

Reclamation Manual

Policy

- Subject:** Information Management and Technology Program
- Purpose:** Establish expectations for the Bureau of Reclamation in the management of all information technology (IT) resources in accordance with the authorities listed in this Policy. The benefits of this Policy are the establishment of clear lines of authority and accountability for Reclamation information management and technology (IMT) to the Associate Chief Information Officer (ACIO), IMT requirements, and oversight for Reclamation's IMT activities.
- Authority:** Federal Records Act of 1950, as amended (44 USC 31); Freedom of Information Act of 1966, as amended (5 USC 552); Rehabilitation Act of 1973, Section 508, as amended (Pub. L. 105-220; 29 USC 794d); Privacy Act of 1974 (Pub. L. 93-579; 88 Stat. 1896; 5 USC 552a); Federal Managers' Financial Integrity Act of 1982 (FMFIA) (Pub. L. 97-255; 31 USC 66a); Paperwork Reduction Act of 1995 (Pub. L. 104-13; 109 Stat. 163; 44 USC 35); Clinger-Cohen Act – Information Technology Management Reform Act of 1996 (Pub. L. 104-106); E-Government Act of 2002 (Pub. L. 107-347; 116 Stat. 2899; 44 USC 101); Federal Information Security Management Act (FISMA) of 2002 (44 USC 3541); Government Performance and Results Modernization Act of 2010 (Pub. L. 111-352; 124 Stat. 3866; 31 USC 1101); Federal Information Security Modernization Act of 2014 (Pub. L. 113-283); National Defense Authorization Act for Fiscal Year 2015 (January 3, 2014), Division A, Title VIII, Subtitle D-Federal Information Technology Acquisition Reform Act (FITARA), Sections 831-837 (Pub. L. 113-291); Consolidated Appropriations Act, 2016 (December 18, 2015), Division N, Title I-Cybersecurity Information Sharing Act of 2015 (Pub. L. 114-113); Office of Management and Budget (OMB) Circular [A-11](#), *Preparation, Submission, and Execution of the Budget*; OMB Circular [A-123](#), *Management's Responsibility for Enterprise Risk Management and Internal Control*; OMB Circular [A-130](#), *Managing Information as a Strategic Resource*, [Appendix I](#), *Federal Agency Responsibilities for Maintaining Records About Individuals* and [Appendix III](#), *Security of Federal Automated Information Systems*; OMB [M-15-14](#), *Management and Oversight of Federal Information Technology*; Department of the Interior Departmental Manual (DM) 112 DM 24, 212 DM 24, and 375 DM 19; and National Institute of Standards and Technology
- Approving Official:** Commissioner
- Contact:** ACIO, Information Resources Office (IRO) (84-21000)

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1. **Introduction.** This Policy establishes Reclamation's IMT program in accordance with Federal authorities and the Department of the Interior's FITARA Common Baseline and Implementation Plan which requires each bureau to consolidate all IMT authority and accountability under their respective ACIO. Reclamation's ACIO reports to the Department's Office of the Chief Information Officer (OCIO) and Reclamation's Deputy Commissioner, Policy, Administration and Budget. This Policy communicates the ACIO's authority and accountability for all Reclamation IMT.
2. **Applicability.** This Policy applies to all Reclamation employees using Reclamation-owned, -operated, or -maintained IT resources.
3. **Policy.**
 - A. The Reclamation ACIO will establish and administer an IMT program to ensure compliance with and implementation of the authorities listed above, the Department's FITARA Common Baseline and Implementation Plan, and Reclamation's IMT Alignment Plan, approved by the OCIO on April 19, 2018, as amended and supplemented, which details the actions and milestones needed to establish clear lines of accountability for all Reclamation IMT to the ACIO.
 - B. To ensure the ACIO has control and accountability for all Reclamation IMT, the ACIO will have full visibility and access to any level of detail within Reclamation's IMT that enables the ACIO to exercise authority, oversight, accountability, and control over IMT including communications, workforce planning, governance, policy and standards development, portfolio management, budget formulation and execution, information management, acquisitions, operations, privacy, risk management, cybersecurity, and data management. This access will provide the ACIO the means to be accountable to the Department for the following ACIO responsibilities:
 - (1) adhere to direction and carry out and comply with requirements and mandates of the Chief Information Officer;
 - (2) implement and verify compliance with requirements of FITARA, the Clinger-Cohen Act of 1996, FISMA, Privacy Act, and all other applicable IMT laws, regulations, and policies;
 - (3) provide oversight and management of all IMT resources, infrastructure, and service delivery including telecommunications and radio assets, as well as services and systems necessary to sustain the geospatial activities of the Department;
 - (4) develop mandatory requirements and instruction for Reclamation IMT (e.g., IMT Circulars, standard operating procedures (SOPs)) and use internal controls to evaluate compliance;

