

PART 2006 - MANAGEMENT

Subpart FF - Management Oversight of the Information Resources
Management (IRM) Program

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Part 2006 - MANAGEMENT

Subpart FF - Management Oversight of the Information Resources
Management (IRM) Program

§ 2006.1551 Purpose.

This Instruction assigns responsibilities for management oversight of Rural Development Information Resources Management (IRM) programs, designates members of the Business Systems Council (BSC) and assigns their responsibilities and functions.

§ 2006.1552 Definitions.

(a) Capital Planning and Investment Control (CPIC) Process. A management process for ongoing identification, selection, control, and evaluation of investments in information resources. The process links budget formulation and execution, and is focused on agency missions and achieving specific program outcomes.

(b) Information Resources (IR). All resources related to the management of information, including personnel, facilities, equipment, funds, and information technology.

(c) Information Resources Management (IRM). The process of managing information resources to accomplish agency mission. The term encompasses both information itself and the related resources, such as personnel, equipment, funds, and information technology.

(d) Information Resources Management (IRM) Activity. A task that an organization is accomplishing or plans to accomplish that is related to the IRM Program. IRM activities include, but are not limited to, information system life system, strategic IRM planning, data administration, reports, records, forms management, information collection and dissemination, and the application and use of information technology.

(e) Information Management (IM). The planning, budgeting, manipulating, and controlling of information throughout its life cycle.

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(f) Information System (IS). A discrete set of information resources organized for the collection, processing, maintenance, transmission, and dissemination of information, in accordance with defined procedures, whether automated or manual.

(g) Information System Life Cycle (ISLC). The phases through which an information system passes, typically characterized as initiation, development, operation, and termination.

(h) Information Technology (IT). Any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by an agency.

(i) Major Information System (MIS). An information system that requires special management attention because of its importance to an agency mission; its high development, operating, or maintenance costs; or its significant role in the administration of agency programs, finances, property, or other resources.

§ 2006.1553 Authority.

- (a) Clinger-Cohen Act of 1996, Public Law 104-106.
- (b) Federal Acquisition Reform Act (FARA).
- (c) Government Paperwork Elimination Act (GPEA), Public Law 105-277.
- (d) OMB Circular A-130, Management of Federal Information Resources.
- (e) Paperwork Reduction Act (PRA) of 1980, as amended by the Paperwork Reduction Act of 1995.
- (f) Privacy Act of 1974, 5 U.S.C. 552a.
- (g) E-Government Act of 2002.
- (h) Federal Acquisition Streamlining Act (FASA).
- (i) Freedom to E-File, Public Law 106-222.

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- (j) Departmental Long-Range IRM Planning, Departmental Regulation (DR) 3111-001.
- (k) The Computer Security Act of 1987, Public Law 100-235.
- (l) M99-20: Security of Federal Automated Information Resources.
- (m) Departmental Management ADP Security Manual, Departmental Manual 3140-001.
- (n) Departmental Information Systems Security Policy, Departmental Regulation 3140-001.
- (o) Critical Infrastructure Protection, Presidential Decision Directive 63.
- (p) Departmental Telecommunications and Internet Services and Use, Departmental Regulation 3300-001.
- (q) Departmental Internet Security Policy, Departmental Regulation 3140-002.
- (r) Rehabilitation Act Amendments of 1992, Public Law 102-569.
- (s) Workforce Investment Act: Section 508 Electronic and Information Technology.
- (t) Departmental Acquisition of IRM Resources, Departmental Regulation 3130-001.
- (u) Departmental IRM Review Program, Departmental Regulation 3150-002.
- (v) OMB Circular A-11, Preparation, Submission and Execution of the Budget.
- (w) Departmental Information Technology Capital Planning and Investment Control Guide.
- (x) Departmental Information and Technology Transformation, Departmental Regulations 3600-000.

§ 2006.1554 Statement of Policy.

It is the policy of Rural Development to provide senior management oversight and direction of the IRM Program to ensure that automation initiatives support strategic business goals, objectives, and priorities that are consistent with IRM plans, standards, and guidelines; and that feasible alternatives are considered and follow sound life cycle management practices.

§ 2006.1555 Applicability.

This policy applies to all Rural Development organizational elements.

§ 2006.1556 - 2006.1567 [Reserved]

§ 2006.1568 Responsibilities.

(a) Business Systems Council (BSC) The BSC provides senior management oversight, guidance, review and ranking of Development/Modernization/Enhancement (DME) projects, Maintenance projects, and direction to the mission area IRM Program. The BSC evaluates and makes recommendations to the Under Secretary for Rural Development, regarding the approval and funding of automation initiatives. The BSC Charter is listed as Exhibit A.

(1) The BSC will recommend and the Under Secretary for Rural Development will approve the following:

(i) Major Rural Development IRM plans, such as Information Strategy plans, Strategic IRM plans, Information System Security plans, CPIC Plan, and Data Administration plans;

(ii) Funding levels for the Information Technology Budget;

(iii) IRM policies and procedures;

(iv) Major Rural Development Programs and Information System enhancements or replacements; and

(v) Designated standard ISs under development or in operation at each life cycle management milestone ensuring that sound life cycle management principles and practices are being followed. The review will determine whether the IS should proceed to the next life cycle management phase.

