

Process Analysis Data for the FITARA Project

A compilation of process steps describing USDA agency practices based on existing policies, procedures, memos, and advisories by agency representatives

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1. Management Area 1: The Budget Formulation Process

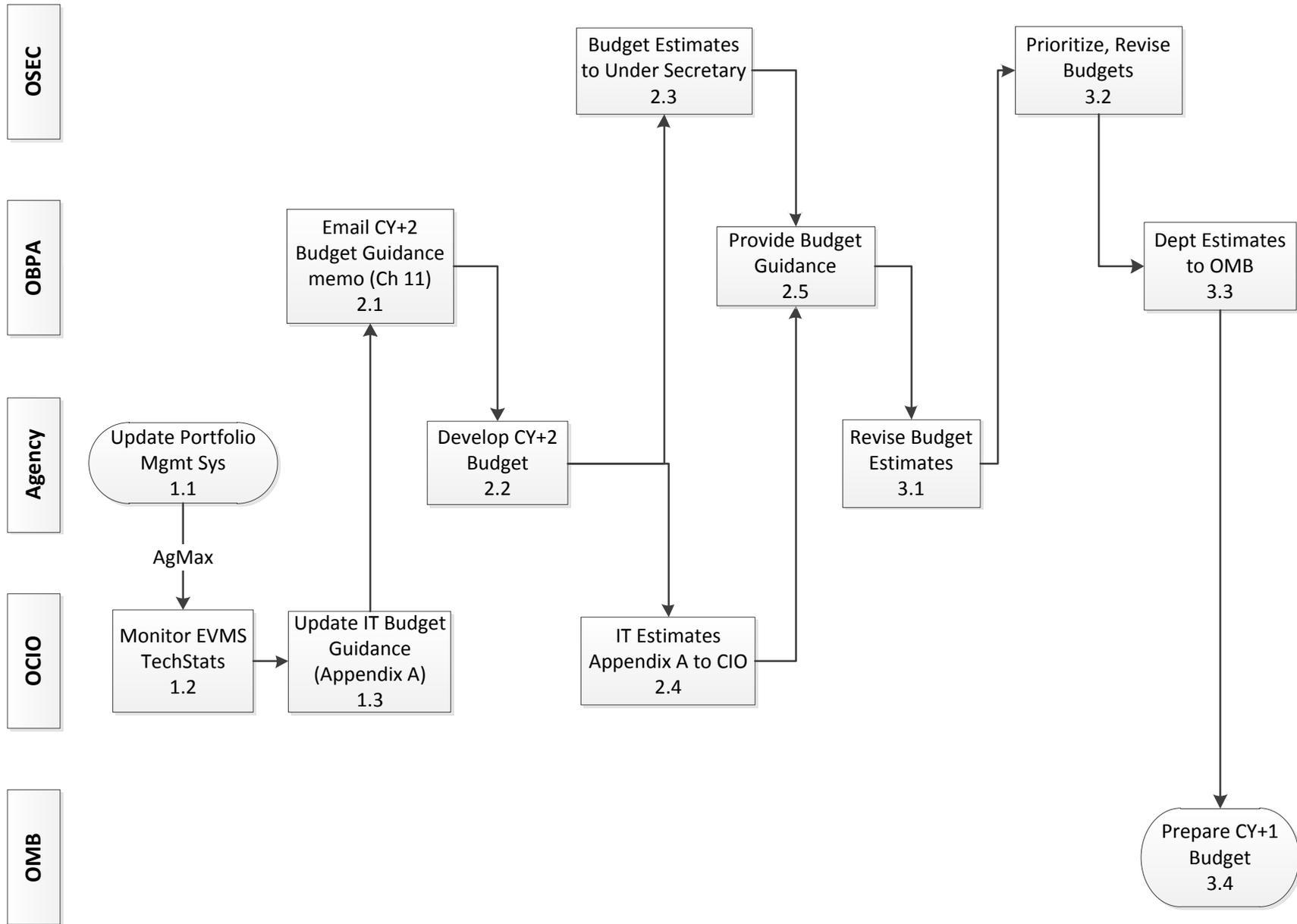
1.1 Budget Formulation Process Steps

Index	Activity	Actor	Recipient	Result	Timing	Policy, Procedure, Notice
1.0	Phase 1: Pre-planning					
1.1	Portfolio Management System (AgMax) Updates	Agency Program Managers	AgMax Mgrs, CPIGD A1, A2*	Investments data in AgMax; Acquisition Approval Request (AAR) number assigned to specific investment program projects	Year-round	Procurement Advisory No. 53 A
1.2	Earned Value Mgmt System	Agency Program Managers	EVM System Mgr	Program monthly performance data evaluated for R Y G status, TechStat if 3 consec Red	Year-round	DR3130-006
1.3	USDA IT Budget Guidance: Appendix A (Chapter 11)	CPIGD C1, C2	OBPA	Updated Appendix A, IT Estimates	By May 1 each year	USDA Budget Manual Ch 11
2.0	Phase 2: Agency Budget Plans					
2.1	Email Ch. 11 Budget Guidance memo: Prepare CY+2 budget	OBPA	Agency Heads	Agency budget estimates, justifications for changes, IT App A	Mid May	USDA Budget Manual Ch 11
2.2	Follow-on meetings to clarify guidance and/or answer questions from Agency CFOs and Budget analysts	OBPA, CIO B1, B2	Agency Heads	Agency budget estimates, justifications for changes, IT App A	Mid May	USDA Budget Manual Ch 11
2.3	Provide budget estimates, justifications to Under Secretary	Agency Heads	OBPA, OSEC, OCFO D2	OSEC, OCFO review Departmental Estimates and makes decisions	Late June	USDA Budget Manual Ch 11
2.4	Provide IT estimates, Appendix A to CIO	Agency Heads	CIO D1	CIO reviews Appendix A submissions, checks AgMax	Late June	USDA Budget Manual Chapter 11 - App A
2.5	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	Agency Administrators and Staff Office Directors	OBPA, OSEC	Agency aligns budget estimates	Mid August	USDA Budget Manual Chapter 12
3.2	Prioritize, 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 Sept	USDA Budget Manual Chapter 12
3.4	Prepare President's CY+1 Budget	OMB	Congress	President signs appropriation act for current FY+1	Early Feb	
	*[A1] maps to OMB Memo 15-14 role A1					
	Agency Heads = Agency Administrators and Staff Office Directors					

