

2008 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 (IT) 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.

OCIO is leading USDA's efforts to transform the Department's delivery of information, programs, and services by using integrated services that simplify citizen's interaction with their government. OCIO is designing the Department's Enterprise Architecture to efficiently support USDA's move towards 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 control investment 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 link to the Exhibit 300s is located at: http://www.ocio.usda.gov/cpic/usda_cpic_material.html.

OCIO provides automated data processing (ADP) and wide-area telecommunications services funded partially through the USDA Working Capital Fund to all USDA agencies through the National Information Technology Center and the Telecommunications Services and Operations organization, 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, Office of the Chief Financial Officer, and Executive Operations.

OCIO also has direct management responsibility for the IT component of the Service Center Modernization Initiative (SCMI). This consolidates IT activities for the Farm Service Agency, the Natural Resources Conservation Service, and Rural Development.

The OCIO has three strategic goals and six strategic objectives that contribute to all Departmental strategic goals. As of September 30, 2006, there were 981 employees of which 961 were full-time permanent employees and 20 other than full-time permanent employees under the OCIO. These employees were located as follows:

<u>Location</u>	<u>Full-time permanent</u>	<u>Other</u>	<u>Total</u>
Washington, D.C.	147	5	152
Field Units	814	15	829
Total	961	20	981

OIG Reports:

OIG #50501-3-FM 10/2005

OCIO-Management and Security Over Information Technology Convergence-Common Computing Environment

OIG #50501-4-FM 10/2005

Review of the USDA's Certification and Accreditation Efforts

OIG #88501-6-FM 8/2006

Management & Security over USDA's UTN

GAO Reports:

GAO-06-831 8/2006

ENTERPRISE ARCHITECTURE: Leadership Remains Key to Establishing and Leveraging Architectures for Organizational Transformation

Closed Audits (During FY 2006)

OIG #50099-27-FM 3/2001

Security over USDA Information Technology Resources

OIG #50099-50-FM 9/2002

Government Information Security Reform Act - Fiscal Year 2002

OIG #88501-1-FM 9/2004

National Information Technology Center General Controls Review - Fiscal Year 2004

GAO-04-153NI 3/2004 (Limited Official Use Only)

Information Security - Further Efforts Needed to Address Serious Weaknesses at USDA

GAO-04-154 3/2004

Information Security - Further Efforts Needed to Address Serious Weaknesses at USDA

OFFICE OF THE CHIEF INFORMATION OFFICER

Available Funds and Staff Years2006 Actual and Estimated 2007 and 2008

Item	2006		2007		2008	
	Actual		Estimated		Estimated	
	Amount	Staff Years	Amount	Staff Years	Amount	Staff Years
Direct Appropriation.....	\$16,462,000	66	\$16,297,000	66	\$17,024,000	66
Rescission.....	-164,620	--	--	--	--	--
Total, OCIO.....	16,297,380	66	16,297,000	66	17,024,000	66
Obligations under Other USDA approp.'s:						
Reimbursements:						
E-Gov Presidential						
Initiative.....	14,447,856	--	12,211,000	--	12,103,000	--
E-Gov HSPD12.....	12,000,000	--	19,670,000	--	15,220,000	--
E-authentication.....	6,881,781	--	5,643,000	--	8,970,000	--
Ag Learn.....	1,220,000	--	1,000,000	--	1,390,000	--
Content Management.....	1,786,027	--	1,465,000	--	1,905,000	--
Enterprise Services.....	15,339,733	--	12,502,000	--	12,365,000	--
LDRPS.....	1,200,000	--	984,000	--	1,577,000	--
WCF Activities.....	409,837	3	420,000	3	430,000	3
Telecom OCIO.....	418,000	--	418,000	--	418,000	--
NTIA Spectrum.....	1,467,943	--	1,468,000	--	1,468,000	--
Subtotal, Reimb.....	55,171,177	3	55,781,000	3	55,846,000	3
<u>Working Capital Fund (WCF) a/</u>						
Information						
Technology.....	299,679,118	860	264,188,000	993	265,948,000	1,002
NITC (Non-USDA).....	12,908,907	27	12,523,000	32	17,107,000	32
Capital Equipment.....	218,000	--	7,500,000	--	5,545,000	--
Subtotal, WCF.....	312,806,025	887	284,211,000	1,025	288,600,000	1,034
Total, OCIO Officer.....	384,274,582	956	356,289,000	1,094	361,470,000	1,103

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

OFFICE OF THE CHIEF INFORMATION OFFICER
Permanent Positions by Grade and Staff Year Summary
2006 Actual and Estimated 2007 and 2008 a/

Grade	<u>2006</u> Washington, DC	<u>2007</u> Washington, DC	<u>2008</u> Washington, DC
Total SES.....	5	4	4
GS-15.....	18	16	16
GS-14.....	28	26	26
GS-13.....	8	8	8
GS-12.....	5	5	5
GS-11.....	1	1	1
GS-9.....	6	5	5
GS-7.....	2	2	2
GS-6.....	1	1	1
GS-5.....	1	1	1
<hr/>			
Total, Permanent Positions.....	75	69	69
<hr/>			
Unfilled Positions end-of-year.....	-6	--	--
<hr/>			
Total, Permanent Full Time Employment, end-of-year.....	69	69	69
<hr/>			
Staff Year Estimate....	69	69	69

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

OFFICE OF THE CHIEF INFORMATION OFFICER

Appropriation Language and Explanation of
Changes in Language

For the necessary expenses of the Office of the Chief Information Officer, \$17,024,000.

Lead-off Tabular Statement

Estimate, 2007.....	\$16,297,000
Budget Estimate, 2008.....	<u>17,024,000</u>
Increase in Appropriation.....	<u>+727,000</u>

Summary of Increases and Decreases – Current Law

(On basis of appropriation)

<u>Item of Change</u>	2007		<u>Program Changes</u>	2008
	<u>Estimated</u>	<u>Pay Costs</u>		<u>Estimated</u>
Office of the Chief Information Officer.....	\$16,297,000	+\$426,000	+\$301,000	\$17,024,000

Project Statement

(On basis of appropriations)

	<u>2006 Actual</u>		<u>2007 Estimated</u>		<u>Increase or Decrease</u>	<u>2008 Estimated</u>	
	<u>Amount</u>	<u>Staff</u>	<u>Amount</u>	<u>Staff</u>		<u>Amount</u>	<u>Staff</u>
		<u>Years</u>		<u>Years</u>			<u>Years</u>
Chief Information Officer.....	\$16,297,147	66	\$16,297,000	66	+\$727,000	\$17,024,000	66
Unobligated Balance.....	+233	--	--	--	--	--	--
Total available or estimate....	16,297,380	66	16,297,000	66	+727,000 (1)	17,024,000	66
Rescission.....	+164,620	--	--	--			
Total, Appropriation	16,462,000	66	16,297,000	66			

Justification of Increases and Decreases

(1) An increase of \$727,000 for the Office of the Chief Information Officer consisting of:

a) A total increase of \$426,000, of which \$228,000 is for 2008 increased pay costs, and \$198,000 is for 2007 pay costs.

This increase is needed to maintain the current level of staffing to ensure that OCIO can carry out its full range of responsibilities and agency goals.

b) An increase of \$301,000 to maintain and support current staff.

This increase will enable OCIO to maintain staffing level. It is absolutely critical that OCIO be able to support and maintain current staffing levels in order to manage the Department's Information Technology investments, at a time when program mandates are increasingly focusing on securely delivering electronic services while preventing and preparing for homeland security-related events. Successfully meeting these challenges will require the full utilization and funding of these staff years.

