

# Reclamation Manual

## Policy

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<b>Subject:</b>	Reclamation Information Management and Technology (IMT) Portfolio Management
<b>Purpose:</b>	Defines and establishes authorities, principles, responsibilities, and accountability for Reclamation IMT portfolio management. The benefits of this Policy are improved internal and external communications, efficiency, and transparency of Reclamation-wide requirements for doing business.
<b>Authority:</b>	National Defense Authorization Act for Fiscal Year 2015 (January 3, 2014), Division A, Title VIII, Subtitle D- <i>Federal Information Technology Acquisition Reform</i> , Sections 831-837 (Pub. L. 113-291); Clinger-Cohen Act of 1996 (Information Technology Management Reform Act and National Defense Authorization Act for Fiscal Year 1996) (Pub. L. 104-106); Electronic Government Act of 2002 (Title III – Federal Information Security Management Act) (Pub. L. 107-347); Office of Management and Budget (OMB) Circular A-11 - <i>Preparation, Submission and Execution of the Budget</i> ; OMB Circular A-123 - <i>Management's Responsibility for Internal Control</i> ; OMB Circular A-130 – <i>Management of Federal Information Resources</i> ; Department of the Interior Departmental Manual Part 110 Chapter 18, and Part 375 Chapters 1, 2, 6, 12, and 19; and Office of the Secretary Order 3309 - <i>Information Technology Management Functions and Establishment of Funding Authorities</i>
<b>Approving Official:</b>	Commissioner
<b>Contact:</b>	Information Resources Office (IRO), Planning and Compliance Division (PCD) (84-21200)

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- 1. Introduction.** Reclamation's IMT investments are a vital part of the infrastructure supporting the organization's mission of managing, developing, and protecting water, power, and related resources in an environmentally and economically sound manner. The proper management of IMT investments and the information managed by such investments is critical to the organization in supporting the achievement of strategic objectives; improvements in mission and operational capabilities; addressing legislative requirements and policies and directives issued by the Department and OMB; and the delivery of services to internal and external customers.
- 2. Applicability.** This Policy applies to:
  - A.** all Reclamation directors, managers, supervisors, and personnel responsible for managing IMT portfolio systems, and the investments, supporting systems, and other IMT resources supporting mission operations and capabilities, which are components of those systems;

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- B. all Reclamation-owned, -operated, and -maintained IMT systems, including specialized, telecommunications, and other systems (e.g., Industrial Control Systems (including SCADA), Hydromet, GIS, Dam Safety); and
  - C. all Reclamation-owned and/or -operated systems and the data maintained by contractors or temporary personnel in other organizations, as well as Department systems supported by Reclamation and e-government initiatives sponsored by the Department or other Federal agencies.
3. **Definitions.**
- A. **Enterprise Architecture.** A strategic information asset base, which defines the mission; the information necessary to perform the mission, the technologies necessary to perform the mission, and the transitional processes for implementing new technologies in response to changing mission needs; and includes a baseline architecture, a target architecture, and a sequencing plan.
  - B. **Enterprise Solutions.** The systems, technologies, and services developed and deployed in a manner that supports organization-wide needs and which over time can be reused or expanded upon to meet evolving needs.
  - C. **Information Technology (IT).** The term "information technology" means any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by Reclamation. For purposes of the preceding sentence, equipment is used by Reclamation if the equipment is used by Reclamation directly or is used by a contractor under a contract with Reclamation which (ii) requires the use of such equipment, or (ii) requires the use, to a significant extent, of such equipment in the performance of a service or the furnishing of a product. The term "information technology" includes computers, ancillary equipment, 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 include 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. **IT Business Practices.** The manner in which automated systems or technologies and the information stored, processed, and accessed by these systems are designed, configured, interconnected, managed, and operated in the process of supporting business or mission operations and objectives.
  - E. **IT Investment.** An expenditure of IT resources to address mission delivery and management support. An IT investment may include a project or projects for the development, modernization, enhancement, or maintenance of a single IT asset or group

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of IT assets with related functionality and the subsequent operation of those assets in a production environment. All IMT investments should have a defined life cycle with start and end dates, with the end date representing the end of the currently estimated useful life of the investment, consistent with the investment's most current alternatives analysis if applicable.