USDA BUDGET FORMULATION PROCESS, FY 2016

1.2 Budget Formulation Process Flowchart



2. Management Area 2: The Budget Execution Process

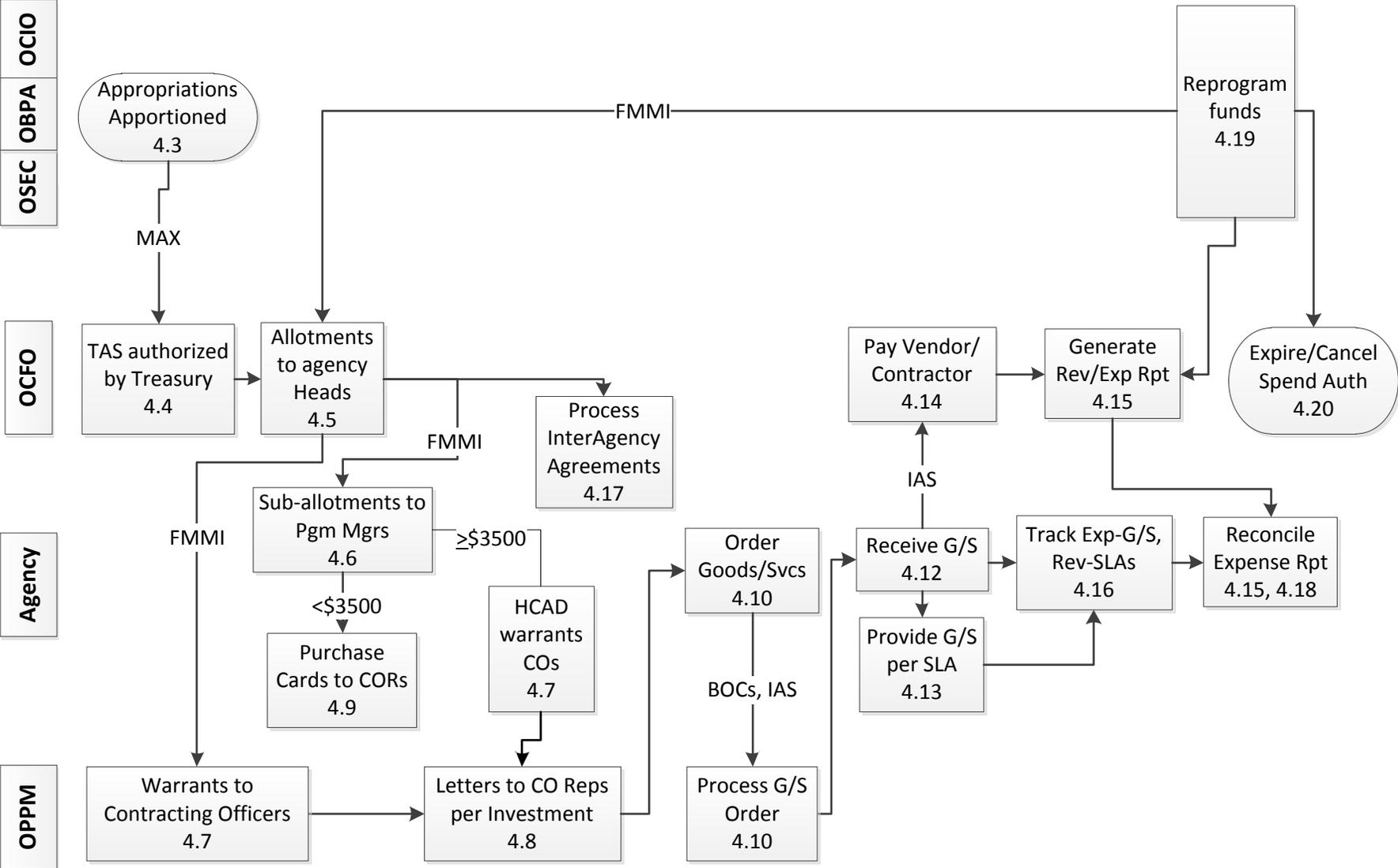
2.1 Budget Execution Process Steps

Index	Activity	Actor	Recipient	Result	Timing	Policy, Procedure, Notice
4.0	Phase 4: USDA Budget Execution					
4.1	Appropriate FY funds to Federal Agencies	Congress	OMB	Appropriation Act approved and signed for the next FY	by Oct 1	
4.2	Issue Treasury warrants	Congress	Treasury	Treasury Account Symbols (TAS) issued.	Oct 1	
4.3	Apportion FY funds to mission areas and staff offices	OMB	OSEC	OSEC receives funding authority.	Qtr	
4.4	Fund TAS sub-accounts	Treasury	OCFO	Appropriated and Capital Planning budgets financed	Qtr	MAX
4.5	Make Allotments Funds available	OCFO	Agency Heads	Agency Heads receive funds per budget agreements	Qtr	
4.6	Issue sub-allotments	Agency Heads	Pgm Unit Mgrs	Program Managers receive sub-allotments Allowances for Operating Budgets	Qtr	
4.7	Issue Treasury warrants to Contracting Officers	HCAD	Contracting Officer	CO receives letter of authority (warrant) to commit and obligate funds through purchase orders and the requisition system		DR 5039-007, Delegation of Procurement Authority for Information Technology
4.8	Appoint Contracting Officer Representatives 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	APC, LAPC	COR	COR has credit card to use for small value purchases		

