



United States Department of Agriculture

Process Analysis Data Summary

for

Federal Information Technology Acquisition Reform Act (FITARA)

Version 3.0
June 20, 2017

Document Revision History

Record of Reviews and Changes

Version No.	Date	Author	Revision Description
Version 1.0	November 2015	Maureen Farrell	Initial development and submission attachment to FITARA Implementation Plan.
Version 2.0	January 26, 2017	Reginia Hinrickson	<p>Updated to a standardized format congruent to other FITARA documents, grammatical corrections, and acronym corrections. Updated and added flowcharts, figures, tables, and appendices.</p> <p>Added background, purpose, scope, reprogramming, acquisition approval request, recruitment, performance management, governance, and FITARA submissions.</p> <p>USDA CIO approved on January 24, 2017.</p>
Version 3.0	June 20, 2017	Reginia Hinrickson	<p>Added Document Revision History, Program/Project Management processes, maintaining IT Bureau Leadership Directory, recruitment, and performance processes.</p> <p>Updated FITARA Submissions and Budget Formulation Process.</p>

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1. Background

The Federal Information Technology Acquisition Reform Act (FITARA) was enacted on December 19, 2014, and outlines specific requirements related to the following:

- Federal Chief Information Officer (CIO) authority enhancements
- Enhanced transparency and improved risk management in Information Technology (IT) investments
- Portfolio Review
- Expansion of training and use of IT Cadres
- The Data Center Optimization Initiative (DCOI)
- Maximizing the benefit of the Federal Strategic Sourcing Initiative (SSI)
- Governmentwide software purchasing programs

In order to provide more specific guidance for the implementation of FITARA, the Office of Management and Budget (OMB) issued Memorandum [M-15-14](#), *Management and Oversight of Federal Information Technology*. The objectives of M-15-14 state that covered agencies shall conduct a self-assessment that identifies current conformity with or gaps in conformity with a Common Baseline and Implementation Plan (herein known as the *Common Baseline*), and articulate an implementation plan describing the changes it will make to ensure that all *Common Baseline* and milestone and action table responsibilities are either implemented or provisioned for by December 31, 2015. This 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 milestone and action table and how the Agency CIO will be enabled as a strategic partner integrated in shaping Agency strategies, budgets, and operations.

In response to the M-15-14 mandate, the United States Department of Agriculture (USDA) developed the [United States Department of Agriculture Federal Information Technology Acquisition Reform Act Common Baseline and Implementation Plan](#), dated November 14, 2015, which reinforces the role and authority of the USDA's CIO in establishing an inclusive, integrated governance process that manages IT as a strategic resource. In addition, the USDA established the [Actions and Milestones Table](#), which captures the progression of tasks related to the success of the common baseline. The USDA *Common Baseline* establishes a framework for USDA to implement the specific authorities that FITARA gives to the [Chief Financial Officer \(CFO\) 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 CFO, the Chief Acquisition Officer (CAO), Senior Procurement Executive (SPE), the Chief Human Capital Officer (CHCO), and the Director,

Office of Budget and Program Analysis (OBPA) (the USDA CIO, CFO, CAO, SPE, CHCO, and OBPA Director, as a group, shall herein be identified as the CXOs).

In addition, the USDA has strengthened the existing Departmental policies, procedures, advisories, and notices to ensure that the USDA CIO actively engages with all key stakeholders involved in the IT governance and investment processes. The Departmental Regulation ([DR 3145-001](#), *Oversight and Management of the Federal Information Technology Acquisition Reform Act* (FITARA) policy, provides guidance that USDA shall ensure all applicable policies, procedures, and governance structures are consistent with FITARA's requirements.

2. Purpose

This Process Analysis Data Summary will be used to document processes and procedures in support of the FITARA within the USDA. This document will focus on the Departmentwide changes that are required to enable USDA to take advantage of the new authorities promulgated by FITARA to enhance the USDA CIO's involvement in IT budget formulation and execution; governance; IT workforce planning; and acquisition processes and procedures. It will assist with any documentation or evidence collection in the event of any audit requests received from internal or external organizations. In addition, it will be used as a transfer of knowledge tool for any new employees or FITARA team members.

3. Scope

This FITARA Process Analysis Data Summary pertains to the FITARA operations office, employees, contractors, and others who work for or on behalf of USDA and are responsible for performing FITARA activities.

4. The Budget Formulation Process

Federal budgeting is a cyclical activity that begins with formulation of the president's budget and concludes with the audit and review of expenditures. The process extends for a period of at least two-and-a-half years. The main steps are formulation of the president's budget, congressional budget decisions, and execution of the budget. While the basic steps continue from year to year, particular procedures used vary in accordance with the style of the President of the United States (POTUS), the economic and political conditions, and other factors.

The OBPA's major activities consist of coordinating the preparation of the Department's budget estimates, legislative reports, and regulations. OBPA provides direction and administration of the budget; reviews program and legislative proposals for program and budget related implications; and analyzes program and resource issues and alternatives.

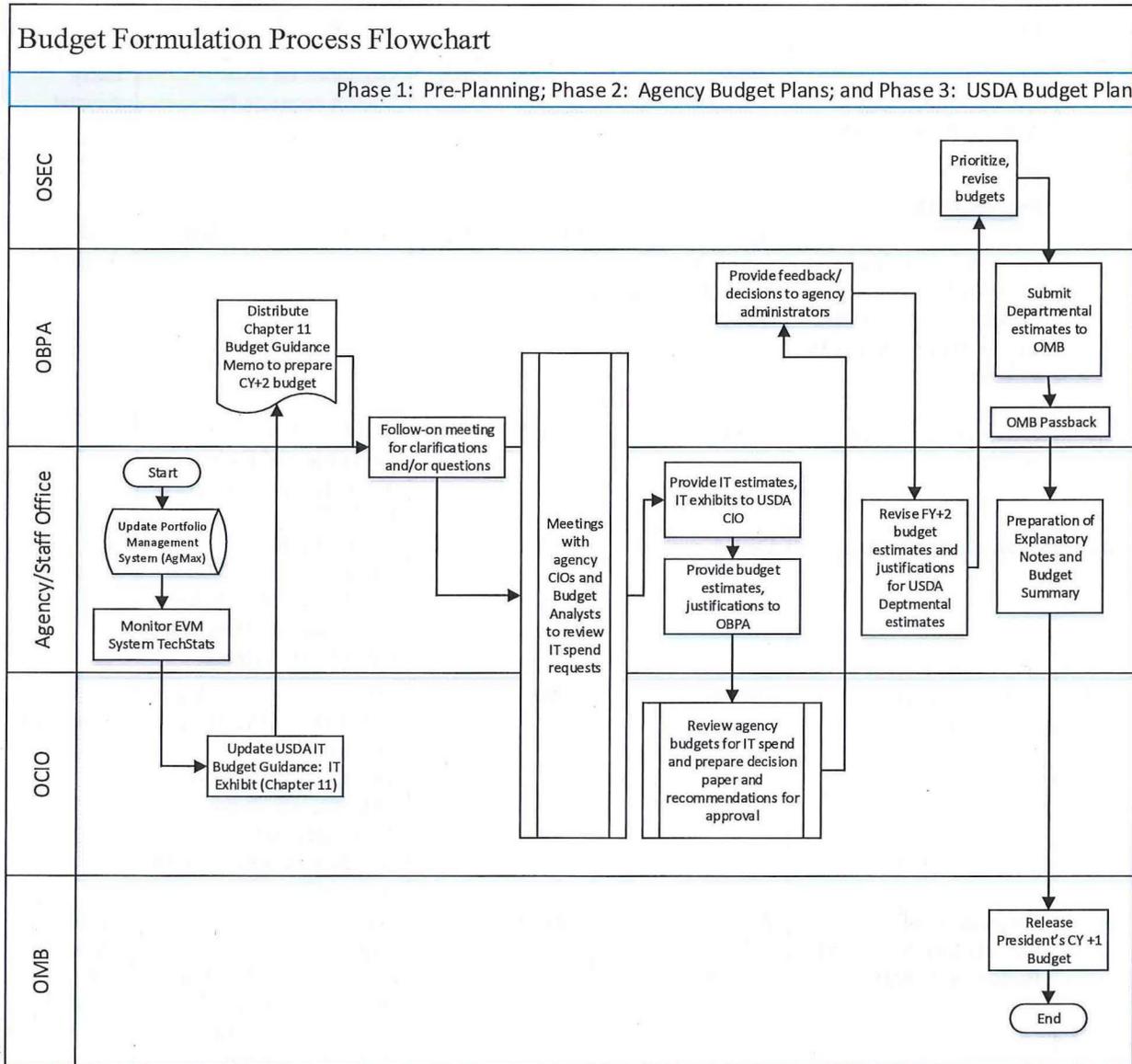
USDA has many Departmental Directives that provide USDA personnel with guidance on budget and finance. These can be located on the Office of the Chief Information Officer ([OCIO Directive by Categories](#)) Web page, primarily under 2000-2999 *Budget and Finance*.

4.1 Budget Formulation Process Steps

Index	Activity	Primary Responsibility	Recipient	Result	Timing
1.0	Phase 1: Pre-planning				
1.1	Update Portfolio Management System (AgMax)	Agency Program Managers	AgMax Managers, Capital Planning and Information Technology Governance Division (CPITGD) A1, A2*	Investments data in AgMax; Acquisition Approval Request (AAR) number assigned to specific investment program projects	Year-round
1.2	Monitor Earned Value Management (EVM) System TechStats	Agency Program Managers	EVM System Manager	Program monthly performance data evaluated for R Y G status, TechStat required if red three consecutive times	Year-round
1.3	Update USDA IT Budget Guidance: IT Exhibit (Chapter 11)	CPITGD C1, C2	OBPA	Updated IT Exhibit, IT Estimates	Annually by May 1 st
2.0	Phase 2: Agency Budget Plans				
2.1	Distribute Chapter 11 Budget Guidance memo; Prepare Fiscal Year (FY)+2 budget	OBPA	Agency Heads	Agency budget estimates, justifications for changes, IT Exhibit	May
2.2	Follow-on meetings to clarify guidance and/or answer questions from agency CIOs and budget analysts	OBPA, agency CIOs B1, B2	Agency Heads, agency CIOs, Budget Analysts	Agency budget estimates, justifications for changes, IT Exhibit	May
2.3	Meetings with agency CIOs and Budget Analysts to review IT Spend Requests	USDA CIO, agency CIOs, OBPA, Agency Budget Analyst	USDA CIO	Clarification on budget requests	Early June
2.4	Provide IT estimates, IT exhibits to USDA CIO	Agency Heads	USDA CIO D1	USDA CIO reviews IT Exhibit submissions, checks AgMax	Late May
2.5	Provide budget estimates, justifications to OBPA	Agency Heads	OBPA, Office of the Secretary (OSEC), OCIO D2	OSEC and OBPA reviews Departmental Estimates and makes decisions	June/July
2.6	Review agency budgets for IT spend and prepare decision paper	USDA CIO	OBPA	USDA CIO makes recommendations to	Mid-June

Index	Activity	Primary Responsibility	Recipient	Result	Timing
	and recommendations for approval			approve/reject agency request for IT spend	
2.7	Provide feedback/decisions to Agency Administrators	OBPA	Agency Heads	Guidance on final budget requests for submission to OMB	Early August
3.0	Phase 3: USDA Budget Plan				
3.1	Revise FY+2 budget estimates, justifications for USDA Departmental estimates and IT exhibit should be adjusted to reflect any changes.	Agency Administrators and Staff Office Directors	OBPA, OSEC	Agency aligns budget estimates	Mid-August
3.2	Prioritize and revise budgets	OSEC	OBPA	OSEC reviews Departmental Estimates and prepares submission for OMB	
3.3	Submit Departmental estimates to OMB	OBPA	OMB	USDA submits Departmental estimates to OMB to be included in President's Budget to submit to Congress	Mid-September
3.4	OMB Passback	OBPA	OMB	OMB returns USDA's initial Departmental estimates with comments and proposed changes, which are negotiated to final numbers between USDA and OMB	Mid-December
3.5	Preparation of Explanatory Notes and Budget Summary	Agency Administrators and Staff Office Directors	OBPA	Agencies prepare explanatory notes based on final Departmental budget numbers and OBPA reviews the explanatory notes; OBPA prepares the Department's budget summary	Mid-December and January
3.6	Release President's Calendar Year (CY)+1 Budget	OMB	Congress	Congress passes a bill then the POTUS signs appropriation act for current FY+1; in some cases a Continuing Resolution (CR)	Early February
*Letter Number combinations (e.g., A1) maps to OMB Memo 15-14 elements identified in Appendix C					
Agency Heads = Agency Administrators/Chiefs and Staff Office Directors/Chiefs within USDA.					

4.2 Budget Formulation Process Flowchart



5. The Budget Execution Process

The Associate Chief Financial Officer for Financial Policy and Planning (ACFO-FPP) directs the development and implementation of financial policy and planning for the Department. These functions include streamlining and enhancing reporting and monitoring processes to ensure accountability and establishing travel, cash management, and other applicable fiscal and financial management policies. The ACFO-FPP is responsible for formulating, presenting, analyzing, and executing the administrative budget for the Office of the Secretary (OSEC), the offices of the Assistant Secretary for Administration (ASA) and other General Officers of the Department.

The Associate Chief Financial Officer for Financial Operations provides direction to USDA agencies for financial reporting through the Accounting Policy and Consolidated Reporting Division (APCRD) and the Transparency and Accountability Reporting Division (TARD).

USDA has many Departmental Directives that provide USDA personnel with guidance on budget and finance. These can be located on the [OCIO Directive by Categories](#) Web page, primarily under 2000-2999 *Budget and Finance*.

5.1 Budget Execution Process Steps

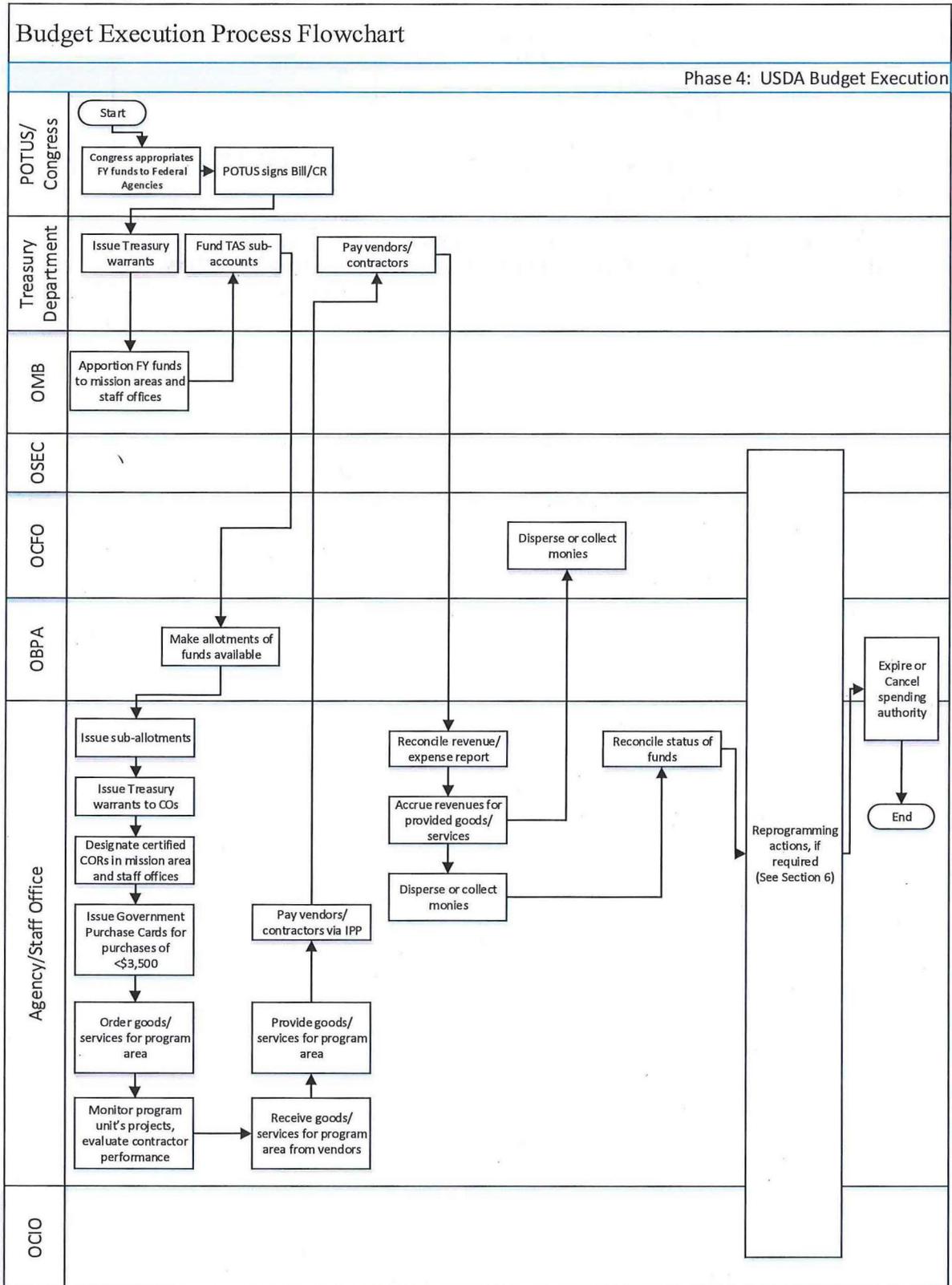
Index	Activity	Primary Responsibility	Recipient	Result	Timing
4.0	Phase 4: USDA Budget Execution				
4.1a	Appropriate FY funds to Federal Agencies	Congress	OMB	Appropriation Act approved and signed for the next FY	By October 1 st
4.1b	POTUS signs Appropriation Bill (or CR)	POTUS	Treasury		
4.2	Issue Treasury warrants	Treasury	Agencies	Treasury Account Symbols (TAS) issued only if new TAS are required. They are standing accounts, a warrant puts funding into the account.	October 1 st
4.3	Apportion FY funds to mission areas and staff offices	OMB	OSEC	OSEC receives funding authority	Quarterly
4.4	Fund TAS sub-accounts	Treasury	Office of the Chief Financial Officer (OCFO)	Appropriated and Capital Planning budgets financed	Quarterly
4.5	Make allotments of funds available	OBPA	USDA Agencies	Agency Heads receive notice of allotment funds per budget agreements	Quarterly
4.6	Issue sub-allotments	Agency Heads	Program Unit Managers	Program Managers (PM) receive sub-allotments Allowances for Operating Budgets	Quarterly
4.7	Issue Treasury warrants to Contracting Officers (COs)	Head of Contract Activity Designee (HCAD)	COs	COs receives letter of authority (warrant) to commit and obligate funds through purchase orders and the requisition system	

Index	Activity	Primary Responsibility	Recipient	Result	Timing
4.8	Designate certified Contracting Officer Representatives (COR) in mission area and staff offices	CO	Agency COR	CO's delegated requisitioners in the COR's program unit order goods, request quotes, locate vendors for required goods/services, and advise the CO on contract performance/actions	
4.9	Issue Government Purchase Cards for purchase <\$3,500	Agency Program Coordinators (APC), Local Agency Program Coordinator (LAPC)	Purchase Card holder	Purchase card holders have credit card to use for small value purchases	
4.10	Order goods/services for program area	Agency COR	Integrated Acquisition System (IAS)/Financial Management Modernization Initiative (FMMI), CO	Submit purchase requests Agriculture Department (AD)-700 through IAS; classify items being order by Budget Object Class (BOC) code numbers	When funds are available
4.11	Monitor program unit's projects, evaluate contractor performance	Agency COR	CO	CO is apprised of contractor performance and matters influencing the CO's contracts	As needed
4.12	Receive goods/services for program area	Vendors	Program Unit Managers	Program Managers validate receipt of goods/services for their program areas	Quarterly
4.13	Provide goods/services for program area	Program Unit Managers	OCFO	Accounts to accrue revenues created/renewed for new FY	
4.14	Pay vendors, contractors	Invoice Processing Platform (IPP)/Treasury	FMMI	IAS invoice approval triggers notification to pay (Accounts Payable)	Within 60 days of receipt of invoice
4.15	Reconcile revenue/expense report	COR, CO	FMMI	Ensure goods/services received are paid for, Service Level Agreements (SLAs) funds exchanged	
4.16	Accrue revenues for provided goods/services	Agency Customer	OCFO	Agency customer transfers funds for provided goods, services, resources (Accounts Receivable)	
4.17	Disburse or Collect monies	OCFO, Program Unit Managers	OCFO, Program Unit Managers	Transfers of funds from providing to receiving agency	
4.18	Reconcile status of funds	Program Unit Managers	OCFO	Proprietary/Budgetary ledger updates from journal entries	

Index	Activity	Primary Responsibility	Recipient	Result	Timing
4.19	Reprogram funds	OBPA, OSEC, USDA CIO, agency CIO, OCFO L1, L2	OCFO L2*	Updates per Government regulations	As needed
4.20	Expire or Cancel spending authority	OBPA and USDA Agencies	OCFO	Close out funds according to schedule or as appropriate	End of FY

*Letter Number combinations (e.g., A1) maps to OMB Memo 15-14 elements identified in Appendix C
Agency Heads = Agency Administrators/Chiefs and Staff Office Directors/Chiefs within USDA

5.2 Budget Execution Process Flowchart



6. USDA Reprogramming Process

M-15-14 defines reprogramming as any movement of funds for IT resources that requires Congressional notification. The Office of the Executive Secretariat (OES) Director has responsibility for the overarching USDA reprogramming process. This function is to ensure that the reprogramming package (otherwise known as the OES59S-REPROG) collaboratively and decisively flows from the originating USDA agency or staff office to the secretariat office for actions involving reviews, edits, decisions, and input into the Enterprise Correspondence Management Module (ECMM) within the Enterprise Content Management (ECM) system. This is depicted in section 6.2.

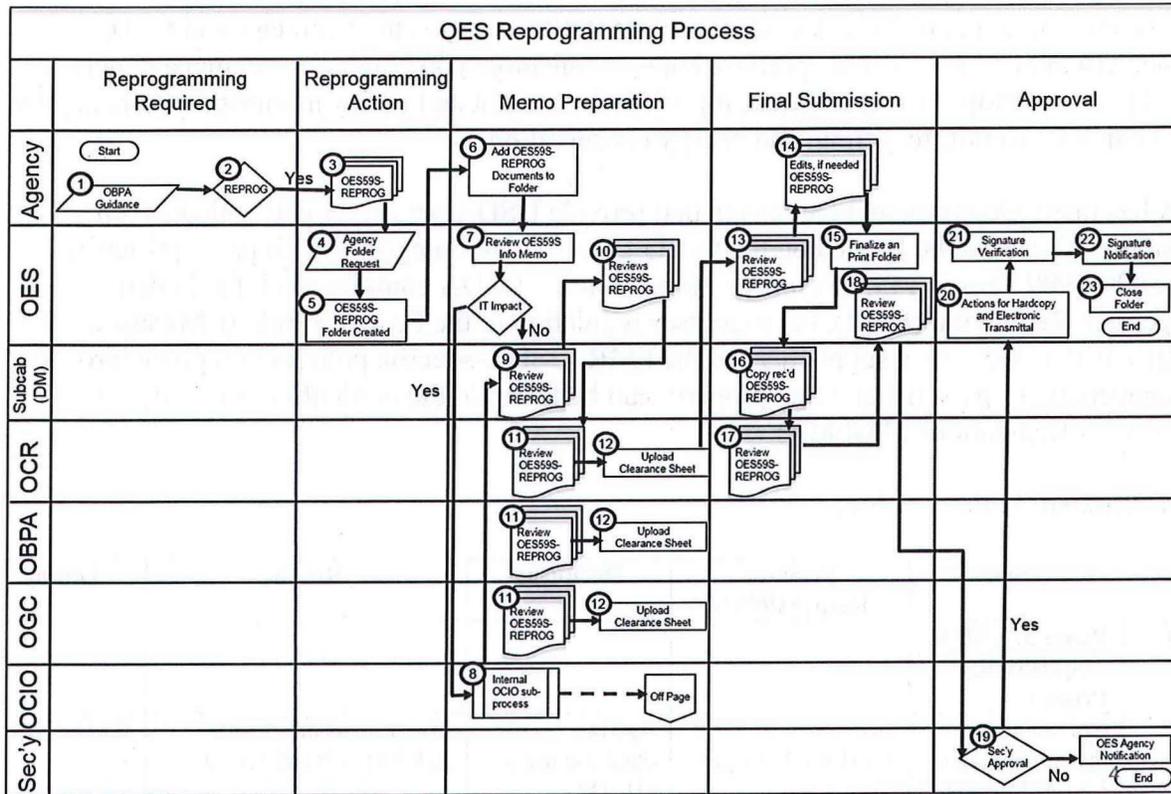
The Program Liaison Specialist (PLS), within the OES, is responsible for checking the reprogramming package to identify if the originating agency or staff office has indicated there is an IT impact. The reprogramming package only enters the OCIO internal IT reprogramming process, as shown in section 6.3, if the reprogramming action identifies an IT impact that must be forwarded to Congress.

6.1 OES Reprogramming Process Steps

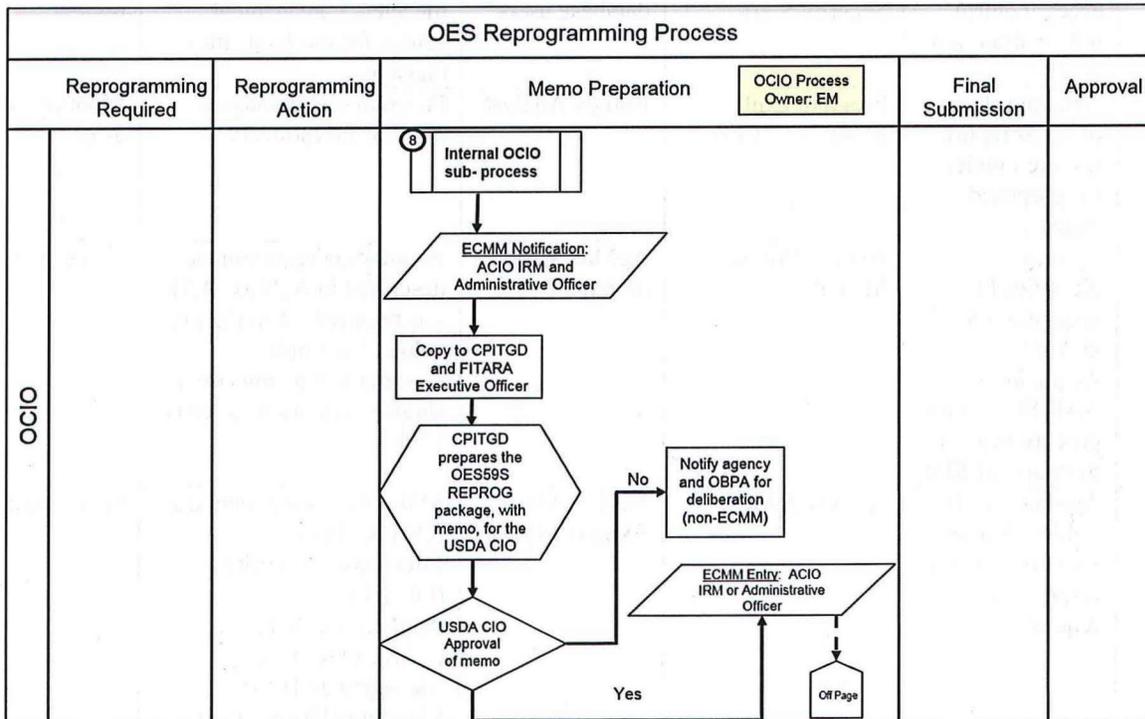
1. All USDA agencies receive guidance from OBPA on reprogramming requirements as part of the annual advice of allotment process. The agencies receive instructions on Appropriations general provision establishing reprogramming requirements. Guidance includes direction to use OES59S-REPROG processing code for clearance of relevant Congressional notification letters.
2. A USDA agency has a reprogramming action, and this agency contacts OES to request that a folder with an OES59S-REPROG processing code be created.
3. A PLS at OES creates a folder with an OES59S-REPROG code and routes the workflow to the agency.
4. The agency uploads the following:
 - A decision memorandum signed by an agency official
 - A filled-out OES59S-REPROG form
 - Draft letters to Congress
5. The PLS at OES reviews the documents that have been uploaded and establishes if the agency has identified an "IT Impact". If an IT Impact has been identified, the PLS will forward a copy to the OCIO for action. The OCIO receives a copy and begins internal OCIO process for USDA CIO approval (see 6.3).
6. The agency's Subcabinet official clears the letters that are addressed to Members of Congress. If there are any changes, these are uploaded.

7. The PLS reviews the documents.
8. Office of the General Counsel (OGC), OBPA, and Office of Congressional Relations (OCR) clear the document in simultaneous steps on the workflow.
9. The PLS reviews the letters and clearances. If there are substantial edits, the folder is routed to the agency so that the letters can be rewritten. The folder is printed in OES.
10. The Subcabinet official receives an information copy.
11. A writer/editor in OES reviews the letters to Congress.
12. OCR reviews the letters again.
13. A writer/editor in OES reviews the letters to Congress again.
14. The OSEC reviews the letter and approves it or returns it for additional work. If the Secretary of Agriculture denies or disapproves the reprogramming action, OES notifies the agency and the process is ended.
15. The signed letters are uploaded to the ECMM folder, and a PLS verifies that the signed letters are in the folder.
16. OCIO, the Subcabinet, and the initiating agency receive a notification task in ECMM - this notification task gives all of them an opportunity to view the Signed Copy that is in the ECMM folder.
17. The folder is closed in OES.

6.2 OES Reprogramming Process Flowchart



6.3 OCIO Reprogramming Process Flowchart



7. Acquisition Process

Office of Procurement and Property Management (OPPM) serves the Secretary and USDA agencies with policy, advice and coordination in acquisitions, procurement and management of real and personal property. In addition, it provides oversight and policy in transportation, supply, motor vehicles, aircraft, recycling, and energy conservation.

USDA has many Departmental Directives that provide USDA personnel with guidance on acquisition. These can be located on the OCIO Directive by Categories Web page, primarily under 5000-5999 *Property and Resource Management*. USDA complies with the Federal Management Regulation (FMR), the successor regulation to the Federal Property Management Regulations (FPMR). As a supplement to the FMR, USDA-specific policies and procedures for the management of personal and real property can be found in the Agriculture Property Management Regulations (AGPMR).

7.1 Acquisition Process Steps

Index	Activity	Primary Responsibility	Recipient	Result	Timing
5.0	Phase 5: USDA Acquisitions Process				
5.1	Upload agency investments data into AgMax for the new FY	Investments Portfolio Manager	AgMax database users D1, D2 E1, E2 F1, F2*	Investments allotments, Exhibits 300 and 53 data	By October 1 st
5.2	Upload agency access control information into AgMax	Investments Security Staff	AgMax database users	Funds managers can select the agency investment source for the funds they manage	Quarterly review
5.3	Generate status of funds reports; reserve monies for proposed expense	Program Unit Manager. OCFO	Budget Analyst	Program unit managers monitor investments	Monthly and as needed
5.4	Agency identifies IT acquisition need in AgMax Acquisition AAR System for procurement(s) in excess of \$25k	Agency Project Manager	AgMax AAR module	Acquisition requirements described in AgMax. AAR # is required when the total value of multiple procurement actions on a single submission exceeds \$25k	As needed
5.4.1	AgMax emails Subject Matter Experts: 'Review acquisition request	AgMax AAR	Subject Matter Experts (SMEs)	SMEs from nine agencies (OCIO, Office of Information Security (OIS), Enterprise Applications Services (EAS), Enterprise Management (EM), Electronic Government (e-	On request

				Gov), Enterprise Network Services (ENS), Information Management Division (IMD), Client Technology Services (CTS), National Information Technology Center (NITC)) are notified to review the request in AgMax	
5.4.2	SME-CPITGD evaluates acquisition request: compliance with Capital Planning and IT Governance regulations	CPITGD, CIO G1 H1	AgMax database users, CXO E1, E2 H2	Decision to approve or reject acquisition request is sent to interested parties; Integrated Advisory Board (IAB) and E-Board meetings scheduled per board charters	5 days
5.4.2.1	CPITGD conducts monthly IT Dashboard reviews	CPITGD, CIO, CXO H1, H2 J1	IT Dashboard (ITDB)	ITDB has IT Investments Portfolio performance updates	Monthly and Quarterly
5.4.2.2	CPITGD conducts PortfolioStat Reviews	CPITGD, CIO, CXO H1, H2 J1	OCIO leadership, Investment Review Board (IRB)	Data from OMB MAX* reconciled with data in AgMax for IRB (*MAX is not an acronym)	Quarterly
5.4.2.3	CPITGD conducts TechStat Reviews	CPITGD, CIO, CXO H1, H2 J1	OCIO leadership, IRB	Findings on troubled IT program performance presented to Executive Information Technology Investment Review Board (E-Board) and investment managers for corrective action	If three consecutive under-performing reports
5.4.3	SME-OIS evaluates acquisition request: compliance with Cyber Security regulations (authority to operate)	OIS	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties	5 days
5.4.4	SME- EM (EAS, Enterprise Architecture Division (EAD)) evaluate acquisition request: compliance with Enterprise Architecture	EM/EAS, EAD	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties	5 days

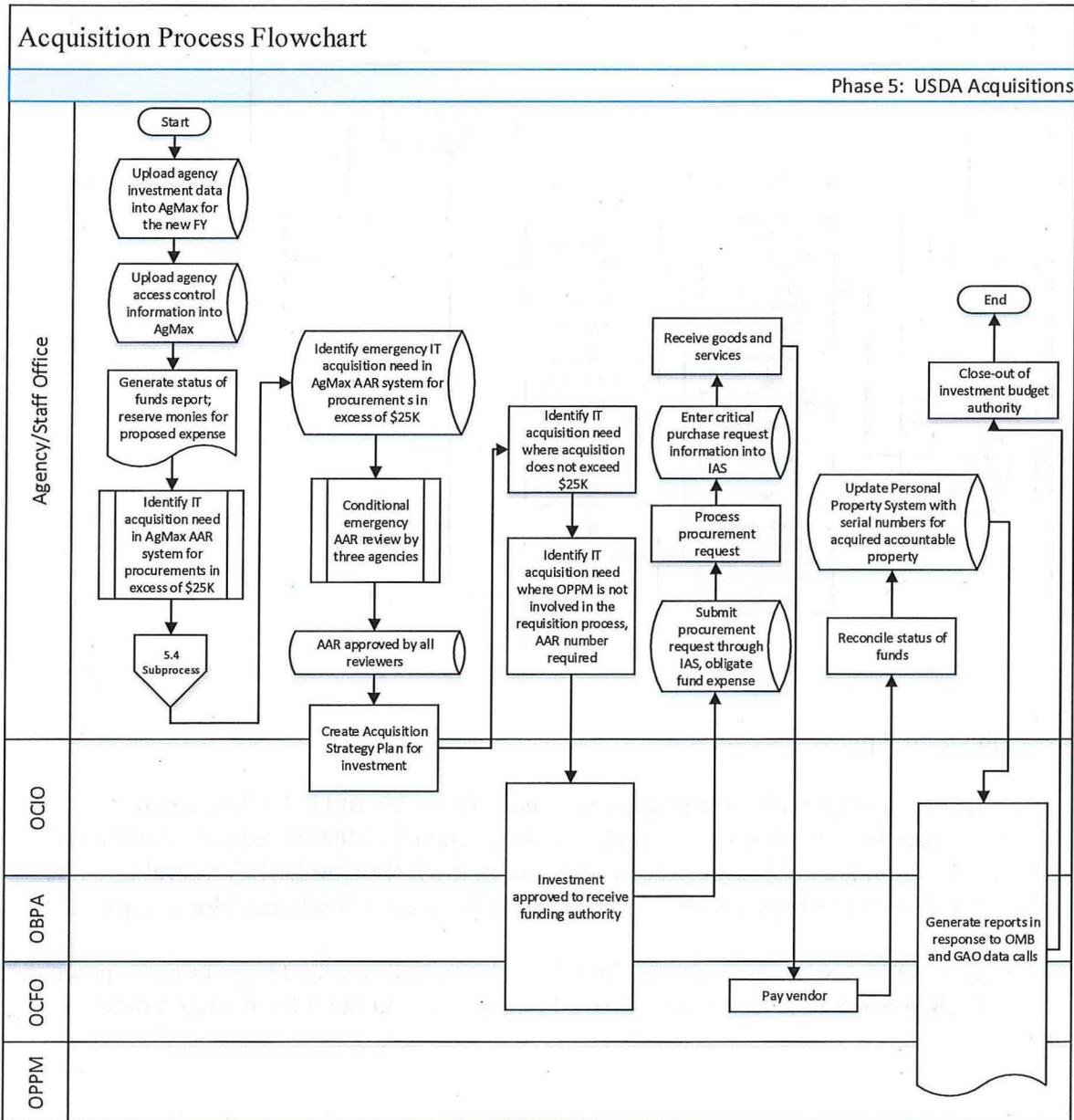
	(EA) and Applications governance regulations (Federal Enterprise Architecture (FEA), Business Reference Model (BRM), Software Development Life Cycle (SDLC))				
5.4.5	SME-EGOV evaluates acquisition request: compliance with e-Gov regulations	e-Gov	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties	5 days
5.4.6	SME-ENS evaluates acquisition request: compliance with Enterprise Network Governance regulations	ENS	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties	5 days
5.4.7	SME-IMD evaluates acquisition request: compliance with Integration Management Governance regulations	Information Resource Management (IRM)/IMD	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties	5 days
5.4.8	SME-CTS evaluates acquisition request: compliance with CTS' Common Computing Environment Governance regulations	CTS	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties	5 days

5.4.9	SME-NITC evaluates acquisition request: compliance with USDA's NITC Federal Data Center Consolidation governance regulations	NITC	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties	5 days
5.4.10	AAR review by agency CIO	Agency CIO I2	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties	
5.4.11	Executive Review of AAR	Associate Chief Information Officer (ACIO), Deputy Chief Information Officer (DCIO) and CIO I1	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties	10 days, or 2 days if an emergency
5.4.12	AAR Review by agency Funds Manager	Agency Funds Manager, OCFO D2	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties	>10 business days before award
5.5	Agency identifies emergency IT acquisition need in AgMax AAR system for procurement(s) in excess of \$25k	Agency Project Manager	AgMax AAR module	Acquisition requirements described in AgMax. Temporary AAR is required for emergency requests when the total value of multiple procurement actions on a single submission exceeds \$25k	As needed
5.5.1	Conditional emergency AAR review by three agencies	AgMax AAR	SMEs in CPITGD, OIS, IMD	SMEs from three agencies (CPITGD, OIS, IMD) are notified to review the request in AgMax; follow-up anticipated	Per emergency AAR
5.6	AAR approved by all reviewers	AgMax AAR	CO	AAR number issued -- Procurement transactions may now be made against the investment funds	Per AAR request
5.7	Create Acquisition Strategy Plan for investment	Program/Project Manager (P/PM), COR, HCAD, CO, CIO I1, I2 K1, K2	CO	P/PM, COR, HCAD, CO, CIO agree on how the procurements are to be made against the investment	>60 days before goods/ services needed

5.8	Agency identifies IT acquisition need where acquisition does not exceed \$25k	P/PM, COR, CO, HCAD	CO	AAR number does not accompany Acquisition Strategy Plan	As needed
5.9	Agency identifies IT acquisition need where OPPM is not involved in the requisition process, AAR number required	Agency Program Unit Manager	Other organization	Transaction is documented per instance, AAR information in AgMax	As needed
5.10	Investment approved to receive funding authority	CFO, CIO, OBPA D1, D2	P/PM, COR	Investment is committed to the Program for the FY	
5.11	Submit procurement request through IAS, obligate fund expense	P/PM, COR	IAS, CO	Procurement Office receives purchase request from investment program manager/delegate	As needed
5.12	Process procurement request	CO, IAS	IAS, P/PM, COR	Procurement contract/agreement created according to acquisition strategy plan. Track obligations and running funds balance	As needed
5.13	Enter critical purchase request information into IAS	Procurement Specialist	CO, IAS, P/PM, COR	Contract/agreement information available for tracking purchase request activity. P/PM, COR reconciles obligation to purchase order amount for running obligated balance	As needed
5.14	Receive goods/services	P/PM, COR, IPP	Treasury	Invoice approved, vendor payment due, expenditures noted by P/PM, running actual balance updated	On receipt of goods/ services
5.15	Pay vendor	OCFO, FMFI, Budget Analyst	Vendor, IAS, P/PM, COR	Vendor paid	
5.16	Reconcile status of funds	P/PM, COR, Budget Analyst	P/PM, COR	Funds balance current	
5.17	Update Personal Property System with serial numbers for acquired accountable property	Assets Accountable Property Officer	Personal Property System	Accountable personal property will be tracked until transferred out of USDA	Where deemed accountable

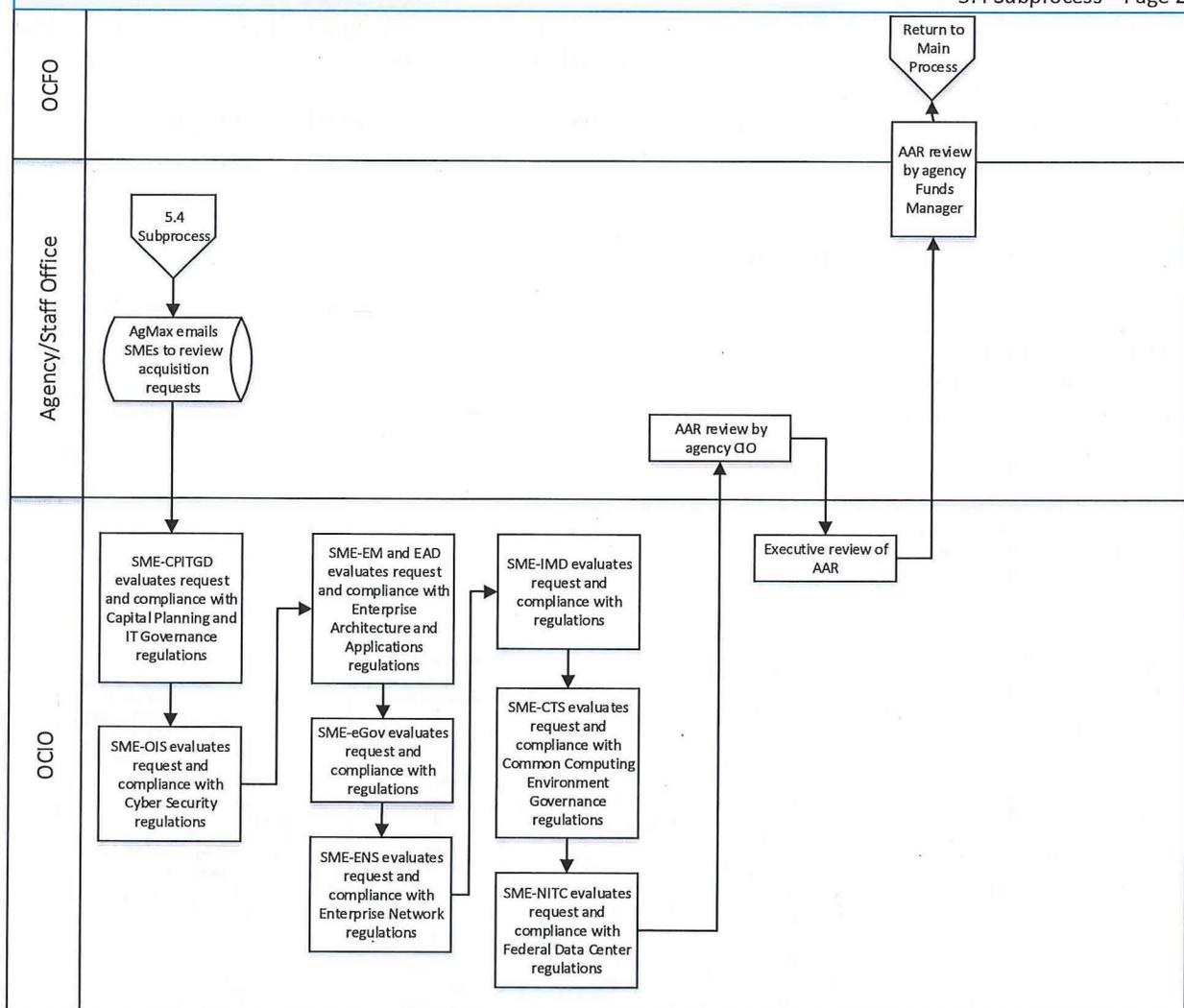
5.18	Generate reports in response to OMB and GAO data calls	OCFO, OCIO, OPPM	OMB, Government Accountability Office (GAO)	Expenditures analyzed for accountability, earned value stats, cost savings opportunities	On demand
5.19	Close-out of investment budget authority	USDA agency	CPITGD, OPPM, AgMax	Investment funding balance = 0	FY or Multi-year end
*Letter Number combinations (e.g., D1) maps to OMB Memo 15-14 elements identified in Appendix C					

7.2 Acquisition Process Flowchart



Acquisition Process Flowchart

5.4 Subprocess – Page 2

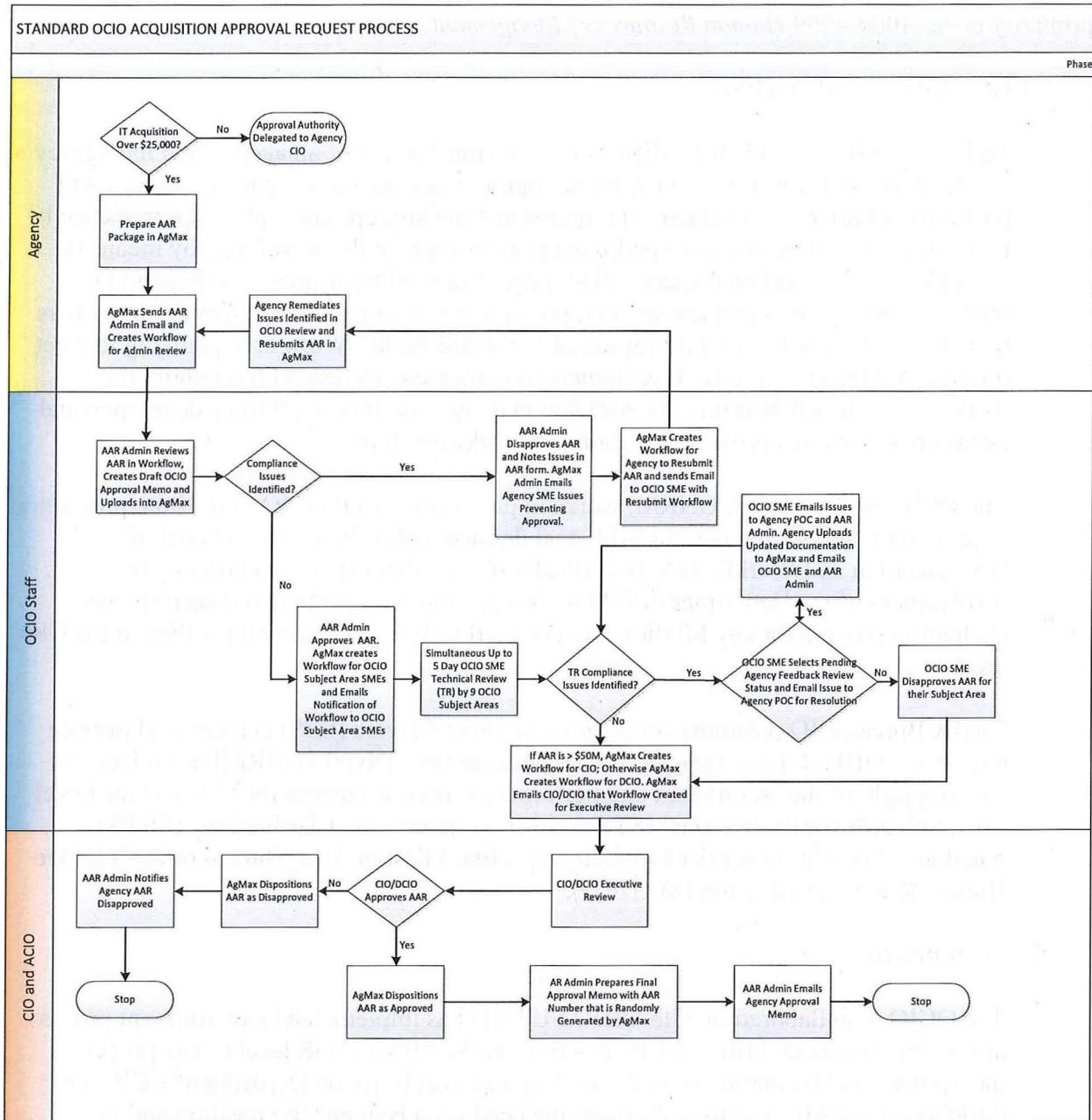


7.3 Acquisition Approval Request

The agency is responsible for preparation and submission of IT AAR(s) when acquisitions for a given investment exceed the current \$25,000 threshold. Additional information on the AAR process can be found at the following USDA SharePoint site: <https://ems-team.usda.gov/sites/OCIO/TPAE/ITM/newaar/SitePages/Home.aspx>.

