

Department of the Interior

Departmental Manual

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Series: Information Resources Management

Part 375: IRM Program Management

Chapter 4: IRM Strategic Planning

Originating Office: Office of Information Resources Management

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4.1 Purpose. This chapter describes the information resources management (IRM) strategic planning process within the Department of the Interior. It defines responsibilities for the development, coordination, and approval of IRM strategic plans. Descriptions are provided for common planning information to be included in all IRM strategic plans.

4.2 Background. The Paperwork Reduction Act (44 U.S.C. 3501), as amended, requires each agency to develop and revise annually a 5-year plan for meeting the agency's information technology needs. Pursuant to the Act, Office of Management and Budget (OMB) Circular A-130 (8b(1)) further requires agencies to establish multiyear strategic plans for acquiring and operating information technology to satisfy program and mission needs and to support agency budget requests. IRM strategic plans facilitate coordination in the cost-effective use of information resources. The policies and responsibilities stated below address the requirements to establish a management framework within which Departmental and bureau IRM strategic planning can be effectively carried out.

4.3 Objectives. The primary objectives of IRM strategic planning are to:

A. Establish the long term direction to be followed by the Department and bureaus for cost effective use of Federal Information Processing (FIP) resources in support of missions and programs, and

B. Serve as the basis for information technology budget (ITB) requests to OMB.

4.4 Definition. Strategic planning is the highest and most comprehensive level of planning within an organization. It emphasizes the organization's mission, goals, objectives, and resources necessary for achieving the organization's objectives. Strategic planning establishes the general approach and major actions for satisfying the organization's requirements. Strategic planning is sometimes referred to as long-range planning. (For purposes of this chapter, strategic planning covers a minimum timeframe of 5 years.)

4.5 Authority. This directive implements agency IRM strategic planning requirements defined in OMB Circular A-130 and FIRMR 201-18.

4.6 Policies. It is the policy of the Department of the Interior to:

A. Establish and follow an IRM strategic planning process within each bureau and Departmentwide.

B. Develop, maintain, and annually update IRM strategic plans covering the information resources of each bureau and the Department as a whole.

C. Integrate IRM strategic plans with mission plans and budget strategies.

D. Provide top-level management review and approval of bureau and Departmentwide IRM strategic plans.

E. Use IRM strategic plans as the basis for information technology budget requests to OMB and for developing or acquiring information resources. IRM strategic plans should also be developed or updated prior to undertaking major acquisition or development projects affecting bureau or Departmentwide information resources.

4.7 Responsibilities.

A. Office of the Secretary Management Responsibilities.

(1) Assistant Secretary - Policy, Management and Budget (A/S-PMB). As the Department's Designated Senior Official for IRM, the A/S-PMB is responsible for overall IRM strategic planning and oversight within the Department.

(2) The Office of Information Resources Management (PIR). PIR, in support of the A/S-PMB, is responsible for:

(a) Establishing a Departmentwide IRM strategic planning process.

(b) Developing and maintaining the Departmentwide IRM Strategic Plan, and submitting the plan to the Information Resources Management Review Council (IRMRC) for review.

(c) Developing IRM strategic planning guidelines for bureaus and offices.

(d) Providing technical assistance and overseeing bureau and office IRM strategic planning activities.

(e) Providing staff support to the IRMRC in the development of top-down planning guidance and in reviewing the Departmentwide and bureau IRM strategic plans.

(f) Coordinating Departmentwide IRM strategic plans with external agencies and authorities.

(g) Ensuring that the Department's IRM strategic plan reflects Departmentwide mission and management priorities and is integrated with the Department's overall budget strategy.

(h) Developing and maintaining an IRM strategic plan for the Office of the Secretary.

(3) Program Assistant Secretaries. Program Assistant Secretaries are responsible for:

(a) Providing guidance, direction, and oversight for their bureaus' IRM strategic planning activities.

(b) Ensuring that bureaus develop and maintain IRM strategic plans based upon valid mission requirements.

(c) Reviewing and approving bureau IRM strategic plans prior to submitting them for review by the IRMRC.