4.10	Order Goods/Services for Program Area	Agency COR	IAS/FMMI, CO	Submit purchase requests (AD-700) through Integrated Acquisition System; 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	Pgm Unit Mgrs	Program Managers validate receipt of Goods/Services for their program areas	Quarterly	
4.13	Provide Goods/Services for Program Area	Pgm Unit Mgrs	OCFO	Accounts to accrue revenues created/renewed for new FY		
4.14	Pay vendors, contractors	IPP/Treasury	FMMI	IAS invoice approval triggers notification to pay (Accounts Payable)	Within 60d of receipt	
4.15	Reconcile revenue/expense report	COR, CO	FMMI	Ensure goods/services received are paid for, SLAs funds exchanged		FMS 7600A/B, Interagency Agreement
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, Pgm Unit Mgrs	OCFO, Pgm Unit Mgrs	Transfers of funds from providing to receiving agency		FMS 7600A/B
4.18	Reconcile status of funds	Pgm Unit Mgrs	OCFO	Proprietary/Budgetary ledger updates from journal entries		
4.19	Reprogram funds	OBPA, OSEC, CIO, OCFO L1, L2	OCFO L2	Updates per Government regulations	As needed	
4.20	Expire or Cancel spending authority			Close out funds according to schedule or as appropriate	End of FY	
Agency Heads = Agency Administrators and Staff Office Directors						

