

2016 Explanatory Notes
Office of the Chief Information Officer

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OFFICE OF THE CHIEF INFORMATION OFFICER

Purpose Statement

The Clinger-Cohen Act of 1996 required the establishment of a Chief Information Officer (CIO) for all major Federal agencies. The Act requires USDA to maximize the value of information technology acquisitions to improve the efficiency and effectiveness of USDA programs. To meet the intent of the law and to provide a Departmental focus for information resources management issues, Secretary's Memorandum 1030-30, dated August 8, 1996, established the Office of the Chief Information Officer (OCIO). The CIO serves as the primary advisor to the Secretary on Information Technology (IT) issues. OCIO provides leadership for the Department's information and IT management activities in support of USDA program delivery.

OCIO is leading USDA's efforts to transform the Department's delivery of information, programs, and services by using integrated services that simplify citizens' interactions with their government. OCIO is designing the Department's Enterprise Architecture to efficiently support USDA's move toward consolidation and standardization. OCIO is strengthening USDA's Computer Security Program to mitigate threats to USDA's information and IT assets and to support the Department's Homeland Security efforts. OCIO continues to facilitate the USDA IT capital planning and investment control review process by providing guidance and support to the Department's Executive IT Investment Review Board, which approves all major technology investments to ensure that they efficiently and effectively support program delivery.

OCIO provides data center operations, application development and wide-area network telecommunications services funded through the USDA Working Capital Fund and appropriations to all USDA agencies through the National Information Technology Center and the Enterprise Network Services with locations in Ft. Collins, Colorado; Kansas City, Missouri; and Washington, D.C. Direct ADP services are provided to the Office of the Secretary, Office of the General Counsel, Office of Communications, and Departmental Management.

OCIO also has direct management responsibility for IT desktop and end-user services through the International Technology Services. This includes the consolidated IT activities for the Farm Service Agency, the Natural Resources Conservation Service, and Rural Development mission area.

The OCIO Headquarters is located in Washington, D.C. As of September 30, 2014, there were 1,010 full-time permanent employees funded by appropriated, reimbursed, and Working Capital Funds.

OIG Reports – Completed

OIG Reports – In Progress

#50501-15-FM	11/2009	Fiscal Year 2009 Federal Information Security Management Act Report - This audit contained 14 recommendations. OCFO has granted final action on 11. Remediation action on remaining recommendations is ongoing. Closure on two recommendations is dependent on final publication of two Departmental Regulations (Privacy and IT Security Configuration Management)
#50501-02-IT	11/2010	Fiscal Year 2010 Federal Information Security Management Act Report - This audit contained 19 recommendations. OCFO has granted final action on seven. Remediation action on remaining recommendations is ongoing.
#50501-01-IT	08/2011	USDA's Management and Security over Wireless Handheld Devices - The audit resulted in five recommendations for corrective action by OIG. Remediation actions are underway. One recommendation is closed. Remediation actions are still underway and OCIO is in the process of documenting remediation actions status.
#50501-2-12	11/2011	Fiscal Year 2011 Federal Information Security Management Act Report - OCIO and OIG have reached Management Decision on nine of the 10 recommendations from this

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audit. OCFO has granted final action on three. Remediation action on remaining actions is ongoing. OCIO and OIG continue to work closely to achieve Management Decision on the one remaining recommendation.

- #88501-0001-IT 3/2012 International Technology Services Selected Controls Audit Report - This audit contained seven recommendations. CIO and OIG have reached Management Decision on all of the recommendations. OCFO has granted final action on three recommendations. Remediation action on the remaining four recommendations is ongoing.
- #50501-0001-12 4/2012 USDA's Configuration, Management and Security Over Domain Name System Servers Report - This audit contained six recommendations. CIO and OIG have reached Management Decision on all recommendations. OCFO has granted final action on five recommendations. Remediation action on the one remaining recommendation is ongoing.
- #88501-0001-12 8/2012 Review of Selected Controls of the eAuthentication System Report - This audit contained six recommendations. CIO and OIG have reached Management Decision on all recommendations. OCFO has granted final action on five recommendations. Remediation action on the remaining recommendation is ongoing.
- #50501-0003-12 11/2012 Fiscal Year 2012 Federal Information Security Management Act Report - This audit contained six recommendations. CIO and OIG have reached Management Decision on five of the recommendations. OCIO and OIG continue to work closely to achieve Management Decision on the remaining recommendation. Remediation action on the recommendations is ongoing.
- #50501-0004-12 11/2013 Fiscal Year 2013 Federal Information Security Management Act Report - This audit contained five recommendations. CIO and OIG have reached Management Decision on four of the recommendations. OCIO and OIG continue to work closely to achieve Management Decision on the remaining recommendation. Remediation action on the recommendations is ongoing.
- #88501-0002-12 8/2014 Management and Security Over USDA's Universal Telecommunications Network Report - This audit contained 21 recommendations. CIO and OIG have reached Management Decision on 19 of the recommendations. OCIO and OIG continue to work closely to achieve Management Decision on the remaining two recommendations. Remediation action on the recommendations is ongoing.
- #50501-0005-12 9/2014 USDA's Implementation of Cloud Computing Services Report - This audit contained six recommendations. CIO and OIG have reached Management Decision on three of the recommendations. OCIO and OIG continue to work closely to achieve Management Decision on the remaining three recommendations. Remediation action on the recommendations is ongoing.
- #50501-0006-12 11/2014 Fiscal Year 2014 Federal Information Security Management Act Report - This audit contained two recommendations. OCIO and OIG continue to work closely to achieve Management Decision on the two recommendations.

GAO Reports - Completed

- #14-64 1/2014 IT Dashboard: Agencies Are Managing Investment Risk, but Related Ratings Need to Be More Accurate and Available - GAO had no recommendations for USDA in the final report to Congress. Therefore, no further action is required.

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GAO Reports – In Progress

#08-525	6/2008	Information Security - Federal Agency Efforts to Encrypt Sensitive Information are Under Way, but Work Remains - 1/24/11 – USDA updated GAO on the status of the Statement of Action in July 2010. GAO followed-up with requests for additional documentation on recommendations 1 through 3. Additional information was provided by NITC in August 2010. GAO has not requested any further information from USDA on this audit. As of 1/22/2013, the Whole Disk Encryption (WDE) System remains fully operational. There are 18 USDA Agencies and over 82,000 devices currently using the system. Risk Management Agency (RMA) has migrated completely off the system and is using other technologies. Agriculture Marketing Service (AMS) and International Technology Services (ITS) are in the process of migrating off the MEE solution to other technologies. As of 1/23/13, ACIO ASOC/CISO is in process of gathering documentation to provide to GAO to substantiate completion/progress on mitigation activities.
#12-756	7/2012	Information Technology Reform: Progress Made but Future Cloud Computing Efforts Should be Better Planned – USDA has provided periodic GAO updates on progress against the two recommendations directed to USDA. Progress has been made in addressing the recommendations but additional work needs to be completed in FY15.
#12-629	7/2012	Information Technology Cost Estimation: Agencies Need to Address Significant Weaknesses in Policies and Practices - USDA has provided periodic updates to GAO on progress against the two recommendations directed to USDA. Progress has been made in addressing the recommendations but additional work needs to be completed in FY15 to develop policy and guides for Information Technology Project Cost Estimating.
#12-756	7/2012	Information Technology Reform: Progress Made but Future Cloud Computing Efforts Should be Better Planned – USDA has provided periodic GAO updates on progress against the two recommendations directed to USDA. Progress has been made in addressing the recommendations but additional work needs to be completed in FY15.
#12-629	7/2012	Information Technology Cost Estimation: Agencies Need to Address Significant Weaknesses in Policies and Practices - USDA has provided periodic updates to GAO on progress against the two recommendations directed to USDA. Progress has been made in addressing the recommendations but additional work needs to be completed in FY15 to develop policy and guides for Information Technology Project Cost Estimating.
#12-791	9/2012	Organizational Transformation: Enterprise Architecture Value Needs to Be Measured and Reported - USDA has provided periodic updates to GAO on progress against the two recommendations directed to USDA. Progress has been made in addressing the recommendations but additional work needs to be completed in FY15 to develop a documented method for measuring enterprise architecture outcomes and reporting the results to Executives.
#13-524	6/2013	Information Technology: Additional Executive Review Sessions Needed to Address Troubled Projects - USDA has provided periodic updates to GAO on progress against the one recommendation directed to USDA. Progress has been made in addressing the recommendations but additional work needs to be completed in FY15 to mature the TechStat process.