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- (5) establish service agreements with customers for enterprise IMT services;
- (6) review and approve IMT budgets in collaboration with Reclamation's Budget Officer and Chief Financial Officer through an annual Joint Certification Statement to the OCIO and Director, Office of Budget;
- (7) oversee all IMT acquisitions (see IMT Circular IMT 18-01, *Information Management and Technology Procurement Procedures and Approvals* on the IMT Governance Documents SharePoint site, and Reclamation Manual Directive and Standard, *Administrative Cost Tracking: Information Management and Technology (IMT) Cost Tracking in the Financial and Business Management System (FBMS)* (IRM 03-02));
- (8) adhere to OCIO hiring requirements including the use of Department standard position descriptions, and approve all IMT position hiring requests;
- (9) participate in the selection process and approve the final selection of the regional Information Resources Management Council (IRMC) members;
- (10) provide input into regional/office directors' performance plans and ratings on FITARA-related performance elements; and
- (11) provide input into IRMC members' performance plans and ratings.

4. Program Administration.

- A. The Commissioner, in consultation with the Department's OCIO, will appoint an ACIO who is empowered to oversee and direct all IMT for Reclamation as required by the Department's FITARA Common Baseline and Implementation Plan.
- B. The ACIO will provide leadership, direction, and decision-making authority for all aspects of Reclamation IMT and align Reclamation's IMT initiatives with the OCIO's strategic priorities. The ACIO may delegate IMT authority to regional directors (see Paragraph 4.D.).
- C. All Senior Executive Service and Senior Level positions will ensure IMT within their organizations are operated and maintained in accordance with ACIO direction and will be accountable for FITARA-related performance elements.
- D. Regional directors are accountable to the ACIO for IMT within their organization as described in their IMT alignment plan using certifications to the ACIO, internal control reviews, and cascading performance elements.

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5. **Governance Structure.** The ACIO will use a governance structure comprised of governance bodies, governance documents, and internal controls to lead a policy-driven and compliance oriented IMT program.
- A. **Governance Bodies.** The following governance bodies support the ACIO as described below.
- (1) **Associate Chief Information Officer and Information Resources Office Leadership Team.** The IRO Leadership Team is comprised of the immediate office of the ACIO, which includes the ACIO, Deputy ACIO, and Special Assistant to the ACIO; the three division managers described below; and the Associate Chief Information Security Officer (ACISO). In addition to the specific functions below, the ACIO and IRO Leadership Team develop and maintain Reclamation-wide IMT requirements and oversee their implementation.
- (a) **Enterprise Operations Division.** The Enterprise Operations Division provides staff support to the ACIO and is responsible for the operational IMT program components of technology; networks (servers, routers, and other devices); telecommunications (optimization, bill auditing and analysis, radio spectrum management, network, and wireless communication); infrastructure hosting (servers, virtualization, storage, continuity of operations, and disaster recovery); and inventory and asset management (computers, wireless devices, policies regarding tracking and accounting of information resources and equipment). This division is also responsible for application/system development, testing, deployment, and operational security; planning, development, execution, and management of Reclamation's IMT infrastructure, systems, applications, servers, networks, and computers; and operations to assist in carrying out responsibilities of the ACIO in these areas. While the Enterprise Operations Division has responsibilities specific to inventory and asset management of IT equipment, the Reclamation Property Management Officer has overall responsibility for administering, coordinating, managing, and inventorying all Reclamation government-owned personal property, including IT equipment.
- (b) **Information Management and Technology Service Strategy Division.** The IMT Services Strategy Division provides staff support to the ACIO in the implementation of FITARA and Reclamation policy, management, and implementation activities related to the following IMT program activities and functions: enterprise architecture, demand management, capital planning and investment control, IMT policies and procedures, records management, the Government Paperwork Elimination Act, the Freedom of Information Act, IT service management, Section 515 Treasury and General Government Appropriations Act – information quality/integrity, Section 508 Rehabilitation Act – accessibility, project management, and IMT

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career/skills management (developing standards and training requirements for IMT professionals).