USDA BUDGET EXECUTION PROCESS, FY 2016

2.2 Budget Execution Process Flowchart



3. Management Area 3: The Acquisition Process

3.1 Acquisition Process Steps

Index	Activity	Actor	Recipient	Result	Timing	Policy, Procedure, Notice
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 Oct 1	Acquisition Approval Request Instructions - July 29 2015.pdf
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	Qtrly review	AgMax Administrator User Guide.pdf
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	Anti-Deficiency Act
5.4	Agency identifies IT acquisition need in AgMax Acquisition Approval Request 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	SMEs	SMEs from nine agencies (CPIGD, ASOC, EAS, EM, EGOV, ENS, IMD, CTS, NITC) are notified to review the request in AgMax.	On request	
5.4.2	SME-CPIGD evaluates acquisition request: compliant with Capital Planning and IT Governance regulations?	CPIGD, CIO G1 H1	AgMax database users, CXO E1, E2 H2	Decision to approve or reject acquisition request is sent to interested parties. Board meetings scheduled per Board charters.	5 days	Compliance Checklist for Capital Planning and IT Governance Regulations; E-Board, E-Gov, IRB charters

5.4.2.1	CPIGD conducts monthly IT Dashboard reviews	CPIGD, CIO, CXO H1, H2 J1	ITDB	IT Dashboard has IT Investments Portfolio performance updates	Monthly and Qtrly	CPIGD SOP CPIC Analyst Monthly and Quarterly Investment Reviews.pdf
5.4.2.2	CPIGD conducts PortfolioStat Reviews	CPIGD, CIO, CXO H1, H2 J1	OCIO leadership, IRB	Data from OMB MAX reconciled with data in AgMax for Investment Review Board	Qtrly	PortfolioStat Process - High Level.pdf
5.4.2.3	CPIGD conducts TechStat Reviews (evidence-based accountability for IT investments)	CPIGD, CIO, CXO H1, H2 J1	OCIO leadership, IRB	Findings on troubled IT program performance presented to E-Board and investment managers for corrective action	If 3 consecutive under-performing reports	TechStat Process (revised).pdf
5.4.3	SME-ASOC evaluates acquisition request: compliant with Cyber Security regulations (authority to operate)?	ASOC	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties.	5 days	Compliance Checklist for ASOC Cyber Security Regulations, CSAM-FISMA
5.4.4	SME- EM (EAS, EAD) evaluate acquisition request: compliant with Enterprise Architecture and Applications governance regulations (FEA, BRM, SDLC)?	EM/EAS, EAD	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties.	5 days	Compliance Checklist for Enterprise Architecture governance Regulations; OMB A-119, A-130; Cloud First Policy
5.4.5	SME-EGOV evaluates acquisition request: compliant with E-Government regulations?	eGov	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties.	5 days	Compliance Checklist for eGovernment Regulations
5.4.6	SME-ENS evaluates acquisition request: compliant with Enterprise Network Governance regulations?	ENS	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties.	5 days	Compliance Checklist for Enterprise Network Regulations
5.4.7	SME-IMD evaluates acquisition request: compliant with Integration Management Governance regulations?	IRM/IMD	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties.	5 days	Compliance Checklist for Integration Management and Section-508 Regulations

