1. PURPOSE


2. SCOPE

This DR applies to all USDA Mission Areas, agencies, staff offices, employees, appointees, contractors, and others who work for, or on behalf of, USDA and are responsible for the development, implementation, and oversight of information technology (IT) and/or EA.
3. SPECIAL INSTRUCTIONS/CANCELLATIONS

a. This DR supersedes DR3185-001, Enterprise Architecture, dated June 28, 2016.

b. This policy is effective immediately and remains in effect until superseded or expiration.

c. All Mission Areas, agencies, and staff offices will align their policies and procedures with this DR within 6 months of the publication date.

d. The term “agency” or phrase “agency and staff office,” unless otherwise noted in this directive, will be considered to encompass the Mission Areas, agencies, and staff offices of USDA.

e. EA procedures will be provided in the forthcoming companion Departmental Manual (DM) 3185-001, Enterprise Architecture Procedures.

4. BACKGROUND

FITARA requires chief information officers (CIO) to have a significant role in IT decisions, including annual and multi-year planning, programming, budgeting, execution, reporting, management, governance, and oversight functions.

5. POLICY

USDA’s EA is an asset that captures and contextualizes information and data regarding the Department’s and its Mission Area, agency, and staff office business operations, capabilities, and supporting technologies. EA supports and provides information for USDA’s IT investment and management processes and seeks to reduce unnecessary duplication of both material expenditures and efforts.

a. Mission Area, agency, and staff office Enterprise Architects must comply with legislative mandates, Federal initiatives, and oversight requirements, which includes the Federal Enterprise Architecture Framework Version 2 (FEAF v2) taxonomy and the Technology Business Management Council, Technology Business Management (TBM) Taxonomy.

b. USDA’s Mission Area, agency, and staff office Enterprise Architects will:

(1) Align with and support the business and operational needs, requirements, and priorities expressed through the USDA Strategic Plan FY2018-2022 and the USDA Information Technology Strategic Plan FY2018-2022 (forthcoming);
(2) Conform to the *Baseline Standards Profile* as approved by the Enterprise Architecture Committee (EAC). Usage of unapproved standards may occur if the responsible Mission Area, agency, or staff office has received an exception via the USDA Office of the Chief Information Officer (OCIO) Acquisition Approval Request (AAR) process;

(3) Incorporate security controls for all systems and applications to ensure the authorization, integrity, completeness, and accuracy of transactions;

(4) Be designed and implemented in the context of the USDA EA and carried out to create a more responsive and cost-effective Government;

(5) Install a robust configuration management process that must be in place for systems, applications, and data; and

(6) Ensure data is an asset that has value to the enterprise and is managed accordingly.

6. ROLES AND RESPONSIBILITIES

a. The USDA CIO will:

   (1) Appoint a Chief Enterprise Architect (CEA) for USDA;

   (2) Provide sufficient support to ensure the USDA’s EA is effectively and efficiently governed;

   (3) Ensure that the EA program complies with applicable laws, OMB policies and memorandum, USDA policies and procedures, and has an effective governance process; and

   (4) Ensure that EA practices, principles, and information are incorporated into IT governance, portfolio management, capital planning, investment management, and other processes related to the planning, acquisition, maintenance, end of life and disposition of IT.

b. The Information Resource Management Center (IRMC) Associate Chief Information Officer (ACIO) will:

   (1) Address USDA’s information and IT requirements as collaborative and integrated processes, and work in concert with the USDA EAC;

   (2) Implement, manage, monitor, maintain, and report on USDA’s infrastructure and office automation technology base (i.e., its shared services environment); and
(3) Ensure tight integration of USDA’s EA, Capital Planning and Investment Control (CPIC), program management (PM), and IT waiver processes.

c. USDA OCIO CEA will:

(1) Disseminate and make available the contents of the USDA’s EA program;

(2) Serve as the EA ESC Chair and direct and oversee all meetings;

(3) Serve as the Chair, oversee and establish EAC Integrated Project Teams (IPT) to address specific processes, work, or issues;

(4) Provide day-to-day management and stewardship of USDA’s Enterprise Architecture Division (EAD);

(5) Conduct periodic reviews of Mission Area, agency, and staff office EA activities;

(6) Coordinate USDA’s EA-specific responses to internal and external oversight organizations (Government Accountability Office (GAO), General Services Administration (GSA), OMB, National Institute of Standards and Technology (NIST), and other organizations or agencies);

(7) Oversee an EA Repository (EAR) that supports enterprise IT decision making and reporting activities;

(8) Align USDA Classifications/Standards with OMB EA Standards for compliance. This can be integrated with the USDA EAR; and

(9) Ensure creation and dissemination of a detailed operating procedures, policies, and other core EA artifacts that define the operation of the EAD.

a. The USDA Enterprise Architecture Executive Steering Committee (EA ESC) will:

(1) Be chaired by the USDA CEA,;

(2) Be comprised of three to five voting members from the USDA CIO Council;

(3) Provide overall strategic direction and guidance for USDA’s EA;

(4) Serve as the Department’s senior governing body for EA and is primarily responsible for facilitating the development and prioritization of EA strategies;

(5) Serve as an adjudicating authority for the resolution of any issues that arise from or are identified by the EAC;
b. The USDA EAC will:

1. Be chaired by the USDA CEA;
2. Be comprised of one voting member from each agency and staff office;
3. Collaborate with Mission Areas, agencies, and staff offices in the creation, maintenance, and updating of EA-related standards, guidelines, directives, policies and procedures within USDA;
4. Establish EA value and performance measures;
5. Assess compliance with, completeness of, and benefits derived directly and indirectly from the use of the USDA EA; and
6. Develop and maintain EA reference models, and make recommendations to the EA ESC and the USDA’s CIO Council for improvements to USDA’s EA domains.