- F. **IT Management.** The management principles associated with planning, directing, and controlling the processes, procedures, and uses of IMT to better enable an organization to achieve mission goals and objectives, as well as maximize returns on technology investments, including system life-cycle management; IMT investment or capital planning; security management; risk management; architecture; IMT human capital management; and IMT resource management.
  - G. **IMT Portfolio.** A collection of IMT components (e.g., systems, technologies, telecommunication systems, information services) identified in Reclamation's IMT Investment Portfolio. All Reclamation IMT components are part of investments managed within the portfolio.
  - H. **IT System.** A discrete set of information resources organized for the collection, processing, maintenance, transmission, and dissemination of information, in accordance with defined procedures, whether automated or manual.
  - I. **Process Maturity.** The stages or levels at which organizations have defined or established policies, procedures, business practices, and performance metrics that support the achievement of business or mission objectives; sound business and investment decisions; and opportunities for cost savings or other efficiencies.
  - J. **Project.** A temporary endeavor undertaken to accomplish a unique product or service with a defined start and end point and specific objectives that, when attained, signify completion. Projects can be undertaken for the development, modernization, enhancement, disposal, or maintenance of an IMT asset. Projects are composed of activities. When reporting projects in an IMT business case, to the maximum extent practicable, investment managers should detail the characteristics of "increments" under modular contracting as described in the Clinger-Cohen Act of 1996 and the characteristics of "useful segments," as described in OMB Circular A-130.
4. **Responsibilities.**
- A. **Associate Chief Information Officer (ACIO).** The ACIO is responsible and accountable for directing Reclamation's IMT portfolio management program through the PCD. In this role, the ACIO has the authority to promulgate Reclamation mission IMT policy and guidance; and to monitor the implementation of Reclamation mission IMT requirements and systems, as well as to suspend the development, deployment, or operation of Reclamation mission IMT systems that pose excessive risk to the organization, mission capabilities, or operations. The ACIO will work with the

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Information Resources Business Advisory Council (IRBAC) and the Reclamation Leadership Team regarding IMT management program requirements and mission responsibilities.

- B. **Directors and Investment Executive Owners.** Directors and investment executive owners are responsible and accountable for ensuring IMT investments and resources are designed, acquired, developed, operated, and managed in accordance with the policies, directives and standards, and guidelines and in support of Reclamation missions. Directors and investment executive owners are responsible for keeping the ACIO adequately informed of IMT management issues (e.g., IMT security matters, risk management issues, system accreditation issues, IMT investment decisions, IMT life-cycle and acquisition decisions, IMT workforce training needs and requirements, and IMT performance accomplishments).
- C. **IRBAC.** The IRBAC serves as Reclamation's IMT Investment Review Board, is responsible and accountable for identifying issues and making recommendations to the ACIO on IMT business practices, security issues, investment needs, and architecture requirements, including the areas of IMT strategic planning, enterprise solutions, investment or capital planning and management, policy development, and oversight across Reclamation. The IRBAC shall be responsible for fostering the employment of sound project management and portfolio management practices as part of an IMT investment review process within Reclamation.
- D. **IMT Investment Business Owners/Functional Sponsors.** The IMT investment business owners/functional sponsors are responsible for supporting the design, development, acquisition, operation, security, and maintenance of IMT investments supporting mission related operations. They also are responsible for effectively managing supporting resources (funding and personnel) essential to the development, operation, security, investment management, and maintenance of IMT investments.
- E. **IT System Project Managers, System Managers, System Security Managers, and Project Team Members.** IT system project managers, system managers, system security managers, and project team members are responsible for implementing IT design, development, acquisition, operation, security, investment management, and maintenance requirements for assigned systems. This includes keeping Reclamation directors, investment executive and business owners, division chiefs, area managers, regional IT system security managers, the Bureau IT Security Manager, and the IRBAC aware of IT system requirements, critical milestones, investment requirements, security issues, and staff training needs.
- F. **Managers and Regional IRBAC Members or IMT Managers.** Managers and regional IRBAC members or IMT managers are responsible for ensuring compliance with Reclamation and Department-level IMT management program requirements within their organizations. This includes following and enforcing applicable IMT requirements related to the design, development, operation, and maintenance of investment's