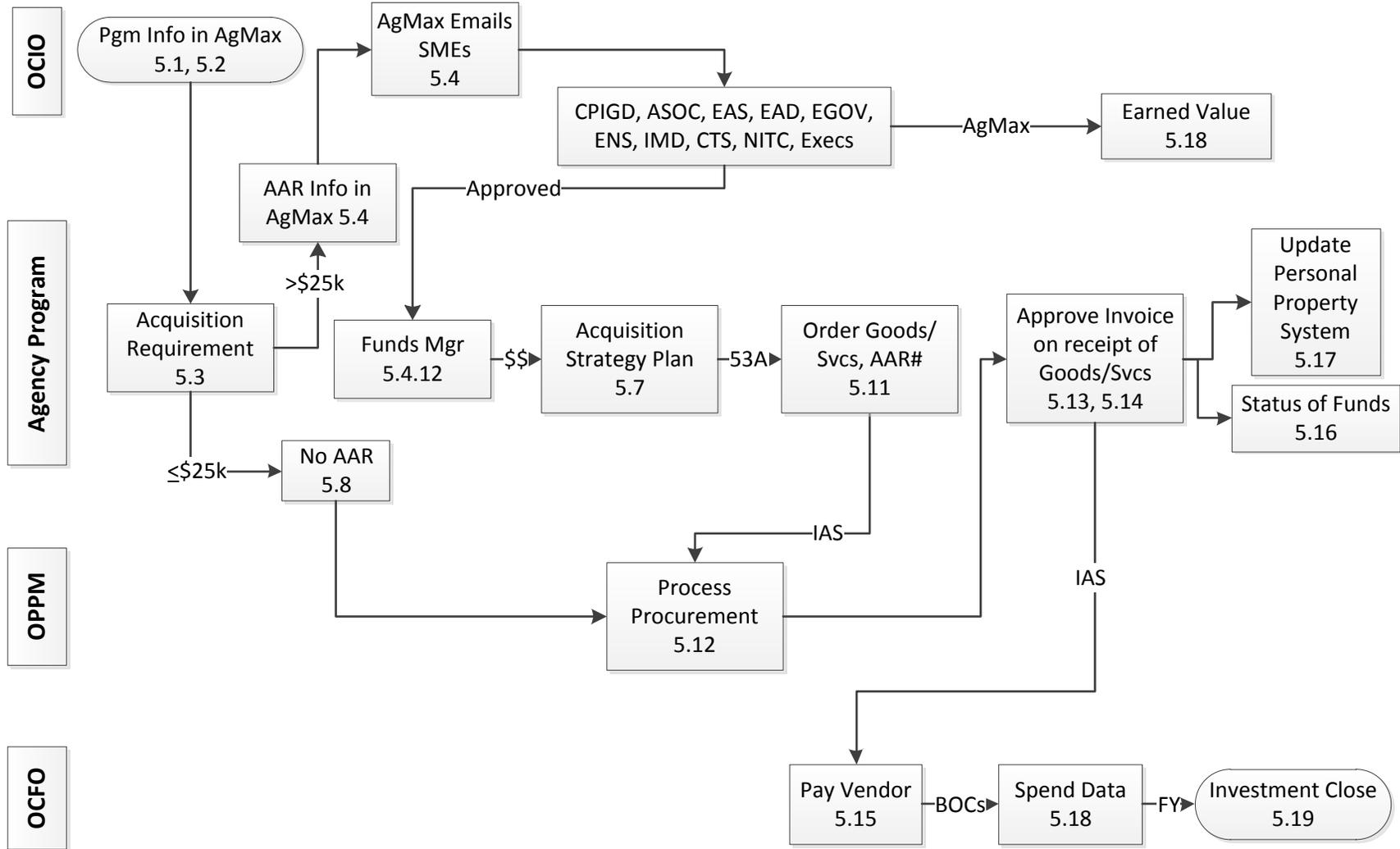
5.4.8	SME-CTS evaluates acquisition request: compliant with Client Technology Services' Common Computing Environment Governance regulations?	CTS	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties.	5 days	Compliance Checklist for Common Computing Environment Regulations
5.4.9	SME-NITC evaluates acquisition request: compliant with USDA's National Information Technology Center Federal Data Center Consolidation governance regulations?	NITC	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties.	5 days	Compliance Checklist for Federal Data Center Consolidation Regulations
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	ACIO, DCIO and CIO I1	AgMax database users	Decision to approve or reject acquisition request is sent to interested parties.	10d, or 2d if 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 biz day before PR award	
5.5	Agency identifies emergency IT acquisition need in AgMax Acquisition Approval Request 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 CPIGD, ASOC, IMD	SMEs from three agencies (CPIGD, ASOC, IMD) are notified to review the request in AgMax; follow-up anticipated.	Per emerg AAR, ASAP	CPIGD SOP, Section 508 directive, Cyber Sec regulations
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	CPIGD SOP

5.7	Create Acquisition Strategy Plan for investment	P/PM/COR, HCAD, CO, CIO I1, I2 K1, K2	CO	Program/Project Manager/Contracting Officer Representative, Head of Contracting Activity Designee, CO, CIO agree on how the procurements are to be made against the investment	>60d before goods/svcs needed	Procurement Advisory No. 53A
5.8	Agency identifies IT acquisition need where acquisition does not exceed \$25k	Program/Project Manager/COR, CO, Head of Contracting Activity Designee	CO	AAR number does not accompany Acquisition Strategy Plan	As needed	Procurement Advisory No. 53A
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 g/s	IAS documentation

5.15	Pay vendor	OCFO, FMMI, 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	APOGuide11202006.doc
5.18	Generate reports in response to OMB and GAO data calls	OCFO, OCIO, OPPM	OMB, GAO	Expenditures analyzed for accountability, earned value stats, cost savings opportunities.	On demand	OMB Memo 15-14, P.L. 113-291
5.19	Close-out of investment budget authority	OCFO	CPIGD, OPPM, AgMax	Investment funding balance = 0	FY or Multi-yr end	