(d) Reconciling overlapping plans for common or related mission or administrative requirements among their respective bureaus.

B. Bureau Management Responsibilities

(1) Heads of Bureaus. Heads of bureaus are responsible for:

(a) Ensuring implementation of an IRM strategic planning process in accordance with the policies and guidelines of this directive.

(b) Ensuring the production, maintenance, and annual update of the bureau IRM strategic plan.

(c) Ensuring coordination of the bureau IRM strategic plan with the bureau's internal IRM steering committee.

(d) Reviewing and approving the bureau IRM strategic plan prior to submission to the responsible Program Assistant Secretary.

(e) Ensuring that the bureau IRM strategic plan is consistent with, and supportive of, bureau mission plans, program plans, and administrative plans, and is based upon valid mission needs and requirements.

(f) Ensuring that IRM strategic plans have been developed and approved prior to budgeting for resources necessary for achieving the organization's objective and prior to initiating acquisition or development projects.

(g) Ensuring that the bureau's IRM strategic plan is linked to bureau budget plans, and that major information resources projects and associated funding requirements are identifiable in the bureau budget estimates submitted annually to the Office of the Secretary.

(2) Bureau IRM Coordinators. Bureau IRM Coordinators are responsible for:

(a) Coordinating the development, maintenance, and annual update of the bureau's IRM strategic plan.

(b) Providing input as required for the preparation of the Departmentwide IRM strategic plan, including providing current copies to PIR of the approved bureau IRM strategic plan (annually).

4.8 Implementing IRM Strategic Planning.

A. General Considerations. IRM strategic planning should be considered complementary to other management planning within bureaus, especially program and budget planning. The IRM strategic plan should be mission and program driven.

B. Planning Approaches. Several approaches can be followed in developing and maintaining an IRM strategic plan. Certain common planning information is required by this chapter although no specific overall planning approach is mandated for bureau use. However, it is recommended that the selected planning process be structured and provide for coordination by the Office of the Secretary and bureau management. Common planning information should include program areas and the related programs of IRM when possible.

C. Scope and Structure of IRM Plans. IRM strategic plans should address the major information resources of each bureau. No specific format for IRM strategic plans is required; however, certain planning information is mandatory and should be included in bureau plans. Minimum bureau planning requirements are defined in paragraph 4.9 of this chapter. A suggested outline for an IRM strategic plan is provided in Appendix 1 to this chapter. The plan should include specific objectives and major planned actions with particular emphasis given to the following:

- (1) Application systems (include systems modernization and maintenance);
- (2) Data holdings and data management;
- (3) FIP resources and facilities (including telecommunications, hardware, software, and support services);
- (4) Adoption of electronic office equipment accessibility guidelines designed to ensure that individuals with disabilities may also use electronic office equipment;
- (5) Computer security; and

- (6) Information dissemination.

4.9 Minimum Requirements for Bureau IRM Strategic Plans.

A. Mandatory Planning Information. All bureau IRM strategic plans will include specific planning information concerning key organization, mission, and management goals, objectives, and requirements. An executive summary will be included that is suitable for presentation to top-level bureau managers and Assistant Secretaries, external agencies, and Congress. The plans will address planned activities, priorities, strategies, and resource requirements concerning each organization's major information resources as defined in OMB Circular A-130. In addition, IRM planning information required on an on-going or ad hoc basis by Office of Management and Budget (OMB), General Services Administration (GSA), or the Office of the Secretary also will be included in IRM strategic plans. This includes OMB Circular A-11 - Exhibits 43A, B, C; Computer Security Act; and responses to special data calls (e.g. OMB Annual Federal Planning Bulletin, YR-XX). This information may be collected independently by bureaus but will be included within IRM strategic plans. The IRM strategic plan outline in Appendix 1 includes asterisks (*) for those items which address the mandatory planning information described above.

The IRM strategic plan should cover a minimum of 5 years beginning with the fiscal year following the fiscal year in which the plan is prepared. Report Control Symbol DOI-82-078 has been assigned to this reporting requirement.