To support FITARA requirements, the USDA CIO shall use the IT governance process and AAR process to review and approve IT contracts and other formal agreements.

7.4 AAR Process Flowchart



8. Human Capital Management

At the Office of Human Resources Management (OHRM), their mission is to facilitate the attainment of the Department's strategic goals and program objectives by establishing policies and issuing guidance to ensure the recruitment and retention of a diverse, highly-skilled workforce that is aligned with our program needs as well as to promote a competency-based and results-oriented performance culture at USDA.

USDA has many Departmental Directives that provide USDA personnel with guidance on Human Resources. These can be located on the [OCIO Directive by Categories](#) Web page, primarily under 4000-4999 *Human Resources Management*.

8.1 Organization and Workforce

To be most effective, IT must align to the functional needs of an agency and the agency's organization and workforce strategies are tightly integrated to support the agency's IT portfolio. Further, IT management requires that the appropriate skills and experience be leveraged not only within leadership, but also throughout the workforce, by means of strategic planning and competency modeling. The workforce goes well beyond IT professionals, but includes acquisition, program management (PM), finance, and others that are instrumental in supporting sound IT management. Workforce planning to meet mission and business needs, development of competencies needed throughout the workforce, and collaboration and decision making to address workforce developmental needs are key elements of organization and workforce function.

The Office of the CHCO, OHRM, works in partnership with OCIO to institute procedural requirements supporting the FITARA goal defined under the functional area of "Organization and Workforce". Specifically, the establishment of a process for involvement of the Department's CIO in the recruitment, selection and performance evaluation process for any Mission Area or Staff Office (component) position at the CIO level.

USDA Bureau CIO positions are Senior Executive Service (SES) and General Service (GS)-15s. OHRM/ Executive Resources Management Division (ERMD) services and has oversight of the recruitment and performance review process for SES, Senior Level (SL), Scientific or Professional (ST), and Senior Science and Technology (SSTS) positions. GS-15s are serviced in their respective Mission Area, Bureau or Staff Office Human Resources Division (MAHRD).

8.2 Recruitment

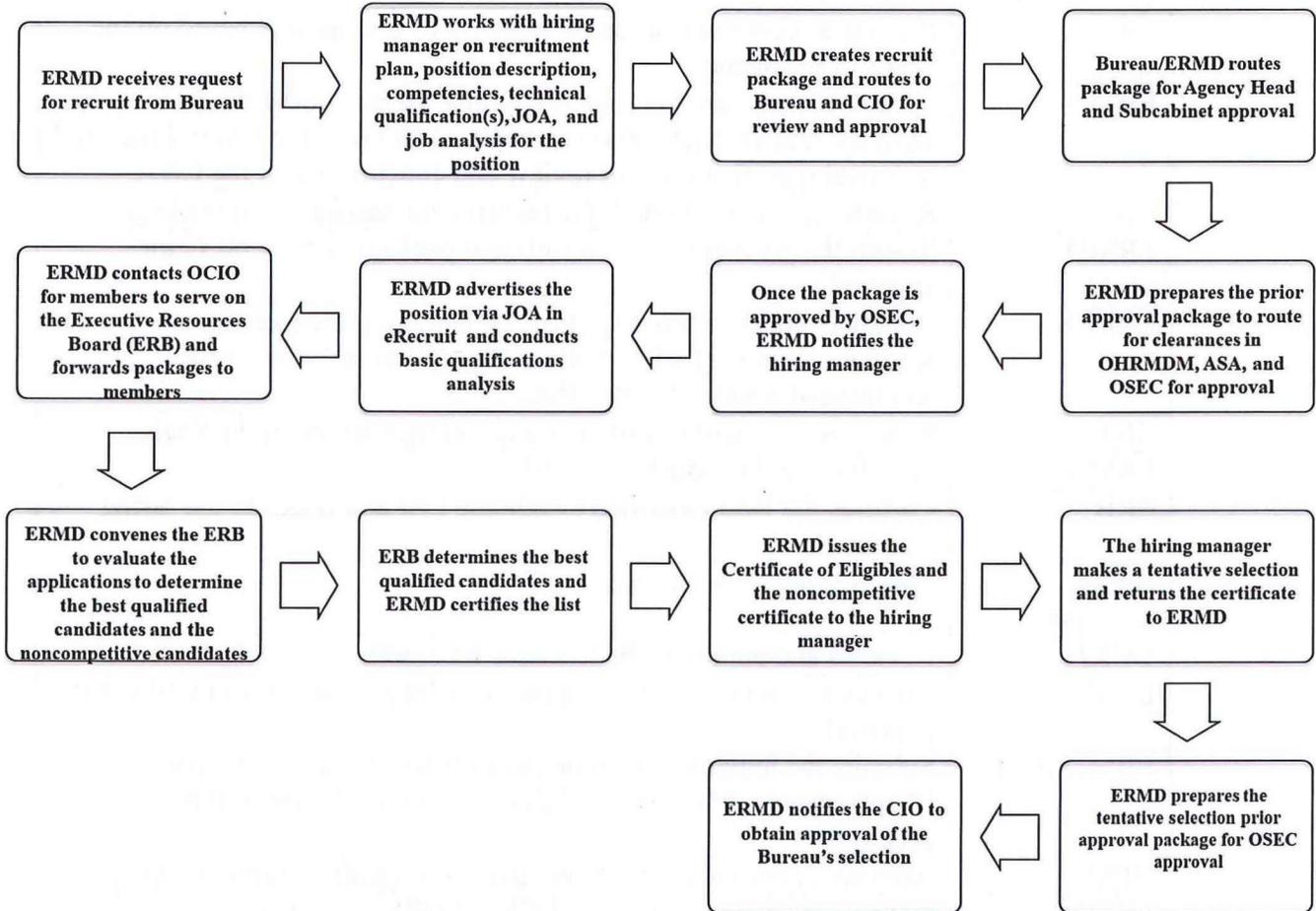
The OCIO in collaboration with OHRM/ERMD has implemented a recruitment process at for Department and Bureau CIO positions at the SES and GS levels. The process incorporates the requirement for the review/approval from the Department's CIO, or designee, as a SME, when establishing the need for a Bureau CIO position and in developing the recruitment package.

8.2.1 USDA SES/Senior Level (SL) Recruitment and Appointment Process Steps

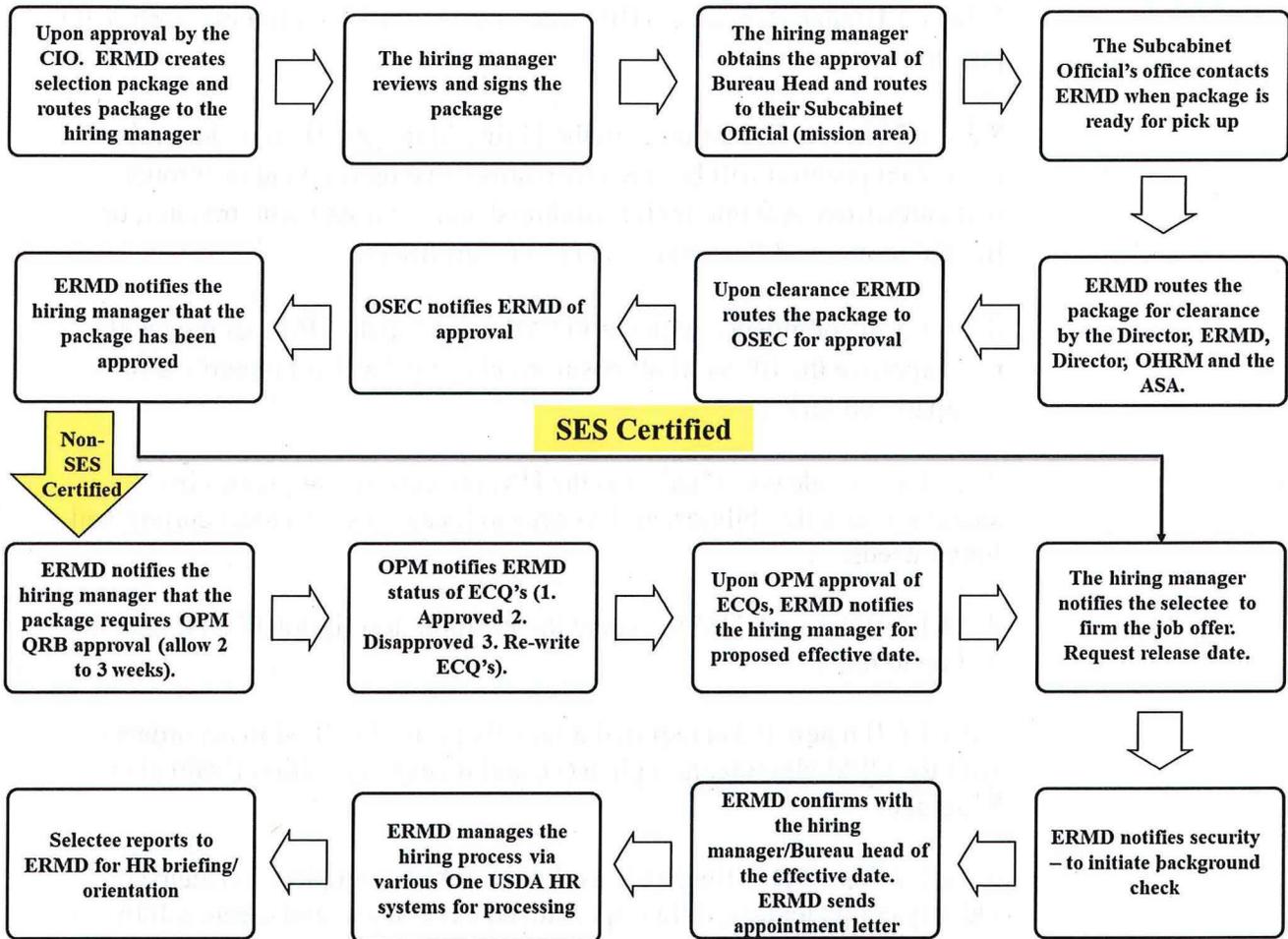
Responsibility	Action
ERMD	Notify the CIO of a hiring action for an executive or senior level CIO position for pre-consultation.
CIO	Provide a recommendation of approval or disapproval based on the needs of the agency.
ERMD	Creates recruitment package (including the position description, job analysis, and vacancy announcement, identifying the major duties and technical qualifications for review and concurrence of the CIO).
CIO	Reviews and concurs with the recruitment/reassignment package.
ERMD	Routes the prior approval recruitment package to the OSEC for approval.
ERMD	Conducts the merit staffing process, including the Executive Resources Board (ERB). Solicits the CIO to serve as Chair or recommend a SME for the ERB.
CIO	Serves as the Chair or provides a recommendation on the SME.
ERMD	Schedules and conducts the ERB.
ERB	Certifies the Best Qualified Candidate List and issues to the hiring manger.
Hiring Manager	Makes tentative selection.
OCIO	Reviews and approves the tentative selection.
ERMD	Creates and routes the prior approval selection package to OSEC for approval.
ERMD Policy	Submits the tentative selection package to Office of Personnel Management (OPM) for Qualification Review Board (QRB) approval.
OPM	Approves the candidate's Executive Core Qualifications (ECQs).
ERMD	Notifies the hiring manger and CIO of OPM approval.
ERMD	Notifies the selectee of firm job offer and sets effective date.

8.2.2 Executive and Senior Career Recruitment Process Steps

8.2.2.1 To recruit executive and senior career employee positions



8.2.2.2 Selection for executive and senior career employee positions



8.2.3 USDA Recruitment and Appointment of GS-15 CIO Positions Process

When a component CIO position becomes vacant, efforts to fill the position must be approved by the Department's CIO before any staffing activity begins. The component MAHRD staff will work with the Hiring Manager to complete a recruitment plan, position description, job analysis, competencies, specialized experience, job opportunity announcement (JOA), and assessment tool. Once this package is complete, it must be submitted to the OCIO for approval. Once the USDA CIO has approved the recruitment documents, the component HR office, may proceed with the staffing process to open the JOA, collect applications, create a referral list(s), and make a selection. Before any tentative offer is made, a selection package, including the referral list(s) and application of the tentative selectee must be submitted to the OCIO for approval.

8.2.4 USDA Recruitment and Appointment of GS-15 CIO Positions Process Steps

8.2.4.1 Vacancy Occurs (vice action/new position)

8.2.4.1.1 Human Resources (HR) receives request for recruit of vacant CIO position.

8.2.4.1.2 Have a discussion with the Hiring Manager (HM) to determine if the vacant position will be filled by competitive recruitment or through noncompetitive appointment, including detail, reassignment, transfer, or Intergovernmental Personnel Act (IPA) Agreement.

8.2.4.1.3 In compliance with the FITARA, advise the HM that the OCIO must approve the filling of all positions classified as CIO regardless of the occupational series.

8.2.4.1.4 Provide consultation to the HM on recruitment plans, hiring strategies, and flexibilities, and sources to locate talent to meet current and future needs.

8.2.4.1.5 Work with HM to ensure the position description (PD) is accurate and up to date.

8.2.4.1.6 If a new PD is required assure that it is classified in accordance with the OPM classification guide(s), and include a position Evaluation Statement.

8.2.4.1.7 Once PD is finalized, work with HM to complete job analysis, identify competencies, define specialized experience, and create a JOA and assessment tool.

8.2.4.1.8 Determine the security clearance (position sensitivity) required for the position.

8.2.4.1.9 If non-competitive action is proposed, provide advice and guidance on options to effect the action, keeping in mind the Departmental Merit Promotion Plan and clearance of any priority placement programs.

8.2.4.1.10 Assemble recruitment package or documentation to support non-competitive appointment for MAHRD review and submission to OCIO for review and approval. Use Agency Routing Slip for Recruitment or Selection to submit for approval with all required documents.

8.2.4.1.11 MAHRD submits package to OCIO's office for approval.

8.2.4.2 CIO Recruitment Approval Process

8.2.4.2.1 The MAHRD will submit recruitment package to OCIO via a central email mailbox, ciorecruit@ocio.usda.gov. The subject of email should have the action item (Concurrence with Recruitment Approval) and name of affected agency.

8.2.4.2.2 The mailbox will be monitored by OCIO's Enterprise Management and Front Office Staff.

8.2.4.2.3 The package will be entered into the correspondence process and will be routed through the Executive Officer, the Special Assistant to the CIO, and the CIO for approval.

8.2.4.2.4 Once the form is approved, the Front Office Executive Assistant will scan it and send it to the MAHRD.

8.2.4.2.5 The EM support staff will upload the scanned material and the transmittal emails to a designated SharePoint site.

8.2.4.3 Request to Fill Vacant CIO Position is Approved

8.2.4.3.1 Notify the HM of the OCIO's approval.

8.2.4.3.2 Discuss the following:

- Effective date of personnel action (if noncompetitive selection). Follow standard process to on-board non-competitive candidate.
- Opening and closing dates of the JOA (if competitive recruitment).
- Paid advertisements or additional recruitment options.

8.2.4.3.3 If competitive recruitment will occur, post JOA into USDA eRecruit System which flows into OPM's USAJOBS.

8.2.4.3.4 Provide notification of vacancy announcements to targeted recruitment sources as identified in recruitment planning with HR.

8.2.4.3.5 Monitor the number of applications received to determine if the closing date should be extended. Consult with HM as appropriate.

* Note: If request to fill vacant CIO position is not approved, revise package based on feedback from OCIO and resubmit for approval.

8.2.4.4 JOA Closes

8.2.4.4.1 Evaluate applications received. Screen for any priority placement program eligibles.

8.2.4.4.2 Compile list of best qualified candidates and create referral list(s).

8.2.4.4.3 In accordance with DR #4030-335-002, *Merit Promotion and Internal Placement*, consider utilizing a Merit Promotion Panel to screen the candidates.

8.2.4.4.4 Issue referral list(s) for 15 calendar days. (Extensions must be approved by the Secretary's office.)

8.2.4.4.5 Provide advice and guidance to the HM on conducting interviews and other options to make selection.

8.2.4.4.6 Monitor the referral list's expiration date.

8.2.4.4.7 Notify ineligible and non-qualified applicants of the status of applications through eRecruit.

8.2.4.5 Selection is Made

8.2.4.5.1 HM makes tentative selection and notifies HR.

8.2.4.5.2 HR assembles package for OCIO approval which includes Agency Routing Slip for Selection Approval and the required documents.

8.2.4.5.3 Submit selection package for review by MAHRD and submission to OCIO for approval.

8.2.4.6 CIO Selection Approval Process

8.2.4.6.1 The MAHRD will submit selection package to OCIO via a central email mailbox, ciorecruit@ocio.usda.gov. The subject of email should have the action item (Concurrence with Selection Approval) and name of affected agency.

8.2.4.6.2 The mailbox will be monitored by OCIO's Enterprise Management and Front Office Staff.

8.2.4.6.3 The package will be entered into the correspondence process and will be routed through the Executive Officer, the Special Assistant to the CIO and the CIO for approval.

8.2.4.6.4 Once the form is approved, the Front Office Executive Assistant will scan it and send it to the MAHRD.

8.2.4.6.5 The EM support staff will upload the scanned material and the transmittal emails to a designated SharePoint site.

8.2.4.7 The Selection is Approved

8.2.4.7.1 Notify the HM of OCIO's approval.

8.2.4.7.2 Issue tentative job offer letter to selectee.

8.2.4.7.3 In consultation with the HR and the selectee, establish the tentative entrance on duty (EOD) date. Negotiate recruitment/relocation incentives and pay setting options, as appropriate.

8.2.4.7.4 Submit security documents to the Personnel Security Staff. Coordinate with the Personnel Security Staff to complete any necessary security clearance processes before establishing an effective date.

8.2.4.7.5 Follow standard procedures to issue selectee's final offer letter.

8.2.4.7.6 Notify OCIO of EOD date.

8.2.4.7.7 Process the personnel action prior to the effective date.

8.2.4.7.8 Follow all necessary steps to provide on-boarding, new employee orientation, and acquisition of Official Personnel Folder.

8.2.4.7.9 Notify applicants not selected of their final status.

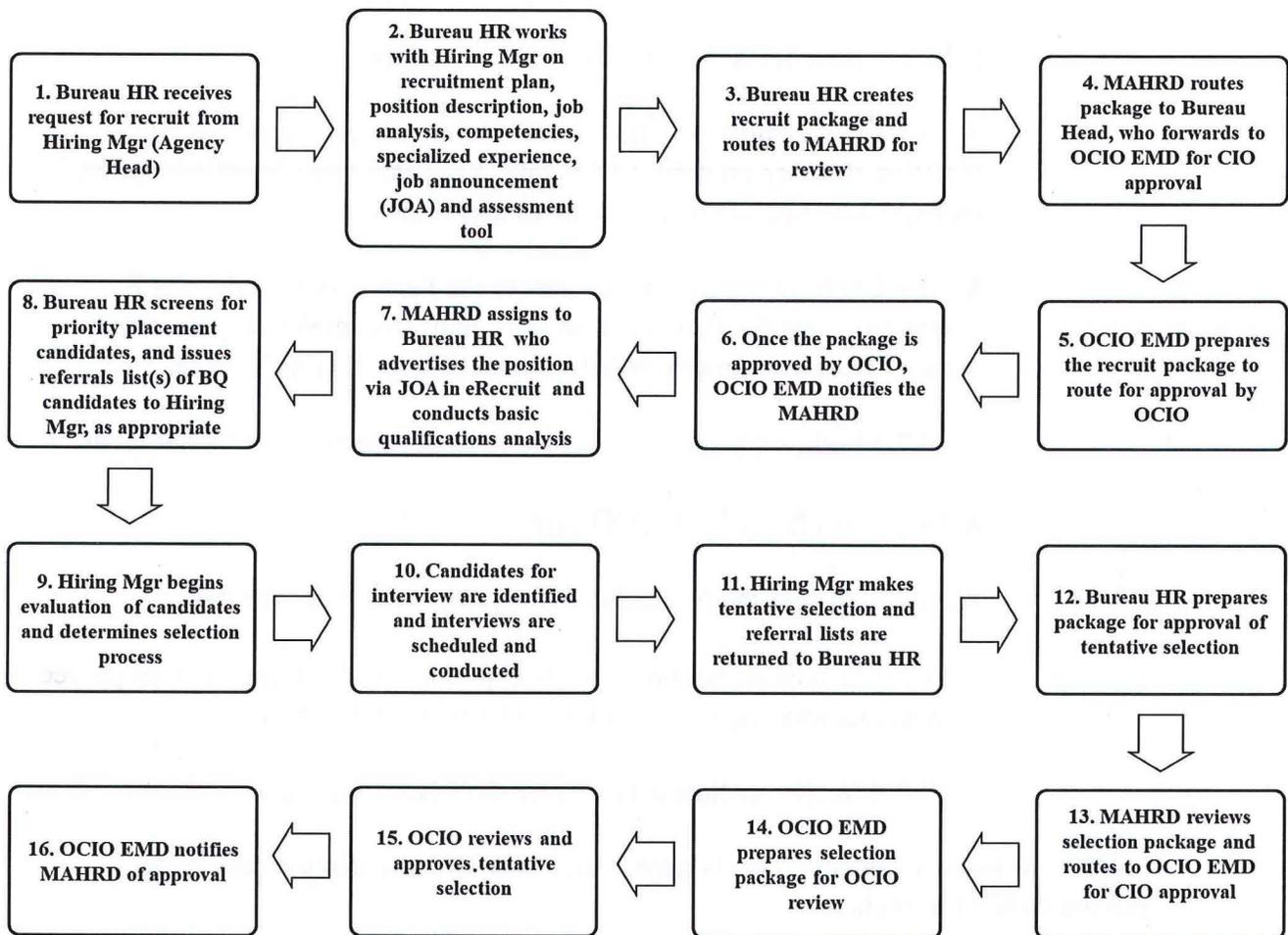
* NOTE: If tentative selection is not approved, notify HM and discuss options for moving forward to include:

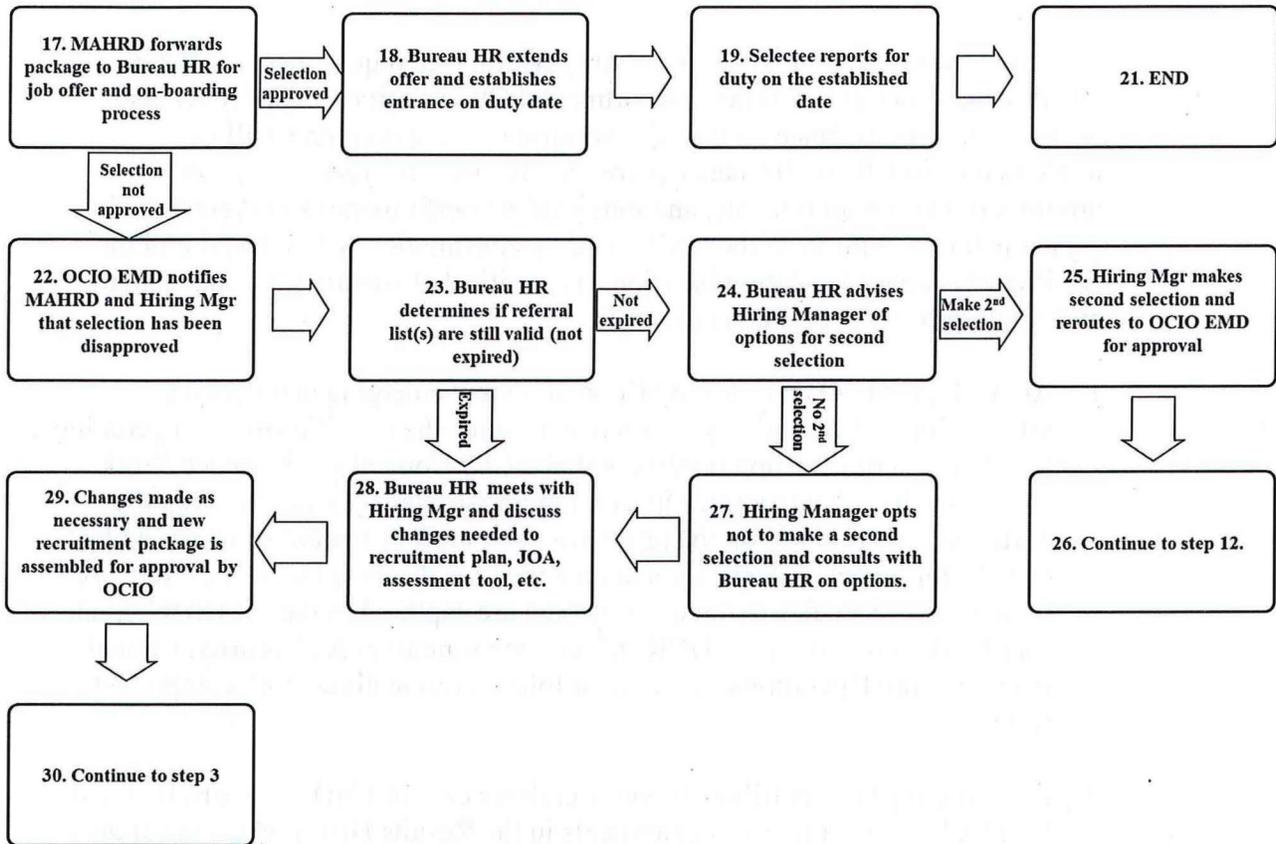
- Life left on referral list(s).
- Possibility of second selection.
- Requirement to reannounce (if necessary).