USDA IT ACQUISITIONS PROCESS, FY 2016

3.2 Acquisition Process Flowchart



4. Management Area 4: Human Capital Management

4.1 Human Capital Management Process Steps

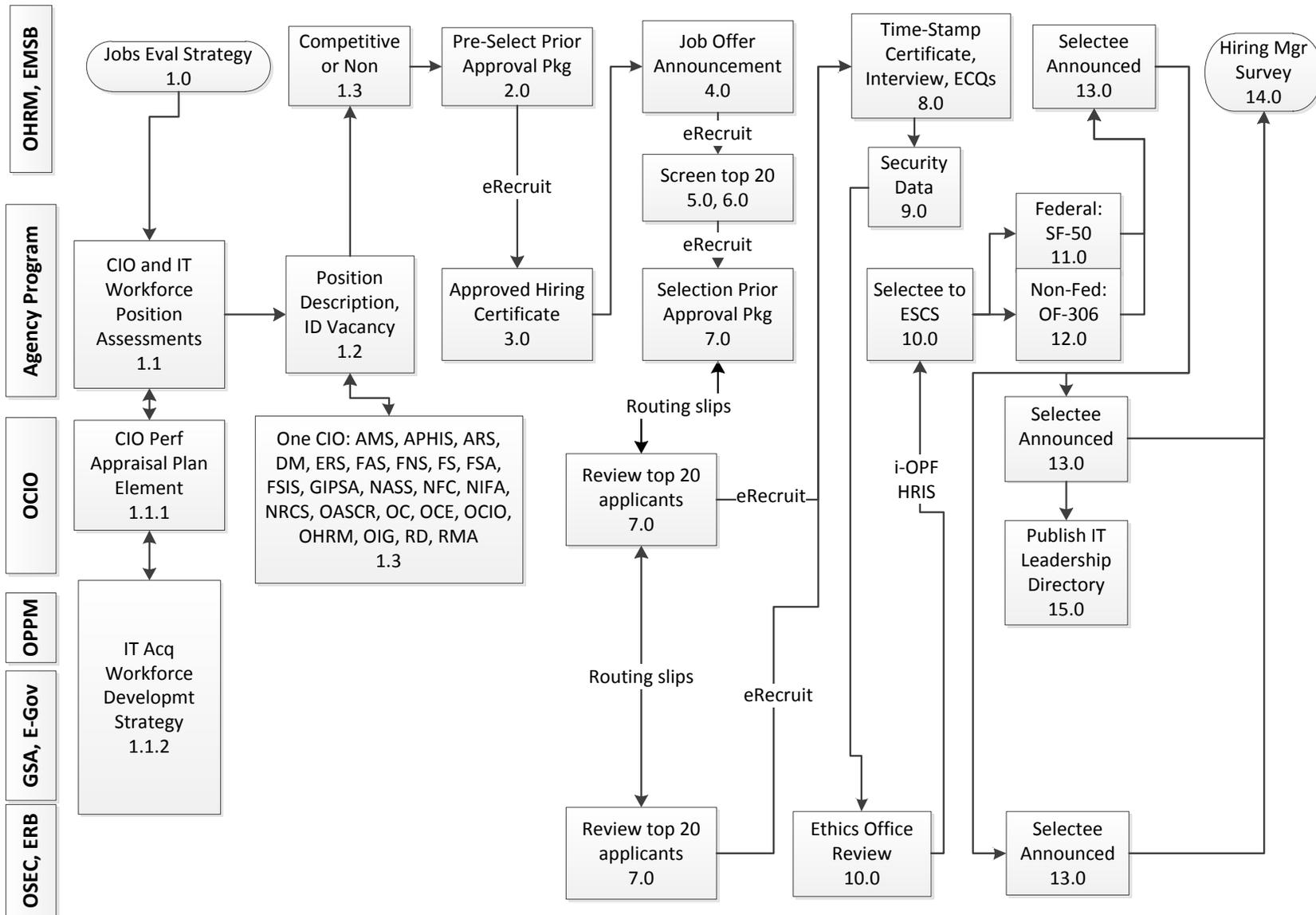
Index	Activity	Actor	Recipient	Result	Timing	Policy, Procedure, Notice
1	Develop job analysis & assessment strategy	OHRM (ERMD for SES), Recommending Official, OCIO	OHRM, Recommending Official, OCIO	Established: Tech/Exec Core qualifications (ECQ), min grade level, timeframe to complete PD updates, costs, assessment validity, evaluation factors for agency CIO and IT Procurement Specialist positions, interview structure, written tests, assessment centers, work samples, crediting plan/rating schedules/raters, sensitivity of position/sec clearance level. Vacancy announcement drafted for review.	Fall 2015	DEOH, USDA SES SL ST SSTS Classification Guide Draft April 2014
1.1	Reassess incumbent employee job descriptions to meet FITARA requirements (focus: component CIO and IT workforce).	Program Hiring Manager, CIO P1, P2	Program Manager	Position Descriptions reviewed for currency and accuracy of the duties and occupation (reconciled to FITARA changes for the position), eligibility verified, KSAs/competencies corroborated, critical factors for evaluations assigned.	Wtr 2016	P.L. 113-291 Sections 831 and 835
1.1.1	Add CIO performance element 5 to SES and GS Appraisal Plans for agency and staff office CIOs.	Rating Official (immediate supv of Sr Exec), CIO, Program Hiring Manager N1, N2	Agency/Staff Office CIO	Position Performance Plan and Appraisal Worksheet updated for agency/staff office CIOs to include CIO oversight element per FITARA.		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 (3).docx