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#13-524	06/2013	Information Technology: Additional Executive Review Sessions Needed to Address Troubled Projects - USDA has provided periodic updates to GAO on progress against the one recommendation directed to USDA. Progress has been made in addressing the recommendations but addition work needs to be completed in FY15 to mature the TechStat process.
#14-65	11/2013	Information Technology: Additional OMB and Agency Actions Are Needed to Achieve Portfolio Savings - USDA has provided periodic updates to GAO on progress against the four recommendations directed to USDA. Progress has been made in addressing the recommendations but addition work needs to be completed in FY15 to mature the PortfolioStat process.
#14-44	02/2014	Computer Matching Act: OMB and Selected Agencies Need to Ensure Consistent Implementation - USDA has provided periodic updates to GAO on progress against the one recommendation directed to USDA. Progress has been made in addressing the recommendation but addition work needs to be completed in FY15 to mature the Data Integrity Board process.
#14-413	05/2014	Federal Software Licenses: Better Management Needed to Achieve Significant Savings Government-Wide – USDA developed and submitted to GAO a Statement of Action to address the five USDA recommendations in July 2014. USDA is in the process of implementing actions to expand and mature software license management practices across the Department.
#14-753	09/2014	Cloud Computing: Additional Opportunities and Savings Need to Be Pursued – USDA developed and submitted to GAO a Statement of Action to address the two USDA recommendations. USDA is in the process of developing guidance to ensure that all IT investments are assessed for suitability for migration to a cloud computing service.

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Available Funds and Staff Years (SYs)

(Dollars in thousands)

Item	2013 Actual		2014 Actual		2015 Enacted		2016 Estimate	
	Amount	SYs	Amount	SYs	Amount	SYs	Amount	SYs
Salaries and Expenses:								
Discretionary Appropriation.....	\$44,031	115	\$44,031	115	\$45,045	129	\$53,071	180
Rescission.....	-1,192	-	-	-	-	-	-	-
Sequester.....	-2,189	-	-	-	-	-	-	-
Adjusted Appropriation.....	40,650	115	44,031	115	45,045	129	53,071	180
Lapsing Balances.....	-199	-	-318	-	-	-	-	-
Obligations.....	40,451	115	43,713	115	45,045	129	53,071	180
Obligations under other USDA appropriations:								
Reimbursements:								
Geospatial IS.....	8,330	6	8,130	-	8,130	-	8,130	-
NTIA Spectrum.....	1,642	-	1,784	-	1,732	-	1,732	-
Contract Management.....	-	-	-	-	-	-	-	-
Other Activities.....	1,128	-	507	-	433	-	433	-
Total, Agriculture Appropriations	11,100	6	10,421	-	10,295	-	10,295	-
Working Capital Fund: <u>a/</u>								
Information Technology.....	380,921	832	474,041	855	380,738	956	390,471	946
NITC (Non-USDA).....	11,219	38	19,626	32	22,985	52	40,376	83
Capital Equipment.....	3,563	-	-	-	-	-	-	-
Purchase Card Rebate.....	1,087	-	-	-	-	-	-	-
Total, WCF.....	396,790	870	493,667	887	403,723	1,008	430,847	1,029
Total, OCIO.....	448,341	991	547,801	1,002	459,063	1,137	494,213	1,209

a/ This section only includes WCF activities managed by OCIO. Please refer to the WCF Explanatory Notes for more details about the WCF.

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Permanent Positions by Grade and Staff Year Summary a/

Item	2013 Actual			2014 Actual			2015 Enacted			2016 Estimate		
	Wash.			Wash.			Wash.			Wash.		
	D.C.	Field b/	Total	D.C.	Field b/	Total	D.C.	Field b/	Total	D.C.	Field b/	Total
ES.....	7	-	7	7	-	7	7	-	7	7	-	7
GS-15.....	15	4	19	18	4	22	18	4	22	32	4	36
GS-14.....	47	6	53	50	6	56	46	6	52	63	6	69
GS-13.....	11	7	18	13	7	20	16	7	23	34	7	41
GS-12.....	10	3	13	10	3	13	12	3	15	13	3	16
GS-11.....	4	-	4	4	-	4	4	-	4	5	-	5
GS-10.....	1	-	1	1	-	1	1	-	1	1	-	1
GS-9.....	4	-	4	4	-	4	3	-	3	3	-	3
GS-8.....	1	-	1	1	-	1	1	-	1	1	-	1
GS-5.....	-	-	-	-	-	-	1	-	1	1	-	1
GS-4.....	1	-	1	1	-	1	-	-	-	-	-	-
Total Perm. Positions.....	101	20	121	109	20	129	109	20	129	160	20	180
Unfilled, EOY.....	6	-	6	14	-	14	-	-	-	-	-	-
Total, Perm. Full-Time Employment, EOY.....	95	20	115	95	20	115	109	20	129	160	20	180
Staff Year Est.....	101	20	121	109	20	129	109	20	129	160	20	180

a/ Positions shown are appropriated and reimbursement only. For WCF financed positions, refer to the WCF Explanatory Notes for more details.

b/ Field employees are located in Kansas City, MO. Staffs work on all Security Incident Processing and Validation.

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MOTOR VEHICLE FLEET DATA

Size, Composition and Cost of Motor Vehicle Fleet

OCIO-International Technology Services (ITS) is the in-house provider of information technology service and support for over 45,000 USDA Service Center Agency (SCA) employees at 3,400 field, State, and headquarters offices located across all 50 U.S. States. All ITS support offices are co-located with SCA's field offices. The SCAs consist of Farm Service Agency (FSA), Rural Development (RD) and the Natural Resources Conservation Service (NRCS). Our customers are FSA, NRCS, and RD and their respective partner organizations.

The current OCIO-ITS fleet consists of GSA leased vehicles. They are used by IT specialists and support teams to assist in keeping the computing environment operating and ensure that computers, applications, networks, and communication technologies are fully functional. The agencies can then focus on supporting the efforts of the farmers, property owners, and rural communities. ITS uses its fleet to support best industry practices, to organize IT resources and personnel efficiently, and to deploy them where and when they are needed. ITS fleet service allows its employees to travel to other SCA locations and maintain a unified organization dedicated to supporting both the shared and diverse IT requirements of the SCAs and their partner organizations. ITS also use the fleet to address issues with malfunctioning IT equipment at these locations.

All vehicles are leased through GSA. For 2016 OCIO is adding 8 additional GSA leased vehicles because the SCAs no longer allow Technical Services Division (TSD) staff to use the agency vehicles. With the recent budget situation, agencies are scaling back their fleet and reviewing ways to cut maintenance and fuel cost. As a result, some SCA locations have notified TSD Group Managers that TSD staff can no longer use their fleet. This has caused scheduling problems which ultimately impact customer service and ITS' ability to meet our Service Level Agreements.

OCIO's current fleet is based on mission and geographic needs. As of September 30, 2014, ITS' has 265 leased GSA vehicles and NITC has 2 leased GSA vehicles. ITS continues to lease vehicles from GSA to provide IT support to the SCAs within USDA.

Changes to the motor vehicle fleet. Replacement of 43 vehicles and increase of 8 has been proposed for 2016.

Replacement of passenger motor vehicles. The GSA-leased vehicles are replaced based on the GSA regulations.

Impediments to managing the motor vehicle fleet. There are none at this time.

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MOTOR VEHICLE FLEET DATA

Size, Composition, and Annual Cost
(Dollars in thousands)

Fiscal Year	Number of Vehicles by Type							Total Number of Vehicles	Annual Operating Cost (\$ in 000)
	Sedans and Station Wagons	Light Trucks, SUVs and Vans		Medium Duty Vehicles	Ambulances	Buses	Heavy Duty Vehicles		
		4X2	4X4						
2013	116	91	20	0	0	0	0	227	\$998
Change	+10	+1	0	0	0	0	0	+11	+\$27
2014	126	92	20	0	0	0	0	238	\$1,025
Change	+38	-15	-2	0	0	0	0	+21	+\$4
2015	164	77	18	0	0	0	0	259	\$1,029
Change	+19	-10	-1	0	0	0	0	+8	-\$34
2016	183	67	17	0	0	0	0	267	\$995

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The estimates include appropriation language for this item as follows (new language underscored; deleted matter enclosed in brackets):

For necessary expenses of the Office of the Chief Information Officer, [\$45,045,000], \$53,071,000 of which not less than \$28,000,000 is for cybersecurity requirements of the Department: Provided, That of the amounts appropriated, \$42,500 shall be available to support the implementation of a uniform procurement instrument identifier as described in 48 C.F.R. subpart 4.16: Provided further, That of the amounts appropriated \$7,600,000 shall be used for a Digital Service team to ensure the effectiveness of the agency's digital services for high-priority programs or projects.