- Changes needed to recruitment package.
- Revise recruitment package or identify second selection.
- Resubmit for OCIO approval.

For purposes of the above recruitment and selection processes, the term "component" refers to Mission Area, Agency, and Staff Office organizational units of USDA. In addition, these processes pertain to "positions at the CIO level" which is defined as a SES/SL/GS position classified as having a key IT role for a component organization.

8.2.5 USDA Recruitment and Appointment of GS-15 CIO Positions Process Flowchart





8.3 Performance Management

The OCIO and the CHCO has established and incorporated IT performance requirements for this specific element in the performance plans for Bureau CIO positions at the SES and GS levels. The OCIO provides guidance for developing and implementing the critical performance element, providing ongoing feedback on those performance expectations, conducting the formal mid-year progress reviews, and rating the OCIO performance element, as well as set internal deadlines that are within the deadlines for non-executive performance set by OHRM. Guidance is issued to Bureau Heads, Deputy Administrators for Management, and Mission Area Human Resources Directors that established a separate sets of performance measures related to this element were developed for the SES level and GS-level CIOs.

8.3.1 USDA CIO Performance Management Process

In 2013, USDA began adding critical performance elements to the performance plans of the component CIOs who are voting members of the USDA CIO Council. The intent was to supplement the information that component rating and reviewing officials use when evaluating their senior Information Technology official's performance. OCIO provides informal feedback to rating officials throughout the year and formal feedback at the mid-year and end-of-year performance cycle

Annually, the OCIO evaluates applicable performance requirements to determine whether they continue to reflect Departmental CIO priorities. The OCIO also develops annual guidance on how the performance requirements will be implemented in CIO performance plans, conducting mid-year reviews on the progress of these requirements, and rating OCIO performance requirements via a signed memorandum from the USDA CIO in consultation with OHRM and the Assistant Secretary for Administration. The critical element/performance plan evaluation process is outlined below:

1. Annually, the CIO and the CIO Council review emerging and existing information and technology issues to determine the priorities for the upcoming fiscal year. For each appraisal period, the CIO Council Performance Work Group, led by the Executive Officer, Enterprise Management, develop the critical elements based on the priorities. The draft elements are reviewed by OHRM for technical accuracy and then they are discussed with the CIOC for finalization. The discussion and outcome are captured as part of CIOC minutes. The Work Group includes OCIO office representatives for Security, Capital Planning, and Operations, and at least four representatives from component agencies.
2. Since these goals contribute to the overall success of USDA's goals, they will be added as performance requirements in the Results Driven element (or an equivalent element), but should not conflict with the Agency business goals or limit the Agency from including specific results expected from the executive during the appraisal period.
3. Each performance requirement goal shall be readily measurable by all parties, such as percentage of two-factor enforced logons. Generally, the use of subjective, opinion-based goals shall not be used. The standards may define the number of goals (a range should be provided if using a number or percentage) that should be attainable at the Fully Successful level.
4. Instructions regarding the current year performance requirements will be sent to USDA executives (including the raters and reviewers), HR staff and CIOs by the first quarter of the fiscal year.
5. EM, OCIO will issue a data call to collect from OCIO Deputy CIOs and designated subject matter experts input on component CIO mid-year progress on the established performance elements. CIO will review the input and make any additional comments. EM staff will notify raters that the reports are located on a specific SharePoint site for their use during mid-year feedback
6. At the close of the rating period, Agency CIOs will provide a narrative report of their accomplishments for the defined goals. No other factors or requirements may be added by OCIO to the record unless clearly relevant to the successful

performance of the predefined goals. Successful completion of all goals is indicative of at least a Fully Successful rating for each applicable performance requirement. CIOs may provide other narrative regarding related actions or accomplishments to distinguish the CIO's performance as worthy of recognition beyond the Fully Successful level.

7. The OCIO staff will validate reported accomplishments for the measurable goals determined by the Department CIO. The Department CIO or delegate will then evaluate the Agency CIO narrative statements to determine and report a recommended summary rating for the Agency CIO's Results Driven element.
8. The Department OCIO will be responsible for preparing a scorecard or summary of CIO ratings that will be distributed to appropriate Subcabinet Officials, Agency Heads, Staff Offices, and to the Mission Area Performance Review Boards.
9. The Department CIO ratings will be provided to the Agency rater in accordance with the annual timeline guidance provided by OHRM. The rater must include a copy of the Department CIO's rating input with the initial summary rating. For executive staff, this will be part of the performance appraisal package that will be evaluated by the Mission Area Performance Review Board (PRB). The PRB will validate that the Agency rater's assessment reasonably aligns with the Department CIO's assessment.

8.3.2 USDA SES/SL Performance Management Process

ERMD will incorporate the CIO into the existing performance process for SES/SL performance management, titled ERMD Performance Management. The OCIO will develop guidance for implementation, for conducting mid-year progress reviews, and rating OCIO performance requirements, as well as, determine the deadlines, consistent with ERMD's established deadlines. OCIO will also be responsible for preparing scorecards or summary reports that will be distributed to appropriate Subcabinet Officials, Agency Heads, and Staff Offices that oversee Agency CIOs. This information must also be provided to the PRBs, in accordance with ERMD's established deadlines, when evaluating SES CIO appraisals.

8.3.3 USDA SES/SL Performance Management Process Steps

Responsibility	Action	Deadline
OCIO	Prepares annual guidance for implementing OCIO performance goals that will be added to SES CIO performance plans.	July – August
ERMD Policy	Prepares annual guidance on establishing performance plans for SES/SL/ST/SSTS employees.	August
Rating Officials	Ensure that all SES CIO performance plans contain OCIO's performance goals as required.	October
ERMD Performance Branch	Conducts quality review of established performance plans.	December – January
OCIO	Prepares mid-year guidance for reviewing progress of SES CIO performance goals.	January - February
ERMD Policy	Prepares mid-year guidance for completing SES/SL/ST/SSTS progress reviews.	February
Rating Officials	Ensure that SES CIOs have provided mid-year reports to OCIO for input.	March – April
ERMD Performance Branch	Tracks completed progress reviews.	May
OCIO	Develops guidance for obtaining end-of-year accomplishments for SES CIO's performance.	July – August
ERMD Policy	Develops guidance on end-of-year performance process for SES/SL/ST/SSTS employees.	July
ERMD Performance Branch	Provides end-of-year performance guidance and training on the appraisal process.	August
Rating Officials	Ensure that SES CIOs have provided accomplishments to OCIO for review and input.	September
OCIO	Completes review of SES CIO's accomplishments and rates applicable OCIO performance requirements in the Results Driven element and prepares the initial rating documents that must be include with the SES CIO's performance appraisal for the rating official to consider when assigning the initial summary rating. Prepares a scorecard or summary report of SES CIO's performance on OCIO performance goals that will be provided to Subcabinet, Agency Heads, Staff Office, and the Performance Review Boards.	September – October
Rating Officials	Ensures the OCIO's initial rating document is included as part of the SES CIO's performance appraisals and prepare the initial summary of ratings.	October
Rating Officials	Submit SES CIO completed appraisals to ERMD Performance Branch.	October
ERMD Performance Branch	Conducts quality reviews and tracks completed appraisals.	October

ERMD Performance Branch	Briefs the Performance Review Boards on their roles and responsibilities.	October
ERMD Performance Branch	Conducts Performance Review Boards to include reviewing applicable organizational assessments including the OCIO scorecard or summary report of SES CIOs.	November

8.4 Workforce Planning

The OCIO and the CHCO is committed to accomplishing its mission through the strategic management of human capital. OCIO works in collaboration with the OHRM, OPPM, and OBPA to develop initiatives that get input and buy-in from the agencies and staff offices. We will also work with the USDA CIO Council to support planning and implementation

8.5 USDA IT Bureau Leadership Directory Process Steps

OCIO's EM team, in conjunction with the Department's CIO Council, maintains information regarding the location and status of each component CIO position. FITARA requires that USDA make specific information publically available. EM will validate the information through an OHRM (for SES) and the component notification process noted below prior to the end of each quarter.

Each mission area and staff office Human Resources Director is to notify the USDA CIO via email (send to CIOrecruit@ocio.usda.gov) of each CIO vacancy within five business days after notification of planned departure from the incumbent and again within two business days after separation. Notification should include incumbent name and estimated or actual date of departure.

With the Integrated Data Collection (IDC) quarterly activity, the USDA CIO Council support staff will update the spreadsheet IT_Bureau_Leadership_Directory.xlsx based on information provided by EM and will ensure that the required information is posted. See Figure 1.

	A	B	C	D	E	F	G	H	I	J
	Agency Name*	Bureau Code*	First Name*	Last Name*	Title*	Employment Type*	Other Employment Type	Appointment Type*	Other Responsibilities	Evaluation Rating Office
2	Agricultural Marketing Service	45	Douglas	Bailey	CO	SES		career		Associate Administrator
3	Agricultural Marketing Service	45	Judith	Dudley	Deputy CO	GS		career		CO/Deputy Administrator
4	Agricultural Research Service	18	Paul	Gibson	CO	SES		career		Deputy Administrator
5	Agricultural Research Service	18	Jeanette	Duncan	Deputy CO	GS		career	CO	CO
6	Animal and Plant Health Inspection Service	32	Gary	Washington	CO	SES		career		Associate Deputy Administrator
7	Animal and Plant Health Inspection Service	32	Dawn	Tucker	Deputy CO	GS		career		APHIS CO
8	Departmental Management	12	Nancy	Reeves-Flores	Associate Chief Information Officer, Client	SES		career		Deputy CO
9	Economic Research Service	13	Tony	Williams	Director, Information Services Division & C	SES		career	Director, Information Services	Deputy Administrator
10	Faith Based Neighborhood Partnership	00	Nancy	Reeves-Flores	Associate Chief Information Officer, Client	SES		career		Deputy CO, Operations
11	Farm Service Agency	49	Lawrence	Gross	CO	SES		career		Deputy Administrator
12	Food and Nutrition Service	64	Kimberly	Jackson	CO	SES		career		Deputy Administrator
13	Food and Nutrition Service	64	Rory	Schultz	Deputy CO	GS		career		Supervisory IT Specialist
14	Food Safety Inspection Service	55	Janet	Stevens	CO	SES		career		Deputy Administrator
15	Food Safety Inspection Service	55	Jennifer	Sisto	Deputy CO	GS		career		CO
16	Foreign Agricultural Service	68	Richard	Young	CO	GS		career		Senior Advisor
17	Foreign Agricultural Service	68	Brenda	Lawson	Deputy CO	GS		career		Chief Information Officer
18	Forest Service	96	Douglas	Nash	CO	SES		career		Deputy Chief, Business
19	Grain Inspection, Packers and Stockyard	37	Dan	Knight	CO	GS		career		Deputy Administrator
20	National Agricultural Statistics Service	15	Joseph (Joe)	Parsons	CO	SES		career	Director, Information Technology Division	NASS Associate Administrator
21	National Institute of Food and Agriculture	20	Michel	Desbois	CO/Deputy Director	SES		career	Deputy Director	Associate Director for CIO
22	Natural Resources Conservation Service	53	Ray-DeLeon	Coleman	CO	SES		career		Associate Chief of Operations
23	Office of Assistant Secretary Civil Rights	07	Kenneth	Balsden	CO and Director, Data and Records Management	GS		career	Director, Data Records and Management	Associate Assistant Secretary
24	Office of Chief Economist	00	David	Stiles	CO	GS		career	ISSPM, CISO	Chairman, World Agricultural
25	Office of Chief Economist	00	Prakash	Patel	Deputy CO	GS		career	ISSO	CO

Figure 1: IT Bureau Leadership xlsx File

Converting to JavaScript Object Notation (JSON) format

The first step to convert the excel file to json by clicking on the File-Save As menu bar. This will bring up a modal (user interface guide) that will give you option to “Save as type” as shown in Figure 2. Select the comma-separated value (CSV) [* .csv] option.

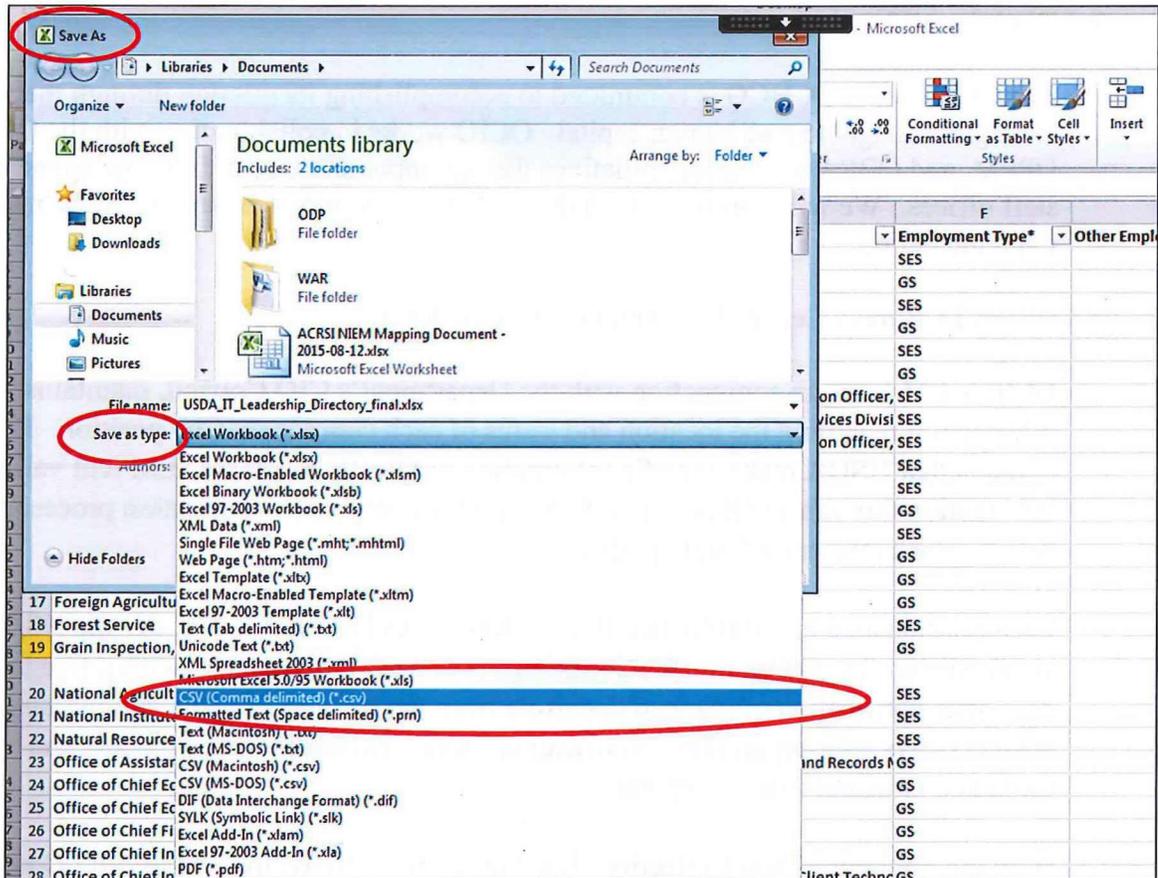


Figure 2: Save excel to CSV

Once the file is saved as a CSV, it is then possible to go to http://labs.data.gov/dashboard/datagov/csv_to_json and upload the file. Select FITARA Bureau IT Leadership Directory, click on “Choose File” under upload a CSV file, and then click on convert as shown in Figure 3. Once you click convert, it will download the bureaudirectory.json file.

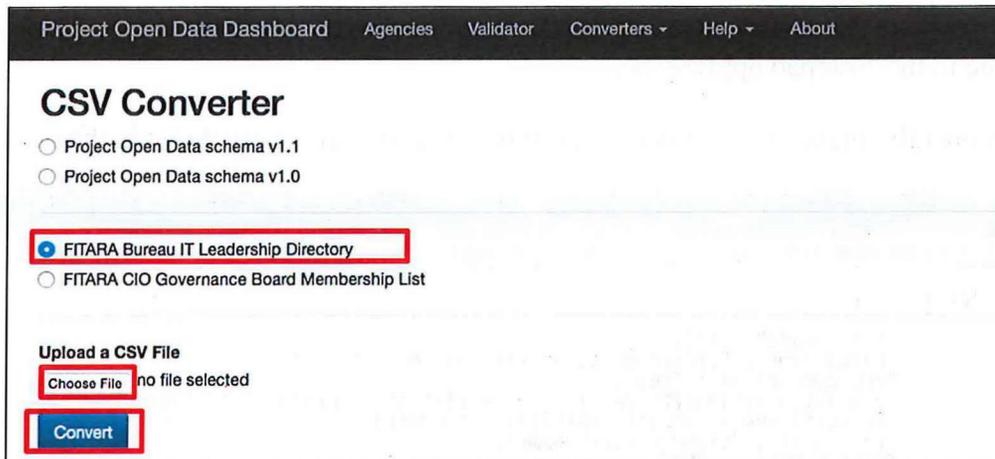


Figure 3: Project Open Data CSV Converter

Maintaining IT Bureau Leadership Directory

The following are instructions for updating the IT Bureau Leadership Directory. This will take place after an original json submission has been created.

First the previously submitted file will be downloaded in order to make changes. The file name is: <https://www.usda.gov/digitalstrategy/bureaudirectory.json>.

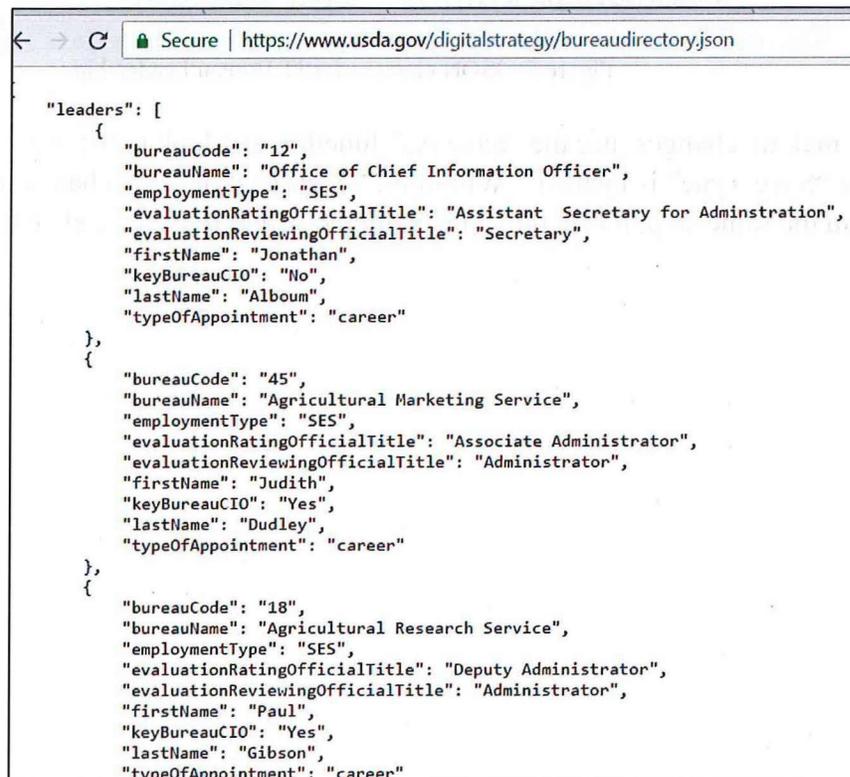
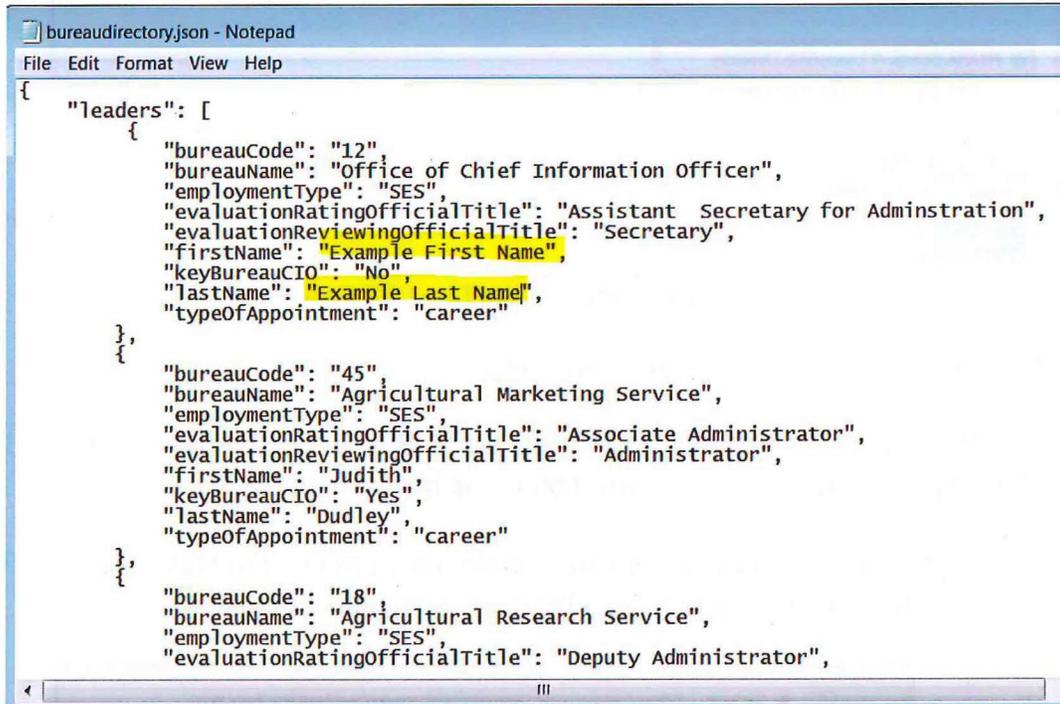


Figure 4: JSON file view for updating IT bureau Leadership

The next step is to save the new file as “bureaudirectory.json”, then double click to open the file in the Notepad application.

