

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: September 28, 2020
OPI: Office of the Chief Information Officer-Information Resource Management Center	EXPIRATION DATE: September 28, 2025

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1. PURPOSE

- a. 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).
- b. This DR is in accordance with Office of Management and Budget (OMB) Circular A-11, *Preparation, Submission, and Execution of the Budget*.

2. SPECIAL INSTRUCTIONS/CANCELLATION

- a. This policy supersedes the previous version of DR 3130-009, *Non-Major Information Technology (IT) Investments*, dated November 18, 2015.
- b. Within six months of the date of publication, all USDA Mission Areas, agencies, and staff offices will align their policies and procedures to comply with this DR.

### 3. SCOPE

- a. This DR applies to all USDA Mission Areas, agencies, and staff offices.
- b. This DR also applies to all USDA non-major IT investments, which are IT investments not defined as a major IT investments 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 Mission Area, agency, or staff office level which should have an Information Resources Management or Governance Review Board and process that aligns with the USDA's Enterprise Information Technology Governance Policy as provided in [DR 3130-010](#), *United States Department of Agriculture Enterprise Information Technology Governance*.

### 4. BACKGROUND

- a. As noted in [OMB Circular A-11](#), 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. Proper portfolio management enables CIOs to focus on:

- (1) Delivering IT solutions that support the mission and business effectiveness of their agencies; and
- (2) Overcoming bureaucratic impediments to deliver efficient IT solutions.

To that end, the USDA Chief Information Officer (CIO) will drive investment reviews for IT investments and have responsibility for the entire USDA IT portfolio of major and non-major investments.

- b. This approach to portfolio management is in alignment with:
  - (1) *Clinger-Cohen Act of 1996: Information Technology Management*, [Title 40 U.S.C. §11101 et seq.](#); and
  - (2) *Federal Information Technology Acquisition Reform Act (FITARA)*, Pub. Law No. 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*.

## 5. POLICY

- a. As noted in the [\*USDA Information Technology Capital Planning and Investment Control \(AgITCPIC\) Guide\*](#), Mission Areas, agencies and staff offices will document, manage, and report all non-major IT investments. Portfolio Management for non-major IT investment will help ensure all USDA IT investments are reviewed on a recurring basis by the USDA Office of the Chief Information Officer (OCIO) and reported to OMB as part of the annual USDA IT budget submission.
- b. Mission Areas, agencies and staff offices are required to update and report on all non-major Development, Modernization, and Enhancement (DME), Operations and Maintenance (O&M), or mixed lifecycle IT investments on a bi-annual basis by submitting the information as required in the Major IT Business Case and Major IT Business Case Detail as provided for in OMB Circular A-11.
- c. OMB Circular A-11's IT budget guidance for major IT investments should also be followed for non-major IT investments to ensure the appropriate level of completion of all business cases.

## 6. ROLES AND RESPONSIBILITIES

- a. The USDA Chief Information Officer (CIO) will:
  - (1) Oversee the USDA IT Portfolio of major and non-major investments;
  - (2) Establish, implement, and maintain an effective USDA Capital Planning Investment Control (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 [\*Federal Cloud Computing Strategy\*](#), 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 according to OMB Circular A-11 and FITARA provisions.
- b. The USDA's Chief Financial Officer (CFO), the Assistant Secretary for Administration serving as the Chief Acquisition Officer (CAO), and the Director, Office of Budget and Program Analysis (OBPA) serving as the Budget Officer will:

- (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 Center (IRMC) will:
- (1) Ensure that Mission Areas, 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 as part of USDA's preparation, submission, and execution of the IT budget; and
  - (3) Ensure ACIO IRMC staff is available to assist Mission Areas, agencies and staff offices in preparing non-major IT investment business cases.
- d. The Director, IRMC Capital Planning and IT Governance Division (CPITGD) will:
- (1) Support and maintain an effective USDA CPIC program;
  - (2) Implement and assist in conducting IT portfolio reviews with Mission Areas, agencies and staff offices;
  - (3) Provide training and assistance to Mission Areas, agencies and staff offices in capturing the non-major IT investment data needed for presentation and discussion at IT portfolio reviews;
  - (4) Support the capture of non-major IT investment data that will be presented as part of USDA's preparation, submission, and execution of the IT budget; and
  - (5) Assist and guide Mission Areas, agencies and staff offices in the preparation of non-major IT investment business cases.
- e. USDA Mission Area Assistant CIOs and Agency and Staff Office IT Directors will:
- (1) Submit data on non-major IT investments through the CPITGD-supported tools;
  - (2) Prepare and submit to the Director, IRMC CPITGD, their non-major IT business cases and the supplemental budget document required as part of the USDA IT budget request process via CPITGD-supported tools;

(3) Approve IT budget planning and formulation requests for non-major IT investments in collaboration with their Mission Area agency or staff office CFO or Budget Officer; and

(4) Participate in the USDA IT portfolio reviews.

## 7. INQUIRIES

Questions and comments about the requirements of this regulation should be directed to OCIO IRMC at [Capitalplanningdivision@usda.gov](mailto:Capitalplanningdivision@usda.gov).

-END-

## APPENDIX A

### ACRONYMS AND ABBREVIATIONS

ACIO	Associate Chief Information Officer
AgITCPIC	USDA Information Technology Capital Planning and Investment Control (AgITCPIC) Guide
ASA	Assistant Secretary for Administration
CAO	Chief Acquisition Officer
CFO	Chief Financial Officer
CIO	Chief Information Officer
CPIC	Capital Planning and Investment Control
CPITGD	Capital Planning and IT Governance Division
DME	Development, Modernization, and Enhancement
DR	Departmental Regulation
FITARA	Federal Information Technology Acquisition Reform Act
IRMC	Information Resource Management Center
OBPA	Office of Budget and Program Analysis
IT	Information Technology
OCIO	Office of the Chief Information Officer
O&M	Operations and Maintenance
OMB	Office of Management and Budget
P.L.	Public Law
U.S.C.	United States Code
USDA	United States Department of Agriculture

## APPENDIX B

### AUTHORITIES AND REFERENCES

*Clinger-Cohen Act of 1996: Information Technology Management*, [Title 40 U.S.C. §11101 et seq.](#), February 10, 1996

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

Departmental Regulation, [DR 3130-008](#), *Definition of Major Information Technology (IT) Investments*, August 13, 2020

Departmental Regulation, [DR 3130-013](#), *Information Technology Capital Planning and Investment Control*, July 8, 2016

Departmental Regulation, [DR 3130-010](#), *United States Department of Agriculture Enterprise Information Technology Governance*, December 3, 2015

Office of Management and Budget, [Circular A-11](#), *Preparation, Submission, and Execution of the Budget*, current year

Office of Management and Budget, Memorandum [M-11-29](#), *Chief Information Officer Authorities*, August 8, 2011

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

Office of Management and Budget, [Federal Cloud Computing Strategy](#), 2019

United States Department of Agriculture (USDA), [USDA Information Technology Capital Planning and Investment Control \(AgITCPIC\) Guide](#), March 1, 2019