1.1.2	Develop strategic plan to offer training to meet new IT Acquisition (including P/PM) Workforce development needs.	GSA Admin, E-Gov Admin, OCIO, OHRM, OPPM P1, P2	FITARA Office	Strategic plan created for development of an IT Acquisition cadre that includes Pgm/Project Mgrs with relevant (cross-functional, industry-govt) experience		P.L. 113-291 Section 835
1.2	Submit OF-8, Position Description; SF-52, Request for Personnel Action	Program Hiring Manager, CIO	Program Manager	Position description officially declared; incumbent position modified	Spg 2016	OF-8, Position Description; SF-52, Request for Personnel Action
1.3	If vacancy identified (vice action/new position), propose salary/incentives, recruitment strategy. The CIO must approve requests to add agency or staff office 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.	Recommending Official	OHRM	Competitive recruitment = traditional or resume-based; or noncompetitive (Detail, reassignment, transfer of current or previous SES, SESCO graduate appt, Intergovernmental Personnel Act agreement; complies with SES Pay Setting Policy)	As needed	5 U.S.C. Section 1104, Delegated Examining Operations Handbook (DEOH), Recruitment Appt & Perf Mgmt SOP 2015 (RAPM); CIO Council Bylaws_Aproved_14May2015.docx; USDA_OCIO_Charter20Aug2013
2	Submit Prior Approval [pre-select] Package	OHRM	eRecruit System	Pre-Select Package assembled and routed for review: Request for Recruitment Action, Vacancy Announcement, Position Description, ECQs, acknowledged USDA SES and Senior Career EMSB checklists, routing slips (to OSEC Exec Resources Board for CIO/equivalent, to CIO for bureau CIO/equivalent)		USDA Desk Guide for Executive Resources 2008; AD-3074, Request for Recruitment Action
3	If vacancy, notify Nominating Official/Admin/Dir of approval to recruit/appoint.	OHRM	Nominating Official/Admin/Dir	HR hiring Certificate created.		OHRM Policy

4	Publish Job Offer Announcement with expiration date.	OHRM/Recruitment Diversity, Mediation & Worklife Div	Public	Job applications received.		P.L. 113-291 Sections 831 and 835; RAPM
5	Schedule a Prescreening Panel if necessary	OHRM, Recommending Official	OHRM, Prescreening Panel	Scores of Best Qualified into eRecruit. Hiring official briefed on interviews protocol.		OHRM Policy; RAPM
6	Screen applications; reduce number of candidates to max of 20; request ECQ from Best Qualified for SES.	OHRM, Recommending Official	eRecruit System	Top 20 qualified applicants selected.		OHRM Policy; RAPM
7	Create prior approval Selection package	Program Hiring Manager	OHRM, CIO, OSEC ERB, EMSB M1 Q1	Selection Pkg: Routing slips for agency (internal), CIO (if bCIO), OSEC (if SES) review; AD-3075; EMSB checklist & certificate; resume-app, ECQ/Tech narratives; PD; payroll info; AD-1073, Relocation/Retention Incentive; rosters of best qualified +/- noncompetitive eligibles.		AD-3075, Executive Resources Personnel Action Selection Request
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.	OHRM, eRecruit System, EMSB, CIO M1	Applicants, eRecruit System	CIO involved in review and final selection of bureau CIOs; EMSB reviews SES. Scores of Best Qualified into eRecruit.	2 wks	
9	Submit security documents for tentative new hire.	OHRM (Exec Resource Specialist)	Personnel Security Staff	Clearance status updated.		
10	Selection made; PD to Office of Ethics.	Secretary (SES)	Recommending Official/Admin/Dir	Selectee's info into ESCS. Case to OPM's Qualification Review Board.		ESCS=
11	If selectee was Federal employee, obtain SF-50 personnel data	i-OPF or HRIS	Selectee package	Selectee's employment package		SF-127, Request for Official Personnel Folder
12	If no previous Federal experience, OF-306.	Program Hiring Manager	OHRM	Fitness for Federal Employment (OF-306) established.		OHRM Policy, OF-306