Lead-off Tabular Statement

Budget Estimate, 2016.....	\$53,071,000
2015 Enacted.....	<u>45,045,000</u>
Change in Appropriation.....	<u>+8,026,000</u>

Summary of Increases and Decreases
(Dollars in thousands)

	<u>2013</u> <u>Actual</u>	<u>2014</u> <u>Change</u>	<u>2015</u> <u>Change</u>	<u>2016</u> <u>Change</u>	<u>2016</u> <u>Estimate</u>
Discretionary Appropriations:					
Office of the Chief Information Officer.....	\$40,650	+\$3,381	+\$1,014	+\$8,026	\$53,071

Project Statement
Adjusted Appropriations Detail and Staff Years (SYs)
(Dollars in thousands)

Program	<u>2013 Actual</u>		<u>2014 Actual</u>		<u>2015 Enacted</u>		<u>Inc. or Dec.</u>		<u>2016 Estimate</u>	
	Amount	SYs	Amount	SYs	Amount	SYs	Amount	SYs	Amount	SYs
Discretionary Appropriations:										
Office of the Chief Information Officer.....	\$40,650	115	\$44,031	115	\$45,045	129	+\$8,026 (1)	+51	\$53,071	180
Rescission, Transfer, and Seq. (Net).....	3,381	-	-	-	-	-	-	-	-	-
Total Adjusted Appropriation..	44,031	115	44,031	115	45,045	129	8,026	+51	53,071	180
Rescission.....	-1,192	-	-	-	-	-	-	-	-	-
Sequester.....	-2,189	-	-	-	-	-	-	-	-	-
Total Available.....	40,650	115	44,031	115	45,045	129	+8,026	+51	53,071	180
Lapsing Balances.....	-199	-	-318	-	-	-	-	-	-	-
Total Obligations.....	40,451	115	43,713	115	45,045	129	+8,026	+51	53,071	180

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Project Statement
 Obligations Detail and Staff Years (SYs)
 (Dollars in thousands)

Program	2013 Actual		2014 Actual		2015 Enacted		Inc. or Dec.		2016 Estimate		
	Amount	SYs	Amount	SYs	Amount	SYs	Amount	SYs	Amount	SYs	
Discretionary Obligations:											
Office of the Chief Information Officer.....											
Officer.....	\$40,451	115	\$43,713	115	\$45,045	129	+\$8,026	(1)	+51	\$53,071	180
Total Obligations.....	40,451	115	43,713	115	45,045	129	+8,026		+51	53,071	180
Lapsing Balances.....	199	-	318	-	-	-	-		-	-	-
Total Available.....	40,650	115	44,031	115	45,045	129	+8,026		+51	53,071	180
Rescission.....	1,192	-	-	-	-	-	-		-	-	-
Sequester.....	2,189	-	-	-	-	-	-		-	-	-
Total Appropriation.....	44,031	115	44,031	115	45,045	129	+8,026		+51	53,071	180

Justification of Increases and Decreases

- (1) A net increase of \$8,026,000 and 51 staff years for the Office of the Chief Information Officer (\$45,045,000 and 129 staff years available in 2015).

Base funds will allow the Office of the Chief Information Officer to continue to provide guidance, leadership and coordination for the Department’s information management, technology investment and cyber security activities in support of USDA program delivery. In addition to the activities and functions specifically described in the budget request, current year and budget year base funds will be used to carry out activities and functions consistent with the full range of authorities and activities delegated to the office. In addition to Departmental Administration funding used for human resources operational services, current year and budget year base funds will also be used to support expedited and enhanced classification, staffing and processing efforts.

The funding change is requested for the following item:

- a. An increase of \$225,000 for pay costs (\$45,000 for annualization of the 2015 pay increase and \$180,000 for the 2016 pay increase).

The proposed funding level is needed to cover pay and benefit cost increases for existing staff. This will ensure adequate resources are available for the office to carry out its full range of responsibilities and support USDA program delivery.

- b. An increase of 7 staff years by reducing contractors supporting ACIO TPAAE.

OCIO will convert seven contractors supporting ACIO TPAAE to seven government FTEs to perform the capital planning and investment control, IT governance, enterprise architecture, and controlled unclassified information functions. The current contract rates for these skill sets far exceeds the salary and benefits for similarly skilled federal employees; therefore, we anticipate this would result in cost savings to the OCIO while improving the Department’s ability to provide a seamless continuity of operations for critical mission areas. The cost saving in the first year will be used to cover the cost of implementing the program management certification and training program.

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- c. An increase of \$7,600,000 and 44 staff year to develop a Digital Service team (No funding or staff years available in 2015).

The success rate of government digital services is improved when agencies have digital service experts on staff with modern digital product design, software engineering and product management skills. To ensure agencies can effectively build and deliver digital services, the President's 2016 Budget includes additional funding for staffing costs to enable the Department to build Digital Service teams to manage the agency's digital services that have the greatest impact to citizens and businesses.

The Secretary must ensure the Executive of the Digital Service team, in coordination with other relevant executives at the agency, has the following authorities for the programs they oversee:

- Hiring—the Executive will have the authority to make all hiring and management decisions related to the digital service team.
- Procurement—the Executive will review and make recommendations on all procurements related to the programs.

Budget—the Executive will review and have approval on all technology budgetary decisions related to the programs.

To support the development of the Digital Service Teams at each agency, OMB's United States Digital Services and the Office of E-Government (E-Gov) and IT will provide the following services and support functions:

- Support agencies in identifying quality talent to serve in the various digital service roles, particularly executive candidates.
- Serve as subject matter experts on review of the Executive for the agency Digital Service team. At the request of the agency, USDS can also offer SME reviews for other members of the digital service team, though it is not required.
- Offer technical guidance and operational support to agency Digital Service teams.
- Assist agencies in addressing any other policy barriers (such as legal or security) that may arise during implementation.
- Support agencies in managing and developing program-related procurements (e.g. develop statement of objectives) to improve delivery of high quality digital services.

- d. An increase of \$42,500 to support changes in USDA IT systems related to procurement spending (No funding or staff years available in 2015).

This increased funding will be used to support changes required in USDA IT systems related to procurement spending and management as well as acquisition workforce changes consistent with USDA analysis during development of FAR Case 2012-023.

- e. An increase of \$158,500 for general operating.

This increase will be used to fund general operating costs and any shortfalls from the decentralization of rent and security costs.

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Geographic Breakdown of Obligations and Staff Years

(Dollars in thousands and Staff Years (SYs))

State/Territory	2013 Actual		2014 Actual		2015 Enacted		2016 Estimate	
	Amount	SYs	Amount	SYs	Amount	SYs	Amount	SYs
District of Columbia..	\$38,079	95	\$41,317	95	\$42,625	109	\$50,579	160
Kansas City, MO.....	2,372	20	2,396	20	2,420	20	2,492	20
Obligations.....	40,451	115	43,713	115	45,045	129	53,071	180
Lapsing Balances.....	199	-	318	-	-	-	-	-
Total, Available.....	40,650	115	44,031	115	45,045	129	53,071	180

Classification by Objects

(Dollars in thousands)

	2013 Actual	2014 Actual	2015 Enacted	2016 Estimate
Personnel Compensation:				
Washington D.C.....	\$10,599	\$10,536	\$12,532	\$18,904
Kansas City, MO.....	1,873	1,873	1,910	1,942
11 Total personnel compensation.....	12,472	12,409	14,442	20,846
12 Personal benefits.....	3,416	3,413	3,947	5,691
13.0 Benefits for former personnel.....	-	1	-	-
Total, personnel comp. and benefits.....	15,888	15,823	18,389	26,537
Other Objects:				
21.0 Travel and transportation of persons.....	113	167	155	209
22.0 Transportation of things.....	28	24	55	74
23.1 Rental payments to GSA.....	-	-	954	1,284
23.3 Communications, utilities, and misc. charges..	278	874	415	558
24.0 Printing and reproduction.....	103	87	145	195
25.2 Other services from non-Federal sources.....	11,011	11,365	10,912	10,912
25.3 Other purchases of goods and services from Federal sources.....	12,652	12,949	13,685	12,851
26.0 Supplies and materials.....	141	429	160	216
31.0 Equipment.....	237	1,995	175	235
Total, Other Objects.....	24,563	27,890	26,656	26,534
99.9 Total, New Obligations.....	40,451	43,713	45,045	53,071

Position Data:

Average Salary (dollars), ES Position.....	\$166,000	\$170,000	\$171,500	\$173,215
Average Salary (dollars), GS Position.....	\$104,722	\$106,090	\$108,537	\$113,216
Average Grade, GS Position.....	13.6	13.7	13.8	13.9

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Shared Funding Projects
(Dollars in thousands)

	2013	2014	2015	2016
	<u>Actual</u>	<u>Actual</u>	<u>Enacted</u>	<u>Estimate</u>
Working Capital Fund:				
Administration:				
Beltsville Service Center.....	\$43	\$46	\$67	\$69
Mail and Reproduction Management.....	184	140	194	195
Integrated Procurement System.....	395	395	436	436
Financial Management Services.....	-	582	295	299
Procurement Operations.....	2,440	2,613	3,769	4,168
Subtotal.....	3,062	3,776	4,761	5,167
Communications:				
Creative Media & Broadcast Center.....	120	17	27	17
Finance and Management:				
NFC/USDA.....	220	283	955	921
Controller Operations.....	372	953	932	946
Financial Systems.....	431	413	421	740
Internal Control Support Services.....	177	196	143	142
Subtotal.....	1,200	1,845	2,451	2,749
Information Technology:				
NITC/USDA.....	34,153	33,633	5,125	4,801
International Technology Services.....	7,557	6,279	7,628	7,739
Telecommunications Services.....	14,141	15,764	18,386	19,395
Subtotal.....	55,851	55,676	31,139	31,935
Correspondence Management.....	34	30	25	19
Total, Working Capital Fund.....	60,267	61,344	38,403	39,887
Departmental Shared Cost Programs:				
1890's USDA Initiatives.....	31	27	32	32
Classified National Security Information.....	-	-	11	11
Continuity of Operations Planning.....	22	19	23	23
E-GOV Initiatives HSPD-12.....	69	63	74	74
Emergency Operations Center.....	24	22	25	26
Facility and Infrastructure Review and Assessment.....	4	4	5	5
Faith-Based Initiatives and Neighborhood Partnerships.....	4	2	4	4
Federal Biobased Products Preferred Procurement Program.....	4	3	-	-
Hispanic-Serving Institutions National Program.....	21	19	22	22
Honor Awards.....	-	1	1	1
Human Resources Transformation (inc. Diversity Council)..	17	16	19	19
Medical Services.....	5	6	17	17
People's Garden.....	7	5	8	7
Personnel and Document Security.....	123	54	47	47
Pre-authorizing Funding.....	36	34	41	41
Retirement Processor/Web Application.....	6	5	7	7
Sign Language Interpreter Services.....	16	10	-	-
TARGET Center.....	10	9	16	16
USDA 1994 Program.....	8	7	9	9
Virtual University.....	22	18	22	22
Visitor Information Center.....	2	2	-	-
Total, Departmental Shared Cost Programs.....	431	326	383	383