B. IRM Planning Schedule. Bureau IRM strategic plans will be developed, coordinated, and reviewed in accordance with the milestones shown in Appendix 2. The milestones are designed to facilitate integration of IRM planning with budget formulation. Schedules may be revised slightly in any particular year to accommodate changes in the Federal or Department budget process.

C. Reviews and Approvals of IRM Strategic Plans.

(1) Bureau Approvals. Formal approval of the bureau IRM strategic plan (including updates) by the head of the bureau is mandatory. After formal approval by the head of the bureau, the plan will be forwarded to the appropriate program Assistant Secretary and a copy provided to PIR for use in developing the Departmentwide IRM strategic plan.

(2) Assistant Secretary Review and Approval.

(a) Program Assistant Secretary Review and Approval of Bureau IRM Strategic Plans. Program Assistant Secretaries will review and formally approve their bureau's IRM strategic plans. Upon completion of Program Assistant Secretary review and approval, the bureau plans will be forwarded to A/S-PMB for review and coordination.

(b) IRMRC Review and A/S-PMB Approval. Upon completion of A/S-PMB review, an executive summary of each bureau IRM strategic plan, the Office of the

Secretary IRM strategic plan, and a draft Departmentwide IRM strategic plan will be forwarded to the IRMRC for review. Upon completion of IRMRC review, the A/S-PMB will issue formal approvals of IRM strategic plans or will notify bureaus of any required changes to the plans. Approval of a bureau IRM strategic plan does not constitute automatic approval of budget resources, acquisitions, or systems development actions required to implement the plan. However, an approved IRM strategic plan will be a prerequisite in Office of the Secretary and OMB budget approvals.

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Appendix 1

OUTLINE FOR BUREAU IRM STRATEGIC PLANS

The outline below includes the major subject areas and key planning information that should appear in a bureau IRM strategic plan. Use of this outline is not mandatory; however, items shown with an asterisk (*) are mandatory planning information items identified in paragraph 4.9A of this DM chapter.

BUREAU IRM STRATEGIC PLAN

I. Executive Summary*

II. Overview of the Bureau*

Mission, management goals, and agenda upon which the plan is based

Current and future program and mission needs

Bureau organizational structure

III. IRM in the Bureau

Historical perspective

Recent IRM accomplishments

Information Resources Management goals

IV. IRM Strategic Plan*

Introduction

Purpose

Strategic information resources covered by plan

Relationship to other bureau plans

Planning guidance and assumptions

Applicable top-down planning guidance

Management assumptions

Technology assumptions

Budget assumptions

Planning uncertainties

IRM goals and strategies for the planning period

IRM goals

IRM objectives

Strategies for major IRM topics (application systems, data bases, Federal Information Processing (FIP) resources and facilities including: telecommunications, hardware, software, support services, FIP resources needed to meet the national security and emergency preparedness needs, electronic office equipment accessibility, computer security, and information dissemination).

Major initiatives

Major application system and data base development plans

Implementation alternatives and contingency plans

Major acquisition plans

IRM budget strategies

Summary of major IRM projects and life cycle management milestones

V. Appendices (mandatory planning information)

Summary of latest Computer Security Plan (Computer Security Act of 1988, PL 100-235, Section 6(b))

Information Technology Budget (ITB)

Analysis of the latest fiscal year IRM review and a summary of the current fiscal year IRM review plans

Special planning information (data provided in response to the latest OMB Federal Planning Bulletin, YR-XX)

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Appendix 2

Explanation of Major IRM Strategic Planning Activities and Milestones

M1. Completion of Bureau IRM Strategic Plans. This Milestone is the date by which a draft bureau IRM strategic plan should be completed. Initiation of the development or update of the bureau's IRM strategic plan should begin several months before this date. Coordination of possible joint projects or resources sharing within the bureau, and with other bureaus, should take place during the development of the draft plan. An analysis of budget requirements should proceed concurrently with the development of the draft bureau IRM strategic plan, and close coordination between the plan developers and the bureau's budget staff should occur.

M2. Head of Bureau Approval of the IRM Strategic Plan. This milestone should be the point at which the head of the bureau formally approves the bureau IRM strategic plan. