

U.S. DEPARTMENT OF AGRICULTURE
WASHINGTON, D.C. 20250

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OPI: Office of the Chief Information Officer, Information Resources Management Center	EXPIRATION DATE: April 19, 2027

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1. PURPOSE

This Departmental Regulation (DR) establishes the United States Department of Agriculture (USDA) policy and approach to Enterprise Architecture (EA) in support of the *Clinger-Cohen Act of 1996*, [40 United States Code \(U.S.C.\) Section 11101 et seq.](#); *E- Government Act of 2002*, [44 U.S.C. § 3501](#); [The Common Approach to Federal Enterprise Architecture](#) (“Common Approach”); *Federal Information Technology Acquisition Reform Act (FITARA)*, [Public Law \(P.L.\) 113-291 § 831-837](#); *Federal Information Security Modernization Act of 2014 (FISMA 2014)*, [44 U.S.C. § 3551](#); and various Office of Management and Budget (OMB) guidance documents.

2. SCOPE

This DR applies to all USDA Mission Areas, agencies, staff offices, and others who work for, or on behalf of, USDA and are responsible for the development, implementation, and oversight of information technology (IT) and Enterprise Architecture.

3. SPECIAL INSTRUCTIONS/CANCELLATIONS

- a. This DR supersedes DR 3185-001, *Enterprise Architecture*, dated July 29, 2019.
- b. This policy is effective immediately and remains in effect until superseded or expiration.
- c. All Mission Areas, agencies, and staff offices will align their policies and procedures with this DR within 6 months of the publication date.
- d. EA procedures will be provided in the companion Departmental Manual(DM) 3185-001, *Enterprise Architecture Procedures*.

4. BACKGROUND

FITARA requires Chief Information Officers (CIO) to have a significant role in Information Technology (IT) decisions, including annual and multi-year planning, programming, budgeting, execution, reporting, management, governance, and oversight functions.

5. POLICY

USDA's EA is an asset that captures and contextualizes information and data regarding the Department's and its Mission Area, agency, and staff office business operations, capabilities, and supporting technologies. EA supports and provides information for USDA's IT investment and management processes and seeks to reduce unnecessary duplication of both material expenditures and efforts.

- a. Mission Area, agency, and staff office Enterprise Architects must comply with legislative mandates, Federal initiatives, and oversight requirements, which includes the *Federal Enterprise Architecture Framework Version 2* ([FEAF v2](#)) taxonomy and the Technology Business Management Council, [Technology Business Management Taxonomy](#).
- b. USDA's Mission Area, agency, and staff office Enterprise Architects will:
 - (1) Align with and support the business and operational needs, requirements, and priorities expressed through the [USDA Strategic Plan Fiscal Years 2022-2026](#);
 - (2) Conform to the [USDA Standards Profile](#) as approved by the Enterprise Architecture Committee (EAC). Usage of unapproved standards may occur if the responsible Mission Area, agency, or staff office has received an exception via the USDA Office of the Chief Information Officer (OCIO) Acquisition Approval Request process;
 - (3) Incorporate security controls for all systems and applications to ensure the authorization, integrity, completeness, and accuracy of transactions;

- (4) Be designed and implemented in the context of the USDA EA and carried out to create a more responsive and cost-effective Government;
- (5) Install a robust configuration management process that must be in place for systems, applications, and data;
- (6) Ensure data is an asset that has value to the enterprise and is managed accordingly;
- (7) Utilize the Enterprise Architecture Visioning Environment (EAVE) to develop and maintain the Mission Area, agency, and staff office IT asset inventory and their attributes;
- (8) Identify legacy systems which include IT assets with an expected decommission date of less than 5 years;
- (9) Maintain legacy system classifications within EAVE (e.g., expected decommission dates, actual decommission dates and an expected decommission reason) for all applicable IT assets within the Mission Area, agency, and staff office inventory;
- (10) Develop and maintain the Mission Area, agency, and staff office application roadmap or strategy to support strategic goals and technology modernization efforts, to include modernizing legacy systems by re-architecting, rebuilding, or replacing; and
- (11) Provide the OCIO, Information Resource Management Center (IRMC), Enterprise Architecture Division (EAD) with the most current Mission Area, agency, and staff office application roadmap or strategy for inclusion into the [USDA OCIO Target Architecture](#) to facilitate effective decision-making.