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	2013	2014	2015	2016
	<u>Actual</u>	<u>Actual</u>	<u>Enacted</u>	<u>Estimate</u>
E-Gov:				
Budget Formulation and Execution Line of Business.....	1	1	1	1
Enterprise Human Resources Integration.....	26	21	23	24
E-Rulemaking.....	-	9	9	6
E-Training.....	32	26	30	30
Financial Management Line of Business.....	2	2	2	2
Geospatial Line of Business.....	1	-	-	3
Human Resources Line of Business.....	3	3	3	3
Integrated Acquisition Environment - Loans and Grants.....	14	18	21	21
Integrated Acquisition Environment.....	7	6	7	7
Total, E-Gov.....	<u>86</u>	<u>86</u>	<u>96</u>	<u>97</u>
Agency Total.....	<u>60,784</u>	<u>61,756</u>	<u>38,882</u>	<u>40,367</u>

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Status of Program

The Clinger-Cohen Act of 1996 required the establishment of a Chief Information Officer (CIO) for all major Federal agencies. The Act requires USDA to maximize the value of information technology acquisitions to improve the efficiency and effectiveness of USDA programs. To meet the intent of the law and to provide a Departmental focus for information resources management issues, Secretary's Memorandum 1030-30, dated August 8, 1996, established the Office of the Chief Information Officer (OCIO). The CIO serves as the primary advisor to the Secretary on Information Technology (IT) issues. OCIO provides leadership for the Department's information and IT management activities in support of USDA program delivery.

Current Activities:

Expanding Electronic Government:

USDA Initiatives: Progress made in recent years allows USDA to continue its Department-wide approach to delivering shared services. Participation in these services is strong, with USDA agencies actively involved in the Enterprise-wide shared services: USDA's eAuthentication Service, AgLearn, Enterprise Correspondence Management Modules, the Enterprise Architecture Repository (EAR), capital planning investment tools, and Enterprise IT Solutions. In May of 2014 the United States Distance Learning Association (USDLA) awarded the E-Training (AgLearn) Initiative with its *21ST CENTURY AWARD FOR BEST PRACTICES IN DISTANCE LEARNING*. This prestigious International Award is presented annually to organizations and individuals engaged in the development and delivery of distance learning programs. In addition to its successes OCIO is participating in the pilot of the government-wide Connect.gov solution. As a solution provider for the National Strategy for Trusted Identities in Cyberspace service, USDA will provide a centralized point of entry between public citizens, government agencies and other approved credential providers. The objective is to reduce authentication costs while making it easier for citizens to securely connect with USDA services on-line.

USDA Participation in E-Government Initiatives: USDA participates in 12 E-Government Presidential Initiatives and Lines of Business (LoB). Notably, USDA has implemented and released a software development kit that enables mobile applications to use USDA's eAuthentication Service. By standardizing authentication for mobile applications, this solution enables faster deployment of new mobile applications while standardizing and simplifying security. In addition, USDA's OCIO is implementing pilot solutions for "Derived PIV" credentialing in accordance with FIPS 201-2 and NIST Draft SP 800-157. Derived PIV credentials will enable USDA to provide HSPD-12 compliant multi-factor credentials for use on USDA's rapidly growing mobile computing platform.

In 2015, the OCIO plans to provide \$9,252,252 to fund 8 E-Government Presidential Initiatives and 4 Lines of Business (LoB) Initiatives (see "OCIO Funded E-Government Presidential Initiatives and Lines of Business" table). By participating in the E-Government Initiatives and LoBs, USDA has improved its business processes and program delivery to its customers, employees, and partners. Through these efforts, USDA has been able to work with other Federal agencies to streamline common areas of business delivery (e.g. rulemaking, payroll, and grants management) and learn from best practices throughout the government. The Department will continue to implement these Initiatives and LoBs to achieve further benefits for its customers.

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OCIO-Funded E-Government Presidential Initiatives and Lines of Business	
Initiatives	Lines of Business (LoB)
Disaster Assistance Improvement Plan	Budget Formulation and Execution LoB
Enterprise Human Resources Integration (EHRI)	Financial Management LoB
E-Rulemaking	Geospatial LoB
E-Training	Human Resources Management LoB
Benefits.gov	
Integrated Acquisitions Environment (IAE)	
Integrated Acquisitions Environment (IAE) – Loans and Grants	
Grants.gov	

Enterprise Architecture: Enterprise Architecture (EA) is a process of translating business vision and [strategy](#) into effective enterprise change by creating, communicating and improving the key requirements, principles and models that describe the enterprise's future state and enable its evolution. The USDA EA Program's purpose is to define the "corporate" or enterprise-wide view and standards for IT infrastructure that are business driven and interoperable across agencies; including hardware, software, information management, and security. OCIO developed an enterprise-wide EA view that represents a target or "to be" architecture as well as transition plans to achieve the future/target state

EA Planned Activities in 2015:

- Integrate Lines of Business operations and systems with the Enterprise Architecture mapping of the infrastructure, applications, and security reference model.
- Develop reference material of USDA's system architecture by mission area, agency, and reference framework and include the Farm Bill implementation as the business focus.
- Continue refining standards, conduct system mapping, and start building out system specific standards profile.
- Develop Agency-specific performance reports to enable analysis to identify areas and opportunities for improvement (engineering, consolidation, de-commissioning, etc.).

Capital Planning and Investment Control (CPIC) and IT Governance: Capital Planning and Investment Control (CPIC) is mandated by the Clinger-Cohen Act, and requires agencies to use a disciplined process to acquire, use, maintain and dispose of IT. One of the main goals of the program is to ensure alignment between Agency Program IT investments and USDA priorities throughout the investment life cycle. Investment reporting is done through quarterly reports to OMB as well as yearly Portfolio Stats with the USDA Senior Leaders.

The OCIO is responsible for ensuring that the Department's IT investments deliver products that result in an effective and efficient set of business benefits to agencies, while providing a positive return on the IT investments for taxpayers. The Department's Executive IT Information Resources Board (E-Board) serves as the USDA senior authoritative body charged with the oversight of IT investments with consideration to government "best practices," as well as Office of Management and Budget (OMB) Federal Acquisition Regulation and USDA official guidance. The primary process for making investment decisions is to assess investment process effectiveness and refine investment related policies and procedures. IT Governance and Portfolio Management reforms help to:

Capital Planning and IT Governance 2015 activities will include:

- Continue training Executive Board members, CIO Council, CPIC Administrators, Program and Project Managers, Enterprise Architecture Community, Agency and Staff office CIOs on the Enterprise IT Governance process and framework - Training 201.
- Lead annual USDA CIO Portfolio Reviews of all agencies and staff office IT investments.
- Successfully manage and process Agencies and Staff Offices AARs on the behalf of the USDA CIO.
- Continue to provide expert guidance regarding the revised OMB and Federal Acquisition Institute (FAI) Policy on Federal Acquisition Career Program and Project Managers (FAC-PPMs) certification program.
- Provide FAC-PPM levels 1 and 3 training for 40 USDA IT Investment Program Managers.
- Certify 25 applicants FAC-PPM levels 1-3.

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Information Management: Information management (IM) is the collection and management of information from one or more sources and distributes that information to one or more audiences. USDA's current information management environments comprise legacy information resident within LoB applications; e.g.: [Enterprise Content Management \(ECM\)](#), [Electronic Records Management](#), [Business Process Management](#), [Email Management](#), [Information Organization and Access](#), Knowledge Management, Web Content Management, [Document Management](#) and [Enterprise 2.0](#) technology solutions. The CIO is responsible for managing this information throughout the information lifecycle regardless of source or format (data, paper documents, electronic documents, audio, video, etc.) and for delivery through multiple digital channels including mobile phones and web interfaces.

Information Management Program plans for 2015:

- Conduct a Digital Records Management pilot with select agencies to evaluate using a version of National Archives and Records Administration's (NARA) Capstone approach to retrieve and store records and emails as permanent records for archiving. The pilot will define, test, validate, and implement filters on records and non-records currently stored in *ProofPoint*, USDA's current technology, to determine if the *ProofPoint* technology meets NARA's requirements and is a cost-effective solution.
- Initiate an Electronic Records Project (ERP) to test the integration of a sophisticated records management application with *ProofPoint* as an archive repository, and implement an electronic records management system for all electronic mail to meet the requirements of the Managing Government Records Directive (MGRD).
- Promote mandatory records management training, Section 508 training, and partnering with USDA agencies to improve accessibility for persons with disabilities.

