

U.S. DEPARTMENT OF AGRICULTURE  
WASHINGTON, D.C. 20250

<b>DEPARTMENTAL REGULATION</b>	Number: DR 3130-009
SUBJECT: Non-Major Information Technology (IT) Investments	DATE: November 18, 2015
	OPI: Office of the Chief Information Officer - Information Resource Management

1. PURPOSE

This Departmental Regulation (DR) provides policy regarding the review and management of non-major information technology (IT) investments for the United States Department of Agriculture (USDA) in accordance with the Office of Management and Budget (OMB) [Circular A-11, Preparation, Submission, and Execution of the Budget](#), and the [USDA Information Technology Capital Planning and Investment Control Guide](#) (including [Appendix B – Non-major Investments Business Case](#)).

2. SPECIAL INSTRUCTIONS/CANCELLATIONS

Within 6 months of the date of publication, all USDA agencies and staff offices shall align their policies and procedures to comply with this DR.

3. BACKGROUND

As noted in OMB Circular A-11, Part 7 and Memorandum [M-11-29, Chief Information Officer Authorities](#), one key role of Agency Chief Information Officers (CIOs) is to manage and employ a true portfolio management approach for all IT. This enables CIOs to focus on delivering IT solutions that support the mission and business effectiveness of their agencies and overcome bureaucratic impediments to deliver efficient IT solutions. To that end, the USDA CIO shall drive investment reviews for IT investments and have responsibility over the entire USDA IT portfolio of major and non-major investments. This approach is in alignment with both the *Clinger-Cohen Act of 1996*, Title 40 ([40 U.S.C. 1401 et seq.](#)), and the Federal Information Technology Acquisition Reform Act ([FITARA](#)), P.L. 113-291, Title VIII, Subtitle D, Sections 831-837, enacted December 19, 2014. Provisions in this DR are also aligned with OMB's Memorandum [M-15-14, Management and Oversight of Federal Information Technology](#).

#### 4. SCOPE

- a. This DR applies to all USDA agencies and staff offices.
- b. This DR applies to all USDA non-major IT investments – those not defined as a major IT investment in [DR 3130-008](#), *Definition of Major Information Technology (IT) Investments* - throughout their entire lifecycle, regardless of funding source, whether owned and operated by USDA, or operated on behalf of the USDA.
- c. Non-major IT investments are governed at the agency and staff office level as provided for in [DR 3100-002](#), *Agency Information Resources Management Review Board*.

#### 5. POLICY

- a. As noted in the [USDA Information Technology Capital Planning and Investment Control Guide](#) (CPIC Guide), agencies and staff offices shall document, manage, and report all non-major IT investments to ensure all USDA IT investments are reviewed quarterly by the USDA Office of the CIO (OCIO) and reported to OMB as part of the annual USDA IT budget submission.
- b. All non-major IT investments in the operations and maintenance phase as referenced in the CPIC Guide will be reported and updated on a quarterly basis by submitting information identified in the Major IT Business Case sections in OMB Circular A-11.
- c. All non-major Development, Modernization, and Enhancement (DME) or mixed lifecycle IT investments will be updated and reported on a quarterly basis by submitting the information as required in the Major IT Business Case and Major IT Business Case Detail sections as provided for in OMB Circular A-11.
- d. The IT budget guidance for major IT investments that is updated annually through OMB's Circular A-11 is also followed to complete the business cases for the non-major IT investments.

#### 6. ROLES AND RESPONSIBILITIES

- a. The USDA CIO shall:
  - (1) Oversee the USDA IT Portfolio of major and non-major investments;
  - (2) Establish, implement, and maintain an effective USDA CPIC program;
  - (3) Improve the way that the USDA plans, selects, funds, controls, and evaluates major and non-major investments in the IT Portfolio;