13	Notify recommending Official/AdminDir/CIO of selectee	OHRM	Program Hiring Manager	SF-52, AD-67		OHRM Policy
14	Complete Hiring Manager Survey	Program Hiring Manager	OHRM			OHRM Policy
15	Publish IT Leadership Directory	OCIO O1, O2	Public	Current IT Leadership Directory	Qtr	CIO Council SOP

4.2 Human Capital Management Process Flowchart



Appendix A. ABBREVIATIONS and TERMS

AAR	Acquisition Approval Request (system in AgMax)
ACIO	Associate Chief Information Officer (in OCIO)
AD- <i>nnn</i>	Agriculture Department –[form number]
Agency Head	Agency Administrator or Staff Office Director
AgMax	USDA Portfolio Management System
AMS	Agricultural Marketing Service
APHIS	Animal and Plant Health Inspection Service
APC	Agency Program Coordinator
ARS	Agricultural Research Service
ASA	Assistant Secretary for Administration
ASOC	Agriculture Security Operations Center
bCIO	Bureau CIO (agency CIO within USDA)
BRM	Business Reference Model
BY	Budget Year
CIO	Chief Information Officer
CO	Contracting Officer, may be outside of OPPM/POD
COR	Contracting Officer’s Representative
CPIC	Capital Planning and Investment Control
CPIGD	Capital Planning and IT Governance Division (in OCIO/IRM)
CTS	Client Technology Services
CXO	C-Suite, Chief [Acquisition Financial Human Capital Information] Officer
CY	Current Year
DCIO	Deputy Chief Information Officer (in OCIO)
DM	Departmental Management [or Departmental Manual]
DR	Departmental Regulation (USDA-Level Policy)
EAD	Enterprise Architecture Division
EAS	Enterprise Application Services
ECQ	Executive Core Qualifications
EGOV	Electronic Government

EM	Enterprise Management
EMSB	Employee Merit Staffing Board
ENS	Enterprise Network Services
ERB	Executive Resources Board
ERMD	Executive Resources Management Division
ERS	Economic Research Service
ESCS	
FAS	Foreign Agriculture Service
FEA	Federal Enterprise Architecture
FNS	Food and Nutrition Service
FS	Forest Service
FSA	Farm Services Agency
FSIS	Food Safety and Inspection Service
FY	Fiscal Year
GAO	Government Accountability Office
GIPSA	Grain Inspection, Packers and Stockyards Administration
GSA	General Services Administration
HCAD	Head of Contract Activity Designee
IMD	Information Management Division
IPP	Internet Payment Platform
IRB	Investment Review Board
IRM	Information Resource Management (in OCIO)
LAPC	Local Agency Program Coordinator
Mgr	Manager
NASS	National Agricultural Statistics Service
NFC	National Finance Center (in OCFO)
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
OCIO	Office of the Chief Information Officer
OF	Optional Form
OHRM	Office of Human Resources Management
OIG	Office of the Inspector General
OMB	Office of Management and Budget
OPPM	Office of Procurement and Property Management
OSEC	Office of the Secretary
POD	Procurement Operations Division (in OPPM)
PPD	Procurement Policy Division (in OPPM)
QRB	Qualification Review Board
RMA	Risk Management Agency
SDLC	Software Development Life Cycle
SES	Senior Executive Service
SF	Standard Form (GSA)
SME	Subject Matter Expert
SOP	Standard Operating Procedure
SPE	Senior Procurement Executive
TAS	Treasury Account Symbol

Appendix B. OMB Memo 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, AQ5.4.12AQ5.10
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, AQ5.4.2.3
	2	CXO	Participate with CIO on governance boards as appropriate	AQ5.4.2, AQ5.4.2.1, 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, AQ5.4.2.3
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	HC15
	2	CXO	Bureau IT Leadership Directory	HC15
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/COO).	HC7
*BF = Budget Formulation, BE = Budget Execution, AQ = Acquisition, HC = Human Capital				