Policy, Directives, and Strategic Planning: OCIO processed 76 Departmental Directives, Notices, and other policies. Currently, there are over 39 new and revised IT directives in development to address key policy gaps, audit recommendations, and OCIO management priorities. OCIO performed a policy program assessment to benchmark USDA's program against industry (IT Policy Office) best practices. The OCIO performed better than the Federal peers on the benchmark on most metrics. Additionally, the assessment produced a roadmap for policy program improvement including performance metrics. Utilizing the roadmap provided, OCIO has initiated two additional projects: Workflow Tool Assessment, and Directives Improvement. The Workflow Tool Assessment will identify the best tool to automate the directives workflow process and pilot that tool. The Directives Improvement project will generate a service catalog, define the IT policy domains, refine metrics, define a communications plan, establish a risk-based policy prioritization framework, and develop and execute a training plan.

Privacy Office: The Privacy Act of 1974, 5 U.S.C. § 552a, [Public Law No. 93-579](#), (Dec. 31, 1974) established a Code of Fair Information Practice that governs the collection, maintenance, use, and dissemination of personally identifiable information about individuals that is maintained in systems of records by Federal agencies. In 2014, the Privacy Office focused on reviewing and updating privacy policies. As such, updating the privacy policy; the Computer Matching Program policy was updated and submitted for formal clearance. In 2014, the Privacy Office continued its effort to convert privacy documentation to meet Section 508 requirements. In addition, this year the Privacy Office produced in collaboration with multiple agencies the first PII newsletter. The PII newsletter provides an overview of the Privacy Act, and how to protect personally identifiable information as well as how to report breaches.

Freedom of Information Act: In accordance with the FOIA, 5 U.S.C § 552, Presidential Memorandum for Agencies Concerning the FOIA (74 Fed. Reg. 4683) and the Attorney General's FOIA Memorandum for Agencies Concerning the Freedom of Information Act (75 Fed. Reg. 51879), the USDA must promptly disclose agency records to requesters unless withholding is permissible under one of the nine FOIA exemptions or three statutory exclusions.

USDA's Freedom of Information Act (FOIA) program operates under the direction of USDA's CIO and the Assistant Secretary for Administration. In 2014, the Policy, E-Government & Fair Information Practices (PE&F) Division received 181 FOIA requests, 6 FOIA consultations and 8 FOIA appeals for review and processing. While this marks a 17% decrease from 2013, more than 75 percent were complex and needing heavy coordination with multiple USDA agencies. Ninety percent of the requests received during 2014 were closed prior to the start of 2015. The PE&F division in collaboration with the Office of the General Counsel and the FOIA Training Subcommittee is

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currently developing an additional FOIA training module for USDA's FOIA professionals in the Department's training repository; AgLearn. This module is divided into 26 lessons and provides detailed instruction on procedural issues, exemption application, and other advanced FOIA issues.

Cyber Security – Agriculture Security Operations Center (ASOC): OCIO continues to operate its progressive strategy to improve USDA's information security posture via: 1) information security awareness training; and 2) revising and updating standardized computer security policies, processes and controls within the Department including incident handling and intrusion detection. The consolidation of the Department's oversight and compliance program responsibilities has provided integration of operational security management, and oversight and compliance functions across agency components of USDA.

In 2015, ASOC plans to migrate USDA IT Systems into the NIST 800-53 Revision 4 control sets (upon publication of NIST 800-53a Rev 4 control implementations), and continue to participate in the Department of Justice's CSAM Executive Advisory Board to provide input and guidance to refine the CSAM tool to meet FedRAMP requirements.

Secure Communications: USDA is actively procuring and installing secure communications in support of the National Communications System Directive (NCSA) 3-10, Minimum Requirements for Continuity Communications Capabilities, at the Headquarters Facility, the Alternate Operating Facility, and the Devolution Facility. This will allow USDA to perform its National Essential Functions before, during, and in the aftermath of an emergency.

In 2015, ASOC plans to install a secure video Teleconference System using DHS' Homeland Secure Data Network (HSDN) Secure Video Teleconferencing System. This new video system will provide the USDA with the capability to participate in multiple Secret level teleconferences with multiple other Departments/Agencies and with our FAS Staff assigned at various State Department locations across the globe. USDA continues to subscribe to classified communications services available via agreements with partner agencies versus developing, managing, and operating their own system.

Enhanced Incident Handling Program: USDA is focusing on improving the USDA Incident Handling program. This program includes the implementation of USDA Incident Handling Best Practices and Guides, integrated Department and Agency Incident Response Plans (Per OMB and FISMA Requirements), and modernization of the USDA Incident Handling policies and standards. These efforts target improvements to the Department's situational awareness through collaboration and communication within the USDA, US-CERT, and other Government Agencies.

In 2015 the ASOC plans to improve and enhance the Incident Handling Program by:

- Adopting the new Incident Notification Guidance published by DHS US-CERT
- Increasing the usage of the ASOC Ticketing system by USDA Agencies
- Gathering sufficient data to perform true root cause analysis

Intrusion Detection: USDA has deployed a comprehensive and cohesive integrated security solution called the Security Sensor Array (SSA) that provides a foundation for enterprise wide security monitoring, detection, and protection for USDA. The SSA performs a mix of critical security functions in near-real-time including: intrusion detection and prevention, network data loss prevention, network behavior analysis, secure socket layer encryption/decryption, malware detection and prevention, and network packet analysis. The SSA's carefully managed deployment plan resulted in the rollout of eleven sites on-time and under budget, using detailed, well-defined procedural steps for installation, configuration, and implementation. In 2014, the ASOC averaged 35 confirmed cyber incidents from more than 5000 events detected and analyzed.

In 2015 the ASOC plans to review the investment in and design of the SSA to:

- Enhance visibility of USDA network traffic
- Increase coverage of the security stacks
- Reduce/Re-use stacks that may have redundant or overlapping capabilities

Cyber Security Policy Remediation: USDA's OCIO has accumulated open Office of Inspector General (OIG) audit findings directly related to cyber security policy and procedures. OCIO has agreed to the OIG audit recommendations and utilized an OIG Remediation Plan to document agreed steps that would be taken to close audit

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findings. In 2015, OCIO will continue the cyber security remediation process to update aged cyber security policies and align them with FISMA, OMB, and NIST requirements. OCIO released five key Department wide policies in the 2013 and 2014 while these published policies have superseded 13 outdated policies and will assist in closing 12 OIG audit findings.

In 2015 ASOC plans to replace 48 outdated policies with 24 new/updated policies (60% reduction in ASOC owned policies) with the end goal to:

- Align to and comply with NIST SP 800-53 control families
- Comply with 18 OIG audit findings/recommendations

Contracting Agreements: USDA has used its collective buying power to establish a number of enterprise-wide agreements for IT hardware, software and services that support the USDA enterprise. OCIO has led these efforts by identifying products and services that have already been purchased and worked collaboratively with Agencies to consolidate contracts, and re-negotiate at a lower price point. These new contracts include: Consolidated IT Help desk, Mega software, Decision Lens, Blackberry Client Access licenses and email archiving. In 2015, this effort will continue to result in millions of dollars per year in savings across the USDA to be reinvested by the agencies that have benefitted from the collective savings of these enterprise-wide contracts.

Enterprise Geospatial Management Office (EGMO): EGMO is the functional office within the OCIO that helps the Senior Agency Official for Geospatial Information (SAOGI) execute responsibility, accountability, and optimization under OMB Circular A-16. EGMO designs and coordinates enterprise geospatial strategy and policy; provides consultation for and guides maturity of enterprise-wide geospatial capabilities, capacity and competencies to serve the decision-making functions of senior executives in policy and administration leadership roles; and positions geospatial solutions through portfolio management to enable open government and open data. EGMO also engages new initiatives to strategically enable and expand the geospatial and GIS user community to include professionals such as economists, scientists, policymakers, and program managers, as well as foster participation by citizens in governance and science activities of the Department. Moreover, EGMO creates prototype web map applications and map services innovations, as well as supports the adoption of and migration to the federal government-wide National Geospatial Platform.

EGMO plans to in 2015:

- Champion agency adoption and value management of the Geospatial Solutions Library (GSL) ArcGIS Portal as the internal virtual library platform for search, indexing, creating, collaborating, and sharing spatial assets inside the Department.
- Facilitate enterprise-wide participation in the Department Geospatial Center of Excellence (GeoCOE) to increase collaboration among agency GIS practitioner subject matter experts, which drives collective design, reuse, repurposing, and cost saving and avoidance relative to geospatial assets.
- Coordinate the development of a sustainable geospatial asset portfolio and metadata management plan, which harmonizes investment descriptions, accounts for geospatial expenditures across USDA agencies, and creates alignment to the USDA enterprise architecture.