Subsequently, make any change(s) required and save using instructions in the next step.

A screenshot of a Notepad window titled "bureaudirectory.json - Notepad". The window contains JSON data for IT Bureau Leadership. The JSON is a list of three objects under the "leaders" key. The first object has bureauCode "12", bureauName "Office of Chief Information Officer", employmentType "SES", evaluationRatingOfficialTitle "Assistant Secretary for Administration", evaluationReviewingOfficialTitle "Secretary", firstName "Example First Name", keyBureauCIO "No", lastName "Example Last Name", and typeOfAppointment "career". The second object has bureauCode "45", bureauName "Agricultural Marketing Service", employmentType "SES", evaluationRatingOfficialTitle "Associate Administrator", evaluationReviewingOfficialTitle "Administrator", firstName "Judith", keyBureauCIO "Yes", lastName "Dudley", and typeOfAppointment "career". The third object has bureauCode "18", bureauName "Agricultural Research Service", employmentType "SES", and evaluationRatingOfficialTitle "Deputy Administrator".

```
{
  "leaders": [
    {
      "bureauCode": "12",
      "bureauName": "Office of Chief Information Officer",
      "employmentType": "SES",
      "evaluationRatingOfficialTitle": "Assistant Secretary for Administration",
      "evaluationReviewingOfficialTitle": "Secretary",
      "firstName": "Example First Name",
      "keyBureauCIO": "No",
      "lastName": "Example Last Name",
      "typeOfAppointment": "career"
    },
    {
      "bureauCode": "45",
      "bureauName": "Agricultural Marketing Service",
      "employmentType": "SES",
      "evaluationRatingOfficialTitle": "Associate Administrator",
      "evaluationReviewingOfficialTitle": "Administrator",
      "firstName": "Judith",
      "keyBureauCIO": "Yes",
      "lastName": "Dudley",
      "typeOfAppointment": "career"
    },
    {
      "bureauCode": "18",
      "bureauName": "Agricultural Research Service",
      "employmentType": "SES",
      "evaluationRatingOfficialTitle": "Deputy Administrator",

```

Figure 5: JSON changes for IT Bureau Leadership

After making changes, use the “Save As” function and look to the bottom of the box where “Save Type” is located. Within the “Save as type” box change to “All Files”. Within the same step, locate the “File Name” box and remove “.txt” extension.

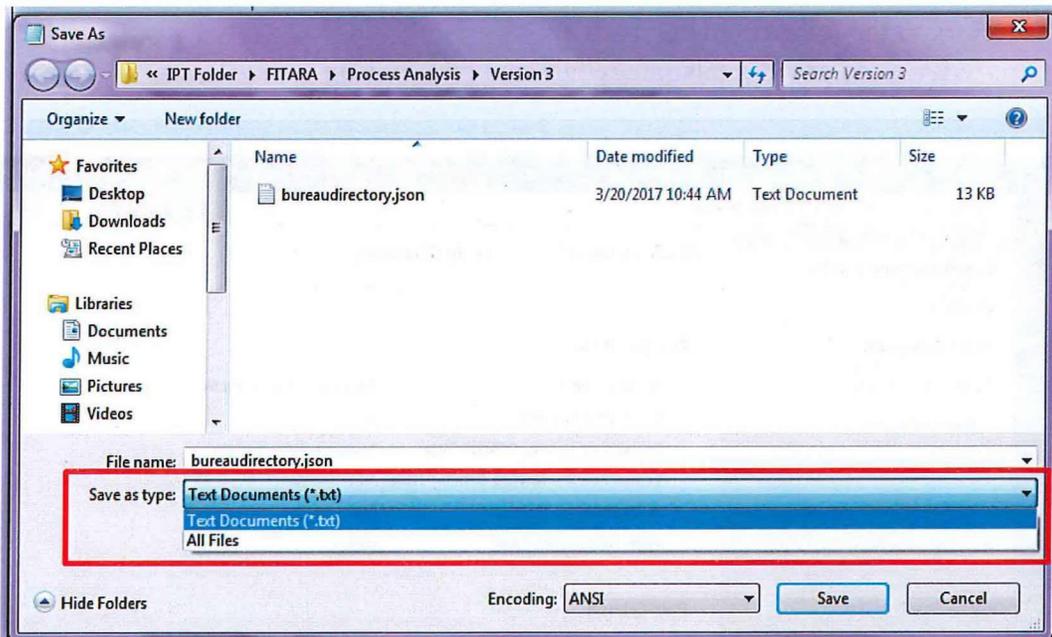


Figure 6: JSON IT Bureau Leadership change "save as type"

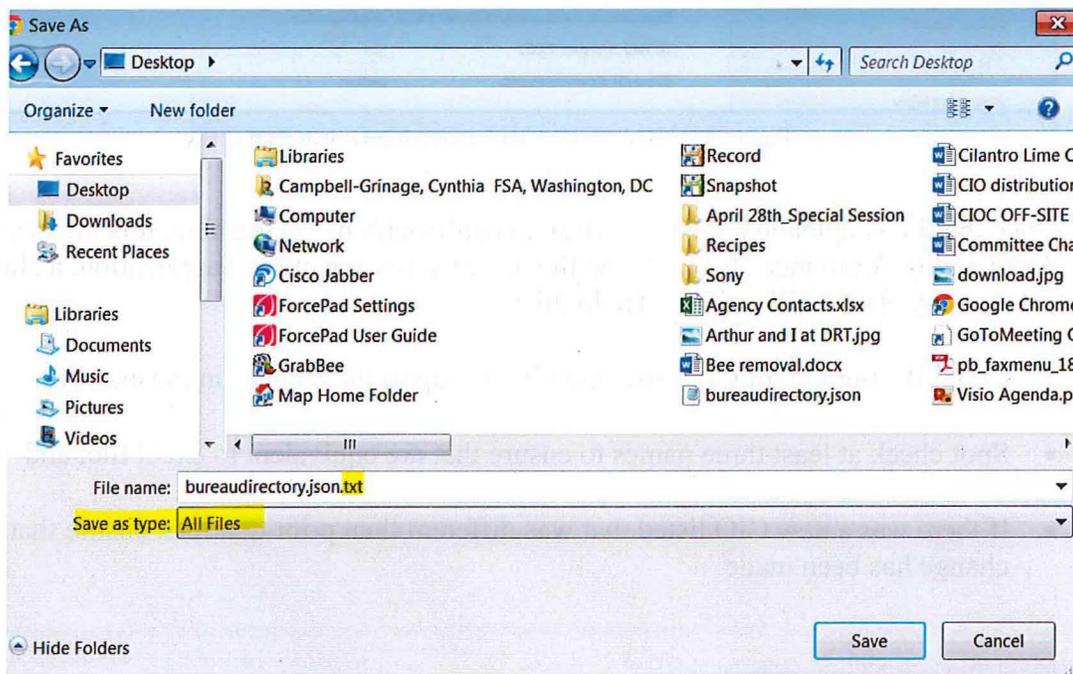


Figure 7: JSON IT Bureau Leadership remove "file name" extension

Posting to USDA.gov

Now that the bureaudirectory.json file is created, it should be sent to the Office of Communications (OC) general email box at: OC-Web@ocio.usda.gov. OC will then convert the bureaudirectory.json file to html and post to the Bureau IT Leadership

Directory to the following URL path at:

<http://www.usda.gov/digitalstrategy/bureaudirectory.json>

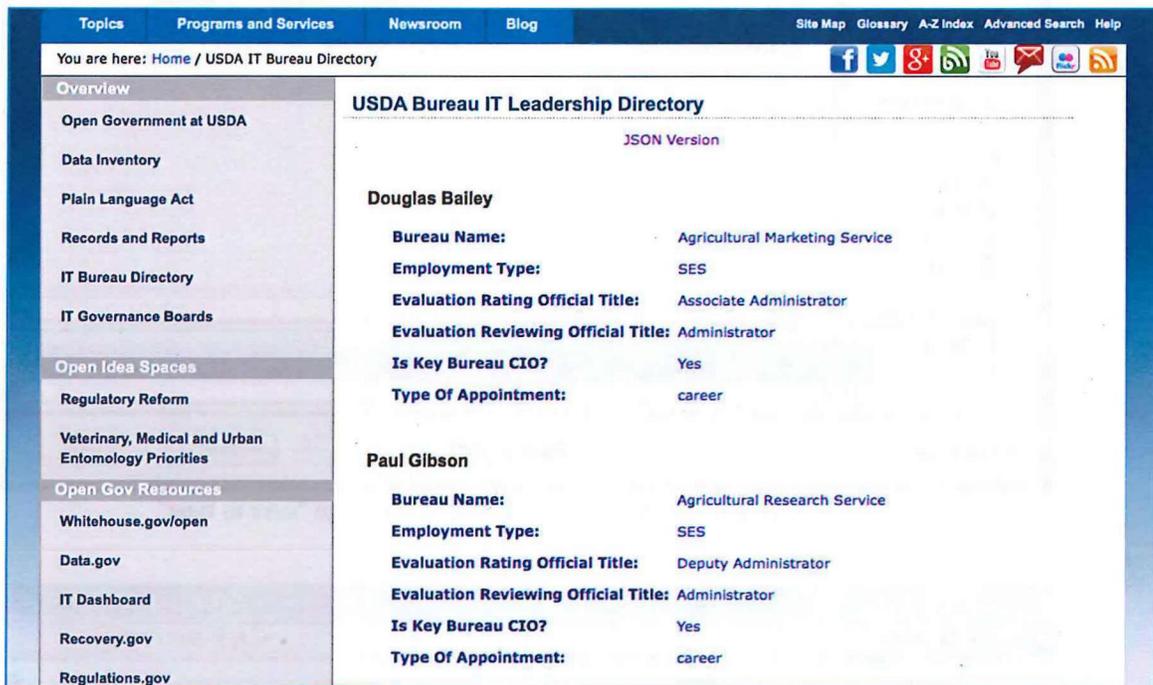


Figure 8: USDA IT Bureau Leadership Directory website

Once the file is uploaded, the OC will send confirmation. At this time it is important to do a Quality Assurance check. Since this is not a mission critical application, a simple data quality check will suffice. To do this:

- Count the number of CIOs to ensure it adds up to the number in the excel file;
- Spot check at least three names to ensure that are equivalent to excel file; and
- If there was a new CIO listed that was different than prior quarters, ensure that this change has been made.

9. Program/Project Management

The Office of Federal Procurement Policy established the requirements for the Federal Acquisition Certification (FAC) programs, which is administered by the Federal Acquisition Institute (FAI). DR [3130-011](#), *Information Technology Program and Project Manager Certification Requirements*, implements policy requirements of the Federal Acquisition Certification for Program and Project Managers (FAC-P/PM) as defined in the Office of Federal Procurement Policy (OFPP) Memorandum, *Revisions to the Federal Acquisition Certification for*

Program and Project Managers (FAC-PPM), dated December 16, 2013, which became effective on March 31, 2014.

USDA IT P/PMs are accountable for the planning, programming, budgeting, and acquisition of USDA major IT investments, as defined in [DR 3130-008](#), *Definition of Major Information Technology Investments*, and non-major IT investments that compose the USDA IT portfolio. Skilled IT P/PMs, as part of the USDA acquisition workforce, are critical in developing accurate Government requirements, defining measurable performance metrics, and managing acquisition activities to ensure that intended USDA business and technical outcomes are achieved. To that end, FAC-P/PM certification provides a structured approach to developing the career of USDA IT P/PMs.

9.1 Definitions

9.1.1 Program

Directed, funded acquisitions that provide new, improved, or continuing systems or services in response to an approved need. Programs are divided into levels established to facilitate decision-making, execution, and compliance with statutory and regulatory requirements and may be composed of multiple projects, services contracts, interagency agreements, and other types of acquisitions. With a systems or services capability focus, programs usually tie together an agency's higher-level programming and budgeting process with the agency strategic plan.

9.1.2 Project

A planned acquisition undertaking with a definite beginning and clear termination point, which produces a defined capability. A project is an individually planned, approved and managed basic building block related to a program. A project is not constrained to any specific element of the budget structure, however, basic research, maintenance of equipment and facilities, and operations are not considered projects.

9.1.3 Program Manager

An acquisition workforce member with the responsibility, and relevant discretionary authority, who is uniquely empowered to make final scope-of-work, capital-investment, and performance acceptability decisions on assigned acquisition programs. The program manager is also responsible for meeting program objectives or production requirements through the acquisition of any mix of in-house, contract, or reimbursable support resources. Program managers are responsible to stakeholders for management and oversight of subordinate projects within the scope of the overall program, as well as established integrated project teams. The program manager is ultimately responsible for effectively managing all business and technical risks of the program to insure effective systems and services are delivered to the end user on schedule, within budget and at the required levels of performance.

9.1.4 Project Manager

An acquisition workforce member assigned responsibility for accomplishing a specifically designated work effort or group of closely related efforts established to achieve stated or designated objectives, defined tasks, or other units of related effort on a schedule, within cost constraints and in support of the program mission or objective. The project manager is responsible for the planning, controlling, and reporting of the project, and for the management of required functions, including acquisition planning, requirements definition, business case development, schedule performance, and formulation, justification and execution of the budget. The project manager is responsible for effectively managing project risks to insure effective systems and services are delivered through a total life-cycle approach to the end user on schedule, within budget and at the required levels of performance. A program manager may also serve as project manager for projects within the scope of the program.

9.2 Processes to Obtain USDA P/PM Certification

9.2.1 No Previous Certification

This section describes the process in the event that a new employee or transferred employee has not already acquired a P/PM certification and is now working at USDA. The primary method to obtain certification is through the Federal Acquisition Institute (FAI) at <https://www.fai.gov/drupal/>.

As part of the Office of Federal Procurement Policy's (OFPP) October 2009 Acquisition Workforce Development Strategic Plan for Civilian Agencies, a multi-agency Functional Advisory Board (FAB) was established to refresh the P/PM competencies and recommend improvements to the certification standards. This updated FAC-P/PM reflects the recommendation from the FAB and input from the CAO Council, CIO Council, the FAI, and other stakeholders. The revised program is designed to strengthen civilian agency P/PMs to improve program outcomes, and reflects the need to improve the management of high-risk, high-impact programs. The revised FAC-P/PM program went into effect on March 31, 2014, and is governed by the December 16, 2013 OFPP memo on *Revisions to the Federal Acquisition Certification for Program and Project Managers (FAC-P/PM)*.

9.2.1.1 Initial Certification

The employee should first talk to his or her supervisor about the requirements and resources to obtain the P/PM certification. Once this has been completed the employee and supervisor must collaborate and take actions for completion. Most training programs for FAI must be completed within 60 to 90 days. There are penalties for not completing any requested

training. (6 month ban from taking training as an example). The below informational table provides the process for an employee acquiring and maintaining a FAI P/PM certification.

The employee must complete Fundamentals of Program Management (FPM) 120 *Acquisition Fundamentals of Project and PM* and FPM 121 *Acquisition Fundamentals of Project and PM II*. FPM 120 can be taken 100% online via Defense Acquisition University (DAU). FPM 121 is normally taken in a classroom environment and is best to be taken within a short time of completing FPM 120. FPM 121 is usually a five business day training session.

Step	Action	Primary Responsibility	Location
1	Request approval to take P/PM certification via the SF-182	Employee	AgLearn
2	Approve SF-182	Supervisor	AgLearn
3	Create accounts in FAITAS, FAI and DAU, if applicable	Employee	Online Sites
4	Create supervisory account in FAI, if applicable	Supervisor	FAI
5	Add P/PM to Individual Development Plan (IDP)	Employee	AgLearn
6	Approve IDP	Supervisor	AgLearn
7	Employee requests P/PM FPM 120 via FAITAS	Employee	FAITAS
8	Email received and approval required	Supervisor	FAI
9	Course Welcome email received and actions to be taken	Employee	FAI/DAU
10	Student takes courses	Employee	DAU
11	Extension Request – In the case that an extension of the completion due date is required, the employee can contact the instructor for the particular class.	Employee	DAU
12	Student passes all exams required	Employee	DAU
13	Student receives certificate for FPM 120	Employee	FAITAS
14	Employee requests P/PM FPM 121 via FAITAS	Employee	FAITAS
15	Email received and approval required	Supervisor	FAI
16	Student attends course	Employee	Agency hosted facility
17	Student receives certificate for FPM 121	Employee	FAITAS
18	Employee identifies their agency or staff office P/PM point of contact	Employee	
19	Review agency requirement at http://www.dm.usda.gov/oppm/pod/awc.htm , click FAC-P/PM Memo.	Employee	

	Note: You will need to complete this form to document your P/PM Experience <i>Program/Project Manager Experience</i> from your agency or staff office P/PM point of contact or use Attachment 2 in the USDA memorandum <u>Federal Acquisition Certification – Program and Project Managers (FAC-P/PM)</u> dated September 26, 2014		
20	Upload to the FAITAS Dashboard “Certification Request”	Employee	FAITAS
21	Approval of USDA FAC P/PM Form	USDA Representative	FAITAS
22	Await USDA approval of USDA FAC P/PM Form. Periodically check FAITAS for update to dashboard.	Employee	
23	Submit training verification for P/PM (external learning request)	Employee	AgLearn
24	Update IDP when P/PM courses are completed	Employee	AgLearn
25	Update profile and record certification in the AgLearn system http://usda.custhelp.com/app/answers/detail/a_id/1500/	Employee	AgLearn

9.2.1.2 Recertification

Once the employee has obtained his or her P/PM certification from USDA, he or she needs to maintain it. The employee must recertify every two years by completing 80 continuous learning points (CLPs). These credits must be entered into the FAITAS within the employee’s dashboard. All CLPs must be approved by the supervisor. Progression of recertification will be shown in the “*My Continuous Learning Status*” widget. Accounting for and documenting continuous learning activities is a mutual responsibility between the member, supervisor and Agency P/PM representative. If an employee does not recertify the certification can be revoked.

There are numerous ways to acquire CLPs. Some activities would include continued online education, publishing, working on a detail, conferences/seminars, mentoring, or obtaining another certification. An example of activities and CLPs may be found at [Guidance on Meeting the Requirement for Continuous Learning Points](#).

9.2.2 Previously Obtained Certification

This section describes the process in the event that a new employee or transferred employee has already acquired a P/PM certification and is now working within USDA. USDA FAC-P/PM certification is valid Departmentwide for employees transferring to another USDA agency or staff office.

If at any time the employee has a change in supervisor, the employee should notify their new supervisor and make the change in the employment and supervisor information in the FAITAS system. The employee should confirm if his/her new supervisor has a FAI supervisory account. If the supervisor does not have a FAI account, one will need to be created.

The employee will utilize steps 18 to 25 from section 9.2.1.1. If the employee is going through the FAITAS, recertification is identified in section 9.2.1.2.

9.2.2.1 Cross-Agency Applicability

9.2.2.1 FAC-P/PM certification is transferable to other Federal civilian Agencies. USDA shall accept FAC-P/PM certifications from other civilian Agencies as evidence that an IT P/PM meets and has maintained the core project management training and experience. In order to be accepted, a transferring employee's active certification must be documented and accurately recorded in the FAITAS.

9.2.2.2 USDA shall adhere to FAI guidelines to determine if non-Federal Government credentials will be eligible for full or partial consideration under DR 3130-011. Additional training may be required for issuance of USDA-specific FAC-P/PM certification.

9.2.2.3 USDA P/PM certification levels, requisite training requirements, and IT investment funding thresholds can be found in DR 3130-011, Appendix B.

9.2.2.4 A sample USDA IT P/PM resume template that illustrates needed input for FAC-P/PM certification review and determination can be found in DR 3130-011, Appendix C. This resume template can be used as a handy reference tool by IT P/PMs to keep a record of their relevant certification courses and experience.

9.3 P/PM Certification Waivers, Extensions, and Compliance

9.3.1 Certification requirements may not be waived; however, the timeframe to meet certification requirements may be extended on a case-by-case basis by the USDA CIO and the CAO. The USDA CIO and CAO will review all written extension requests and determine whether granting the extension is in the best interest of the USDA.

9.3.2 Failure to attain within the 12 month period the required certification shall be grounds for removal as an IT P/PM for major and non-major IT investments.

10. Governance

In support of USDA strategic missions, the ACIO of IRM is the functional authority on IT capital planning and investment control, IT governance, and business process re-engineering. USDA's *Integrated IT Governance Framework* (IITGF) ensures the effective stewardship of IT

resources Departmentwide, throughout the total lifecycle of an IT investment. The framework identifies critical intervals throughout the investment management lifecycle of IT projects at which relevant criteria can help reviewers and decision-makers determine whether investments are following Federal and Departmental guidelines and best practices, and whether investments contribute to overall mission requirements.

USDA has many Departmental Regulations (DRs) that provide USDA personnel with guidance on IT governance and Capital Planning and Investment Control (CPIC). Chief among these are: DR 3130-008, *Definition of Major IT Investments*; DR 3130-009, *Non-Major Information Technology Investments*; DR 3130-010, *Enterprise Information Technology Governance*; DR 3130-011, *IT Program and Project Managers Certification Requirements*; DR 3130-012, *IT Cost Estimating*; DR 3130-013, *CPIC*; and DR 3145-001, *Oversight and Management of FITARA*. These can be located on the [OCIO Directive by Categories](#) primarily under 3000-3400 Information Resource Management.

10.1 Governance Decision Gate Process Overview

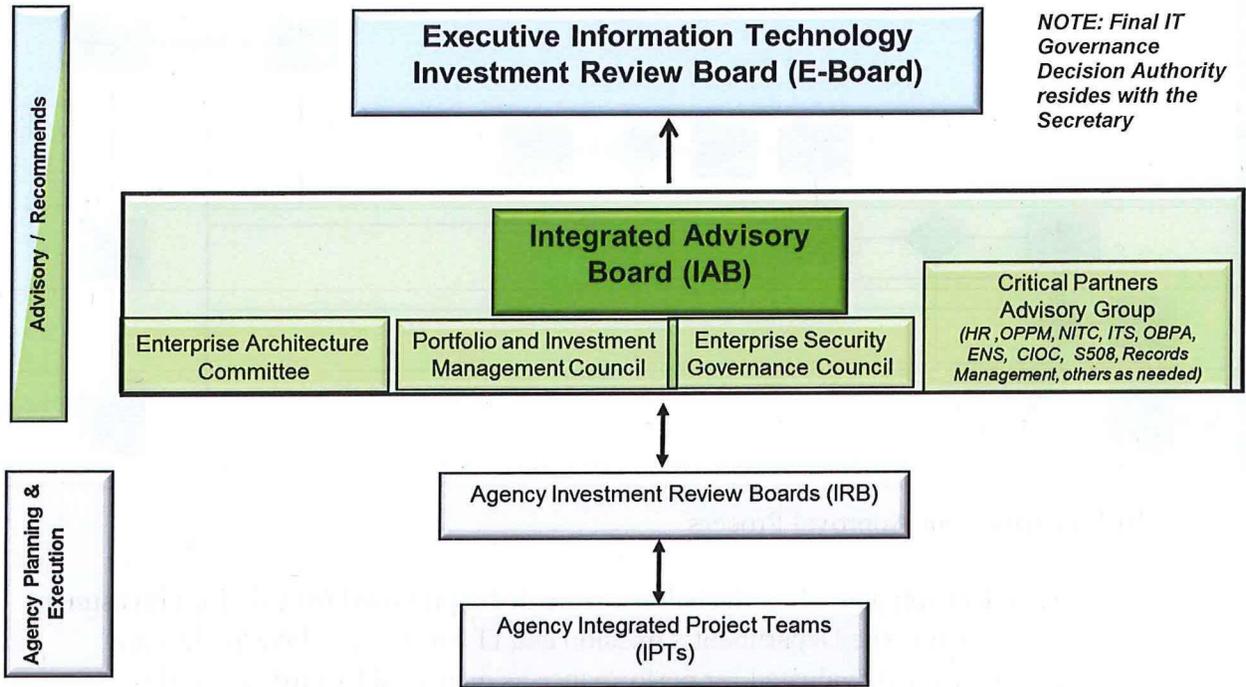
A series of integrated IT Governance *Decision Gates* provide defined entrance/exit criteria and procedures for governance bodies to review major IT investment artifacts. These decision gates align to USDA's management processes (i.e., AgSDLC), CPIC, EA, PM, Risk Management Framework (RMF), and (Cyber) Security) and have dependencies from each phase of the processes that they align with. Decision Gate reviews are required during a phase or at the end of each phase to provide for independent review from the governance boards and approval of key elements of the IT investment (project) continued development or operation.