c. Mission Area Assistant CIOs will:

1. Ensure collaboration and coordination of EA functions across agency and Mission Area leadership, Enterprise Architects, and the USDA CEA;
2. Appoint and oversee data content stewards to ensure the accuracy and timeliness of data content in the USDA;
3. Align each IT project with USDA’s EA vision, principles, and standards; is consistent with agreements reached through collaborative decision-making processes; and is represented in the EAR; and
4. Develop internal policies, procedures, and controls to support the EA function.

d. Agency and Staff Office IT Directors and Program Managers will:

1. Incorporate EA policies, requirements, and standards into agency and staff office IT governance and CPIC processes;
2. Implement and maintain business, performance, application, data, infrastructure, and security configuration settings and controls;
(3) Ensure Enterprise Architects and decision makers share a consistent understanding of the unique requirements for each EA subject area; and

(4) Stay current on trends, developments, and innovations pertaining to EA-related tools, methods, and frameworks in the public and private sectors.

7. INQUIRIES

All inquiries regarding this DR will be directed to the USDA OCIO IRMC EAD at enterprise.architecture@ocio.usda.gov.

-END-
APPENDIX A

ACRONYMS AND ABBREVIATIONS

AAR  Acquisition Approval Request
ACIO  Associate Chief Information Officer
CEA  Chief Enterprise Architect
CIO  Chief Information Officer
CPIC  Capital Planning and Investment Control
DR  Departmental Regulation
DM  Departmental Manual
EA  Enterprise Architecture
EAC  Enterprise Architecture Committee
EAD  Enterprise Architecture Division
EAR  Enterprise Architecture Repository
ESC  Executive Steering Committee
FEAF  Federal Enterprise Architecture Framework
FISMA  Federal Information Security Modernization Act
FITARA  Federal Information Technology Acquisition Reform Act
GAO  Government Accountability Office
GPEA  Government Paperwork Elimination Act
GSA  General Services Administration
IPT  Integrated Project Team
IRMC  Information Resource Management Center
IT  Information Technology
NIST  National Institute of Standards and Technology
OCIO  Office of the Chief Information Officer
OMB  Office of Management and Budget
P.L.  Public Law
PM  Program Management
TBM  Technology Business Management
TOR  Terms of Reference
USDA  United States Department of Agriculture
Enterprise Architecture (EA). A strategic information asset base which defines the mission, the information necessary to perform the mission, the technologies necessary to perform the mission, and the transitional processes for implementing new technologies in response to changing mission needs. The EA includes baseline architecture, target architecture, and a sequencing plan. It is a framework for streamlining business processes, information flows, applications, and infrastructure to support Agency and interagency goals. (Source: OMB, Circular A-130, Managing Information as a Strategic Resource)

An EA is the explicit description and documentation of the current and desired relationships among business and management processes and IT. It describes the “current architecture” and “target architecture” to include the rules and standards and systems life cycle information to optimize and maintain the environment which the agency or staff office wishes to create and maintain by managing its IT portfolio. The EA must also provide a strategy that will enable the Mission Areas, agency, or staff office to support its current state, and act as the roadmap for transition to its target environment. These transition processes will include a Mission Area, agency, or staff office, CPIC process, Mission Area, agency, and staff office EA planning process, and Mission Area, agency, and staff office systems life cycle methodologies. The EA will define principles and goals and set direction on such issues as the promotion of interoperability, open systems, public access, and compliance with the Government Paperwork Elimination Act (GPEA), 44 U.S.C. § 3504, end user satisfaction, and IT security. The Mission Area, agency, or staff office must support the EA with a complete inventory of Mission Area, agency, and staff office information resources, including personnel, equipment, and funds devoted to information resources management and IT, at an appropriate level of detail. (Source: OMB, Circular A-130)

Federal Enterprise Architecture. A business-based framework for Governmentwide improvement developed by the OMB to facilitate efforts to transform the Federal Government to one that is citizen-centered, results-oriented, and market-based. The Federal EA is constructed through a collection of interrelated “reference models” designed to facilitate cross-agency analysis and the identification of duplicative investments, gaps, and opportunities for collaboration within and across Federal Agencies. These models are defined as: Performance Reference Model, Business Reference Model, Application Reference Model, Infrastructure Reference Model, Data Reference Model, and Security Reference Model. (Source: OMB, Common Approach)
APPENDIX C

AUTHORITIES AND REFERENCES


*Federal Information Technology Acquisition Reform Act* (FITARA), Public Law (P.L.) 113-291, Title VIII, Subtitle D, §§ 831-837, December 14, 2014


Technology Business Management Council, *Technology Business Management (TBM) Taxonomy*, March 1, 2018

USDA, *Baseline Standards Profile*


USDA, DR 3105-001, *USDA Chief Information Officers Council*, April 6, 2016


USDA, DR 3130-010, *United States Department of Agriculture Enterprise Information Technology Governance*, December 3, 2015

USDA, DR 3130-013, Information Technology Capital Planning and Investment Control, July 8, 2016

USDA, DR 3180-001, Information Technology Standards, May 12, 2015

USDA, Enterprise Architecture Committee Charter, Version 1.02, May 5, 2016

USDA, Executive Steering Committee (ESC) Terms of Reference (TOR), June 2017

USDA, USDA Information Technology Strategic Plan FY2018-2022 (forthcoming)

USDA, USDA Strategic Plan FY2018-2022