Selected Examples of Recent Progress:

Enterprise IT Solutions: OCIO will continue working with the Department of the Interior - Interior Business Center (IBC) and USDA National Finance Center (NFC) in pilots for ICAM-as-a-Service (ICAMaaS). USDA's ICAMaaS solution will enable federal agency customers of the NFC and IBC to use their own agency credentials to access NFC and IBC web-based HR and payroll applications via an E-Authentication service. This solution provides an improved user experience for NFC and IBC customers, promotes the use of PIV credentials across federal agency boundaries, reduces operating costs and simplifies security compliance.

Enterprise Architect: Collaborated with Department of Homeland Security (DHS) to incorporate Return on Security Investment (ROSI) into SRM v2.0. DHS presented the methodology to OMB and other federal agencies in the Chief Architect's Forum (CA), which generated interest in restarting the federal SRM Work Group. Completely revised two directives - DR 3170-001 (End User Workstations Standards) and DR 3180-001 (Information Technology Standards). Identified which standards were being used at the Component level and used that information to establish a "standards" baseline.

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Capital Planning and Investment Control (CPIC) and IT Governance:

- Successfully submitted, upon the approval of the USDA CIO and CFO, 216 USDA IT Investments to the OMB IT Dashboard.
- Drafted and submitted for formal clearance the Enterprise IT Governance Directive and Training 101 to Executives, Senior Management, Agencies and Staff Offices CPIC Administrators – Program and Project Managers (CA-PPM) Community.
- Led and completed USDA IT Portfolio Reviews of all agencies and staff offices.
- Submitted through the formal policy review process the Major Investment Definition Directive, the Governance Directive and the revised EVM Directive.

Information Management:

- Records Management Self -Assessment (RMSA) : in order to begin to implement plans, and meet the goal to manage all permanent electronic records in an electronic format by 2019, the technologies used to manage these records electronically are decentralized across USDA. The Agricultural Marketing Agency, the National Agricultural Statistics Service and the Risk Management Agency are in various stages in managing their permanent electronic records within SharePoint Records Center electronic records management application. The SharePoint Records Center allows employees to submit permanent electronic records directly into SharePoint, at which point, the record is preserved until the end of the retention period.
- Approximately 92% of USDA employees completed mandatory records management training.
- Improved Section 508 Testing and Training Center operational capability. Walk-in customer service provided as well as a 12-hour response on all other requests. In addition, all requests for training, testing, or general Section 508 support were responded to within 8 hours of the request.
- Paperwork Reduction Act (PRA)/Information Collection Statistics and Related Accomplishments – maintained USDA's Zero Tolerance policy for PRA violations, as has been the case for the past 10 years. The PRA Information Collection Officers reviewed, processed, and submitted to OMB all 157 information collection packages prepared by USDA agencies and program/staff offices within 96 hours prior to the required submission. The PRA staff also reviewed, processed, and submitted over 30 non-substantive changes to forms, discontinuation, transfer, and Generic Information Collections within 8 hours of the receipt of the request, and reviewed 19 significant regulations pertaining to the functioning of agency programs.
- CUI Phased Implementation and CUI Working Group Formation: In FY 2014, USDA formed the Controlled Unclassified Working Group (CUI-WG), representing all 29 USDA agencies and program offices, to begin the phased implementation of Executive Order 13556 to safeguard controlled information that must safeguarded from unlawful or inadvertent disclosure.
- Sustained and Improved Operational Capability for the Section 508 Testing and Training Center. Walk-in responses and assistance were provided while customers were in the Center, and all requests were responded to within a 12-hour period. In addition, all requests for training, testing, or general Section 508 support were responded to within 8 hours of the request.
- Paperwork Reduction Act (PRA)/Information Collection Statistics and Related Accomplishments – maintained USDA's Zero Tolerance policy for PRA violations, as has been the case for the past 10 years. The PRA Information Collection Officers reviewed, processed, and submitted to OMB all 157 information collection packages prepared by USDA agencies and program/staff offices within 96 hours prior to the required submission. The PRA staff also reviewed, processed, and submitted over 30 non-substantive changes to forms, discontinuation, transfer, and Generic Information Collections within 8 hours of the receipt of the request, and reviewed 19 significant regulations pertaining to the functioning of agency programs.

Policy and Planning: OCIO processed 76 Departmental Directives, Notices, and other policies. Currently, there are over 39 new and revised IT directives in development to address key policy gaps, audit recommendations, and OCIO management priorities. OCIO's policy division performed a benchmark assessment that was monitored over

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a span of 16 months to compare USDA's policy office and practices against industry (IT Policy Office) best practices. The benchmarking assessment was conducted by Gartner consulting which started in September 2013 and OCIO performed better than their Federal counterparts in the areas of: Centralized management of both IT and non-IT policies, procedures, and forms; documented processes, dashboards with operational metrics, and annual policy review.

Privacy Office: In 2014, the Privacy Office produced in collaboration with multiple agencies the first PII newsletter. The PII newsletter provides an overview of the Privacy Act, and how to protect personally identifiable information as well as how to report breaches.

Cyber Security: In 2014 USDA's Office of Homeland Security and Emergency Coordination (OHSEC) and the ASOC received project funding from the OCFO using USDA's unobligated balances of \$1 million to install the communication systems required by NCS D 3-10. Working closely with our partner agencies and vendors we completed the contracts or funding agreements to initiate the installation of the required secure satellite systems; Homeland Secure Data Network, High Frequency Automatic Link Establishment Radio Systems, Joint Worldwide Intelligence Communications System, and Crisis Management Systems at the USDA Headquarters, Alternate Operating Facility, and Devolution Site. System installation was completed in calendar year 2014.

ASOC continued with a series of monthly threat casts (threat briefings). Agencies are briefed on current cyber threats and mitigation options. In addition, current vulnerabilities in software and applications are addressed. Agency participation at these threat briefings remains at high levels thereby increasing the knowledge of security personnel in the Department. Additionally, the ASOC issued several situational alerts to agency CIO's and their respective Information Security Program Managers.

Contracting Agreements/Strategic Sourcing: OCIO has led strategic sourcing efforts by using its collective buying power to establish or re-negotiate a number of enterprise-wide agreements for IT hardware, software and services. These new contracts include: Consolidated IT Help desk, Mega software, Decision Lens, Blackberry Client Access licenses and email archiving and result in millions of dollars of savings across the USDA to be reinvested by the agencies that have benefitted from the collective savings of these enterprise-wide contracts.

Enterprise Geospatial Program Management Office (EGMO): EGMO designed and deployed the Geospatial Solutions Library (GSL) portal as enterprise cloud platform for improved discovery and search of core USDA spatial assets in FY2014. This new platform enables cross-agency coordination and collaboration for increased joint problem solving capacity, leverage shared GIS products and services, integration of Content Management Services and Customer Relationship Management features, and the certification and registration of agency Web Map Services for all USDA agencies. As a free and equitable enterprise service, the new capabilities foster mature asset management practices, and position USDA to become a direct contributor to the Open Data agenda by helping ensure quality controls and behaviors are adopted internally, so products may be exchanged externally with greater confidence.

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Summary of Budget and Performance
Statement of Goals and Objectives

The Clinger-Cohen Act of 1996 required the establishment of a Chief Information Officer (CIO) for all major Federal agencies. The Act required USDA to maximize the value of information technology acquisitions to improve the efficiency and effectiveness of USDA programs. To meet the intent of the law and to provide a Departmental focus for information resources management issues, Secretary’s Memorandum 1030-30, dated August 8, 1996, established the Office of the Chief Information Officer (OCIO). The CIO serves as the primary advisor to the Secretary on IT issues. OCIO provides leadership for the Department’s information and IT management activities in support of USDA program delivery.

USDA Strategic Goal 5: Create a USDA for the 21st century that is high performing, efficient, and adaptable.

USDA Strategic Objective: Develop a customer-centric, inclusive, and high-performing workforce by investing in and engaging employees to improve service delivery. (Objective 5.1)

<u>Agency Strategic Goal</u>	<u>Agency Objectives</u>	<u>Programs that Contribute</u>	<u>Key Outcomes</u>
<p>Enable information as a strategic asset for decision makers and citizens at any level.</p>	<p>Enable innovative business driven solutions.</p> <p>Enable mobile workforce with information that is device independent.</p> <p>Develop, implement, and institutionalize a One USDA Digital Strategy.</p> <p>Promote data quality, transparency, accessibility, standardization, reuse, information sharing, cost saving/avoidance by minimizing redundancy rework, and collaboration.</p>	<p>Enterprise Architecture</p> <p>Open Data Initiative</p> <p>Records Management</p> <p>Freedom of Information Act (FOIA) Program</p> <p>Lean Six Sigma</p> <p>Enterprise Management</p> <p>Capital Planning and IT Governance (CPIGD)</p>	<p>An enterprise architecture that includes a baseline architecture, target architecture, and a transition plan that is a strategic information asset base that defines the necessary information and enabling technologies to meet USDA’s mission needs.</p> <p>A Transitional Roadmap that defines required process reengineering efforts and new technologies in response to changing mission needs.</p> <p>Increased quantity and quality of datasets released for public consumption and economic growth opportunities</p> <p>Increased access to enterprise-wide information to identify opportunities for shared services.</p> <p>Matured Controlled Unclassified Information Program</p> <p>Apply a standardized and rigorous framework for measuring IT investment’s value to the Agency and department.</p>