§ 2006.1568(a) (Con.)

(2) The BSC will:

(i) Recommend to the Under Secretary for Rural Development, the allocation of information resources consistent with the Agencies' strategic business goals and objectives, and the eGovernment initiatives;

(ii) Resolve conflicts among automation initiatives competing for existing information resources;

(iii) Establish, terminate when necessary, and provide guidance to Change Control Boards (CCBs) or equivalent committees in prioritizing Requests for Automation (RFAs) and in developing annual workplans; and

(iv) Keep Senior management members of represented agencies fully informed on all BSC activities. This responsibility relies fully and solely on the BSC member agency designee. The BSC, as a body, is not responsible for communicating written nor oral information presented in BSC meetings to Agencies.

(b) Composition of the BSC. The BSC will be comprised of one Deputy or Associate Administrator from each agency ((Rural Business-Cooperative Service (RBS), Rural Housing Service (RHS), Rural Utilities Service (RUS)), Deputy Administrator for Operations and Management, one representative from the Under Secretary for Rural Development, and two State Directors appointed by the Under Secretary of Rural Development. The Council will be chaired by the Chief Information Officer. These managers will have voting rights.

(1) The Rural Development Assistant Administrator for Procurement and Administrative Services and Chief Financial Officer will serve as non-voting members.

(2) The BSC may invite representatives from other agencies to attend meetings when common systems and issues are on the agenda.

(c) Change Control Board (CCB) or Equivalent. The CCB or equivalent committee will set priority sequences for RFA implementation for the ISS under the CCB's authority.

(1) A CCB or equivalent committee is established by the BSC for each designated IS or group of related ISs. Voting CCB membership will be established by the BSC at the creation of the CCB, and adjusted later if necessary, in proportion with the IS's size and complexity. Upon the establishment of the CCB or equivalent committee, the BSC will also determine the lead sponsor, Deputy, or Assistant Administrator, which will select the first Chairperson for the specific board/committee. For those ISs impacting multiple program or management functions (multiple sponsoring Associate, Deputy or Assistant Administrators), the Chairperson will be rotated annually as determined by the board/committee membership.

(2) Each authorized board/committee is responsible for evaluating and prioritizing proposed enhancements to an IS in accordance with the overall priorities of the Strategic Business Plans and IRM Plans as determined by the BSC. For designated IS development projects, the board/committee is responsible for the functional review at each life cycle management milestone and for reviewing the overall management of the IS development project. RD Instruction 2006-T, assigns specific responsibilities and duties regarding these boards/committees.

(3) The CCB or Equivalent Committee Chairperson will participate in BSC meetings when the system he/she is chairing is on the agenda.

(4) The CCB or Equivalent Committee Chairperson will not have voting rights.

(d) Deputy Administrator for Operations and Management. The Deputy Administrator for Operations and Management will serve as an advisor to the Executive Information Technology and Investment Review Board (E-Board). Incumbent reviews and approves all USDA major IT investments and ensures investment risks are among the elements considered for each alternative.

(e) Assistant Administrator for Procurement and Administrative Services. The Assistant Administrator for Procurement and Administrative Services will ensure that information technology procurements adhere to information technology investment policies and federal acquisition regulations and policies.

§ 2006.1568 (Con.)

(f) Assistant Administrators and Deputy Administrators. The Assistant Administrators and Deputy Administrators within their area of responsibility will:

- (1) Review the progress of IS development and enhancement projects at each life cycle management milestone (as well as appropriate intermediate points) to ensure the functional requirements are being satisfied in a cost-effective manner;
- (2) Exercise oversight for the evaluation and improvement of functional processes as well as the development of functional process performance measures; and
- (3) Keep Senior level officials of the Agency they represent fully informed of BSC activities and actions.

(g) Chief Information Officer. The Chief Information Officer will:

- (1) Serve as Chairperson of the BSC;
- (2) Provide for the planning, directing, budgeting, and coordinating of IRM activities;
- (3) Ensure that all automation initiatives are managed in accordance with sound life cycle management principles and practices and follow BSC approved IRM plans, policies, standards, and guidelines;
- (4) Conduct periodic reviews of IRM activities to identify opportunities for collaboration, for improvement, to reduce costs, to increase the usefulness of information, and, in general, further Rural Development mission goals and objectives;
- (5) Review and approve automation initiatives (purchases of equipment, software, or services) up to \$25,000 (per initiative per fiscal year not to exceed \$25,000 per initiative) in purchase or contract costs;
- (6) Approve IRM Handbooks that implement IRM policies;
- (7) Prepare a 5-year Rural Development Information Technology Strategic Plan; and

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(8) Ensure all investments do not exceed, by more than 10 percent, costs and schedule goals established, and failing that, determine whether deficiencies can be resolved or whether an investment should be redirected or terminated.

(h) Chief Financial Officer. The Chief Financial Officer will:

(1) Oversee financial management activities; and

(2) Ensure both the financial and non-financial systems and business processes are helping our agencies to achieve their mission.

