 2016)
    - Promote opportunities to help close identified gaps (March - May 2016)
    - Review and decide on competencies to include in next assessment (June 2016)
    - Finalize competencies to use in next assessment (July 2016)
    - Run assessments (August/September 2016)
- Strategies include:
    - Map courses to competencies (online and classroom)
    - Promote FAC-P/PM specific courses through AgLearn
    - Recommend vendor(s) to offer courses to assist with gap closure

6.3.8 Q1. CIO reports to agency head (or Deputy/Chief Operating Officer).

Prior to 2009 the USDA CIO reported directly to the Secretary and Deputy Secretary. However, during a subsequent reorganization, the USDA CIO now has a direct line of communication with both the Secretary and Deputy Secretary and receives day-to-day operational direction from the Assistant Secretary for Administration (ASA), who serves as the USDA's Chief Operating Officer.

Workforce Milestones

Date	Milestone
Q1 FY2016	• The CHCO will recruit and administer a Senior Level position for FITARA to be located in the OCIO • The CHCO will modify the current process to include the CIO approval on selections and a notification process when CIO positions are vacated • USDA OCIO has created critical performance elements for all Bureau CIOs that have been in place since 2013 for which an official advisory notification will be issued • Tasks associated with ITWP competencies gap analysis
Q2 – Q4 FY2016	• ITWP will collaborate with OHRM, OPPM, OCIO, and Executive Director for FITARA in addressing competencies gap analysis findings
Q1 FY2017	• The CHCO will partner with the CIO to establish a SOP for the recruitment and selection for CIO positions at the SES level with the collaboration of the USDA Mission Area, Bureau and Staff Office Heads • The CHCO will partner with the OCIO to develop a set of competency requirements for IT positions; representation of CIO staff on Executive Review Boards; and provide the OCIO's input on performance ratings to the Performance Review Boards • The CHCO, in consultation with the CIO, will collaborate with the Bureau subject matter experts to assist in the development and establishment of positions at the GS-15 grade level
Q3 FY2017	• OHRM will work with OCIO to issue an Advisory Notice to go to the Bureau CIOs and Executives describing implementing performance plans and detailing the revised hiring process

6.4 COMPILATION OF PROCESS FLOWS AND POLICIES

A compilation of process steps, existing policies, procedures, memos, and advisories describing USDA agency practices associated with Budget Formulation and Execution, Acquisition Management, and Human Capital Management is included as an attachment here for reference.

USDA FITARA Process Flows.pdf

(To open file, select the icon above and open the attachment)

7 FITARA COMMON BASELINE IMPLEMENTATION PLAN APPROVAL(S)

The undersigned acknowledge they have reviewed and concur with the ***USDA FITARA Common Baseline Implementation Plan*** as originally submitted to OMB in August 2015.

As a living document, changes to this FITARA Common Baseline Implementation Plan will be coordinated with and approved by the undersigned or their designated representatives.

Signature:	/s/	Date:	8/14/2015
Print Name:	Krysta Harden		
Title:	Deputy Secretary, Department of Agriculture		

APPENDIX A: ACRONYMS

AAR	Acquisition Approval Request
AgLearn	Agriculture Learning System
AgMAX	Agriculture IT portfolio Management Tool
AgSDLC	Agriculture System Development Life Cycle
ASA	Assistant Secretary for Administration
AW	Acquisition Workforce
BOCC	Budget Object Classification Code
CAO	Chief Acquisition Officer
CFO	Chief Financial Officer
CHCO	Chief Human Capital Officer
CIO	Chief Information Officer
CPIC	Capital Planning and Investment Control
CPIGD	Capital Planning and IT Governance Division
DLCC	Detailed Life Cycle Cost
DME	Development, Modernization, and Enhancement
DR	Departmental Regulation
E-Board	Executive Investment Review Board
EM	Enterprise Management
ERMD	Executive Resources Management Division
FAI	Federal Acquisition Institute
FDCCI	Federal Data Center Consolidation Initiative
FITARA	Federal Information Technology Acquisition Reform Act
FY	Fiscal Year
GS	General Schedule
HCAD	Heads of Contracting Activity Designees
IAB	Integrated Advisory Board
IAS	Integrated Acquisition System
IDC	Integrated Data Collection
IITGF	Integrated Information Technology Governance Framework
IPT	Integrated Project Team
IRB	Investment Review Board
IRM	Information Resource Management
IT	Information Technology
ITWP	IT Workforce Planning
LOB	Lines of Business
MAHRD	Mission Area Human Resources Directors
OA	Operational Analysis
OBPA	Office of Budget and Program Analysis
OCIO	Office of the Chief Information Officer
OCR	Office of Congressional Relations
OHRM	Office of Human Resources Management
OMB	Office of Management and Budget
OPPM	Office of Procurement and Property Management
P/PM	Program and Project Managers
PA	Procurement Advisory
SDLC	System Development Life Cycle
SES	Senior Executive Service
SF	Standard Form
SL	Senior Level
SME	Subject Matter Expert
SPE	Senior Procurement Executive
SSI	Strategic Sourcing Initiative
SSTS	Senior Science and Technology Service
ST	Scientific or Professional
URL	Universal Resource Locator
USDA	United States Department of Agriculture