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Agency Strategic Goal	<u>Agency Objectives</u>	<u>Programs that Contribute</u>	<u>Key Outcomes</u>
Develop a high-performing workforce to support the USDA mission today and tomorrow.	<p>Improve Leadership Skills of IT Workforce.</p> <p>Promote a Customer-Centric, Agile, and Diverse Workforce.</p> <p>Develop a Professional Program Manager Workforce.</p>	<p>IT Workforce Planning</p> <p>Capital Planning and IT Governance (CPIGD)</p> <p>AgLearn</p> <p>IT Intern Program</p> <p>Earned Value Management Program</p> <p>Enterprise Management</p> <p>508 Accessibility Program</p> <p>Lean Six Sigma</p>	<p>Pipeline of trained leaders and IT Program Managers.</p> <p>Better managed IT investments with trained Program Manager Professionals</p> <p>An IT Program Management Career Field with formal training program and curriculum.</p> <p>An engaged workforce motivated and ready to improve the workplace</p>

Key Performance Measures:

An Open Data Council and Open Data Working Group were established to implement Office of Management and Budget (OMB) Memorandum M-13-13, Open Data Policy. OCIO has collaborated with agencies to successfully facilitate quarterly submissions to the public via OMB’s Data.Gov website; including 67 Disaster Relief Datasets to support USDA’s Disaster Relief Portal Project. As of November 2014, USDA had over 500 data sets posted.

The OCIO established the first enterprise-wide competency model using the OPM Cyber Security workforce framework as its reference.

The CPIGD continues to ensure alignment of IT investments with mission and business priorities through governance and sound Portfolio Management. To continue the improvement and compliance of adhering to the Clinger Cohen Act of 1996 as well as OMB Circular A-11, CPIGD in collaboration with the Agriculture Security Operations Center (ASOC) has secured a Portfolio Management Tool that will enable a single repository for Capital Planning & IT Governance which includes OMB required monthly and annual Investment submissions, CIO monthly and quarterly scoring and reviews of investments, Acquisition Approval Requests (AARs), Detailed Life Cycle Costs (DLCCs) updates, monthly and adhoc required Earned Value Management updates, Rebaseline Performance Changes, IT Governance Decision Gates reviews and the CIO’s Annual Portfolio Reviews of Agencies and Staff Offices. In addition, other OCIO critical partners will utilize the tool for their daily operational needs such as but not limited to the Enterprise Architecture, Cyber Security, and Information Management.

The Enterprise Architecture (EA) organization completed a comprehensive redesign of the Enterprise Architecture Repository (EAR) to provide near real-time information on USDA’s IT Portfolio. This effort supported the Federal Enterprise Architecture Framework. In addition, the EA organization successfully coordinated Department-wide quarterly data calls to produce valuable information required by OMB.

OCIO established the Mobile Computing Steering Committee, along with five mobile computing working groups covering Security, Device Management, Application Management, Support Services, and Integrated Workplace. OCIO developed policy and training courses on the use of mobility solutions. In support of the Department’s enterprise mobility solution that supports over 10,000 mobile devices, OCIO developed guidance on mobile application publishing, purchasing and licensing guidance.

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Earned Value Management (EVM) Departmental Regulation and Manual were developed to enhance the skill level of IT Program Managers for major IT investments. Training on EVM methodology was developed and will be delivered to USDA Executives.

Major Investment Definition Directive, Non-Major Investment Directive, IT Governance Directive, and Capital Planning Directive were all developed to ensure Capital Planning and IT Governance on the behalf of the CIO provides guidance and policy direction to the agencies and staff offices of USDA regarding sound quality management over IT Investments.

Percentage of USDA electronic documents that are 508 compliant and accessible.							
	2010 Actual	2011 Actual	2012 Actual	2013 Actual	2014 Actual	2015 Target	2016 Target
Units	N/A	N/A	N/A	N/A	50%	75%	80%
Dollars (in thousands)	\$11,372	\$7,359	\$4,358	\$4,494	\$5,591	\$4,494	\$12,094

Selected Past Accomplishments toward Achievement of the Key Outcome:

OCIO has furthered the Secretary’s goal in making USDA a model employer by launching a Section 508 Training and Testing Center that provides valuable assistance to agencies and staff offices in developing Section 508 compliant training material, briefings, and other documents. The center has been instrumental in getting employees with and without disabilities trained on accessibility equipment and software.

The OCIO has developed a comprehensive IT governance process that incorporates an Integrated Governance Framework and provides the executive teams with a process for reviewing investments and providing guidance to investment managers throughout a project’s Agriculture System Development Life Cycle (AgSDLC). The framework integrates Capital Planning, Program Management, EA, Security, and the budget process. USDA reviewers and decision-makers evaluate program performance on planning, acquiring, designing, developing, constructing, testing, implementing, operating, maintaining, and retiring IT, as well as on sound management of facilities, hardware, software, and personnel that are associated with those IT investments.

Selected Accomplishments Expected at the FY 2016 Proposed Resource Level:

- Continue training Executive Board members, Agencies Administrators, CIO Council, Capital Planning and Investment Control (CPIC) Administrators, Program and Project Managers, Enterprise Architecture community, agency and staff office CIOs on the Enterprise IT Governance process and framework;
- Full implementation of the Enterprise IT Governance Process and framework;
- Continue building Program and Project Manager work force using Federal Acquisition Career Program and Project Managers (FAC-PPMs) certification programs;
- Increase and promote Shared Service Solutions
- Full implementation of the IT Intern Program;
- Develop innovative programs that will improve our ability to recruit, and retain USDA IT talent; and
- Raise capability maturity of enterprise geospatial, remote sensing, and geographic information systems (GIS) to support complex policy and administration decision making.

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USDA Strategic Objective: Build a safe, secure, and efficient workplace by leveraging technology and shared solutions across organizational boundaries. (Objective 5.2)

Agency Strategic Goal	Agency Objectives	Programs that Contribute	Key Outcomes
Protect and defend the enterprise information infrastructure, critical assets, and capabilities.	Produce timely and actionable intelligence on the state of the enterprise. Develop a cyber-security threat dashboard. Build a cadre of cyber security professionals ready to engage and implement a synchronized response.	Agriculture Security Operations Center Cyber Security Policy Remediation Intrusion Detection Incident Handling Program	Secure IT Systems and Infrastructure Modernize and streamline the security assessment process shifting the paradigm to continuous monitoring. Timely and actionable intelligence on the State of the Enterprise A cadre of well-trained Cyber Security Professionals

Key Performance Measures:

The Agriculture Security Operations Center (ASOC) established an Information Security Continuous Monitoring (ISCM) Program in response to OMB M-14-03, “Enhancing the Security of Federal Information and Information Systems.” OCIO developed a continuous monitoring strategy which outlines a set of actionable strategic goals and objectives to help the component agencies and staff offices implement an effective ISCM program.

Percentage of USDA employees logging into the networks via Homeland Security Presidential Directive 12 (HSPD-12) using LincPass.							
	2010 Actual	2011 Actual	2012 Actual	2013 Actual	2014 Actual	2015 Target	2016 Target
Units	N/A	N/A	N/A	50%	80%	85%	90%

Percentage of ASOC incidents closed within 30 days.							
	2010 Actual	2011 Actual	2012 Actual	2013 Actual	2014 Actual	2015 Target	2016 Target
Units	Est. Baseline	90%	90%	92%	93%	95%	95%

Improve agency compliance with enterprise standards for cyber security tools and processes through outreach and training opportunities.							
	2010 Actual	2011 Actual	2012 Actual	2013 Actual	2014 Actual	2015 Target	2016 Target
Units	N/A	N/A	N/A	50%	60%	70%	80%
Dollars (in thousands)	\$36,195	\$23,415	\$25,861	\$26,160	\$26,802	\$27,496	\$27,585

Selected Past Accomplishments toward Achievement of the Key Outcome:

OCIO continues to operate its progressive strategy to improve USDA’s information security posture via: 1) information security awareness training; and 2) revising and updating standardized computer security policies, processes and controls within the Department including incident handling and intrusion detection. The consolidation of the Department’s oversight and compliance program responsibilities has provided integration of operational security management, and oversight and compliance functions across agency components of USDA.

ASOC is focusing on improving the USDA Incident Handling program. This program includes the implementation of USDA Incident Handling Best Practices and Guides, integrated Departmental and agency and staff office Incident

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Response Plans (Per OMB and Federal Information Security Management Act (FISMA) requirements), and modernization of the USDA Incident Handling policies and standards. These efforts target improvements to the Department's situational awareness through collaboration and communication within the USDA, US-CERT, and other Government Agencies.

In 2014, the ASOC continued with a series of monthly threat casts (threat briefings). Agencies and staff offices are briefed on current cyber threats and mitigation options. In addition, current vulnerabilities in software and applications are addressed. Agency and staff office participation at these threat briefings remains at high levels thereby increasing the knowledge of security personnel in the Department. Additionally, the ASOC issued several situational alerts to agency and staff office CIO's and their respective Information Security Program Managers. The ASOC analysts continue to monitor the Security Sensor Array for Zero-Day vulnerabilities as well as cyber-attacks. Moreover, the ASOC has established a Cyber Threat Unit Blog on USDA Connect. Agencies and staff offices are encouraged to visit this site for detailed threat and vulnerability information.