The emphasis of Decision Gate reviews is placed on:

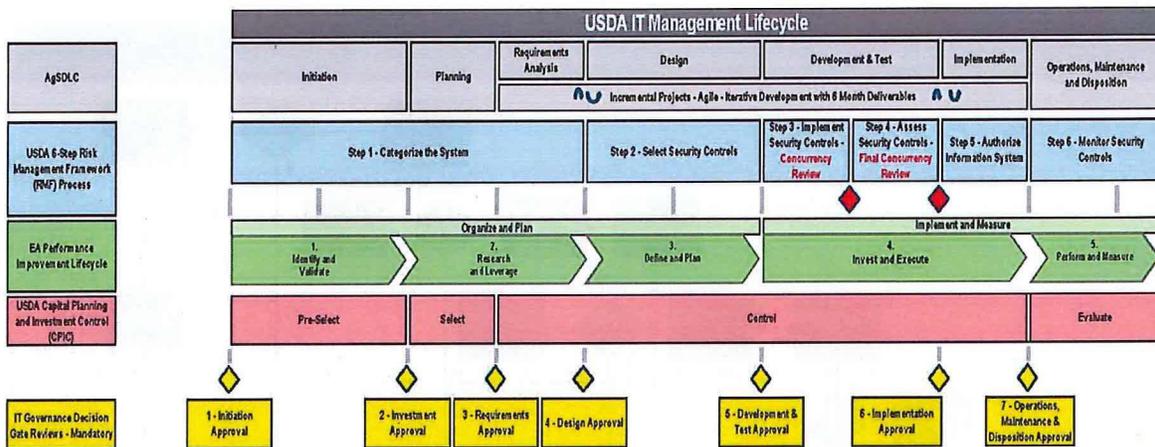
- The successful accomplishment of the phase objectives;
- The plans for the next life cycle phase;
- The risks associated with moving into the next life cycle phase; and
- The availability of resources to execute the subsequent life cycle phases.

The number of decision gates for an IT investment to engage in may vary in the AgSDLC phases of the investment, but the recommendation is that all new and existing Major IT investments will proceed through each of the Integrated IT Governance Decision Gates absent any investment tailoring requests (as explained in IITFG Appendix D) submitted and approved by the governance bodies, to ensure continuous oversight and timely delivery in meeting planned cost, schedule, and performance objectives.

10.1.1 Governance Structure Diagram and Framework

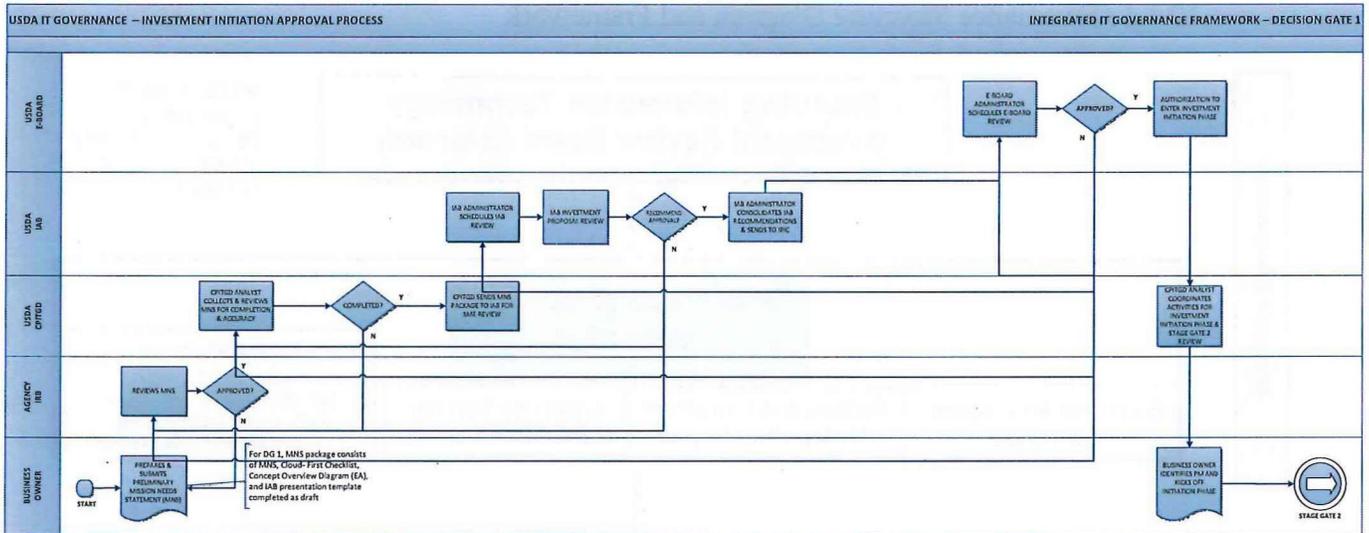


USDA Integrated IT Governance Framework Phases



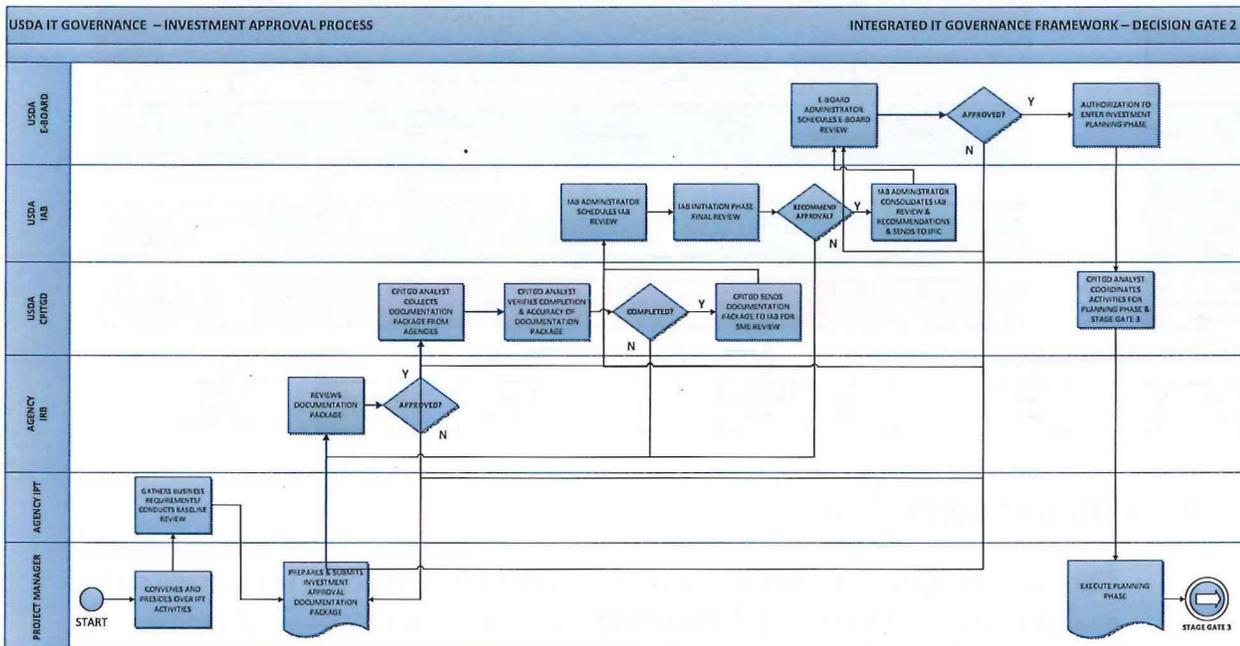
10.1.2 Initiation Approval Process

This decision gate is a process to assess the need for a proposed investment and evaluates the alignment with Departmental and/or agency strategic planning efforts. It allows agencies and staff offices to develop the investment concept with preliminary business requirements, performance measures, benefits, and costs; and for the Integrated IT Governance bodies to review these proposals, and assess the impact and benefit to the overall IT portfolio.



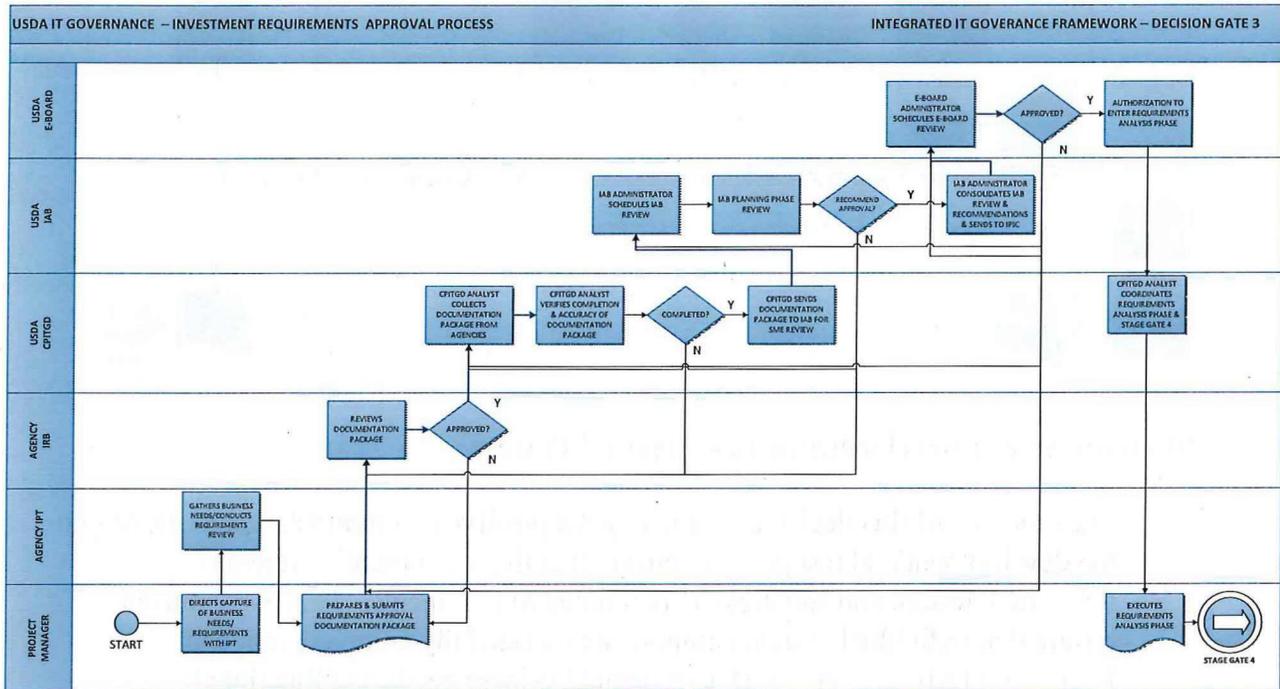
10.1.3 Investment Approval Process

This decision gate is conducted to ensure that a proposed (or existing) investment best supports the Department’s mission and IT objectives. Investments are prioritized and evaluated for performance as measured by cost, schedule, performance, and risk; as well as technical alignment and comparison to other investments.



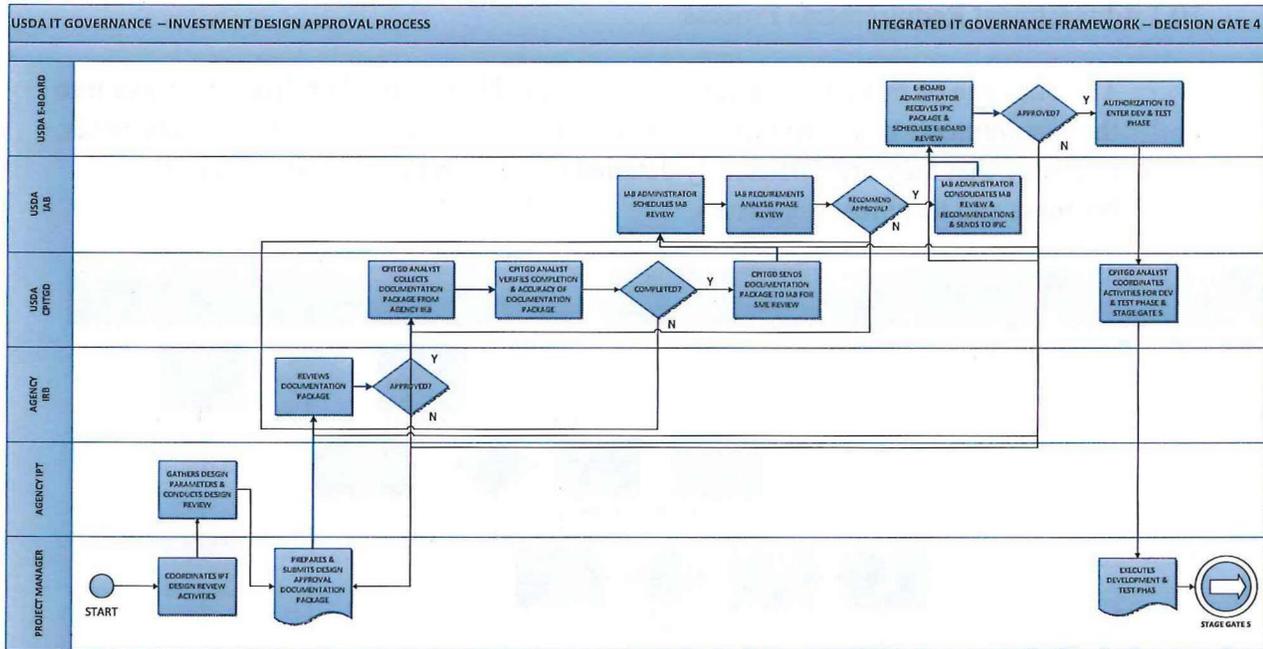
10.1.4 Investment Requirements Process

The outcome of this decision gate is to get a positive recommendation to move into the requirements analysis phase to review an investment's functional requirements, to ensure that they are sufficiently detailed (with comments), and satisfy all business and technical objectives.



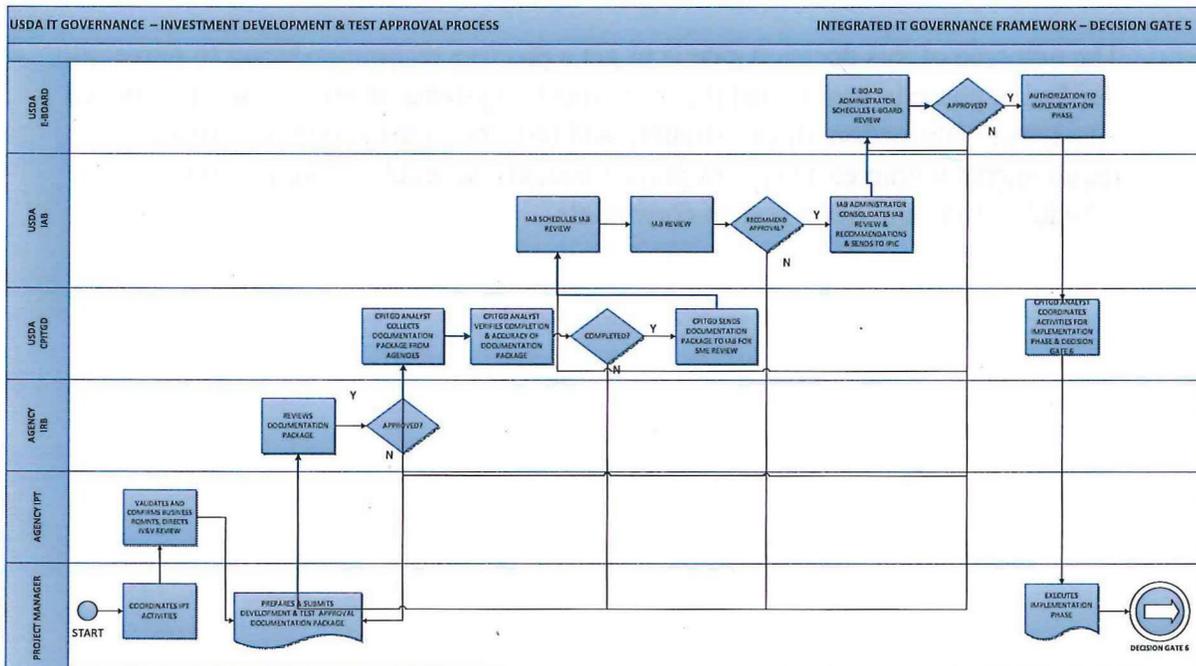
10.1.5 Investment Design Approval Process

The outcome of this decision gate is to get a positive recommendation to move into the design phase to ensure that the investment's systems under review can proceed into system fabrication, demonstration, and test; meets the stated performance requirements within cost (system project budget), schedule (system project schedule), risk, and other system constraints.



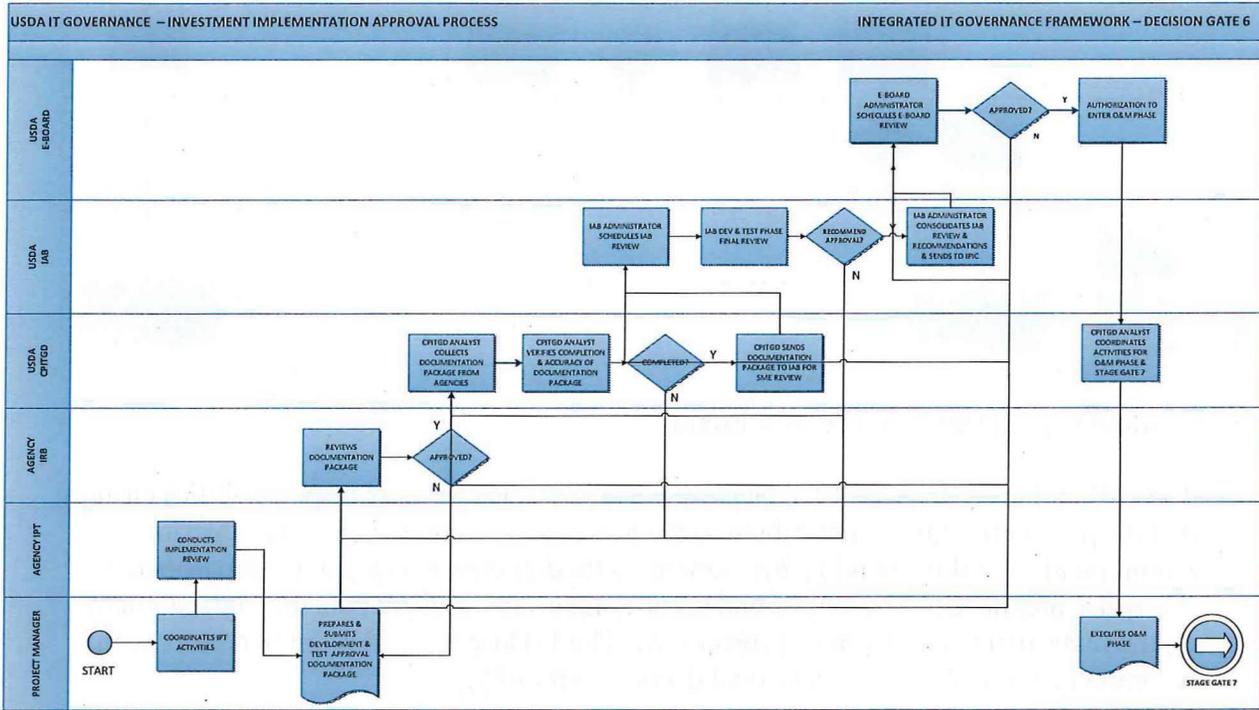
10.1.6 Investment Developmental Test Approval Process

The outcome of this decision gate is to get a positive recommendation to move into the development and test phase to ensure that the investment’s system is fabricated, tested, and satisfies the functional requirements. This is conducted to ensure that individual system components successfully complete unit and integration testing to satisfy Departmental business needs and functional requirements.



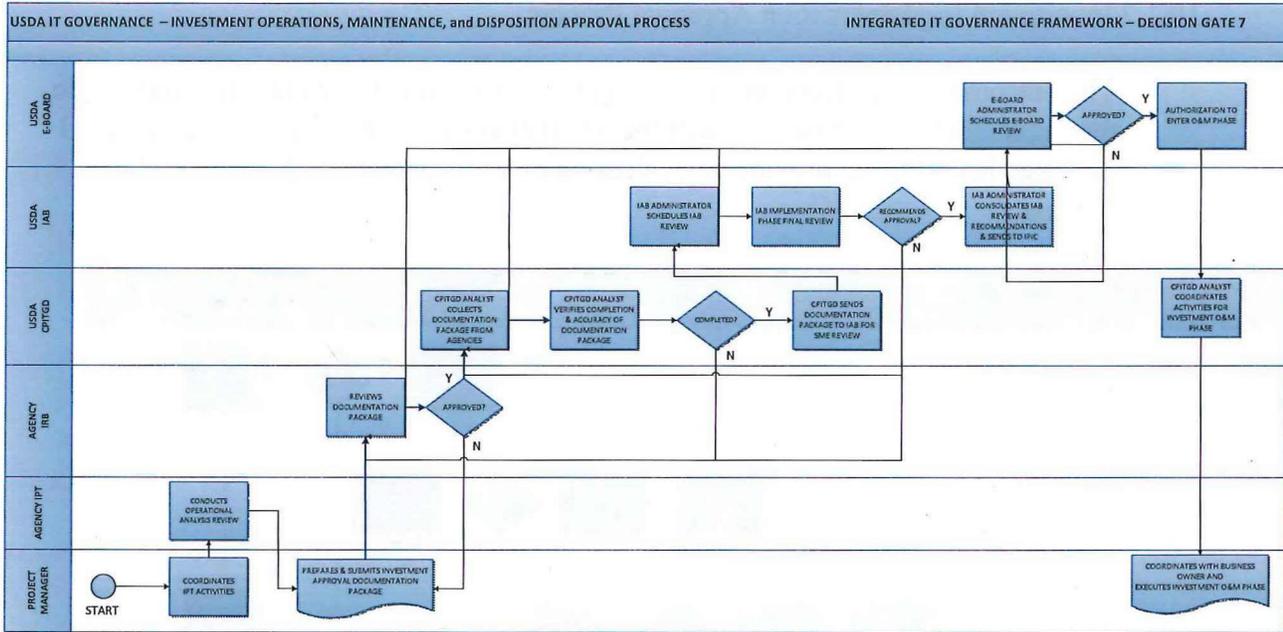
10.1.7 Investment Implementation Approval Process

The outcome of this decision gate is to get a positive recommendation to move into the implementation phase to determine whether system components have achieved expected benefits and provide an evaluation of an investment's development process.



10.1.8 Investment Operations, Maintenance, and Disposition Approval Process

The outcome of this decision gate is to get a positive recommendation to move into the operations, maintenance, and disposition phase to assess the operational effectiveness of systems as they enter the operations, maintenance (O&M), or disposition state.



10.2 E-Board and Integrated Advisory Board

The E-Board is 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 final decision authority.

The IAB is comprised of three Councils and one Group: Enterprise Architecture Committee, Portfolio and Investment Management Council (PIMC) (formerly, 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 staff office and agency level goals, strategies, objectives, and mission needs.

