

## *U.S. Geological Survey Manual*

### **700.1 – FITARA Authorities for Information Management Technology**

#### **OPR: Office of Enterprise Information**

**Instruction: This is a new Survey Manual (SM) chapter.**

1. **Purpose.** This SM chapter addresses the authorities of the U.S. Geological Survey (USGS) Associate Chief Information Officer (ACIO) of the Office of Enterprise Information (OEI) under the Federal Information Technology Acquisition Reform Act (FITARA) and associated legislation, executive orders, and other guidance.
2. **Scope.** This SM chapter covers the authorities of all Information Management and Technology (IMT) activity and assets identified in the areas of IMT Governance, IMT Portfolio Management and Operations, IMT Budget Formulation and Execution, IMT Acquisition, IMT Workforce, and IMT Security and Privacy.
3. **Authorities of the ACIO.** The following authorities are derived from congressional legislation, executive orders, memoranda, and reports in section 5.

#### *A. IMT Governance*

The USGS ACIO reports to both the Department's Chief Information Officer (CIO) and the Bureau Deputy Director, and is a member of the Department of the Interior (DOI) IMT Leadership Team (IMTLT). The ACIO is responsible for managing all aspects of IMT governance, including acquisition, budget formulation, budget execution, human capital, and the overall Bureau management structure, and for coordinating these activities among other Bureau offices. The ACIO is a member of the USGS Executive Leadership Team (ELT). The USGS ACIO is responsible for all IMT activities in the USGS.

#### *B. IMT Portfolio Management and Operations*

The USGS ACIO has the authority to review all IMT investments in the Bureau portfolio and make recommendations to the Department's CIO, who has final decision-making authority for all investments in accordance with the provisions of FITARA. The USGS ACIO provides quarterly reports to the DOI CIO on all IMT investments in the Bureau's portfolio. The DOI CIO has delegated authority for final decision making for all non-major IMT investments to the USGS ACIO; this delegated authority is renewed annually.

#### *C. IMT Budget Formulation and Execution*

The USGS ACIO provides leadership and direction with respect to all aspects of the Bureau's annual IMT budget planning, programming, formulation, and execution, working in coordination with the DOI CIO, the DOI Director of Budget, the USGS Bureau Budget Officer (BBO), and other senior accountable officials. As part of the Bureau's internal budget approval process, budget formulation decisions receive concurrence from the BBO and are reflected in the Joint Certification Statement (JCS) accompanying budget submissions for the DOI CIO and Director

of Budget review. The USGS CIO provides the Bureau's IMT annual Acquisition Strategic Plan (ASP) to the DOI CIO for review and approval.

#### *D. IMT Acquisition*

The USGS ACIO and the USGS Bureau Procurement Chief submit an annual IMT ASP to the DOI CIO and Senior Procurement Executive (SPE) for approval. The plan provides an overview of all planned IMT acquisitions for the Bureau for the upcoming fiscal year. The DOI CIO has delegated authority to the USGS ACIO to approve acquisition plans that fall outside of the Acquisition and Procurement Advisory Committee (APAC) process and are associated with a non-major investment. The USGS ACIO (or delegate) is responsible for ensuring the Bureau operates within the approved annual IMT plan.

#### *E. IMT Workforce*

The USGS ACIO provides leadership and direction with respect to all aspects of the Bureau's IMT human capital. The USGS ACIO reviews all IMT hiring waivers for Bureau priorities and submits all IMT hiring requests to the Department's CIO for approval prior to moving forward with the process. The USGS ACIO has accountability and oversight over the IMT workforce to the lowest level of the organization.

#### *F. IMT Security and Privacy*

The USGS has one Associate Chief Information Security Officer (ACISO) position and one Associate Privacy Officer (APO), which reports to the ACISO. The ACISO reports to the USGS ACIO through the OEI Deputy Director. The ACISO provides leadership and direction with respect to all aspects of the Bureau's information assurance activities in coordination with the DOI's Chief Information Security Officer (CISO). The APO will provide leadership and guidance with respect to all aspects of the Bureau's privacy activities in coordination with the DOI Privacy Officer. The APO will provide quarterly reports to the DOI Privacy Officer on the status of privacy activities within the Bureau.

**4. Policy.** This SM chapter establishes the authority of the USGS ACIO to develop and oversee policy in the areas of IMT Governance, IMT Portfolio Management and Operations, IMT Budget Formulation and Execution, IMT Acquisition, IMT Workforce, and IMT Security and Privacy. These policies guide all IMT actions for the entire USGS and for each office within the USGS. Each one of these areas of authority will have its own SM chapter, instructional memoranda (IM), and/or SM handbook.

**5. Congressional Legislation, Executive Orders, Memoranda, and Reports.** The following legislation, executive orders, secretarial orders, memoranda, and reports provide the foundation for the authorities outlined in section 3.

A. Federal Information Technology Acquisition Reform Act (FITARA); Title VIII Subtitle D of the National Defense Authorization Act (NDAA) for Fiscal Year 2015, [PL 113-291; 44 U.S.C. 3601 note; December 19, 2014].