- (4) Establish and conduct an annual review of the USDA IT investment portfolio of major and non-major IT investments that facilitates critical IT decision-making, maximizes the return on investment, reduces redundancy and duplication, identifies opportunities for commodity IT consolidation, tracks USDA's implementation of the Cloud First policy, and ensures strategic alignment with the USDA's mission and business functions as well as OMB guidelines and requirements; and
  - (5) Review, approve, and submit the USDA IT investment portfolio pursuant to OMB Circular A-11 and FITARA provisions.
- b. The USDA's Chief Financial Officer (CFO), Chief Acquisition Officer (CAO), and Budget Officer shall:
- (1) Collaborate with the USDA CIO in reviewing agency and staff office IT funding requests for non-major IT investments; and
  - (2) Participate in pre-budget submission and IT portfolio reviews for non-major IT investments.
- c. The Associate Chief Information Officer (ACIO), Information Resource Management (IRM) shall:
- (1) Ensure that agencies and staff offices are provided training opportunities and assistance in capturing the non-major IT investment data needed for discussion in the IT portfolio reviews;
  - (2) Support the capture of non-major IT investment data that will be presented in the USDA response to OMB Circular A-11; and
  - (3) Ensure ACIO IRM staff is available to assist agencies and staff offices in preparing non-major IT investment business cases.
- d. The Director, IRM Capital Planning and IT Governance Division (CPIGD) shall:
- (1) Support and maintain an effective USDA CPIC program;
  - (2) Implement and assist in conducting IT portfolio reviews with agencies and staff offices;
  - (3) Provide training and assistance to agencies and staff offices in capturing the non-major IT investment data needed for presentation and discussion at IT portfolio reviews;

- (4) Support tools used to capture non-major IT investment data that will be presented in the USDA response to OMB Circular A-11; and
  - (5) Assist and provide guidance to agencies and staff offices in the preparation of non-major IT investment business cases.
- e. USDA Agency and Staff Office CIOs shall:
- (1) Submit data on non-major IT investments through the CPIGD-supported tools;
  - (2) Prepare and submit to the Director, CPIGD, their non-major IT business cases and the supplemental budget document required as part of the USDA IT budget request process via CPIGD-supported tools;
  - (3) Approve IT budget planning and formulation requests for non-major IT investments in collaboration with their agency or staff office CFO or Budget Officer; and
  - (4) Participate in the USDA IT portfolio reviews.

## 7. ACRONYMS AND ABBREVIATIONS

ACIO	Associate Chief Information Officer
CAO	Chief Acquisition Officer
CFO	Chief Financial Officer
CIO	Chief Information Officer
CPIC	Capital Planning and Investment Control
CPIGD	Capital Planning and IT Governance Division
DME	Development, Modernization, and Enhancement
DR	Departmental Regulation
FITARA	Federal Information Technology Acquisition Reform Act
IRM	Information Resource Management
IT	Information Technology
OCIO	Office of the Chief Information Officer
OMB	Office of Management and Budget
U.S.C.	United States Code
USDA	United States Department of Agriculture

## 8. REFERENCES AND AUTHORITIES

The *Clinger Cohen Act of 1996*, Title 40 ([40 U.S.C. 1401 et seq.](#))

The Federal Information Technology Acquisition Reform Act ([FITARA](#)), P.L. 113-291, Title VIII, Subtitle D, Sections 831-837, December 19, 2014

[DR 3100-002](#), *Agency Information Resources Management Review Board*, December 13, 1983

[DR 3130-008](#), *Definition of Major Information Technology (IT) Investments*, February 27, 2015

OMB, [Circular A-11](#), *Preparation, Submission, and Execution of the Budget*, current year<sup>7</sup>

OMB, Memorandum [M-11-29](#), *Chief Information Officer Authorities*, August 8, 2011

OMB, Memorandum [M-15-14](#), *Management and Oversight of Federal Information Technology*, June 10, 2015

USDA, [USDA Information Technology Capital Planning and Investment Control Guide](#), (including [Appendix B – Non-major Investments Business Case](#)), May 1, 2013

## 9. INQUIRIES

Direct all questions to the USDA OCIO, ACIO IRM, and Director, CPIGD at [CapitalPlanningDivision@ocio.usda.gov](mailto:CapitalPlanningDivision@ocio.usda.gov).

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