6. ROLES AND RESPONSIBILITIES

a. The USDA CIO will:

- (1) Appoint a Chief Enterprise Architect (CEA) for USDA;
- (2) Provide sufficient support to ensure the USDA's EA is effectively and efficiently governed;
- (3) Ensure that the EA program complies with applicable laws, OMB policies and memorandum, USDA policies and procedures, and has an effective governance process; and
- (4) Ensure that EA practices, principles, and information are incorporated into IT governance, portfolio management, capital planning, investment management, and

other processes related to the planning, acquisition, maintenance, end of life and disposition of IT.

b. The IRMC Associate Chief Information Officer will:

- (1) Address USDA's information and IT requirements as collaborative and integrated processes, and work in concert with the USDA EAC;
- (2) Implement, manage, monitor, maintain, and report on USDA's infrastructure and office automation technology base (i.e., its shared services environment); and
- (3) Ensure tight integration of USDA's EA, Capital Planning and Investment Control (CPIC), program management, and IT waiver processes.

c. USDA OCIO CEA will:

- (1) Disseminate and make available the contents of the USDA's EA program;
- (2) Serve as the Enterprise Architecture Executive Steering Committee (EA ESC) Chair and direct and oversee all meetings;
- (3) Serve as the Chair and oversee and establish EAC Integrated Project Teams to address specific processes, work, or issues;
- (4) Provide day-to-day management and stewardship of USDA's EAD;
- (5) Conduct periodic reviews of Mission Area, agency, and staff office EA activities;
- (6) Coordinate USDA's EA-specific responses to internal and external oversight organizations (Government Accountability Office, General Services Administration, OMB, National Institute of Standards and Technology, and other organizations or Federal agencies);
- (7) Oversee an Enterprise Architecture Repository (EAR) that supports enterprise IT decision making and reporting activities;
- (8) Align USDA Classifications and Standards with OMB EA Standards for compliance. This can be integrated with the USDA EAR; and
- (9) Ensure creation and dissemination of a detailed operating procedures, policies, and other core EA artifacts that define the operation of the EAD.

d. The USDA Enterprise Architecture Executive Steering Committee (EA ESC) will:

- (1) Be chaired by the USDA CEA;

- (2) Be comprised of three to five voting members from the USDA CIO Council;
 - (3) Provide overall strategic direction and guidance for USDA's EA;
 - (4) Serve as the Department's senior governing body for EA and be primarily responsible for facilitating the development and prioritization of EA strategies;
 - (5) Serve as an adjudicating authority for the resolution of any issues that arise from or are identified by the EAC;
 - (6) Assist in the establishment of a shared understanding of current EA challenges within the USDA and potential solutions for overcoming them; and
 - (7) Facilitate agreement on a future-state vision for the USDA's EA.
- e. The USDA EAC will:
- (1) Be chaired by the USDA CEA;
 - (2) Be comprised of one voting member from each agency and staff office;
 - (3) Collaborate with Mission Areas, agencies, and staff offices in the creation, maintenance, and updating of EA-related standards, guidelines, directives, policies and procedures within USDA;
 - (4) Establish EA value and performance measures;
 - (5) Assess compliance with, completeness of, and benefits derived directly and indirectly from the use of the USDA EA; and
 - (6) Develop and maintain EA reference models and make recommendations to the EA ESC and the USDA's CIO Council for improvements to USDA's EA domains.
- f. Mission Area Assistant CIOs will:
- (1) Ensure collaboration and coordination of EA functions across agency and Mission Area leadership, Enterprise Architects, and the USDA CEA;
 - (2) Appoint and oversee data content stewards to ensure the accuracy and timeliness of data content in the USDA;
 - (3) Align each IT project with USDA's EA vision, principles, and standards; is consistent with agreements reached through collaborative decision-making processes; and is represented in the EAR; and
 - (4) Develop internal policies, procedures, and controls to support the EA function.

g. Agency and Staff Office IT Directors and Program Managers will:

- (1) Incorporate EA policies, requirements, and standards into agency and staff office IT governance and CPIC processes;
- (2) Implement and maintain business, performance, application, data, infrastructure, and security configuration settings and controls;
- (3) Ensure Enterprise Architects and decision makers share a consistent understanding of the unique requirements for each EA subject area; and
- (4) Stay current on trends, developments, and innovations pertaining to EA-related tools, methods, and frameworks in the public and private sectors.

7. INQUIRIES

All inquiries regarding this DR will be directed to the USDA OCIO IRMC EAD at enterprise.architecture@ocio.usda.gov.

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APPENDIX A

ACRONYMS AND ABBREVIATIONS

AAR	Acquisition Approval Request
ACIO	Associate Chief Information Officer
CEA	Chief Enterprise Architect
CIO	Chief Information Officer
CPIC	Capital Planning and Investment Control
DR	Departmental Regulation
DM	Departmental Manual
EA	Enterprise Architecture
EAC	Enterprise Architecture Committee
EAD	Enterprise Architecture Division (OCIO-IRMC component)
EAR	Enterprise Architecture Repository
EAVE	Enterprise Architecture Visioning Environment
ESC	Executive Steering Committee
FEAF	Federal Enterprise Architecture Framework
FISMA	Federal Information Security Modernization Act
FITARA	Federal Information Technology Acquisition Reform Act
GAO	Government Accountability Office
GPEA	Government Paperwork Elimination Act
GSA	General Services Administration
IPT	Integrated Project Team
IRMC	Information Resource Management Center (OCIO component)
IT	Information Technology
NIST	National Institute of Standards and Technology
OCIO	Office of the Chief Information Officer
OMB	Office of Management and Budget
P.L.	Public Law
PM	Program Management
TBM	Technology Business Management
U.S.C.	United States Code
USDA	United States Department of Agriculture