B. National Cyber Strategy of the United States, September 2018.

- C. The Federal Information Security Modernization Act (FISMA) of 2014 [44 USC 101].
- D. Information Technology Management Reform Act (ITMRA) also known as the “Clinger-Cohen Act of 1996” [Public Law 104-106 Division E].
- E. The Government Performance and Results Modernization Act of 2010 [31 USC 1101].
- F. Executive Order 13833 of May 15, 2018 (Enhancing the Effectiveness of Agency Chief Information Officers).
- G. Executive Order 13800 of May 11, 2017 (Strengthening the Cybersecurity of Federal Networks and Critical Infrastructure).
- H. Office of Management and Budget (OMB) Memorandum M-17-09 (Management of Federal High Value Assets), December 9, 2016.
- I. Office of Management and Budget (OMB) Memorandum M-16-19 (Data Center Optimization Initiative (DCOI)), August 1, 2016.
- J. Office of Management and Budget (OMB) Circular A-130 (Managing Information as a Strategic Resource), July 28, 2016.
- K. Office of Management and Budget (OMB) Memorandum M-16-12 (Category Management Policy 16-1: Improving the Acquisition and Management of Common Information Technology: Software Licensing), June 2, 2016.
- L. Office of Management and Budget (OMB) Memorandum M-15-14 (Management and Oversight of Federal Information Technology), June 10, 2015.
- M. DOI Department Manual 112 DM 24, Organization of the Chief Information Officer, effective date 1/19/2017.
- N. DOI Department Manual 212 DM 24, Delegation of the Chief Information Officer, effective date 1/19/2017.
- O. DOI Secretary Order 3340 (Strengthening and Securing information Management and Technology at the Department of the Interior), August 15, 2016.
- P. Office of the Secretary Personnel Bulletin No. 16-05 (Implementation of the Federal Information Technology Acquisition Reform Act), May 17, 2016.
- Q. DOI Office of the Secretary Memorandum (Department-Wide Development Freeze for New and Current Data Centers), September 20, 2018.
- R. DOI Office of the Secretary Memorandum, (Acquisition of Information Technology Cloud Services/Mandatory Use of Pre-Approved Cloud Hosting Services and Contracts), August 7, 2018.
- S. OCIO Directive 2018-003 (Requirements and Process for the Annual Information Management and Technology Acquisition Strategic Plan), April 25, 2018.

- T. Government Accountability Office (GAO) 19-241, Report to Congressional Committees, (Data Center Optimization: Additional Agency Actions Needed to Meet OMB Goals), April 2019.
- U. Government Accountability Office (GAO) 18-42, Report to Congressional Committees, (Information Technology: Agencies Need to Involve Chief Information Officers in Reviewing Billions of Dollars in Acquisitions), January 2018.

## 6. Definitions.

### A. *Enterprise-Level Contract*

The term “enterprise-level contract” refers to any procurement contract that can be used by and/or affects more than one Bureau, including both optional and mandatory use contracts. It includes, but is not limited to, contracts where Bureaus place their own orders, contracts where all orders are placed by a single acquisition office, and contracts where no orders are placed but the contract benefits multiple Bureaus, regardless of contract type.

### B. *Information Management*

The collection and management of information from one or more sources and distribution of that information to one or more audiences. This may involve persons who have a stake in, or a right to, that information. Management means the organization of and control over information activities, planning, structure, organization, controlling, processing, evaluating, and reporting in order to meet mission objectives and to enable organizations to function in the delivery of information.

### C. *Information Technology (IT)*

The IT includes, but is not limited to, any services, equipment, or interconnected system(s) or subsystem(s) of equipment that are used in the automatic acquisition, storage, analysis, evaluation, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the agency, where such services or equipment are considered to be used by an agency if they are either used by the agency directly or used by a contractor under a contract with the agency that requires either use of the services or equipment or use of the services or equipment to a significant extent in the performance of a service or the furnishing of a product. The term “information technology” refers to computers, ancillary equipment (including imaging peripherals, input, output, and storage devices necessary for security and surveillance), peripheral equipment designed to be controlled by the central processing unit of a computer, software, firmware and similar procedures, services (including provisioned services such as cloud computing and support services that support any point of the lifecycle of the equipment or service), and related resources. The term “information technology” does not refer to any equipment that is acquired by a contractor incidental to a contract that does not require use of the equipment. This definition is based on the definition of IT in the Clinger-Cohen Act of 1996.

### D. *Information Technology Resources*

The IT resources include all agency budgetary resources, personnel, equipment, facilities, or

services that are primarily used in the management, operation, acquisition, disposition, transformation, or other activity related to the lifecycle of IT; acquisitions or interagency agreements that include IT; and the services or equipment provided by such acquisitions or interagency agreements. IT resources do not include grants to third parties, cooperative agreements, or Public Law 93-638 contracts, which establish or support IT not operated directly by the Federal Government.

*E. Information Management and Technology (IMT)*

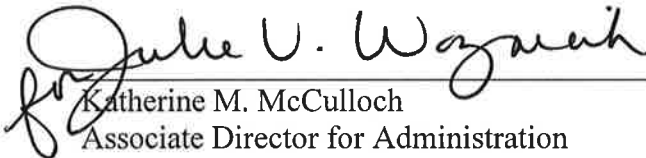
The IMT includes the collective definitions articulated in B, C, and D above.

**7. Responsibility.** The USGS ACIO is responsible for ensuring the Bureau complies with FITARA guidance and policy as promulgated by Congress, the OMB, the DOI, and the GAO. The USGS ACIO may delegate accountability to other OEI staff.

**8. General Procedures.** The USGS ACIO office will formulate procedures and processes through additional SM chapters and associated IMs and SM handbooks.

**9. Reports and Forms.** There are various reporting requirements including the combined IMT ASP and Annual Advanced Procurement (AAP) managed by the Office of Acquisition and Grants (OAG), annual cost center IMT Certification memorandum, annual Organization Assessment Metrics, Capital Planning and Investment Control (CPIC) reporting, and the JSC.

**10. Expiration Date.** Effective until revised. This SM chapter will be reviewed every 2 years or when new guidance is issued from the OMB, the DOI, or the GAO.

  
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Date