§ 2006.1569 - 2006.1570 [Reserved]

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Business Systems Council (BSC) - Charter

I. PURPOSE

This charter outlines the authority, membership and support, roles and responsibilities of the Business Systems Council (BSC).

II. BACKGROUND

Rural Development established the BSC to improve the governance of information resources within the agency. Information Resources (IR) include the national information technology infrastructure (IT infrastructure), information technology applications (IT applications), and the Information Assets (IA) of the agency.

The mission includes, but is not limited to, assisting the agency and the Chief Information Officer (CIO) in strategic planning for information resources and in complying with the requirements of the Clinger-Cohen Act of 1996 and the Department of Agriculture's Capital Planning and Investment Control (CPIC) process.

III. MEMBERSHIP

The BSC is comprised of eight primary members (Chairperson, and seven voting members) and their alternates, plus Ex Officio as needed. Primary members are expected to attend all meetings. His or her designated alternate may attend if the primary member is not available. In the event both the primary member and the designated alternate are unavailable, another representative may be delegated in their stead, but this delegated representative will be a non-voting representative.

1. Chairperson - Chief Information Officer; has tie-breaking vote authority. Alternate is the Deputy CIO.
2. Voting Members:
 - a. Members:
 - i. One Deputy or Associate Administrator from each Agency (Rural Business-Cooperative Service, Rural Utilities Service, Rural Housing Service, Deputy Administrator for Operations and Management).

ii. One representative from the Under Secretary for Rural Development.

iii. Two State Directors.

b. Alternate Members:

i. One alternate as named by the Administrator for each Agency (Rural Business-Cooperative Service, Rural Utilities Service, Rural Housing Service, Deputy Administrator for Operations and Management).

ii. Two alternates as proposed by the primary State Directors for the two selected states.

3. Non-Voting Members:

a. Ex Officio Members: The BSC, at its discretion, may name non-voting Agency Ex Officio Members to represent information issues that cross Agency or Deputy Administrator area lines of responsibility and might not otherwise be represented sufficiently by the voting BSC members. Current Ex Officio Members include:

i. Chief Financial Officer; and

ii. Assistant Administrator for Procurement and Administrative Services.

b. Delegated representative attending in the absence of the primary and alternate members.

IV. ROLES AND RESPONSIBILITIES

The BSC will:

1. Create, maintain, and communicate a vision for IR for Rural Development as a whole.

2. Monitor and evaluate the Agency's progress toward achievement of the vision.

3. Advise the CIO, Deputy Administrator for Operations and Management on matters related to budgeting for IR. The BSC will annually recommend:

- a. Priorities for new investments and maintenance expenditures for IT and IA; and
- b. An overall level of budget for IT and IA based on annual updates of a longer-term Agency IR strategy.

4. Advise the CIO on matters related to the development of Rural Development policy and guidance regarding the national IT infrastructure, the development of IT applications, and the acquisition of IA.

V. Support

Each BSC member shall identify and designate one or more Investment Managers. The role of these Investment Managers is to provide support to BSC members by:

1. Convening as an Investment Managers Working Group to evaluate current and proposed IR investments, the health of the Agency IR portfolio and progress toward the IR vision;
2. Assisting with preparations for BSC meetings and reviews; and
3. Providing other support to their respective BSC members as requested.

In addition, the BSC has the authority to establish and direct other specified teams, as needed, to manage, coordinate, and report progress on IR activities and investments.

VI. OPERATING GUIDELINES

1. The CIO will:

Serve as Chairperson and facilitate BSC meetings.

- a. Ensure that supporting materials for meetings are developed and distributed in a timely manner to BSC members.
- b. Ensure that BSC decisions are documented and appropriately disseminated.

- c. Coordinate with other BSC members to identify and propose topics for the BSC to address with lead times commensurate with the complexity of the decisions.
2. A Quorum of 5 voting members or their primary alternates shall be considered the minimal number that must be present for the valid transaction of business.
3. The BSC will then decide on the topics that warrant the BSC's attention and the timeline of its deliberations.
4. Preparatory information will be distributed at least one and preferably two weeks before BSC meetings.
5. Technical support staff may accompany each BSC member to advise them as needed.
6. The BSC will meet in executive session if it determines that the quality of their deliberations will be enhanced.
7. The BSC may establish sub-committees composed of both voting and non-voting members to address specific topics identified by the BSC.

VII. MEETINGS AND COMMUNICATIONS

The BSC will meet quarterly or more frequently as necessary to carry out its agreed-upon program of work. BSC-related communications, guidance, and information, such as meeting schedules and meeting summaries, will be made available by the CIO.

VIII. DEVELOPMENT OF RECOMMENDATIONS

1. The BSC will strive for consensus, defined as agreement by all or, at a minimum, that all BSC members can support the recommendation.
2. When consensus cannot be attained, the BSC may choose to:
 - a. Vote to agree on a recommendation. Each voting member or his/her designated alternate shall have one vote.
 - b. Table the issue to be revisited again, as appropriate, or
 - c. Raise the issue to the appropriate decision-making body, e.g., Chief and Staff, or Executive Leadership Team, for resolution.