Geographic Breakdown of Obligations and Staff Years
2006 Actual and Estimated 2007 and 2008

	2006		2007		2008	
	Amount	Staff Years	Amount	Staff Years	Amount	Staff Years
District of Columbia	16,297,147	66	16,297,000	66	17,024,000	66
Unobligated balance	233	--	--	--	--	--
Total, Available or Estimate	<u>16,297,380</u>	<u>66</u>	<u>16,297,000</u>	<u>66</u>	<u>17,024,000</u>	<u>66</u>

OFFICE OF THE CHIEF INFORMATION OFFICER

Classification by Objects

2006 Actual and Estimated 2007 and 2008

	<u>2006</u>	<u>2007</u>	<u>2008</u>
Personnel Compensation:			
Washington, D.C.	<u>\$6,699,253</u>	<u>\$6,709,000</u>	<u>\$7,205,000</u>
11 Total personnel compensation	6,699,253	6,709,000	7,205,000
12 Personnel benefits	1,407,645	1,409,000	1,523,000
13 Payments to prior employees	<u>2,039</u>	<u>--</u>	<u>--</u>
Total personnel comp. & benefits	8,108,937	8,118,000	8,728,000
Other Objects:			
21 Travel	174,702	175,000	179,000
22 Transportation of things	8,158	8,000	8,000
23.3 Communications, utilities, and misc. charges	566,152	556,000	579,000
24 Printing and reproduction	23,087	23,000	24,000
25.2 Other services	3,663,613	3,664,000	3,668,000
25.3 Purchases of goods and services from Government Accounts	3,018,671	3,019,000	3,092,000
26 Supplies and materials	300,926	301,000	303,000
31 Equipment	421,160	421,000	431,000
43 Interest and Dividends	<u>11,741</u>	<u>12,000</u>	<u>12,000</u>
Total other objects	<u>8,188,210</u>	<u>8,179,000</u>	<u>8,296,000</u>
Total direct obligations	<u>16,297,147</u>	<u>16,297,000</u>	<u>17,024,000</u>
<u>Position Data:</u>			
Average Salary, ES positions	\$158,182	\$160,672	\$163,761
Average Salary, GS positions	\$104,543	\$107,152	\$112,988
Average Grade, GS positions	14.5	14.6	14.8

OFFICE OF THE CHIEF INFORMATION OFFICER

STATUS OF PROGRAM

Expanding Electronic GovernmentCurrent Activities:

USDA Initiatives. Progress made during FY 2006 allows USDA to continue a fundamental shift in its approach to delivering enterprise services. The initiatives were originally outlined in USDA's E-Government Strategic Plan approved by the Deputy Secretary in June 2002. The Office of the Chief Information Officer's (OCIO) commitment to these initiatives is renewed in the Information Technology (IT) Strategic Plan. This progress is due to the hard work and continued commitment of USDA agencies. Participation is strong, with USDA agencies actively participating in the enterprise-wide shared services projects (USDA's eAuthentication Service, AgLearn, and the common infra-structure provided through USDA's Enterprise Shared Services and Enterprise Correspondence Management system).

USDA Participation in Presidential Initiatives. USDA continues to support the goals of the President's Management Agenda (PMA) by participating in 21 of the 25 Presidential Initiatives and 8 of the 9 Lines of Business, listed in Table 1 below. USDA is also an active participant in developing a government-wide infrastructure to support Homeland Security Presidential Directive 12. USDA is involved in developing business cases and implementation plans for these initiatives. USDA, through its participation in the E-Payroll initiative, was selected as one of only four Federal payroll providers by the Office of Personnel Management (OPM).

USDA provided \$11.0 million to support ten Presidential Initiatives and three Lines of Business in FY 2006. USDA expects to contribute \$10.9 million in FY 2007. In addition to financial contributions, many USDA agencies are engaged in supporting the various Presidential Initiatives. Moreover, many of USDA's Enterprise Shared Services are integrated with and support USDA's contributions to the Presidential Initiatives.

By participating in the Presidential Initiatives and Lines of Business, USDA has improved its business processes and program delivery to customers. 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 lines of business to achieve further benefits for our customers.

Table 1: Presidential E-Government Initiatives and Lines of Business

Presidential Initiatives:

- | | |
|--|--|
| 1. Business Gateway | 8. Grants.gov |
| 2. Disaster Management | 9. Integrated Acquisition Environment |
| 3. E-Authentication | 10. International Trade Process Streamlining |
| 4. E-Clearance | 11. Recreation One-Stop |
| 5. E-Government Travel | 12. Recruitment One-Stop |
| 6. E-Loans | 13. SAFECOM |
| 7. Enterprise Human Resources Integration (EHRI) | 14. USDA Services |

15. E-Payroll
16. E-Records Management
17. E-Rulemaking
18. E-Training
19. Federal Asset Sales
20. Geospatial One-Stop
21. GovBenefits.gov

Lines of Business:

1. Budget Formulation and Execution
2. Federal Health Architecture
3. Financial Management
4. Geospatial
5. Grants Management
6. Human Resources
7. IT Infrastructure Optimization
8. IT Security

Selected Examples of Recent Progress:

USDA's E-Authentication Service

- Received certification of USDA's E-Authentication Service as one of four Government Services Administration-approved, government-wide credential service providers, which enables USDA to provide Level 2 credentials to other Federal agencies.
- Integrated USDA's E-Authentication Service with Grants.gov. This latest integration expands the list of interdepartmental services that are supported by USDA's E-Authentication Service, which includes the Department of Commerce (www.export.gov), the National Park Service (Research Permit Reporting System), Housing and Urban Development (FHA Connection mortgage lending), and National Science Foundation (FastLane).
- Integrated USDA's E-Authentication Service with 78 additional USDA Web-based applications in FY 2006, bringing the total number of integrated applications to 211 – exceeding both the FY 2006 target of 175 and the FY 2007 target of 200.
- Credentialed more than 95,000 employees and 110,000 customers for USDA's E-Authentication Service.

E-Training and AgLearn

- AgLearn is USDA's implementation of the President's E-Training E-Government Initiative. During November 2006, approximately 132,000 AgLearn users completed 865 different courses.
- Integrated the USDA Graduate School's catalog of courses with AgLearn to provide employees with more course options in a single location.
- Began providing training data electronically from AgLearn to OPM, where it is accessible through the Electronic Official Personnel Folder (eOPF).
- Delivered Department-wide and agency-specific mandatory training, e.g., security awareness, privacy, and ethics training, through AgLearn.
- Deployed more than 3,000 agency-specific courses on AgLearn.
- Negotiated a volume discount for AgLearn that reduced the cost per license for online courses by 28 percent.

Other Presidential Initiatives

- Posted all USDA discretionary grants on Grants.gov; electronic application packages were posted for 50 percent of the opportunities in FY 2006, providing grantees with the option to submit applications electronically. USDA is currently posting application packages for 100 percent of the funding opportunities on Grants.gov.
- Linked USDA forms pages to Business Gateway and posted them in the Forms Catalog at the Forms.gov page, which is accessible through the Business.gov Web site.

- Used the Disaster Management initiative's Disasterhelp.gov Web site for posting emergency information for the public. The Web site provides readily available information to enhance Disaster Management on an interagency and intergovernmental basis.
- Provided data to the Enterprise Human Resources Integration data warehouse for all agencies that utilize USDA's payroll services. As of August 2006, all employees' newly issued SF-50s are entered electronically into an employee's eOPF. USDA also began the extensive process to sort through paper files to select appropriate documents to convert to files for the eOPFs.
- USDA's Departmental Administration was selected as a Center of Excellence for Federal Asset Sales.
- Listed Rural Development single family homes for sale on HomeSales.gov, the Federal Asset Sales initiative's real property sales solution. HomeSales.gov provides information on previously owned single family homes for sale by the Federal government.
- Posted all applicable USDA position vacancies on USAJobs.gov, the Web site of the Recruitment One-Stop initiative.
- Used procurement vehicles provided by the USA Services initiative to plan for emergency hotline and help desk needed for a Department-wide emergency.
- Four agencies: Animal and Plant Health Inspection Service (APHIS), Foreign Agricultural Services (FAS), Farm Service Agency (FSA), and Food Safety and Inspection Service (FSIS) migrated to the Federal Docket Management System (FDMS) in FY 2006 in partnership with the E-Rulemaking initiative to make all regulatory actions accessible to the public through a government-wide Web site. USDA's remaining rulemaking agencies migrated to FDMS by December 2006.
- Began using the Environmental Quality Incentives Program to record information need to obtain security clearances in support of E-Clearance.
- USDA's National Information Technology Center (NITC) was selected to host GovBenefits.gov at its Kansas City, Missouri, data center. NITC provides 24x7 operations and customer service and level 4 security.

Enterprise Correspondence Management

- Launched the Enterprise Correspondence Management Module (ECMM), which replaced the legacy *Staff Action* system for use by all USDA agencies to manage the Secretary's correspondence. Several agencies now use ECMM to track their own correspondence.
- Converted more than 730,000 *Staff Action* documents to ECMM; more than 120,000 documents have been created since ECMM launched at the beginning of FY 2006.