- (c) **Risk Management Services Division.** The Risk Management Services Division oversees Reclamation's cybersecurity program; establishes Reclamation-wide cybersecurity policy, standards, and guidance and oversees implementation to ensure IMT compliance with all relevant requirements; provides cybersecurity support to regional and area offices; and develops and implements strategies to reduce risk and improve Reclamation's overall security posture. Division responsibilities also include Continuous Diagnostics and Mitigation, FISMA compliance, IMT audits, Operational Technology (OT) cybersecurity, incident response, privacy, and identity management.
 - (2) **Information Resources Management Council.** The IRMC is comprised of IMT managers who serve as a technical body to advise the ACIO, carry out and implement new requirements and systems directed by the ACIO, develop acquisition requirements, manage daily IMT operations, and provide technical advice and support regarding the management and implementation of IMT policies and procedures.
 - (3) **Information Resources Business Advisory Council.** The Information Resources Business Advisory Council (IRBAC) is comprised of broad representation from regions, area offices, program offices, and Denver directorates. Requests for members will be made through the Reclamation Leadership Team on an annual basis. The IRBAC participates in the annual IMT budget and portfolio reviews, and other special projects as assigned by the ACIO. At the conclusion of each review, or project, the IRBAC provides the ACIO with all findings and recommendations.
- B. **Governance Documents.** The ACIO will issue governance documents such as IMT Circulars, SOPs, service level agreements, and other governance documents issued at their discretion to meet the needs of IMT organizations. The initiation, development, review, approval, issuance, and maintenance of these documents will be outlined in IRO SOPs for governance documents.
- C. **Internal Controls.**
- (1) **Annual Information Management and Technology Assurance Statements and Certifications.** The ACIO submits annual IMT assurance statements and certifications to the Department's OCIO to certify Reclamation's IMT programs, systems, and controls have been assessed to determine the effectiveness and efficiency of operations and the results are based on compliance with applicable laws and regulations. Examples of these documents include the *Annual Assurance*

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Statement for Internal Controls over Information Technology and the Annual FITARA Certification.

- (2) **Information Management and Technology Internal Control Program.** The IMT internal control program is an annual cycle of risk assessment designed to establish, maintain, evaluate, improve, and report on administrative, programmatic, and operational internal controls related to IMT programs under the purview of the ACIO. IRO conducts annual internal control reviews to summarize the efficiency and effectiveness of the management of system controls in accordance with FMFIA and OMB guidelines to fulfill internal control program requirements from the Department and Reclamation. IRO's internal control risk categories are separated based on the organization's divisions for operations, service, and risk management.
- (3) **Information Management and Technology Organizational Assessment.** The annual IMT Organizational Assessment (OA) is used to identify region and office IMT internal controls and quarterly ratings. The OA development and evaluation process serves as an exercise in accountability and cultivating better awareness of the relationships between the regions/offices and the IRO's IMT programs. The OA rating process consists of a self-assessment by region/office staff followed by an assessment by the ACIO facilitated by IRO staff. The process enables IRO to adhere to the Department's standards and requirements through identifying program areas of excellence and areas in need of improvement. The IMT OA is an opportunity for the ACIO to assess the health of Reclamation IMT within regions, offices, and individual program areas.

6. Definitions.

- A. **Demand Management.** The demand management process supports identifying, planning, integrating, and tracking new demands (new requests) for IMT programs, projects, and services. Reclamation's IMT demand management process aims to provide customers with a process for introducing new requests for technology, requirements, and services.
- B. **Industrial Control Systems or ICS.** General term that encompasses several types of control systems, including supervisory control and data acquisition (i.e., SCADA) systems, distributed control systems (i.e., DCS), and other control system configurations such as Programmable Logic Controllers (i.e., PLC) often found in the industrial sectors and critical infrastructures. An ICS consists of combinations of control components (e.g., electrical, mechanical, hydraulic, pneumatic) that act together to achieve an industrial objective (e.g., manufacturing, transportation of matter or energy).

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- C. **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.¹
- D. **Information Management and Technology or IMT.** IMT activities include the collective definitions articulated Paragraphs 6.B., 6.D., and 6.E.¹
- E. **Information Technology or IT.** 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 Reclamation; where such services or equipment are “used by Reclamation” if used by the agency directly, or if used by a contractor under a contract with the agency that requires either use of the services or equipment or requires 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" includes 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 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 1996.¹
- F. **Information Technology Resources.** Includes all Reclamation budgetary resources, personnel, equipment, facilities, or services that are primarily used in the management, operation, acquisition, disposition, and 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.¹
- G. **Operational Technology or OT:** Programmable systems or devices that interact with the physical environment (or manage devices that interact with the physical environment). These systems or devices detect or cause a direct change through the monitoring or control of devices, processes, and events. Examples include industrial

¹Definition is from Departmental Manual 112 DM 24, Appendix B.

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control systems, building management systems, fire control systems, and physical access control mechanisms.

7. **Review Period.** The originating office will review this release every 4 years.

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: _____