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supporting mission-related operations or activities (e.g., developing and reviewing IMT business cases, following IMT acquisition and life-cycle documentation requirements, and ensuring compliance with IMT security and enterprise architecture policies and procedures).

- G. **Regional IT Security Managers.** Regional IT security managers are responsible for ensuring compliance with applicable IT security requirements and providing technical advice and support to managers, directors, investment executive and business owners, the PCD, and the ACIO regarding the management and implementation of IMT risk management policies and procedures.

5. **Policy.** The ACIO through the PCD will:

- A. **Adopt Sound IMT Practices.** Develop and promote the adoption of sound IMT management policies and practices that align with legislative and other Federal requirements, as well as IMT process maturity practices endorsed by the Department, OMB, the Federal Chief Information Officer's Council, leading IMT and Federal consortiums and audit organizations, and the IMT industry, as deemed appropriate.
- B. **Implement Sound IMT Practices.** Support the implementation of sound IMT management practices, including IMT strategic planning, enterprise architecture development, IMT investment planning and management, IMT security management, IMT acquisitions, IMT development and maintenance practices, information and records management, and IMT human capital planning and management.
- C. **Foster Improvements in IMT Processes and Practices.** Foster improvements in IMT process maturity practices to increase mission and operational effectiveness and cost efficiencies, including accountability over IMT systems and resources; security over IMT systems, operations, and assets; the protection of IMT investments; and, risk reduction strategies. This also includes fostering improvements in the functional areas described in the Federal Information Technology Acquisition Reform Act (i.e., FITARA) including IMT acquisitions, IMT budgeting and execution, information management, strategic planning, project management, and IMT human capital management.

6. **Principles.**

- A. **Adopt Sound IMT Practices.** Reclamation's IMT Management Program will incorporate best practices as deemed appropriate for managing IMT resources and to promote improvements in mission capabilities and operations. As part of this program, measures shall be established and used to periodically assess progress and promote mission effectiveness and efficiency.
- B. **Implement Sound IMT Practices.** The IMT Management Program will further support guidance and practices that protect IMT resources as part of a defined effort,

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which involves security management; capital planning and investment control; enterprise architecture objectives; systems development life cycle; and other critical management objectives aimed at enhancing investment decision-making capabilities.

- C. **Foster IT Skill Improvements.** The IMT Management Program will also include guidance that supports IMT training efforts aimed at enhancing the skills of users, managers, IMT technical personnel, IMT security personnel, and improving the management of IMT investments as required by legislation, OMB, and the Department.

## RECLAMATION MANUAL TRANSMITTAL SHEET

Effective Date: \_\_\_\_\_

Release No. \_\_\_\_\_

Ensure all employees needing this information are provided a copy of this release.

### Reclamation Manual Release Number and Subject

### Summary of Changes

NOTE: This Reclamation Manual release applies to all Reclamation employees. When an exclusive bargaining unit exists, changes to this release may be subject to the provisions of collective bargaining agreements.

### Filing instructions

Remove Sheets

Insert Sheets

All Reclamation Manual releases are available at <http://www.usbr.gov/recman/>

Filed by: \_\_\_\_\_

Date: \_\_\_\_\_