Enterprise Shared Services

Enterprise Shared Services (ESS) is a suite of tools, standards, and business applications that facilitate USDA's Department-wide effort to deliver citizen-centric, online information and services. USDA developed these shared services with the goal of maximizing efficiency, reducing cost, and improving customer service. ESS was developed specifically to save costs by eliminating stovepipe systems being developed by individual agencies. This initiative was developed using a team of representatives from each agency to foster agency ownership of what was created. Following are a few of the major accomplishments for FY 2006:

- The following agencies began using the enterprise Web Content Management software: Agricultural Marketing Service, FSA, Forest Service, OCIO, Office of the Inspector General (OIG), Office of the Chief Financial Officer, Office of Budget and Program Analysis (OBPA), Assistant Secretary for Civil Rights, Agricultural Research Service, and Natural Resources Conservation Service.

- Began implementing the enterprise document management application in Food and Nutrition Service (FNS), FAS, Rural Development (RD) FSIS, APHIS and FSA.
- Migrated more than 40 agency Web sites to the USDA Web style standard, improving usability and reducing duplication.

Expanding Electronic Government: Security

Current Activities:

Cyber Security. OCIO continues to implement its aggressive strategy to improve USDA's information security by providing training and establishing standardized computer security policies, processes and controls within the Department. The development of a five year Cyber Security Strategic Plan was completed and development of supporting annual tactical plans are underway. These activities align with best management practices, Federal laws and oversight requirements. Extensions of our training program include a monthly Best Practices seminar series and the development of easy to use guides to simplify the processes that address the Federal cyber requirements for use by the agencies and the Department as a whole.

Systems Certification and Accreditation. Security accreditation is the official management decision to authorize operation of an information system. Security accreditation, which is required under the Office of Management and Budget (OMB) Circular A-130, challenges managers and technical staff at all levels to implement the most effective security controls and techniques, given technical, operational, cost and schedule constraints, and mission requirements. To meet this security requirement, OCIO has developed an aggressive strategy for certifying and accrediting USDA's information systems. This strategy includes policy, guidance, training, contract and staff support, and on-going program management. While it is virtually impossible to assure that all systems are always in a state of full accreditation because of the changing universe including new systems, developing systems and expiring accreditations, the Department's goal is to maintain a very high percentage of accredited systems. This is accomplished through a rigorous program including, but not limited to, policy compliance reviews, certification concurrence reviews, independent verifications and validations distribution of USDA-specific guidance grounded in National Institute of Standards and Technology (NIST) and other Federal standards, and pro-active communication efforts.

Information Survivability. One essential goal of USDA's computer security program is to develop recovery strategies to minimize disruptions in the event of a catastrophic interruption. To achieve this objective, OCIO is leading the development and deployment of disaster recovery and business resumption plans for all USDA IT Systems. Efforts in this area are being coordinated with Departmental Administration.

Secure Communications Initiative. This initiative involves the implementation of a National Security Agency (NSA) compliant infrastructure, in collaboration with the Department of Homeland Security, for the transmission of classified data.

Intrusion Detection. OCIO continues to improve the Department's Intrusion Detection System and tighten the security management of Departmental networks in order to detect and mitigate intrusions that could potentially compromise or damage critical information assets. Efforts are underway to consolidate key security information and improve the effectiveness of this system.

Telecommunications Policy. OCIO is actively engaged with the agencies and other major offices within USDA to establish telecommunications policies and procedures that will enhance security and promote more effective and efficient use of telecommunications. OCIO has developed and published policy to ensure the effective implementation of security in the following areas: encryption; sensitive-but-unclassified information handling; use of public key infrastructure, Internet and email use; and telework and other areas that will improve USDA's security.

Asset Management. USDA has used its collective buying power to establish a number of enterprise agreements for IT hardware, software and services that are security-specific. OCIO has led these efforts by identifying products that many USDA agencies purchase and then establishing a lead agency for each enterprise agreement. USDA continues to research an asset management approach that provides for strategic consolidations and the elimination of duplicative efforts.

Selected Examples of Recent Progress:

Systems Certification and Accreditation

OCIO led an interagency team in the development of a USDA Certification and Accreditation (C&A) Guide that provides a comprehensive and uniform approach to the C&A process. Individuals responsible for, or involved in the C&A process, use this guide to assist them in certifying and accrediting all USDA general support systems and applications. The C&A policy and guide are constantly being reviewed and updated to improve USDA's security program. In addition to providing companion templates to this guide, OCIO has also:

- Developed guidance for contingency testing and plans, setting accreditation boundaries consistent with Capital Planning and Investment Control (CPIC), and security plan templates.
- Established a contract vehicle through which agencies engaged contract support in activities and documentation required for C&A. Numerous USDA agencies have engaged contract support through OCIO's Blanket Purchase Agreement for security assessments and security plan development and for completion of phase 1 and phase 2 of certification and accreditation.
- Implemented a concurrency review process that reviewed all documentation and provided an independent assessment to the designated accrediting authority prior to the system receiving an authority to operate. USDA certified and accredited more than 90 percent of its IT systems during FY 2006.

Information Survivability

- OCIO installed the latest version of the Living Disaster Reporting and Planning System, now renamed the Enterprise Contingency Program Planning System (ECPPS).
- ECPPS is designed for storing and maintaining Business Continuity Plans (which include Disaster Recovery Plans) in one central repository, thereby allowing easy access from any location.

Security Awareness and Training

- Developed and distributed an Executive Security Briefing Handbook to all subcabinet officials and agency heads to inform them of the importance of IT security.
- Over 95 percent of Agriculture personnel received security awareness training in FY 2006.

Information Security Technical and Management Controls

- Continued to make scanning tools available to USDA agencies that detect security vulnerabilities within the systems and networks they manage. Ongoing support and training is provided for these tools.
- Maintained a contract vehicle through which USDA agencies and offices obtained software tools that automate the process of applying security patches at a reduced cost.
- Assisted USDA agencies by performing penetration testing. This ensured that tested USDA systems were operating within USDA policy and guidance.
- Deployed USDA-wide anti-virus capabilities.
- Reduced the number of Simple Mail Transfer Protocol gateways receiving email from the Internet.
- Established minimum configuration standards that comply with NIST and NSA.
- Worked with agency telecommunication officials to update and clarify telecommunication policies to include wireless and voice over internet protocol.
- Developed, coordinated and submitted the first USDA Strategic Spectrum Plan to the National Telecommunications and Information Administration (NTIA) in accordance with the President's Spectrum Policy Reform Initiative.
- Coordinated with the NTIA and the FS to transition 1,027 radio frequencies to the Federal Communications Commission for the Advanced Wireless Services auction that netted the Federal government close to \$14 billion. Identified alternative replacement technologies that are more spectrally efficient and conducted pilot tests to ensure the feasibility of implementing them.

Expanding Electronic Government: Information Technology Governance

Current Activities:

Enterprise Architecture. The use of an Enterprise Architecture (EA) is a key to providing the technology data and information that is essential for the Department to achieve its goals and objectives. Moreover, the Clinger-Cohen Act of 1996, the eGovernment Act of 2002, and guidance from both OMB and the General Accountability Office (GAO) have all encouraged or in some cases mandated the development and use of EA in order to effectively manage IT and to make prudent IT investment decisions.

The USDA EA program is a collaborative effort between OCIO, USDA agencies, and numerous other groups and individuals. Based on the Federal Enterprise Architecture Reference Models, USDA programs consist of a current architecture, target architecture, and transition plan. USDA's Department-wide EA effort provides a "corporate" view of an EA, and builds on the architectures already under development within USDA's agencies. At the center of the USDA EA knowledge base is the EA Repository (EAR) that supports the basic elements of the architecture. This system can be aligned with other knowledge repositories based on common key data points. It also enables the creation of value-added reports, the sharing of key information, the development and storage of models, and other important functions.

Primary users of the USDA EA include strategic planners, enterprise architects, business process owners, program managers, project managers, vendors, budget officers, investment decision-makers, acquisition personnel, developers, and security personnel.

Future EA activities include:

- Implementation of more advanced functionality in the production version of the USDA EAR.
- Continued development of reporting capabilities of the repository to support analysis and evaluation of architecture components.
- Population of the technical architectures in the repository.
- Development of lower level segment architecture build-out to permit more detailed EA analysis.
- Implementation of an advanced training program for the EAR.

Capital Planning and Investment Control (CPIC). OCIO is responsible for ensuring that the Department's IT investments deliver business benefits to agencies and a positive return on the investment for taxpayers. To accomplish this goal, USDA established the CPIC program in 1997 for selecting, managing, and evaluating the results for all major IT investments. The Department's E-Board, which is chaired by the Deputy Secretary and is made up of the Sub Cabinet, is the CPIC decision-making body at USDA. CPIC is a key component of USDA's Integrated Information Technology Governance process and is used to select investments based on applicable GAO and OMB guidance. Investments are assessed based on their ability to meet mission needs, a cost/benefit/return profile, security, telecommunications, support of the PMA, enterprise architecture, and the risks of the investment. The CPIC program uses a consistent set of information that permits evaluations across different investments as well as focusing agency attention on factors that bear on their investments and their management of IT resources.

IT Acquisition Approval Process. The IT acquisition approval process involves a review by OCIO staff of all IT investments over \$25,000 for conformity with the USDA enterprise architecture, PMA objectives, elimination of telecommunications duplication, security concerns, the Rehabilitation Act Section 508 requirements, and the need for additional documentation for supporting CPIC. IT Acquisitions that do not meet USDA or Government standards are rejected.

IT Workforce Planning and Development: OCIO participates in many Federal activities to ensure USDA's IT workforce is well trained and has the requisite experience to contribute significantly to the accomplishment of USDA's mission. OCIO continues to provide IT Investment and Project Management training to improve the management of IT investments and to ensure efficient and cost-effective investments at USDA. Training supports project and earned value management as well as performance-based acquisitions for IT.

IT Project Management. OCIO continues to provide IT Investment and Project Management training to improve the management of IT investments and to ensure efficient and cost-effective investments at USDA. Training supports project and earned value management as well as performance-based acquisitions for IT.

Asset Management. USDA has used its collective buying power to establish a number of enterprise agreements for IT hardware, software, and services. OCIO has led these efforts by identifying products that many agencies purchase and then establishing a lead agency for each enterprise agreement.

Selected Examples of Recent Progress:Enterprise Architecture

- Developed the transition plan for the USDA target architecture.
- Started full segment architecture build-out for two lines of business.

- Utilized EA data to evaluate agency IT investments and acquisitions.
- Developed governance and configuration management programs.
- Developed an IT Solutions Development Life Cycle document.
- Developed a Configuration Management Plan for USDA.
- Continued support for the identification and refinement of the target architecture and transition plan.
- Continued development of common enterprise architecture elements, particularly those supporting enterprise-wide projects.
- Continued alignments of investments to the FEA Reference Models.
- Implemented the USDA EAR for the collection and sharing of enterprise architecture information.
- Continued alignment of USDA EA information to the FEA Reference Models.
- Supported NIST standards activities.
- Supported enterprise architecture communities of practice; specifically, the Chief Architects Forum the Architecture and Infrastructure Committee, the Data Architecture Subgroup and the Enterprise Process Improvement Committee.

Capital Planning and Investment Control (CPIC)

The USDA IT investment portfolio for fiscal year 2006 included 320 investments valued at \$1.9 billion. OCIO consolidated the management of IT policy, capital planning, EA, information management, and eGovernment functions in mid 2006. This consolidation provided an opportunity for greater integration among these key areas. OCIO leveraged this opportunity by conducting an analysis of these functions to determine strengths, weaknesses, and opportunities to improve its overall performance. This led to plans to integrate the operational policies and practices for these efforts in a manner that created a mutually-reinforcing and more efficient process. OCIO has named that process Integrated IT Governance.

An authoritative knowledge base to support investment planning and decision-making at all levels of USDA will be the nucleus of OCIO Integrated IT Governance Initiative. The knowledge base is being built around our EAR and capital planning data sets. OCIO is in the early stages of defining and implementing policies and procedures needed to capture and integrate information about its IT investments from the multiple IT management processes that are currently in place. These include: strategic planning, capital planning, portfolio management, operations planning and implementation, and security management. For example, in 2006 OCIO refined and enhanced USDA's CPIC policy to require agencies to record a standard set of data elements for every investment in the EAR as a prerequisite to including the investment in USDA's FY 2008 budget submission.

In conjunction with the processes for capturing the necessary data, OCIO has defined a new IT governance structure that is expected to bring greater visibility to business transformation and cost saving opportunities. The governance structure will employ standard system development life cycle disciplines and formalize change planning and impact analysis processes. The expected results of the overall integrated IT governance effort are:

- More transparent IT investment decisions across USDA.
- Increased accountability from investment decisions through measurement of Return on Investment.
- Increased reliability, reduced rework, and cost savings from better change planning efforts.

The key focus in FY 2007 is to refine and implement the integrated IT governance initiative. This is critically important to maturing the overall management of IT across USDA. In addition to the progress described above for the initiative, OCIO is aggressively analyzing the details of its investment plans that will be defined and completed in the FY 2008 investment cycle. Greater integration of these policies will occur as OCIO begins the budget year 2009 investment cycle in January 2007. OCIO is placing significant focus on use of its EA, the quality of business cases, and use of the earned value management discipline to manage investments.

IT Acquisition Approval Process

- Reviewed 193 IT Acquisition Approval requests in FY 2006, with a dollar value of about \$730 million. (Most were approved with conditions that addressed architecture alignment and security issues).
- Maintained threshold for IT investments requiring approval at \$25,000 to ensure that Department is spending IT resources on its highest priorities.
- Used the acquisition approval process to attain USDA's IT architecture goals and to ensure that investments do not replicate services that are already available through a USDA solution or an inter-Departmental service provided through the President's E-Government Initiatives; services adhere to Section 508 requirements for accessibility; telecommunications resources are shared at collocated office sites; and that much greater emphasis is placed on security.

Workforce Planning and Development

- USDA is currently participating in the IT Workforce Capability Assessment, a survey conducted every two years by OPM. OCIO has vigorously promoted the survey, and has already exceeded USDA's response rate of 11 percent for the 2004 survey. Once the survey is completed, OCIO will work with the agencies in reviewing the survey data, determining potential IT skill and competency gaps, and developing action plans to close the identified skill gaps.
- In FY 2006, three EAR basic training classes were conducted. Classes were held in Washington, D.C., in December and May and in Kansas City, Missouri, in May. A total of 25 students attended these classes: one each from FAS, FSA, OIG, National Agricultural Statistics Service, Office of Communication, and OBPA; two from NITC; three from OCIO; four from Risk Management Agency; and ten from National Finance Center. Beginning in late FY 2006, the Enterprise Architecture Division (EAD) began delivering training on the new version of the EAR using Web-based technology, eliminating the need for trainees to travel to a central location for training. The flexibility offered by Web-based training sessions alleviated past issues with low attendance for classroom training. EAD plans to continue using Web-based, remote training in FY 2007; classroom training will be held only if there is sufficient demand.

IT Project Management

- Sponsored by OCIO, USDA's IT Investment/Project Management training provides USDA IT professionals with skills, tools, and techniques needed to manage IT projects effectively. It also emphasizes the issues encountered in managing within the USDA CPIC process and other Federal requirements mandated by the Clinger-Cohen Act of 1996. The training covers Federal best practices as well as the nine knowledge areas specified by the Project Management Institute (PMI) in the Project Management Body of Knowledge, the industry standard for project management training. At the end of the training, participants are eligible to take the examination administered by PMI for Certification as a Project Management Professional. As of September 30, 2006, 434 USDA employees have completed the training and 183 of the graduates have obtained professional certification as Project Managers by passing the PMI exam. OCIO is planning at least one more class for FY 2007 and is targeting IT professionals who manage or

are team members of major IT Investments at USDA. During FY 2006, USDA also trained staff from the Environmental Protection Agency, Department of Defense, Marine Corps, and Department of Homeland Security.

- During FY 2006, OCIO sponsored customized training for conducting Independent/Integrated Baseline Reviews (IBRs). A total of five classes were held from December 2005 through January 2006 in Washington, D.C.; Fort Collins, Colorado; and Kansas City and Saint Louis, Missouri. Trainees received tools and templates for use in performing and documenting IBRs. As part of the training, attendees participated in IBRs/EVM compliance reviews of USDA's major IT investments.

Asset Management

- USDA's Departmental Regulation 3600-000, Information and Technology Transformation, November 2, 2004, already provides the policy required for agencies to use SmartBUYs. In addition to the existing policy, USDA issued a memo to explicitly mandate the use of SmartBUYs. This memo was issued on December 19, 2005, to agency Chief Information Officers (CIO) and other IT leadership. In addition, all investments for \$25,000 or more must be approved by the Chief Information Officer (CIO) and the use of SmartBUYs is an existing component of the review. The USDA CIO also established policy on October 16, 2002, with a published memo to agency heads and IT leadership requiring agencies to align all investments with government-wide and/or enterprise shared services.
- USDA negotiated an enterprise license agreement in FY 2006 with Environmental Systems Research Institute that covers their core geospatial software tools. The agreement also includes limited training. The agreement is available to all USDA agencies and their partners, including soil and water conservation districts, for USDA business. USDA intends to continue the agreement for FY 2007 and beyond, and increase the services available through the agreement.

OFFICE OF THE CHIEF INFORMATION OFFICER

Summary of Budget and Performance

Statement of Goals and Objectives

The OCIO has three strategic goals and six objectives that contribute to all of the Department Strategic goals and objectives.

USDA Strategic Goal/Objective	Agency Strategic Goal	Agency Objectives	Programs that Contribute	Key Outcome
OCIO supports all Departmental goals	Agency Goal 1: Provide customers and employees with access to the information they need.	<p><u>Objective 1.1:</u> Enhance service delivery by:</p> <p>1) improving citizens knowledge and access to USDA services,</p> <p>2) Collaborating with public and private partners, and</p> <p>3) Achieving internal efficiency through enterprise-wide solutions.</p> <p><u>Objective 1.2:</u> Provide high quality, secure, and reliable telecommunications services to USDA agencies and customers, enabling them to obtain timely and accurate data.</p>	<p>e-Gov</p> <p>Presidential e-Gov Initiatives</p> <p>Departmental e-Gov Initiatives</p> <p>Enterprise Architecture</p> <p>Telecommunications</p>	<u>Key Outcome 1:</u> Customers and employees have access to the information they need.
OCIO supports all Departmental goals	Agency Goal 2: Ensure the privacy of customer data and protection and safety of USDA information.	<p><u>Objective 2.1:</u> Strengthen the security of USDA information assets.</p> <p><u>Objective 2.2:</u> Promote awareness and understanding of USDA Cyber Security Program by enhancing communications within all levels of USDA and implement mechanisms to enhance information sharing and interoperability among all bureaus within USDA.</p> <p><u>Objective 2.3:</u> Centrally manage and monitor all USDA network and security systems across the diverse USDA IT environment and intelligently and proactively mitigate security breaches and vulnerabilities.</p>	<p>Systems Certification and Accreditation</p> <p>Cyber Security</p> <p>Enterprise Architecture</p> <p>Information Survivability</p>	<u>Key Outcome 2:</u> USDA programs are delivered in a safe, secure IT environment that protects the confidential data of customers and program recipients.

USDA Strategic Goal/Objective	Agency Strategic Goal	Agency Objectives	Programs that Contribute	Key Outcome
OCIO supports all Departmental goals	Agency Goal 3: Strengthen the management and use of USDA IT resources.	<u>Objective 3.1:</u> Focus IT spending on high priority modernization initiatives.	Capital Planning and Management Asset Management and Risk Assessment	<u>Key Outcome 3:</u> USDA acquires, manages and uses IT resources in cost efficient ways; and achieves economies of scale.

GOAL 1: Provide customers and employees with access to the information they need

GOAL 2: Ensure the privacy of customer data and protection and safety of USDA information

GOAL 3: Strengthen the management and use of USDA IT resources

Strategic Objective and Funding Matrix
(On basis of appropriation)

	<u>2006 Actual</u>		<u>2007 Estimate</u>		<u>Increase or Decrease</u>	<u>2008 Estimate</u>	
	<u>Amount</u>	<u>Staff Years</u>	<u>Amount</u>	<u>Staff Years</u>		<u>Amount</u>	<u>Staff Years</u>
Goal 1.....	\$8,607,147	25	\$8,426,000	25	+\$387,000	\$8,813,000	25
Goal 2.....	3,928,000	19	4,106,000	19	+160,000	4,266,000	19
Goal 3.....	3,762,000	22	3,765,000	22	+180,000	3,945,000	22
Unobligated..	233	--	--	--	--	--	--
Total Available.....	16,297,380	66	16,297,000	66	+727,000	17,024,000	66

Selected Accomplishments Expected at the FY 2008 Proposed Resource Level:

GOAL 1: Provide customers and employees with access to the information they need.

- During FY 2008, USDA agencies will continue integrating their online services with USDA's enterprise eAuthentication Service. USDA also plans to continue enhancing the features and functionality of its eAuthentication Service, e.g., implementing a new process for automated recovery of forgotten passwords and user IDs, and improvements for Local Registration Authorities.

GOAL 2: Ensure the privacy of customer data and protection and safety of USDA information.

- Complete certification and accreditation process for all systems in its inventory.
- Document and maintain security costs for each system within agency/mission area.
- Cross-walk the Federal Information Security Management Act list of systems to the Enterprise Architecture Repository.
- Ensure IT Security is embedded in the system development life cycle.
- Complete consolidating security operations into a centrally managed facility for USDA in its Kansas City regional center.

GOAL 3: Strengthen the management and use of USDA IT resources.

- During FY 2008, OCIO will continue to offer a variety of training on Earned Value Management (EVM) and other project management issues. Staff will monitor agency updates to WorkLenz to ensure that actual performance data is being tracked for all IT investments that meets USDA's EVM threshold. Staff will also monitor agency EVM process maturity. OCIO will continue to monitor IT investments on OMB's "watch list" to ensure the quality of the business case documentation is strengthened.

**Summary of Budget and Performance
Key Performance Outcomes and Measures**

Goal 1. Provide customers and employees with access to the information they need.

Key Outcome: Customers and employees have access to the information they need.

Key Performance Measure: Increase return on investment for eGov and Lines of Business Common Solutions

Goal 2. Ensure the privacy of customer data and protection and safety of USDA information.

Key Outcome: USDA programs are delivered in a safe, secure IT environment that protects the confidential data of customers and program recipients.

Key Performance Measures:

- Percent of USDA IT systems that are certified, accredited or otherwise authorized as being properly secured.
- Percent of identified population that completed annual security awareness refresher training.
- Number of program security reviews completed.

Goal 3. Strengthen the management and use of USDA IT resources.

Key Outcome: USDA acquires, manages and uses IT resources in cost efficient ways; and achieves economies of scale.

Key Performance Measures:

- Number of investments in USDA IT portfolio.
- Through the use of EVM, increase the percentage of USDA IT projects that are within 10 percent of cost/schedule/performance objective.

Key Performance Targets

Performance Measure	2003 Actual	2004 Actual	2005 Actual	2006 Actual	2007 Target	2008 Target
Performance Measure #1. Increase return on investment (ROI) for e-Government and Lines of Business (LOB) common solutions.	N.A.	N.A.	N.A.	5%	5%	5%
Performance Measure #2. Percent of USDA IT systems that are certified, accredited or otherwise authorized as being properly secured.	N.A.	20%	90%	93.7%	100%	100%
Percent of identified population that completed annual security awareness refresher training.	N.A.	N.A.	90%	99%	90%	95%
Number of program security reviews completed.	N.A.	N.A.	8	10	8	8
Performance Measure #3. Number of investments in USDA's IT portfolio.	425	400	320	300	300	300
Through the use of Earned Value Management (EVM), increase the percentage of USDA IT projects that are within 10% of cost/schedule/performance objectives.	N.A.	N.A.	Est. Baseline	100%	100%	100%

OFFICE OF THE CHIEF INFORMATION OFFICER				
Full Cost by Agency Strategic Objective				
PROGRAM	PROGRAM ITEMS	Dollars in thousands		
		FY 2006	FY 2007	FY 2008
Goal 1. Provide customers and employees with the access to the information they need.				
IT support to OSEC and Office of Communications				
	Administrative Costs (Direct)	\$1,508	\$1,540	\$1,571
E-Government				
	Administrative Costs (Direct)	4,349	3,957	4,235
Telecommunications Services & Operation				
	Administrative Costs (Direct)	1,226	1,252	1,278
Information Resource Management				
	Administrative Costs (Direct)	1,523	1,677	1,729
	Total Costs	8,606	8,426	8,813
Performance Measure:				
Increase return on investment (ROI) for e-Government and Lines of Business (LOB) common solutions				
		5%	5%	5%
	FTE	25	25	25
Goal 2. Ensure the privacy for customer data and protection and safety of USDA information.				
Cyber Security				
Program Office	Administrative Costs (Direct)	\$2,157	\$2,297	\$2,383
IV & V	Administrative Costs (Direct)	388	397	431
ISS Maintenance	Administrative Costs (Direct)	1,383	1,412	1,452
	Total Costs	3,928	4,106	4,266
Performance Measure:				
Percent of USDA IT Systems that are certified, accredited, or otherwise authorized as being properly secured				
		93.7%	100%	100%
Percent of identified population that completed annual security awareness refresher training				
		99%	90%	90%
Number of program security reviews completed				
		10	8	8
	FTE	19	19	19
Goal 3. Strengthen the management and use of USDA IT resources.				
Program Management Office				
	Administrative Costs (Direct)	\$638	\$651	\$672
Enterprise Architecture				
	Administrative Costs (Direct)	915	934	958
Capital Planning				
	Administrative Costs (Direct)	919	938	973
Other Goal 3. Activities				
	Administrative Costs (Direct)	1,291	1,242	1,342
	Total Costs	3,763	3,765	3,945
Performance Measure:				
Number of investments in USDA's IT Portfolio				
		300	300	300
Through the use of EVM, increase the percentage of a USDA IT projects that are within 10% of cost/schedule/performance objectives.				
		100%	100%	100%
	FTE	22	22	22
Reimbursement				
	FTE	3	3	3
Total Cost all Programs				
	Administrative Costs (Direct)	\$16,297	\$16,297	\$17,024
	FTEs	69	69	69

2008 Explanatory Notes
Office of the Chief Information Officer
Common Computing Environment
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OFFICE OF THE CHIEF INFORMATION OFFICER
Common Computing Environment

Purpose Statement

The objective of the Service Center Modernization Initiative (SCMI) is to create an environment of one-stop quality service for customers of the Farm Service Agency (FSA), the Natural Resources Conservation Service (NRCS), and the Rural Development (RD) agencies. The Common Computing Environment (CCE) provides the shared information technology (IT) to assist the Service Center Agencies (SCA) in accomplishing this objective. SCMI involves office co-location, business process re-engineering, culture change, building partnerships and improving customer satisfaction – in addition to a modern integrated technology. In March 2000, the Office of the Chief Information Officer (OCIO) was given direct management responsibility for the CCE.

The Information Technology Services (ITS) replaced a network of cross-agency teams used to coordinate IT infrastructure investment within the SCA and allows for unified management of the IT infrastructure. The ITS focuses around the delivery of the following classes of technology services: Acquisition and Asset Management, Application Development and Deployment, Customer Support and End User Computing, Data Utility, Hosting, Security, Telecommunications and Web Services. Service Level Agreements that specify performance metrics negotiated annually with the SCA for each class of service.

OFFICE OF THE CHIEF INFORMATION OFFICER
Common Computing Environment

Statement of Available Funds and Staff Years
2006 Actual and Estimated 2007 and 2008

	<u>2006 Actual</u>		<u>2007 Estimate</u>		<u>2008 Estimate a/</u>	
	<u>Amount</u>	<u>Staff Years</u>	<u>Amount</u>	<u>Staff Years</u>	<u>Amount</u>	<u>Staff Years</u>
CCE.....	\$110,072,000	---	\$38,395,000	---	--	---
Carryover Balance	14,053,915	---	27,992,000	---	--	---
Rescission	-1,100,720	---	0	---	--	---
Unobligated Balance, EOY ...	-27,991,919	---	0	---	--	---
Recoveries	26,326,774	---	0	---	--	---
Total Available	121,360,050	---	66,387,000	---	--	---
Reimbursement.....	20,159,245	---	21,000,000	---	--	---
Total Available	141,519,295	---	87,387,000	---	--	---

Lead-Off Tabular Statement

Estimate 2007.....	\$38,395,000
Budget Estimate, 2008	--
Increase in Appropriation	<u>-38,395,000</u>

Summary of Increases and Decreases

Item of Change	<u>2007 Estimated</u>	<u>Program Changes</u>	<u>2008 Estimated</u>
CCE	\$38,395,000	\$-38,395,000	--

Project Statement
(On basis of appropriation)

	<u>2006 Actual</u>	<u>2007 Estimated</u>	<u>Increase or Decrease</u>	<u>2008 Estimated</u>
CCE Base Infrastructure	\$19,537,650	--	--	--
FSA Specific Funds	73,260,000	\$31,448,000	-\$31,448,000	--
NRCS Specific Funds	11,025,630	4,119,000	-4,119,000	--
RD Specific Funds	3,960,000	2,828,000	-2,828,000	--
Interagency e-Gov	1,188,000	--	--	--
Total Available or Estimate	108,971,280	38,395,000	-38,395,000	--
Rescission	+1,100,720	--	--	--
Total Appropriation	110,072,000	38,395,000	-38,395,000	--

Note: The FY 2008 budget of \$78,500 million is being requested through the three agencies: \$52 million for FSA; \$20 million NRCS; and \$6.5 million for RD.

OFFICE OF THE CHIEF INFORMATION OFFICER
Common Computing Environment

Justification of Increases and Decreases

1. A net decrease of \$38,395,000, including:

The funding for the three agencies: FSA, NRCS, and RD will be requested under the SCA. The objective of the SCMI is to create an environment of one-stop quality service for customers of the three agencies. CCE provides shared IT to assist SCA in accomplishing this objective. SCMI involves office co-location, business process re-engineering, culture change, building partnerships and improving customer satisfaction – in addition to a modern integrated technology.

Geographic Breakdown of Obligations and Staff Years
2006 Actual and Estimated 2007 and 2008

	2006		2007		2008	
	Amount	Staff Years	Amount	Staff Years	Amount	Staff Years
District of Columbia.....	\$108,971,280	--	\$38,395,000	--	--	--

Classification of Objects
(Dollars in Thousands)

Object Class	<u>2006</u>	<u>2007</u>	<u>2008</u> Budget
22 Transportation of things	--	--	--
23 Rent, communications, and utilities	\$2,566	--	--
25 Other services	111,405	\$45,000	--
26 Supplies and materials	254	--	--
31 Equipment	659	--	--
43 Interest and dividends paid	12	--	--
Totals	<u>114,896</u>	<u>45,000</u>	--

Note: The FY 2008 budget of \$78,500 million is being requested through the three agencies: \$52 million for FSA; \$20 million NRCS; and \$6.5 million for RD.

COMMON COMPUTING ENVIRONMENT/SERVICE CENTER MODERNIZATION

STATUS OF PROGRAM

The Common Computing Environment (CCE) is the integrated technology infrastructure portion of the Service Center Modernization Initiative (SCMI). The CCE enables the Service Center Agencies (SCA): the Farm Service Agency (FSA), the Natural Resources Conservation Service (NRCS), and the Rural Development (RD) mission area to modernize and improve service delivery to customers. In addition to providing a modern integrated technology infrastructure, SCMI involves office co-location, business process re-engineering, culture change, building partnerships and improving customer satisfaction. The Office of the Chief Information Officer (OCIO) has direct management responsibility for the integrated technology portion of the SCMI.

Current Activities:

The objective of SCMI is to enhance service delivery of the SCA by improving: 1) citizens' knowledge and access to the United States Department of Agriculture (USDA) services; 2) collaboration with public and private partners; and 3) internal efficiency. The CCE provides the shared information technology to assist the SCA in accomplishing this objective.

Since FY 1996, USDA has been planning and deploying an integrated information system to replace several old legacy Information Technology (IT) systems in the SCA that could not share data. Investments in the new system are needed to provide timely, reliable service that is currently diminishing by the continued reliance on old technology, separate non interconnected computer systems, and software applications that are not interchangeable. In addition, maintaining separate systems results in unnecessary duplication, increases maintenance and operating costs, and consumes funds that could be used more productively elsewhere. Moving forward with an integrated IT approach under the framework of a CCE enables USDA to take full advantage of opportunities to use technology to increase the productivity and efficiency and deliver better farm, conservation and rural development services to customers.

Selected Examples of Recent Progress:

- The new Web Farm stack at National Information Technology Center (NITC) was deployed in July. This is the first major step in consolidating the three legacy Web Farms into two at Site A and Site B. The first common services for the new Web Farm were deployed in August as well as the Microsoft Identity Integration Server application for the Homeland Security Presidential Directive-12 (HSPD-12) project. This will allow for a reduction in infrastructure costs related to Web hosting as well as provide a state of the art network stack and a state of the art facility for the Web Farm.
- Completed Software Update Service (SUS) migration for Large Offices. SUS keeps computers up-to-date with the latest critical updates, security updates, and service packs. SUS installs a Web-based application that enables administrators to quickly and reliably deploy updates to desktop and server machines running Windows. This is the interim method the Large Offices will be receiving their patches until Systems Management Server (SMS) is fully deployed. To date, a total of 89 security patches have been tested, certified and deployed since SUS went live on August 2004.
- Completed the deployment of SMS clients to the servers and workstations throughout the enterprise. This amounts to over 51,000 clients. Once SMS is deployed it will be used to automate hardware/software inventory; patch deployment; and application delivery. This will greatly improve the security of the systems as well as reduce the costs associated with these activities.
- Certified and deployed the Windows 2003 build and SQL 2000 ArcSDE 8.3 to the field for installation on the State Office Geographical Information Systems (GIS) servers. With the load of Windows 2003 operating

system, this greatly enhances file and print services available in the State offices. Additionally with the installation of SQL 2000 and ArcSDE 8.3, the state is able to support the field offices..

- Conducted a disaster recovery test to simulate a loss of the Kansas City Web Farm. One major FSA financial application was successfully restored in St. Louis.
- Participated in the Kansas City Regional Inter-Agency Continuity of Operations Plan (COOP) Exercise. The Federal exercise tested COOP essential functions in the Greater Kansas City metropolitan area and their ability to efficiently perform their duties during emergency situations. More than 600 officials representing over 30 Federal agencies participated in the exercise. This was the third annual exercise and it exists as the largest interagency COOP exercise outside of Washington, DC.
- Designed a vulnerability scanning architecture capable of scanning 100 percent of the enterprise within a 30-day period without creating network latency. OCIO-Cyber Security approved the OCIO-ITS Vulnerability Scanning waiver through January 1, 2007. Completed the August scanning within the terms of the waiver to allow ITS and the SCA to score Green on the monthly scorecard.

CCE Support of SCA Program Delivery

The CCE improvements have significantly helped the SCA meet the requirements of the latest Farm Bill, Freedom to E-File legislation, the Paperwork Reduction Act, the Government Paperwork Elimination Act, and other legislative mandates. Improved access to data and enhanced communication capabilities, coupled with the ability to do business electronically, result in more efficient staff use. Greater efficiency and improved service will result from the full implementation of GIS and the continued use of the shared technology that the CCE has provided to the SCA.

There are multiple sources of funding for SCMI activities. The funds appropriated directly to the OCIO CCE account were generally used to fund shared infrastructure activities. The SCA, out of their individual agency budgets, fund the majority of the application development activities associated with using the infrastructure to deliver program benefits to the customer.

The application development groups of FSA, NRCS, and RD each develop GIS applications. The Business Process Reengineering (BPR) labs generated many of the concepts and requirements for desktop GIS pilot applications, which have since been further developed by the agency applications development groups. The SCA have developed GIS applications and have plans to develop additional applications, as well as migrating desktop GIS applications to an enterprise architecture. Desktop GIS applications that have been deployed include NRCS' Customer Service Toolkit, which is a conservation-planning tool, and FSA tools to digitize and maintain Common Land Unit (CLU) data and calculate acreages. RD has also developed its Rural Housing Service (RHS) Single Family Housing Program Eligibility Locator. NRCS has deployed a number of other applications including the Resource Data Gateway, Resource Data Viewer, Soil Data Mart, and Smartech Design Tools. Resource Data Gateway is a geospatial data portal, which allows users to identify available geospatial datasets of interest and places orders for delivery of data via CDs or File Transfer Protocol. Prior to creating the Gateway, customers would visit many Web-sites, make telephone calls to numerous data centers, and wait days or weeks to get their information. Today the data is distributed across many servers, many data centers, in different parts of the country, and managed by different organizations. Table 1 presents a listing of implemented GIS applications by SCA.

Table 1 - Service Center Agency Implemented GIS Applications

FSA Implemented GIS Applications	NRCS Implemented GIS Applications	RD Implemented GIS Applications
Land Cover Tool	Customer Service Toolkit (CST)	RHS Single Family Housing Program Eligibility Locator
CLU Map Production (Digitizing Tool)	Resource Data Gateway	Spatially-enabled data within the RD tabular data warehouse
Acreage Reporting	Soil Data Mart	
CLU Maintenance Tool	Office Information Profile (OIP)	
CLU Crop Reporting Tool	ProTracts and Fund Manager	
CLU Compliance Tool	SNOTEL (for SNOwpack TELelemetry)	
CLU Geospatial Data Warehouse (GDW) Linkage	Smartech Design Tools (Winpond and Survey Tool)	
	Soil Data Viewer	

Future plans include development of a number of new enterprise GIS applications. For example, FSA will develop the Customer-Land link in a new GIS based version of the Service Center Information Management System (SCIMS). In addition, FSA will migrate existing CLU digitizing and maintenance applications from the desktop to a local client server architecture. This was piloted in FY 2004 and will be deployed nationally in FY 2007. This migration will provide support for editing by multiple users, versioning, history tracking and other advanced geospatial data management techniques. In addition, programs were deployed in FY 2006 to replicate CLU data changes to the GDW to allow integration of CLU with applications like the Customer Statement and other e-Gov applications. Future SCA GIS applications development plans are presented in Table 2.

Table 2 -Future SCA GIS Applications

Future FSA GIS Applications	Future NRCS GIS Applications	Future RD GIS Applications
Acreage Reporting (Land Use)	Climate Data Mart for SNOTEL	Extend the spatial-enabling of data within the RD tabular data warehouse
Acreage Compliance	Object Modeling System	Environmental Hazard Reporter
CLU Maintenance	Easements	
CLU GDW		
Linkage Grain Bin Storage Monitoring Tool		
SCIMS Customer-Land Link		
Conservation Reserve Program (CRP) Sign-up Website		
Continuous Sign-up System		
Farmable Wetlands Sign-up System		

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Since 1998, the SCA have been re-engineering business processes, with involvement from staff at all levels in the three agencies. The SCA have developed, piloted and deployed many major Business Process Re-engineering projects. A discussion of these projects follows:

1. The Customer Service Toolkit provides NRCS and other USDA SCA employees with tools to develop and manage conservation plans, plan maps, and soils inventories. The Toolkit 2004 was completed and released for deployment and implementation in December of 2004. It has been installed on over 10,000 NRCS computers and has been implemented in all States with over 5,000 unique users utilizing the site per week. An online help system that is integrated with Toolkit 2004 was also developed. NRCS updated/redesigned the Toolkit Web-site to provide improved support to Toolkit coordinators and users. SP3 was deployed in FY2006. Deployed the National Conservation Planning (NCP) database containing all the planning data for NRCS, which is utilized for national reporting. The initial version of the Conservation Plug-In, which will enable producers and technical service providers to directly access their NCP database and receive credit for applying conservation on the ground, was completed.
2. The Multi-Family Integrated System is a major application component that provides a Web-based system for managing RD Multi-Family Housing (MFH) projects and units including facilities, payment, and tenant tracking. During the past fiscal year, upgrades were implemented that enhanced the capabilities for generating monthly project payments; created the Federal Emergency Management Agency (FEMA) disaster coding for Hurricanes Katrina and Rita; added a new project budget analysis process; upgraded the validation of project addresses to allow for Geo Coding; implemented the use of eAuthentication as the method for authenticating system users; provided new and improved project management and reporting capabilities that provide additional pertinent management data to the MFH borrowers; and added the capability to obligate and track loans made under the new MFH Project Revitalization and Voucher Programs.
3. The Guaranteed Loan System (GLS) is a major application that supports all RD and FSA guaranteed loan programs. Upgrades completed the past fiscal years included enhancements to the Guaranteed Loan Underwriting System to provide automated access to the Housing and Urban Development Scorecard to improve accuracy and an automated interface to Fannie Mae for Credit Bureau reporting. Also completed was an automated interface to the Direct Loan Originating System to capture delinquent funds under the Debt Collection Improvement Act. RD continued with implementing a Web solution which allows private sector single family housing lenders to submit their Loss Claims directly into GLS. Additional enhancements included an automated Web-based solution for processing Loss Claims and Interest Assistance Agreements for the MFH program. RD closed out the year with the conversion of all remaining Web-Focus reports to the data warehouse. Over 450 reports were converted reducing mainframe processing and storage costs. RD also implemented two major projects for the FSA. These projects included enhancements to the Interest Assistance Program to coincide with new program regulations and generating/balancing/printing the Receipt of Interest, Internal Revenue Service Form 1099-INT.
4. The Rural Utilities Loan Servicing System is a major application that supports Rural Utilities Service loan programs including electric, telephone, and cable TV programs. This application will replace many disparate and distinct legacy systems and applications that are inadequate to meet the business needs of the program managers and to comply with Joint Financial Management Improvement Program requirements. Upgrades to this system completed this past fiscal year include enhancements to the cash receipts, monthly billing, and collection processes; support for the dissolution of Rural Telephone Bank stock, and implementation of FEMA disaster declaration (Katrina) requirements.
5. The Program Fund Control System is a major shared application that supports the control and use of RD and FSA loan funds. This system has been fully integrated with all automated loan application, approval, and obligation processes for all RD and FSA loan and grant programs. This past fiscal year integration efforts was completed to add new edit and control validations and new reporting capabilities.

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6. The MortgageServ Loan Servicing System is a commercial-off-the-shelf software package used primarily to service the Single Family Housing Direct Loan Program. In 2006, a new Web-site was launched to provide borrowers with immediate access to mortgage account information. In addition, capabilities were implemented allow borrowers the capability to make mortgage loan payments via the Internet.
7. FSA implemented a Web application to leverage and support the USDA Customer Statement for use by the Farm Loan Program Servicing Offices. The Servicing Office employees use the application to answer any questions the customers may have on the USDA Customer Statements.

The SCA has made investments in data warehouses, data centers, security components and the Web Farms to support internal and external data sharing and electronic services. Data storage architecture was finalized and implemented, and it includes disaster recovery, failover and other features. Training is ongoing to ensure employees have the skills needed to effectively use and support the new technologies.

OFFICE OF THE CHIEF INFORMATION OFFICER
Common Computing Environment

Summary of Budget and Performance
Statement of Goals and Objectives

USDA Strategic Goal	Agency Strategic Goal	Agency Objectives	Programs that Contribute	Key Outcome
<p>Goal 2: Enhance the Competiveness and Sustainability of Rural Farm Economies.</p> <p>Goal 3: Support Increased Economic Opportunities and Improved Quality of Life in Rural America.</p> <p>Goal 6: Protect and Enhance the Nation's Natural Resource Base and Environment.</p>	<p>Goal 1: Provide customers and employees with access to the information they need</p>	<p>Objective 1.1: Enhance service delivery of the Service Center Agencies by improving: 1) citizens knowledge and access to USDA services, 2) collaboration with public and private partners, and 3) internal efficiency.</p>	<p>Service Center Modernization Initiative – Information Technology</p>	<p>One-Stop Shopping: Establish capabilities for Service Center employees to provide seamless and exceptional service for agriculture, rural development, and conservation programs.</p> <p>Quality Customer Service: Exceed customer expectations by providing fair, equitable, courteous, high-quality, professional, and personalized service in a timely and non-discriminatory manner.</p> <p>Cost Reduction: Reduce administrative and program delivery costs by implementing common information systems and administrative resources.</p> <p>Risk Mitigation: Protect customer program delivery and IT investments from loss due to overt or inadvertent threats to the IT infrastructure.</p>

OFFICE OF THE CHIEF INFORMATION OFFICER
Common Computing Environment

Summary of Budget and Performance
Key Performance Outcomes and Measures

Key Outcome 1: One-Stop Shopping: Establish capabilities for Service Center employees to provide seamless and exceptional service for agriculture, rural development, and conservation programs.

Long-term Performance Measure: The SCA co-location established a single USDA presence at over 2,700 Service Centers to enable one-stop customer service. These and other large and small offices will be enhanced with upgraded telecommunications capacity and server connectivity or capability to continue to enable SCA employees to provide seamless and exceptional service for all the programs they support.

The Web Farms play a major role in establishing one-stop shopping capability. The number of applications deployed to the Web Farms is a direct measure of the ability of customers to access a seamless virtual USDA Service Center.

Number of APPS Deployed to Web Farms	2003 Actual	2004 Actual	2005 Actual	2006 Actual	2007 Target	2008 Target
FSA	N/A	N/A	78	101	130	161
NRCS	N/A	N/A	154	203	218	245
RD	N/A	N/A	58	76	82	90

Key Outcome 2: Quality Customer Service: Exceed customer expectations by providing fair, equitable, courteous, high-quality, professional, and personalized service in a timely and non-discriminatory manner.

Long-term Performance Measure: IT Consolidation will streamline Service Center operations by consolidating the infrastructure support of FSA, NRCS, and RD. One of the most critical needs is to establish a single IT infrastructure support staff across all three Agencies. The IT Convergence will ensure quality customer service by utilizing Service Level Agreements (SLA) and Operational Level Agreements (OLA) to ensure responsiveness and accountability to the customer agencies through a disciplined service level management process. Performance measures will be documented and tracked through SLAs with the SCA. Among the performance measures would be factors such as system/network availability, system/network performance, service response time by priority, time to resolve by priority, and other measurable parameters. These factors, and the appropriate thresholds for acceptable performance, will be set based on agency needs and historical workload and performance data to ensure goals are reasonable but encourage continuous service improvement. These were negotiated between SCMI-IT and the SCA. A Security SLA between FSA, NRCS, RD and SCMI-IT is now in place.

This converged organization, Information Technology Services (ITS), will attract and retain a high-quality workforce with modern information technology skill sets; maintain a stable, effective enterprise wide information technology infrastructure that adequately supports all customer agencies and stays ahead of business needs; and provide for flexibility in policies, procedures, and processes employed by the converged organization so that it can respond quickly to changing business needs and advances in information technology services and features. A measure of performance in this area will involve establishment of a Centralized Help Desk to provide consistent service and reduce the turnaround time associated with trouble tickets.

Key Outcome 3: Cost Reduction: Reduce administrative and program delivery costs by implementing common information systems and administrative resources.

Long-term Performance Measure: Increase use of Enterprise Licensing Agreements to yield significant savings. To date the CCE has participated in an enterprise contracting effort for telecommunications equipment that saved over \$3 million dollars in acquiring telecommunications upgrade technology for the SCA in FY 2003. The CCE has also saved over \$13 million over five years by negotiating a revised enterprise licensing agreement with Microsoft for office automation software and operating system software. This agreement provides for all of USDA to receive the same level of costing which is beyond Service Center quantities.

Cost Reduction	2003 Actual	2004 Actual	2005 Actual	2006 Actual	2007 Target	2008 Target
Increase use of Enterprise Licensing savings \$ = Savings (Dollars in Millions)	\$3.0	\$2.6	\$2.6	\$2.6	\$2.6	\$2.6

One area where great cost savings and/or productivity improvements are expected is in the use of GIS tools and data. A measure of success in this area is the number of counties digitized and the number of Common Land Units (CLU) available in digital format.

Key Outcome 4: Risk Mitigation: Protect customer program delivery and IT investments from loss due to overt or inadvertent threats to the IT infrastructure.

Long-term Performance Measure: The SCA are staffed by about 35,500 staff years in headquarters and in the States, equal to nearly one-third of the entire USDA workforce. The Service Centers are assisted by 8,000 conservation volunteers, as well as by over 7,000 local soil and water conservation district employees, most of whom are co-located with the Service Centers. In addition, thousands of ordinary citizens volunteer their time to serve on local boards and committees assisting in the delivery of these programs. The converged IT organization will ensure that customer program delivery and IT investments are protected from loss due to overt or inadvertent threats to the IT infrastructure.

Fiscal Year	2003 Actual	2004 Actual	2005 Actual	2006 Actual	2007 Target	2008 Target
Losses due to inadvertent threats (Dollars in Thousands)	N/A	N/A	\$1,044	N/A	N/A	N/A

Full Cost by Strategic Goal

USDA Strategic Goals for the SCAs

<u>Program Level</u>	<u>Program Items</u>	<u>2006 (\$000)</u>	<u>2007 (\$000)</u>	<u>2008 (\$000)</u>
SCMI/CCE				
	CCE Infrastructure and Operations	\$18,634		
	Carryover Funds	14,855	\$27,992	
	Agency Specific Funds:			
Goal 2: Enhance the Competitiveness and Sustainability of Rural Farm Economies.	FSA	74,000	31,448	--
Goal 6: Protect and Enhance the Nation's Natural Resource Base and Environment.	NRCS	11,137	4,119	--
Goal 3: Support Increased Economic Opportunities and Improved Quality of Life in Rural America.	RD	4,000	2,828	
	OCIO	1,200	0	
Total		<u>123,826</u>	<u>66,387</u>	--