10.2.1 E-Board and IAB Process Steps – Notional View

Task Name	Duration (# of work days)	Target Start	Target Finish	Responsibility	Comment
E-Board Meeting (scheduled for 9:00am)	1	11/2/2016	11/2/2016	Deputy Secretary (DepSec)	Scheduled for 1st Wednesday of month
E-Board Meeting Minutes Distributed	3	11/2/2016	11/4/2016	CPITGD	3 days after E-Board meeting
E-Board Decision Memo prepared by CPITGD, forwarded to CIO Admin for CIO review/approval; once approved by DepSec, final Memo sent to IAB Chair, E-Board Members, and Agency/Staff Office affected	5	11/2/2016	11/8/2016	CPITGD/CIO Admin/CIO/DepSec /DepSec Admin	5 days after E-Board meeting
E-Board Read Ahead Materials for Members Distributed via email (includes Agenda, presentation materials, <i>IAB recommendation (for any IT Governance items, if needed)</i>)	1	10/31/2016	10/31/2016	DepSec Admin	All materials to be presented at E-Board meeting MUST be forwarded to members 48 hours in advance of E-Board meeting
HelpDesk notified to be on standby to address any technical issues at E-Board meeting	2	10/31/2016	11/1/2016	CIO Admin	
CIO Admin receives alert from CPITGD to start preparing proposed E-Board Agenda Topics (typically 3-5 topics) - includes potential IT Governance items for review/recommendation	1	10/7/2016	10/7/2016	CPITGD/CIO Admin	
<i>Integrated Advisory Board (IAB) Specific Actions:</i>					

Task Name	Duration (# of work days)	Target Start	Target Finish	Responsibility	Comment
<i>IT Governance: All Artifacts, Deliverables, and Presentation Material Due to Integrated Advisory Board (IAB)</i>	As of March 2017, the ACIO, IRM, has established a standing, recurring meeting of the IAB that will occur on the 3 rd Wednesday of each month.	10/11/2016	10/11/2016	Agencies/Staff Offices	Artifacts are due on or before the 6th business day of month prior to next E-Board meeting
<i>Notification sent to Chair, IAB that all artifacts and presentation material available for review in SharePoint</i>	1	10/12/2016	10/12/2016	CPITGD	
<i>Chair, IAB sends email to IAB Councils and Critical Partners Group to commence governance review</i>	1	10/13/2016	10/13/2016	IRM Admin/Chair, IAB	
<i>IAB Members review governance artifacts</i>	7	10/13/2016	10/21/2016	IAB	
<i>IAB Members provide recommendations to their specific Councils and Critical Partner Group Chairs</i>	1	10/24/2016	10/24/2016	IAB	
<i>IAB Council Chairs and Critical Partner Group provide consolidated comments and recommendations to the Chair, IAB</i>	1	10/25/2016	10/25/2016	IAB/IRM Admin/Chair, IAB	
<i>IAB convenes to determine technical recommendation</i>	1	10/26/2016	10/26/2016	Chair, IAB	
<i>IAB consensus recommendation prepared in Final Memo form for submission to E-Board and Agency/Staff Office as part of Read Ahead package to E-Board</i>	2	10/27/2016	10/28/2016	IRM Admin/ Chair, IAB	

Task Name	Duration (# of work days)	Target Start	Target Finish	Responsibility	Comment
CIO collaborates with DepSec on proposed Agenda topics including timing allotments and determination of which topics are 'Decisional' and which are 'Informational'. <i>Note: Potential IT Governance item(s) included in Agenda</i>	4	10/11/2016	10/14/2016	CIO/DepSec	
Send Agenda topics and draft Agenda to CIO and DepSec	1	10/17/2016	10/17/2016	CIO Admin	
Proposed presenters in Agencies/Staff Offices notified to prepare topic presentation and forward to CPITGD one week in advance of E-Board meeting	7	10/18/2016	10/26/2016	CPITGD/Agencies/Staff Offices	
Last minute Agenda tweaked, if necessary, and/or approved by CIO	1	10/19/2016	10/19/2016	CIO Admin	
Presenter presentations forwarded to CPITGD	1	10/27/2016	10/27/2016	Agency/Staff Office Presenters	
CPITGD reviews and provides comments, as needed, and sends back to presenters	2	10/27/2016	10/28/2016	CPITGD	
CPITGD forwards presentations to CIO Admin and DepSec Admin for printing and distribution at E-Board meeting	1	10/28/2016	10/28/2016	CPITGD/CIO Admin/DepSec Admin	
CIO Admin prints all E-Board briefing materials ready for distribution at E-Board meeting	2	10/31/2016	11/1/2016	CIO Admin	

11. FITARA Submissions

FITARA submissions are required by OMB on a quarterly and annual basis. There are external and internal instructions that must be followed in order to successfully submit FITARA related information to OMB. The external revolves around OMB's requirements to use specific formats, specific information to include or exclude, and the timeline for submission. The USDA internal

instructions are specifically to create, update, receive approval and put forward the USDA submission.

There are five related FITARA submissions that are required. They are the following:

- a. FITARA Agency IT Policy Archive. The office responsible for this action is Policy, OCIO. Agencies' general IT policies, posted publicly at [\[agency.gov\]/digitalstrategy/policyarchive](#) with a description and link to the document in a section identified as the "Agency IT Policy Archive". A compressed archive (file type .zip, .gz, .tar, or .rar) containing all public policy documents, posted publicly at [\[agency.gov\]/digitalstrategy/policyarchive.zip](#) (or other appropriate file type) and identified in the agency public data listing as "Agency IT Policy Archive".
- b. FITARA Bureau IT Leadership Directory. The office responsible for this action is EM, OCIO. This is to be updated and posted at <http://www.usda.gov/digitalstrategy/bureaudirectory.json>. This process is explained in section 8.5.
- c. FITARA CIO Governance Board Membership List. The office responsible for this action is IRM, OCIO. An HTML version of this list at [\[agency.gov\]/digitalstrategy/governanceboards.html](#). A JSON version at [\[agency.gov\]/digitalstrategy/governanceboards.json](#), identifying the JSON dataset as "CIO Governance Board Membership List" in their public data listings.
- d. FITARA Milestones. The office responsible for this action is the FITARA Operations Office, OCIO. This is to be updated and posted at <http://www.usda.gov/digitalstrategy/fitaramilestones.json>. This process is explained in section 10.1 and 10.2.

A JSON version at [\[agency.gov\]/digitalstrategy/fitaramilestones.json](#), identifying the JSON dataset as "FITARA Milestones" in their public data listings. This item must be updated on a quarterly basis.

- Note: In addition to including milestones associated with your agency's implementation of the Common Baseline, your JSON file should also identify, at a minimum, five milestones per fiscal year to be achieved through the DCOI. This item must be updated on a quarterly basis when you submit FITARA Milestones.

- e. FITARA Self-Assessment. The office responsible for this action is the FITARA Operations Office, OCIO. Per M-15-14, agencies are required to conduct an annual FITARA Common Baseline self-assessment review and update. The first update was due on April 30, 2016. The annual update for 2017 will be due as part of the May 2017 IDC. This will be a MAX data collection.

11.1 External Instructions

Instructions are sent out from OMB via an IDC method. OMB is responsible for continuing to update IDC instructions posted on the MAX Federal Community on a quarterly basis.

Critical Information:

- Changes from previous data collections are highlighted in yellow.
- Always refer to the MAX homepage (<https://community.max.gov/x/LhtGJw>) for the most current version of this document. You must have a MAX user name and password for access and utilization of this application.
- The MAX Collect exercise (associated with this IDC) is located at <https://max.omb.gov/exercises/collect-beta/x/8MJSgX>.
- Email ofcio@omb.eop.gov if you have questions on the IDC.
- If there are sections for which there have been no data updates since last quarter, be sure to click the “edit” button and then the “save” button to update the timestamp.

11.2 USDA Internal Instructions and Process Steps

11.2.1 Preferably, a single person is chosen to be responsible for the quarterly or annual FITARA milestone and action chart for submission to OMB. The FITARA Operations Officer will choose this person if an individual from the team does not volunteer.

11.2.2 The previously approved word table is sent out along with any roles and responsibilities for the FITARA team members, a proposed schedule, and due date for initial updates from the CXOs. Any milestone that is not identified as “complete” must be updated. This can be sent to the FITARA Team Lead(s) to work updates within their area, or if the Team Lead(s) is not available directly to the CXOs. An example of a final FITARA Milestone submission in the word table format can be found at <https://www.ocio.usda.gov/fitara-roadmap>.

11.2.3 A few days before the initial due date for the update, the responsible team member will send out a reminder.

11.2.4 As updates and comments come in, the word file will be updated. This will be used as the basis for all USDA approvals from the FITARA Operations Officer to the Deputy Secretary.

11.2.5 Once the word table is fully updated, the responsible person will ensure that the document is accurate. Items that will be checked are name of submission, Agency, contact information, format, grammar, spelling, and legibility. Items that will not be changed by anyone is the milestone numbers, milestones language (extracted from the USDA FITARA Action Plan), target completion date, status being one word and the date format. The status column must only be one identifier chosen between Not Started, In Progress, Complete, or Deferred. The fields and data type must follow the specific schema listed in <https://management.cio.gov/schema/#FITARA>; otherwise, it will not be able to be converted to the proper JSON format or validated properly.

11.2.6 The updated deliverable will be sent to the FITARA Operations Officer for the first review. If he/she has any changes or updates those will be included by that person or the person responsible for the submission.

11.2.7 Once approved by the FITARA Operations Officer, the updated deliverable will be sent by the FITARA Operations Officer to the DCIO of Policy and Planning for a review. If he/she has any changes or updates those will be included by either that person, the FITARA Operations Officer or the person responsible for the submission.

11.2.8 Once approved by the DCIO P&P, the updated deliverable will be sent by either the DCIO P&P, FITARA Operations Officer or person responsible for submission to the USDA CIO front office for a review. The USDA CIO will be the next approval; however, this needs to enter the correct process. The responsible person, with support from the FITARA Operations Officer (if required), will work with the front office to complete the following:

11.2.8.1 The FITARA submission needs to be printed out and placed in a red folder.

11.2.8.2 The red folder will have an OCIO routing sheet attached to it for the USDA CIO to initial his/her approval. The subject will indicate "*Month year Integrated Data Collection FITARA Submission*" and the purpose will indicate "Gain approval from the Deputy Secretary to submit the FITARA *Month year deliverable*".

11.2.8.3 In the case the ASA's approval is required, an ASA routing sheet will need to be prepared by the front office and included on top of the red folder.

11.2.8.4 If required, an informational memorandum will be created and printed and will be included in the red folder.

11.2.9 The FITARA submission will make its way to the Deputy Secretary for approval.

11.2.10 Upon approval of the FITARA milestones and actions word table by the USDA CIO, the responsible person will begin the conversion process. The word document table will need to be converted into an excel spreadsheet. This should resemble Figure 5 below, using the exact same column headings and formatting.

milestoneID	milestoneDesc	milestoneTargetCompletionDate	milestoneStatus	milestoneStatusDesc	commonBaselineArea	dcoArea
1	The Enterprise Information Technology (IT) Governance Departmental Regulation (DR) addressing the CIO involvement with planning for IT resources at all points in the lifecycle should be an officially published policy.	2015/12/31	Complete	Completed on 2015/12/03. The Enterprise IT Governance DR was officially published as DR 3130-010 on December 3, 2015. DR 3130-010 addresses the requirement that the USDA CIO defines the development processes, milestones, review gates, and the overall policies for all capital planning, enterprise architecture (EA), project management and reporting of IT resources.	budgetFormulation	nonDataCenter
2	The CFO, SPE, CIO, and Budget Officer will develop appropriate Departmentwide guidance as part of the annual budget formulation process to ensure budget formulation process enhancements are achieved.	2016/03/31	Complete	Completed on 2016/06/03. USDA has a recurring and repeatable process for the formulation of its annual budget submissions. Although modified annually to reflect the latest OMB guidance, this process includes an iterative exchange of information and decision-making through which the USDA CIO is more involved per the intent of FITARA.	budgetFormulation	nonDataCenter
3	CIO will collaborate with OBPA to prepare agency budget guidance for the budget formulation process.	2016/03/31	Complete	Completed on 2016/06/03. As the USDA budget process is already established, the USDA CIO and the Department's Office of Budget and Program Analysis (OBPA) have modified the process for future budget submissions to include additional engagement by the USDA CIO.	budgetFormulation	nonDataCenter
4	CIO will be included in meetings with Agency Administrators and Under Secretaries where the Secretary reviews priorities for the Departmental estimates.	2016/03/31	Complete	Completed on 2016/07/08. OCIO worked with OBPA to align schedules for when meetings will be held to ensure the engagement of the USDA CIO. The USDA CIO is included in meetings with Agency Administrators and Under Secretaries where the Secretary reviews priorities for the Departmental estimates (e.g. subcabinet and E-Board meetings).	budgetFormulation	nonDataCenter
5	CIO will review agency estimates submitted as part of Chapter 11 and provide input to the OSEC decision-making process.	2016/03/31	Complete	Completed on 2016/07/22. OCIO worked with OBPA to align schedules for when information will be submitted and when decisions will be made to ensure the engagement of the USDA CIO.	budgetFormulation	nonDataCenter
6	Approval memorandum for CIO and OBPA Director as evidence of visibility of IT Resource decisions.	2016/03/31	Deferred	Deferred until 2016/11/16. OCIO and OBPA staff discussed the framework that will be required to ensure that the USDA CIO and Director, OBPA are jointly prepared to sign the memo, which is due for submission to OMB in November 2016. Draft Joint Certification Statement (IT Resource Statement) - BY2018 IT President's Budget Submission is complete. JCS is from the USDA CIO, USDA CFO, and Director, OBPA. JCS Memo should be submitted NLT December 1, 2016 (per OMB).	budgetFormulation	nonDataCenter
7	The USDA CIO 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).	2016/03/31	Complete	Completed on 2016/04/26. OCIO and OBPA worked to develop Attachment A to Chapter 11 which contains the IT budget request.	budgetFormulation	nonDataCenter
8	The USDA CIO and the Capital Planning and Information Technology Governance Division (CPITGD) within the Information Resource	2016/03/31	Complete	Completed on 2016/05/11. OCIO established a timeline that is in sync with the budget formulation process.	budgetFormulation	nonDataCenter

Figure 9: FITARA Milestones and Action excel csv

11.2.11 Click on the File-Save As menu bar. This will bring up a modal (user interface) that will give you option to "Save as type" as shown in Figure 2. Select the CSV [* .csv] option. The file name should be fitaramilestones.csv.

11.2.12 Open the URL <http://www.csvjson.com/csv2json>. The below page depicted in Figure 6 should show up.

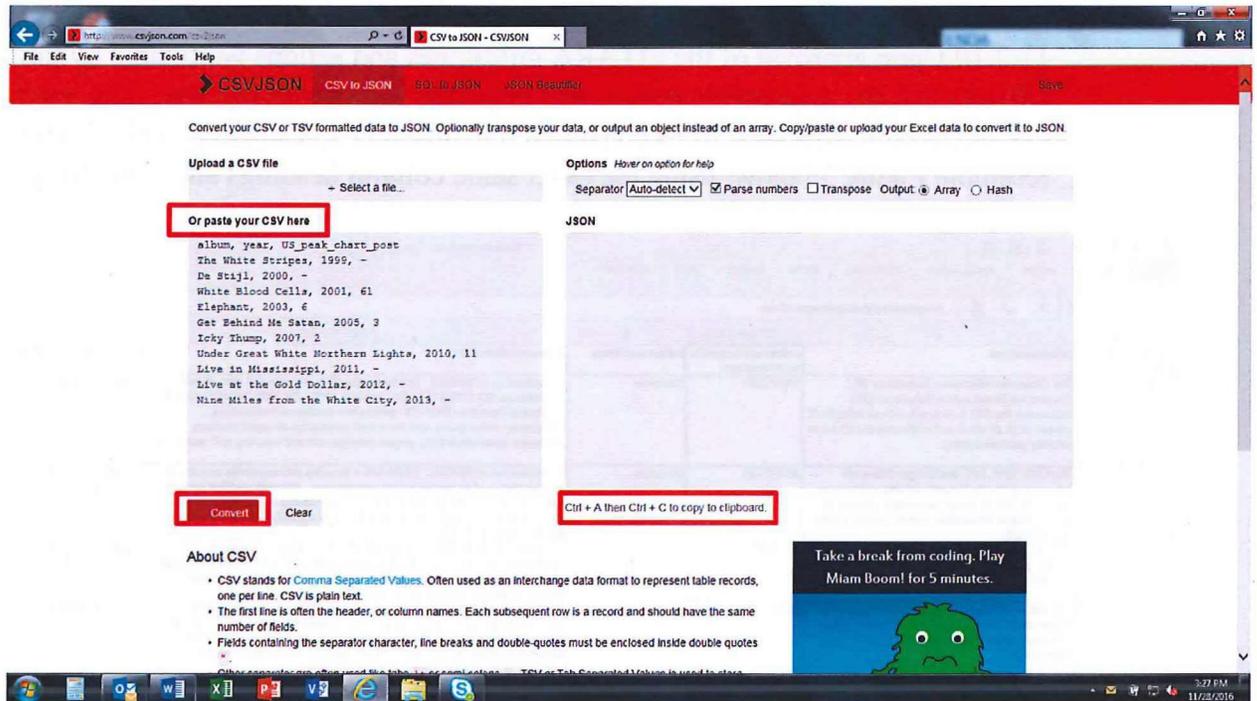


Figure 10: CSV JSON Conversion

11.2.12.1 Clear the box on the left labeled “or paste your CSV here”.

11.2.12.2 Copy and paste your entire excel spreadsheet into the cleared box on the left. This at times is more efficient than the upload box above, there are times the upload function does not function properly.

11.2.12.3 Click on the red box labeled “convert”. The JSON box to the right should fill with text and symbols.

11.2.12.3 Copy and paste all items (text and symbols) in the JSON box to the right. Use Ctrl + A then Ctrl + C to copy to clipboard.

11.2.13 Open the notepad application by clicking on the Microsoft circle with the multicolored windows in the lower left corner of your screen. Click on “All Programs”; highlight and click the accessories folder and choose “notepad”.

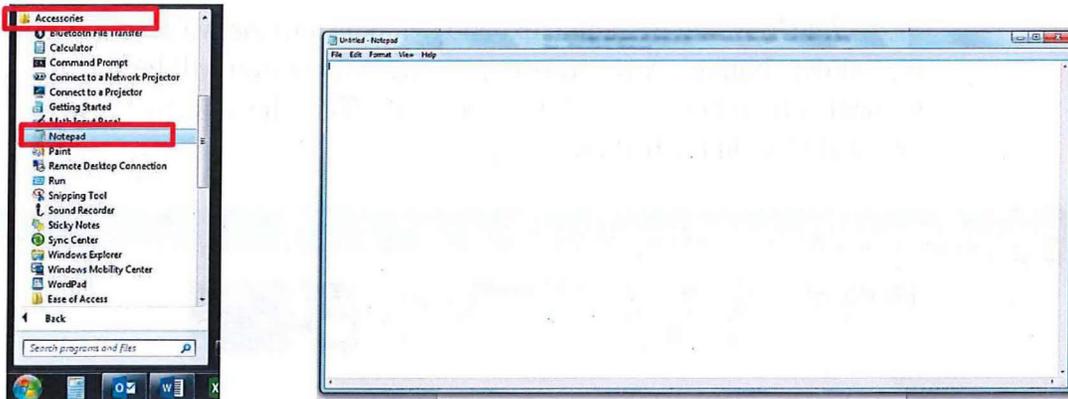


Figure 11: Notepad Application Screen Shots

11.2.14 Paste the JSON converted file into the Notepad application.

11.2.15 Once copied you must add three more lines of text to the top of the submission. This will indicate the updated date. The updates that are required to be added are colored red and in bold below. Do not forget the closing bracket at the end of the entire list of code. If the closing bracket is not included it will not validate.

```
{
  "updatedAt": "2016/11/30",
  "milestones":
```

```
[
  {
    "milestoneID": 1,
    "milestoneDesc": "The Enterprise Information Technology (IT) Governance
    Departmental Regulation (DR) addressing the CIO involvement with planning for IT
    resources at all points in the lifecycle should be an officially published policy.",
    ...continued JSON language....
  }
]
```

11.2.16 Save the new JSON notepad file as fitaramilestones.json.

11.2.17 The file must now be validated by the JSON Schema Validator.

10.2.17.1 Copy and paste your entire Notepad file and open the URL
<http://jsonlint.com/>.

11.2.17.2 Copy and paste the text and symbols into the window and click on the validate button. Any errors or missing information will be shown immediately in the space below your JSON file. The objective is to see “valid JSON” in the bottom.

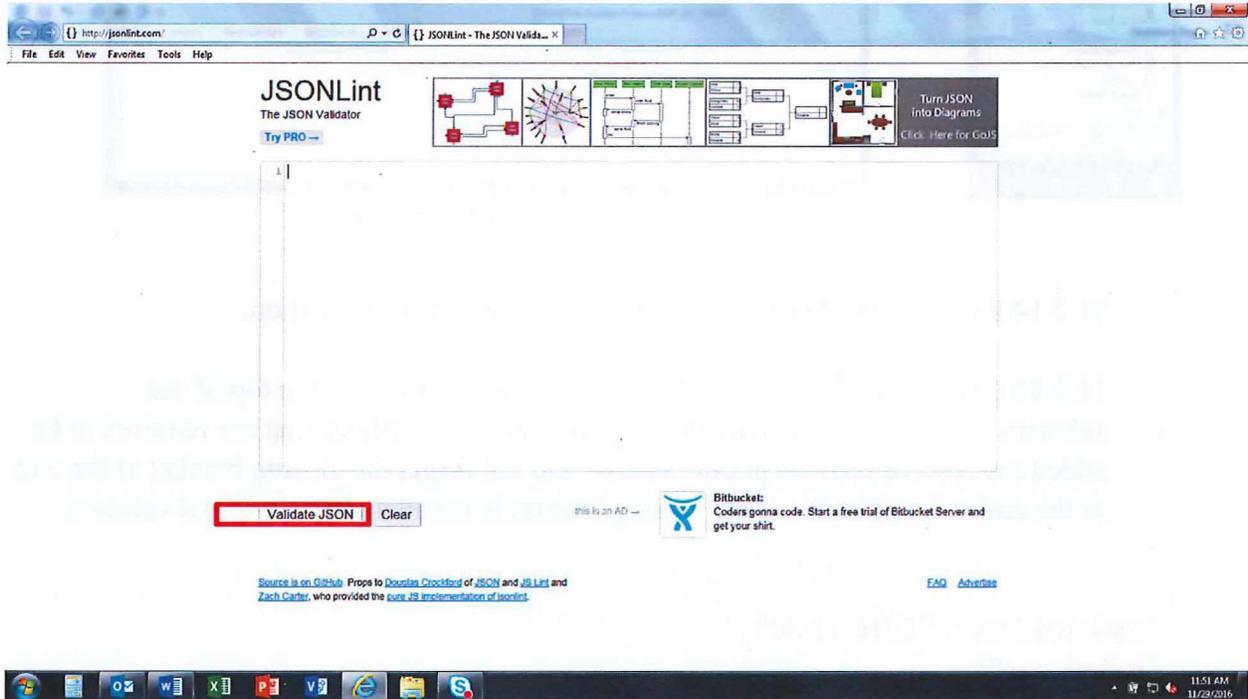


Figure 12: JSON Validator

11.2.17.3 If there are any errors, make the corrections and resubmit into the JSON validator until the file is valid.

11.2.18 Once approval is received from the ASA or Deputy Secretary, check for any changes. If there are changes to the word table you must make the exact same changes to the csv file and the JSON file. If there are no changes, send the approved Notepad file (fitaramilestones.json) to the OC organizational mailbox at OC-Web@ocio.usda.gov. The OC should have at minimum three business days to upload. An example message is below:

OC Staff,

Good afternoon, would you please update www.usda.gov/digitalstrategy/fitaramilestones.json as part of OMB “Month” 30th deliverable with the attached file. If you have any questions please do not hesitate to contact me.