APPENDIX B

DEFINITIONS

Enterprise Architecture (EA). 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. The EA includes baseline architecture, target architecture, and a sequencing plan. It is a framework for streamlining business processes, information flows, applications, and infrastructure to support Agency and interagency goals. (Source: OMB, [Circular A-130](#), *Managing Information as a Strategic Resource*)

An EA is the explicit description and documentation of the current and desired relationships among business and management processes and IT. It describes the “current architecture” and “target architecture” to include the rules and standards and systems life cycle information to optimize and maintain the environment which the agency or staff office wishes to create and maintain by managing its IT portfolio. The EA must also provide a strategy that will enable the Mission Areas, agency, or staff office to support its current state, and act as the roadmap for transition to its target environment. These transition processes will include a Mission Area, agency, or staff office, CPIC process, Mission Area, agency, and staff office EA planning process, and Mission Area, agency, and staff office systems life cycle methodologies. The EA will define principles and goals and set direction on such issues as the promotion of interoperability, open systems, public access, and compliance with the *Government Paperwork Elimination Act* (GPEA), [44 U.S.C. § 3504](#), end user satisfaction, and IT security. The Mission Area, agency, or staff office must support the EA with a complete inventory of Mission Area, agency, and staff office information resources, including personnel, equipment, and funds devoted to information resources management and IT, at an appropriate level of detail. (Source: OMB, Circular A-130)

Federal Enterprise Architecture. A business-based framework for Governmentwide improvement developed by the OMB to facilitate efforts to transform the Federal Government to one that is citizen-centered, results-oriented, and market-based. The Federal EA is constructed through a collection of interrelated “reference models” designed to facilitate cross-agency analysis and the identification of duplicative investments, gaps, and opportunities for collaboration within and across Federal Agencies. These models are defined as: Performance Reference Model, Business Reference Model, Application Reference Model, Infrastructure Reference Model, Data Reference Model, and Security Reference Model. (Source: OMB, *Common Approach*)

Legacy System. A legacy system is identified as a system that is outdated or obsolete and may also be based on outdated technologies but is critical to day-to-day operations. A legacy system, in the context of computing, refers to outdated computer systems, programming languages, or application software that are used instead of available upgraded versions. A legacy system is also known as a legacy platform. (Source: *Federal Information Security Modernization Act of 2014* (FISMA 2014))

APPENDIX C

AUTHORITIES AND REFERENCES

The Clinger-Cohen Act of 1996, [40 United States Code \(U.S.C.\) Section 11101](#), et seq., as amended

E-Government Act of 2002, [44 U.S.C. § 3501](#), December 17, 2002

Federal Information Security Modernization Act of 2014 (FISMA 2014), [44 U.S.C. § 3551](#), December 18, 2014

Federal Information Technology Acquisition Reform Act (FITARA), [Public Law \(P.L.\) 113-291, Title VIII, Subtitle D, §§ 831-837](#), December 14, 2014

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OMB, [Circular A-130](#), *Managing Information as a Strategic Resource*, July 28, 2016

OMB, *The Common Approach to Federal Enterprise Architecture*, “Common Approach” May 2, 2012

OMB, *Federal Enterprise Architecture Framework Version 2* ([FEAF v2](#)), January 29, 2013

Technology Business Management Council, [Technology Business Management \(TBM\) Taxonomy](#), March 1, 2018

USDA, [Standards Profile](#)

USDA, DM 3185-001, *Enterprise Architecture Procedures* (forthcoming)

USDA, [DR 3105-001](#), *USDA Chief Information Officers Council*, April 6, 2016

USDA, [DR 3107-001](#), *Management of USDA IT Enterprise Initiatives*, May 12, 2016

USDA, [DR 3130-010](#), *United States Department of Agriculture Enterprise Information Technology Governance*, April 20, 2021

USDA, [DR 3130-011](#), *Information Technology Program and Project Manager Certification Requirements*, February 4, 2016

USDA, [DR 3130-013](#), *Information Technology Capital Planning and Investment Control*, May 24, 2021

USDA, [DR 3180-001](#), *Information Technology Standards*, January 5, 2021

USDA, [*Enterprise Architecture Committee Charter*](#), Version 1.02, May 5, 2016

USDA, [*OCIO Target Architecture*](#), September 14, 2021

USDA, [*USDA Strategic Plan Fiscal Years 2022-2026*](#)