Selected Accomplishments Expected at the FY 2016 Proposed Resource Level:

- Technology refresh for Security Sensor Array;
- Implement Continuous Diagnostic and Mitigation approach to continuous monitoring efforts;
- Develop agency cyber security threat profiles for assessing nature and vulnerability of threats to a given tool or technology;
- Continuously refine policy to align with National Institute of Standards and Technology (NIST) standards as well as current and emerging cyber threat patterns;
- Enhance integration of tools, processes, and resources to develop a common operating picture across the enterprise;
- Construct a Cyber Security threat dashboard utilizing existing models and best practices;
- Implement table-top exercises and debriefs to provide "real-time" training and learning events; and
- Train agency IT security and operational personnel to coordinate security response efforts Department wide.

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USDA Strategic Objective: Maximize the return on taxpayer investment in USDA through enhanced stewardship activities and focused program evaluations. (Objective 5.3)

Agency Strategic Goal	<u>Agency Objectives</u>	<u>Programs that Contribute</u>	<u>Key Outcomes</u>
Align IT investments with mission and business priorities.	<p>Maintain alignment between Program IT investments and USDA priorities throughout the investment life cycle.</p> <p>Strengthen partnerships with business sponsors.</p> <p>Provide proactive stewardship of tax dollars to ensure IT investments deliver maximum performance.</p>	<p>Capital Planning</p> <p>IT Governance</p> <p>Enterprise Management</p> <p>Strategic Sourcing</p> <p>Enterprise Architecture</p>	<p>Alignment of IT investment with mission priorities and business goals.</p> <p>Poorly performing investments (programs or projects) are turned around or terminated.</p> <p>Improved IT Governance, Program and Portfolio Management.</p> <p>Assessment of the evolution of existing information systems and the development of new information systems to ensure optimal alignment with mission needs, business priorities, and the target architecture.</p>
Enable innovative business driven solutions by simplifying and unifying information technology.	<p>Enhance delivery of cloud-based services to the Enterprise.</p> <p>Improve Wired and Wireless Capability to Support the evolving mission.</p> <p>Modernize existing data, web systems, and services.</p>	<p>Policy, Directives, and Strategic Planning</p> <p>Capital Planning & IT Governance</p> <p>Strategic Sourcing</p> <p>Enterprise Architecture</p>	<p>USDA Cloud Computing Policy “cloud first” policy.</p> <p>Reduce maintenance and ops spending to re-balance with new solutions (Development, Modernization & Enhancement) spending</p> <p>A Marketing Strategy and Communications Plan for senior executives, management teams, and business units to keep them informed of innovative ideas and opportunities for shared services.</p>
Optimize the use and value of information technology.	<p>Promote shared service solutions.</p> <p>Streamline the Department’s IT Operations.</p> <p>Assemble performance metrics and rate structures for common services.</p> <p>Mature USDA’s Compliance with 508.</p>	<p>Enterprise Architecture</p> <p>Capital Planning & IT Governance</p> <p>Strategic Sourcing</p> <p>Enterprise Management</p> <p>Lean Six Sigma</p> <p>Records Management</p>	<p>Assessment of the standardization, interdependencies, and interrelationships among USDA’s business operations and the enabling IT infrastructure.</p> <p>Increased number of investments on budget and on schedule.</p> <p>Increased number of shared solutions to reduce costs.</p>

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Key Performance Measures:

Eliminate duplicative IT investments.							
	2010 Actual	2011 Actual	2012 Actual	2013 Actual	2014 Actual	2015 Target	2016 Target
Units	N/A	N/A	N/A	N/A	Est. Baseline	20%	50%
Dollars (in thousands)	\$13,595	\$9,064	\$13,778	\$9,797	\$11,638	\$13,055	\$13,392

Selected Past Accomplishments toward Achievement of the Key Outcome:

Progress made in recent years allows USDA to continue its Departmentwide approach to delivering shared services. Participation in these services is strong, with USDA agencies and staff offices actively involved in the Enterprisewide shared services: USDA’s eAuthentication Service, AgLearn, Enterprise Correspondence Management Modules, the EAR, capital planning investment tools, and Enterprise IT Solutions

The Capital Planning & IT Governance has developed a comprehensive IT governance process that incorporates an Integrated Governance Framework and provides the executive teams with a process for reviewing investments and providing guidance to investment managers throughout a project’s AgSDLC. The framework integrates Capital Planning, Program Management, EA, Security, and the budget process. USDA reviewers and decision-makers evaluate program performance on planning, acquiring, designing, developing, constructing, testing, implementing, operating, maintaining, and retiring IT, as well as on sound management of facilities, hardware, software, and personnel that are associated with those IT investments.

Selected Accomplishments Expected at the FY 2015 Proposed Resource Level:

- Integrate Lines of Business operations and systems with the Enterprise Architecture mapping of the infrastructure, applications, and security reference model;
- Develop reference material of USDA's system architecture by mission area, agency, and reference framework and include the Farm Bill implementation as the business focus;
- Continue refining standards, conduct system mapping, and start building out system specific standards profile;
- Develop Agency-specific performance reports to enable analysis to identify areas and opportunities for improvement (engineering, consolidation, de-commissioning, etc.);
- Consolidate duplicative IT commodity services to identify opportunities for enterprise solutions; and
- Develop framework for measuring cost savings and associated re-investments;
- The OCIO will assess investments through the CPIC monthly portfolio reporting process and engage with the Business Sponsors. Furthermore, CPIGD will assess the development, modernization, and enhancement (DME) to obtain an optimum balance of the Department's IT portfolio at the lowest cost with minimal risk while ensuring mission and business goals are being met; and
- Perform formal governance gate reviews of major IT investments to determine the optimum path forward and the health of the investment.

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Strategic Goal Funding Matrix
(Dollars in thousands)

Program / Program Items	2013 Actual	2014 Actual	2015 Enacted	Increase or Decrease	2016 Estimate
Department Strategic Goal 5: Create a USDA for the 21st century that is high performing, efficient, and adaptable.					
Department Strategic Objective 5.1: Develop a customer-centric, inclusive, and high-performing workforce by investing in and engaging employees to improve service delivery.					
Office of the Chief Information Officer.....	\$4,494	\$5,591	\$4,494	+7,600	\$12,094
Staff Years.....	18	18	18	+50	68
Department Strategic Objective 5.2: Build a safe, secure and efficient workplace by leveraging technology and shared solutions across organizational boundaries.					
Office of the Chief Information Officer.....	26,160	26,802	27,496	+89	27,585
Staff Years.....	48	48	55	-	55
Department Strategic Objective 5.3: Maximize the return on taxpayer investment in USDA through enhanced stewardship activities and focused program evaluations.					
Office of the Chief Information Officer.....	9,797	11,638	13,055	+337	13,392
Staff Years.....	49	49	56	+1	57
Total Costs, All Strategic Goals	40,451	44,031	45,045	8,026	53,071
Total FTEs, All Strategic Goals	115	115	129	+51	180

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Full Cost by Agency Strategic Goal
(Dollars in thousands)

Department Strategic Goal 5: Create a USDA for the 21st century that is high performing, efficient, and adaptable.

Program/ Program Items	2013 Actual	2014 Actual	2015 Enacted	2016 Estimate
<u>Deliver</u>				
Administrative costs (direct).....	\$5,949	\$7,222	\$7,725	\$6,696
Indirect costs	3,848	4,098	5,330	6,696
Total Costs.....	9,797	11,320	13,055	13,392
FTEs.....	49	49	56	57
Performance Measure:				
Eliminate duplicative IT investments				
Measure.....	N/A Est. Baseline		20%	50%
<u>Innovate</u>				
Administrative costs (direct).....	\$2,729	\$3,567	\$2,659	\$6,047
Indirect costs	1,765	2,024	1,835	6,047
Total Costs.....	4,494	5,591	4,494	12,094
FTEs.....	18	18	18	68
Performance Measure:				
Percentage of USDA electronic documents that are 508 compliant and accessible.				
Measure.....	N/A	50%	75%	80%
<u>Protect</u>				
Administrative costs (direct).....	\$17,419	\$17,846	\$18,309	\$18,368
Indirect costs	8,741	8,956	9,187	9,217
Total Costs.....	26,160	26,802	27,496	27,585
FTEs.....	48	48	55	55
Performance Measure:				
Percentage of USDA employees logging into the networks via Homeland Security Presidential Directive 12 (HSPD-12) using LincPass.				
Measure.....	50%	80%	85%	90%
Percentage of ASOC incidents closed within 30 days.				
Measure.....	92%	93%	95%	95%
Improve agency compliance with enterprise standards for cyber security tools and processes through outreach and training opportunities.				
Measure.....	50%	60%	70%	80%
Total Costs, All Strategic Goals.....	40,451	43,713	45,045	53,071
Total FTEs, All Strategic Goals.....	115	115	129	180