11.2.19 The OC should post to the www.usda.gov/digitalstrategy/fitaramilestones.json html page so that OMB can download from the site. This specific page MUST be used unless the IDC instructions indicate otherwise or the OMB USDA Desk Officer instructs otherwise.

11.2.20 The approved deliverable will then be posted on two alternate USDA web pages.

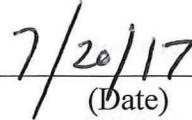
11.2.20.1 Copy and paste the approved word table to the FITARA SharePoint site at https://ems-team.usda.gov/sites/OCIO/TPAE/FITARAPROTOCOL/_layouts/15/start.aspx#/default.aspx.

11.2.20.2 Convert the word table into a pdf file and request it be uploaded to the USDA OICIO FITARA web page at <https://www.ocio.usda.gov/fitara-roadmap>.



(Signature)

Jonathan Alboum
Chief Information Officer
US Department of Agriculture



(Date)

APPENDIX A

AUTHORITIES AND REFERENCES

Budget Formulation

OMB, Circular A-11, *Preparation, Submission, and Execution of the Budget*, July 2014, as amended

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OBPA Approval Memorandum for Visibility of IT Resource Decisions, in draft

OPM, Financial Management Services (FMS) 7600A/B, Interagency Agreement

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USDA, Procurement Advisory 100D, *USDA Contracting Officers Warrant Guidelines*, April 1, 2014

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AgMax Administrator User Guide.pdf

Anti-Deficiency Act, 31 United States Code (U.S.C.) §1341, July 1982

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Compliance Checklist for e-Gov Regulations

Compliance Checklist for Enterprise Architecture governance Regulations

Compliance Checklist for Enterprise Network Regulations

Compliance Checklist for Federal Data Center Consolidation Regulations

Compliance Checklist for Integration Management and Section-508 Regulations

e-Gov Charters

Federal Information Technology Acquisition Reform Act (FITARA), Public Law (P.L.) 113-291, Title VIII, Subtitle D, §831-837

Management of Federal Information Resources, November 28, 2000, revised

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USDA, *Acquisition Approval Request Instructions*, July 29, 2015

USDA, DR 4030-001, *Section 508*, September 8, 2014

USDA, Procurement Advisory No. 53A, *Procurement Procedure for Information Technology Acquisition Requests*, February 22, 2016

Human Capital Management

CIO Council Updated *Clinger-Cohen Core Competencies & Learning Objectives*, January 17, 2013

OPM, [*Delegated Examining Operations Handbook*](#) (DEOH), April 2003, revised

[*OPM Qualifications Standards*](#)

The Carl Levin and Howard P. "Buck" McKeon National Defense Authorization Act for Fiscal Year 2015, P.L. 113-291 §831-837, 2014

OPM, [*Guide to the Senior Executive Service*](#), April 2014

OPM Desk Guide

Recruitment Appointment and Performance Management (RAPM) SOP 2015

U.S. Code Title 5, *Government Employees and Regulations*

USDA, AD-3074, *Request for Recruitment Action*, April 2014

USDA, AD-3075, *Executive Resources Personnel Action Selection Request*, April 2014

USDA, CIO Council Bylaws, May 14, 2015

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USDA, DR 4030-330-002, *Special Selection Priority Programs*, February 27, 2014

USDA, DR 4030-335-002, *Merit Promotion and Internal Placement*, July 22, 2015

USDA, DR 4030-337-004, *Delegated Examining*, March 11, 2013

USDA, DR 4040-412-001, *Leadership Competency Framework*, July 25, 2014

USDA, DR 4040-412-002, *Training and Development for Supervisors*, July 25, 2014

USDA, DR 4040-430, *Performance Management*, September 30, 2013

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USDA's *Integrated IT Governance Framework (IITGF)*, April 1, 2014

APPENDIX B

ABBREVIATIONS AND ACRONYMS

AAR	Acquisition Approval Request
ACFO-FPP	Associate Chief Financial Officer for Financial Policy and Planning
ACIO	Associate Chief Information Officer
AD	Agriculture Department
AgMax	USDA Portfolio Management System
AGPMR	Agriculture Property Management Regulations
AMS	Agriculture Marketing Service
APC	Agency Program Coordinators
APCRD	Accounting Policy and Consolidated Reporting Division
APHIS	Animal and Plant Health Inspection Service
ARS	Agriculture Research Service
ASA	Assistant Secretary of Administration
BOC	Budget Object Code
BRM	Business Reference Model
CAO	Chief Acquisition Officer
CFO	Chief Financial Officer
CFR	Code of Federal Regulations
CHCO	Chief Human Capital Officer
CIO	Chief Information Officer
CLP	Continuous Learning Points
CO	Contracting Officer
COO	Chief Operating Officer
COR	Contracting Officer Representative
CPARS	Contractor Performance Information and Contractor Performance Assessment Reporting System
CPIC	Capital Planning Investment Control
CPITGD	Capital Planning and Information Technology Governance division
CR	Continuing Resolution
CSAM	Certified Software Asset Manager
CSV	comma-separated value
CTAP	Career Transition Assistance Program
CTS	Client Technology Services
CXO	Group identification of: USDA CIO, CFO, CAO, SPE, CHCO, and Director, OBPA
CY	Calendar Year
DCIO	Deputy Chief Information Officer
DCOI	Data Center Optimization Initiative
DEOH	Delegated Examining Operations Handbook

DepSec	Deputy Secretary
DM	Departmental Management
DR	Departmental Regulation
E-Board	Executive Information Technology Investment Review Board
EA	Enterprise Architecture
EAD	Enterprise Architecture Division
EAS	Enterprise Application Services
ECM	Enterprise Content Management
ECMM	Enterprise Correspondence Management Module
ECQ	Executive Core Qualifications
e-Gov	Electronic Government
EM	Enterprise Management
EMSB	Executive Merit Staffing Board
ENS	Enterprise Network Services
EOD	entrance on duty
ERB	Executive Review Board
ERMD	Executive Resources Management Division
ERS	Economic Research Service
EVM	Earned Value Management
FAB	Functional Advisory Board
FAI	Federal Acquisition Institute
FAITAS	Federal Acquisition Institute Training Application System
FAS	Foreign Agriculture Service
FEA	Federal Enterprise Architecture
FITARA	Federal Information Technology Acquisition Reform Act
FISMA	Federal Information Security Management Act
FMMI	Financial Management Modernization Initiative
FMR	Federal Management Regulation
FMS	Financial Management Service
FNS	Food and Nutrition Service
FPM	Fundamentals of Program Management
FPMR	Federal Property Management Regulations
FS	Forest Service
FSA	Farms Services Agency
FSIS	Food Safety and Inspection Service
FY	Fiscal Year
GAO	Government Accountability Office
GIPSA	Grain Inspection, Packers, and Stockyards Administration
GS	General Service
GSA	General Services Administration
HCAD	Head of Contract Activity Designee
HM	Hiring Manager
HR	Human Resources

IAS	Integrated Acquisition System
ICO	Information Clearance Officer
ICTAP	Interagency Career Transition Assistance Program
IDC	Integrated Data Collection
IDP	Individual Development Plan
IITGF	Integrated IT Governance Framework
IMD	Information Management Division
IPA	Intergovernmental Personnel Act
IPP	Invoice Processing Platform
IRB	Investment Review Board
IRM	Information Resources Management
IT	Information Technology
ITDB	IT Dashboard
JOA	job announcement
JSON	Java Script Object Notation
KSA	Knowledge Skills and Abilities
LAPC	Local Agency Program Coordinators
MAHRD	Mission Area Human Resource Director
NASS	National Agricultural Statistics Service
NFC	National Finance Center
NIFA	National Institute of Food and Agriculture
NITC	National Information Technology Center
NRCS	Natural Resources and Conservation Service
OASCR	Office of the Assistant Secretary for Civil Rights
OBPA	Office of Budget and Program Analysis
OC	Office of Communications
OCE	Office of the Chief Economist
OCFO	Office of the Chief Financial Officer
OCIO	Office of the Chief Information Officer
OCR	Office of Congressional Relations
OES	Office of the Executive Secretary
OF	Optional Form
OFPP	Office of Federal Procurement Policy
OGC	Office of the General Counsel
OHRM	Office of Human Resource Management
OIG	Office of the Inspector General
OIS	Office of Information Security (formerly Agriculture Security Operations Center (ASOC))
OMB	Office of Management and Budget
OPM	Office of Personnel Management
OPPM	Office of Procurement and Property Management
OSEC	Office of the Secretary
PD	position description

PIMC	Portfolio and Investment Management Council
P.L.	Public Law
PLS	Program Liaison Specialist
POTUS	President of the United States
PM	Program Management
P/PM	Program/Project Manger
QRB	Qualification Review Board
RAPM	Recruitment, Appointment, and Performance Management
RD	Rural Development
RMA	Risk Management Agency
RMF	Risk Management Framework
RPL	Reemployment Priority List
SDLC	Software Development Life Cycle
SES	Senior Executive Service
SF	Standard Form
SL	Senior Level
SLA	Service Level Agreement
SME	Subject Matter Expert
SOP	Standard Operating Procedure
SPE	Senior Procurement Executive
SSI	Strategic Source Initiative
SSTS	Senior Science and Technology Service
TARD	Transparency and Account Reporting Division
TAS	Treasury Account Symbol
TQ	Technical Qualifications
U.S.C.	United States Code
USDA	United States Department of Agriculture

APPENDIX C

OMB MEMO M-15-14 ROLES AND RESPONSIBILITIES
MAPPED TO MANAGEMENT PROCESSES

OMB	Role	Responsibility	Process*	
A	1	CIO	Visibility of IT resource plans/decisions to CIO	BF1.1
	2	CXO	Visibility of IT resource plans/decisions in budget materials	BF1.1
B	1	CIO	CIO role in pre-budget submission for programs that include IT and overall portfolio	BF2.2
	2	CXO	CIO role in pre-budget submission for programs that include IT and overall portfolio	BF2.2
C	1	CIO	CIO role in planning program management	BF1.3
	2	CXO	CIO role in program management	BF1.3
D	1	CIO	CIO reviews and approves major IT investment portion of budget request	BF2.4, AQ5.1, AQ5.10
	2	CXO	CIO and CFO Certify IT Portfolio.	BF2.3, AQ5.1, AQ5.4.12, AQ5.10
E	1	CIO	Ongoing CIO engagement with program managers	AQ5.1, AQ5.4.2
	2	CXO	Ongoing CIO engagement with program managers	AQ5.1, AQ5.4.2
F	1	CIO	Visibility of IT planned expenditure reporting to CIO	AQ5.1
	2	CXO	Visibility of IT planned expenditure reporting to CIO	AQ5.1
G	1	CIO	CIO defines IT processes and policies	AQ5.4.2
H	1	CIO	CIO role on program governance boards	AQ5.4.2, AQ5.4.2.1, AQ5.4.2.2, AQ5.4.2.3
	2	CXO	Participate with CIO on governance boards as appropriate	AQ5.4.2, AQ5.4.2.1, AQ5.4.2.2, AQ5.4.2.3
I	1	CIO	Shared acquisition and procurement responsibilities	AQ5.4.11, AQ5.7
	2	CXO	Shared acquisition and procurement responsibilities	AQ5.1.10, AQ5.7
J	1	CIO	CIO role in recommending modification, termination, or pause of IT projects or initiatives	AQ5.4.2.1, AQ5.4.2.2, AQ5.4.2.3

OMB		Role	Responsibility	Process*
K	1	CIO	CIO review and approval of acquisition strategy and acquisition plan	AQ5.7
	2	CXO	CAO is responsible for ensuring contract actions that contain IT are consistent with CIO-approved acquisition strategies and plans	AQ5.7
L	1	CIO	CIO approval of reprogramming	BE4.19
	2	CXO	CIO approval of reprogramming	BE4.19
M	1	CIO	CIO approves bureau CIOs	HC7, HC8
N	1	CIO	CIO role in ongoing bureau CIOs' evaluations	HC1.1.1
	2	CXO	CIO role in ongoing bureau CIOs' evaluations	HC1.1.1
O	1	CIO	Bureau IT Leadership Directory	HC12
	2	CXO	Bureau IT Leadership Directory	HC12
P	1	CIO	IT Workforce	HC1.1, HC1.1.2
	2	CXO	IT Workforce	HC1.1, HC1.1.2
Q	1	CIO	CIO reports to agency head (or deputy/Chief Operating Officer (COO))	HC7
*BF = Budget Formulation, BE = Budget Execution, AQ = Acquisition, HC = Human Capital				

APPENDIX D

PROCESS STEPS MAPPING TO DEPARTMENTAL DOCUMENTATION

Departmental Documentation Mapping		
Index	Activity	Departmental Documentation
Budget Formulation		
1	Phase 1: Pre-planning	
1.1	Update Portfolio Management System (AgMax)	Procurement Advisory No. 53 A
1.2	Monitor Earned Value Management System TechStats	DR 3130-006
1.3	Update USDA IT Budget Guidance: IT Exhibit (Chapter 11)	USDA Budget Manual Chapter 11
2	Phase 2: Agency Budget Plans	
2.1	Distribute Chapter 11 Budget Guidance memo: Prepare CY+2 budget	USDA Budget Manual Chapter 11
2.2	Follow-on meetings to clarify guidance and/or answer questions from agency CIOs and budget analysts	USDA Budget Manual Chapter 11
2.3	Provide budget estimates, justifications to OBPA	USDA Budget Manual Chapter 11
2.4	Provide IT estimates, IT exhibits to USDA CIO	USDA Budget Manual Chapter 11
2.4.1	Review agency budgets for IT spend and prepare decision paper and recommendations for approval	
	Meetings with Agency CIOs and Budget Analysts to review IT Spend Requests	
2.5	Provide feedback/decisions to Agency Administrators	
3	Phase 3: USDA Budget Plan	
3.1	Revise FY+2 budget estimates, justifications for USDA Departmental estimates	USDA Budget Manual Chapter 12
3.2	Prioritize, revise budgets	
3.3	Submit departmental estimates to OMB	USDA Budget Manual Chapter 12
3.4	Prepare President's CY+1 Budget	

Index	Activity	Departmental Documentation
Budget Execution		
4	Phase 4: USDA Budget Execution	
4.1a	Appropriate FY funds to Federal Agencies	
4.1b	POTUS signs Appropriation Bill (or CR)	
4.2	Issue Treasury warrants	
4.3	Apportion FY funds to mission areas and staff offices	
4.4	Fund TAS sub-accounts	
4.5	Make Allotments of Funds available	
4.6	Issue sub-allotments	
4.7	Issue Treasury warrants to Contracting Officers (COs)	Procurement Advisory 100D
4.8	Designate certified Contracting Officer Representatives (COR) in mission area and staff offices	Procurement Advisory 85A
4.9	Issue Government Purchase Cards for purchase <\$3,500	DR 5013-6
4.1	Order Goods/Services for Program Area	
4.11	Monitor program unit's projects, evaluate contractor performance	Procurement Advisory 96
4.12	Receive Goods/Services for Program Area	
4.13	Provide Goods/Services for Program Area	
4.14	Pay vendors, contractors	
4.15	Reconcile revenue/expense report	FMS 7600A/B, Interagency Agreement
4.16	Accrue revenues for provided Goods/Services	
4.17	Disburse or Collect monies	FMS 7600A/B
4.18	Reconcile status of funds	
4.19	Reprogram funds	USDA Agency Reprogramming package
4.2	Expire or Cancel spending authority	Required by appropriation Law: Funds, Purpose, Time and Amount

Index	Activity	Departmental Documentation
Acquisition		
5	Phase 5: USDA Acquisitions Process	
5.1	Upload agency investments data into AgMax for the new FY	AAR Instructions - July 29 2015.pdf
5.2	Upload agency access control information into AgMax	AgMax Administrator User Guide.pdf
5.3	Generate status of funds reports; reserve monies for proposed expense	Anti-Deficiency Act
5.4	Agency identifies IT acquisition need in AgMax Acquisition Approval Request system for procurement(s) in excess of \$25k	
5.4.1	AgMax emails Subject Matter Experts: 'Review acquisition request	
5.4.2	SME-CPITGD evaluates acquisition request: compliance with Capital Planning and IT Governance regulations	Compliance Checklist for Capital Planning and IT Governance Regulations; E-Board, e-Gov, IRB charters
5.4.2.1	CPITGD conducts monthly IT Dashboard reviews	CPITGD SOP Capital Planning Investment Control (CPIC) Analyst Monthly and Quarterly Investment Reviews.pdf
5.4.2.2	CPITGD conducts PortfolioStat Reviews	PortfolioStat Process - High Level.pdf
5.4.2.3	CPITGD conducts TechStat Reviews (evidence-based accountability for IT investments)	TechStat Process (revised).pdf
5.4.3	SME-OIS evaluates acquisition request: compliance with Cyber Security regulations (authority to operate)	Compliance Checklist for OIS Cyber Security Regulations, Certified Software Asset Manager (CSAM)-Federal Information Security Management Act (FISMA)
5.4.4	SME- EM (EAS, EAD) evaluate acquisition request: compliance with Enterprise Architecture and Applications governance regulations (FEA, BRM, SDLC)	Compliance Checklist for Enterprise Architecture governance Regulations; A-130; Federal Cloud Strategy
5.4.5	SME-EGOV evaluates acquisition request: compliance with e-Gov regulations	Compliance Checklist for e-Gov Regulations
5.4.6	SME-ENS evaluates acquisition request: compliance with Enterprise Network Governance regulations	Compliance Checklist for Enterprise Network Regulations

Index	Activity	Departmental Documentation
Acquisition		
5.4.7	SME-IMD evaluates acquisition request: compliance with Integration Management Governance regulations	Compliance Checklist for Integration Management and Secion-508 Regulations
5.4.8	SME-CTS evaluates acquisition request: compliant with Client Technology Services' Common Computing Environment Governance regulations?	Compliance Checklist for Common Computing Environment Regulations
5.4.9	SME-NITC evaluates acquisition request: compliant with USDA's National Information Technology Center Federal Data Center Consolidation governance regulations?	Compliance Checklist for Federal Data Center Consolidation Regulations
5.4.10	AAR review by agency CIO	
5.4.11	Executive Review of AAR	
5.4.12	AAR Review by agency Funds Manager	
5.5	Agency identifies emergency IT acquisition need in AgMax Acquisition Approval Request system for procurement(s) in excess of \$25k	
5.5.1	Conditional emergency AAR review by three agencies	CPITGD SOP, DR 4030-001, Cyber Sec regulations
5.6	AAR approved by all reviewers	CPITGD SOP
5.7	Create Acquisition Strategy Plan for investment	Procurement Advisory No. 53A
5.8	Agency identifies IT acquisition need where acquisition does not exceed \$25k	Procurement Advisory No. 53A
5.9	Agency identifies IT acquisition need where OPPM is not involved in the requisition process, AAR number required	
5.10	Investment approved to receive funding authority	
5.11	Submit procurement request through IAS, obligate fund expense	
5.12	Process procurement request	
5.13	Enter critical purchase request information into IAS	
5.14	Receive goods/services	IAS Guidance
5.15	Pay vendor	
5.16	Reconcile status of funds	
5.17	Update Personal Property System with serial numbers for acquired accountable property	APO Guide

Index	Activity	Departmental Documentation
Acquisition		
5.18	Generate reports in response to OMB and GAO data calls	OMB Memo 15-14, P.L. 113-291
5.19	Close-out of investment budget authority	

Index	Activity	Departmental Documentation
Human Capital Management		
1	Develop job analysis & recruitment plan	DEOH for SL/GS; DR 4030-335-002; DR 4030-337-4; USDA SES SL ST Senior Science and Technology Service (SSTS) Classification Guide Draft April 2014; USDA Desk Guide for Executive Resources 2008
1.1	Reassess incumbent employee job descriptions to meet FITARA requirements (focus: component CIO and IT workforce).	P.L. 113-291 Sections 831 and 835
1.1.1	Add CIO performance element to SES and GS Appraisal Plans for agency and staff office CIOs.	P.L. 113-291 Section 831; USDA GS Appraisal Performance Plan Template with CIO Element Narrative FINAL.docx; USDA SES Appraisal Performance Plan Template with CIO Element 5 v4 FINAL.docx
1.1.2	Develop strategic plan to offer training to meet new IT Acquisition (including P/PM) Workforce development needs.	P.L. 113-291 Section 835
1.2	Submit OF-8, Position Description; SF-52, Request for Personnel Action	OF-8, Position Description; SF-52, Request for Personnel Action
1.3	The CIO must approve new requests for CIO positions, as these are restricted by charter to a single CIO for each of the following: AMS, APHIS, ARS, DM, ERS, FAS, FNS, FS, FSA, FSIS, GIPSA, NASS, NFC, NIFA, NRCS, OASCR, OC, OCE, OCIO, OHRM, OIG, RD, RMA.	5 U.S.C. Section 1104, DEOH, RAPM; CIO Council Bylaws May14, 2015; USDA OCIO Charter August 20, 2013; DR 4030-335-2; DR 4030-330-2
2	Submit Prior Approval [pre-select] Package	USDA Desk Guide for Executive Resources 2008; AD-3074, Request for Recruitment Action; RAPM; DEOH; DR 4030-337-4; DR 4030-335-2; DR 4030-330-2

Index	Activity	Departmental Documentation
Human Capital Management		
3	Post job offer announcement with expiration date.	P.L. 113-291 Sections 831 and 835; RAPM; USDA Desk Guide/Exec; DEOH; DR 4030-337-4; DR 4030-335-2; DR 4030-330-2
4	Screen applications	OHRM Policy; RAPM; USDA Desk Guide for Exec; OPM qualifications standards
5	Convene review board for SES/SL, eRecruit for GS	OHRM Policy; USDA Desk Guide for Exec; OPM qualifications standards; 5 Code of Federal Regulations (CFR) 330, DR 4030-330-2
6	Issue Certificate of Eligibles	P.L. 113-291 Sections 831 and 835; RAPM; USDA Desk Guide/Exec; DEOH; DR 4030-337-4; DR 4030-335-2
7	Create prior approval Selection package	AD-3075, Executive Resources Personnel Action Selection Request; routing slips
8	Issue time-limited HR Certificate - authority to hire; notify ineligible and non-qualified applicants of the app status. Conduct interviews; assist with ECQ narrative updates.	
9	For GS -- process with tentative offer to hire	USDA HR policies, 5 U.S.C. authority
10	For SES -- submit tentative selection to OPM and ICO for approval of ECQs	OPM Desk Guide
11	Selectee announced	OHRM Policy
12	Publish IT Leadership Directory	CIO Council SOP
13	Hiring Manager Survey	OHRM Policy

APPENDIX E

FLOWCHART LEGEND

	Terminator Indicates the beginning or end of a program flow in your diagram.		Subroutine Indicates a predefined (named) process, such as a subroutine or a module.		Connector Indicates an inspection point.		Collate Indicates a step that organizes data into a standard format.
	Process Indicates any processing function.		Preparation Indicates a modification to a process, such as setting a switch or initializing a routine.		Off-page connector Use this shape to create a cross-reference and hyperlink from a process on one page to a process on another page.		Sort Indicates a step that organizes items list sequentially.
	Decision Indicates a decision point between two or more paths in a flowchart.		Display Indicates data that is displayed for people to read, such as data on a monitor or projector screen.		Off-page connector		Merge Indicates a step that combines multiple sets into one.
	Delay Indicates a delay in the process.		Manual input Indicates any operation that is performed manually (by a person).		Off-page connector		Database Indicates a list of information with a standard structure that allows for searching and sorting.
	Data Can represent any type of data in a flowchart.		Manual loop Indicates a sequence of commands that will continue to repeat until stopped manually.		Off-page connector		Internal storage Indicates an internal storage device.
	Document Indicates data that can be read by people, such as printed output.		Loop limit Indicates the start of a loop. Flip the shape vertically to indicate the end of a loop.		Or Logical OR		
	Multiple documents Indicates multiple documents.		Stored data Indicates any type of stored data.		Summing junction Logical AND		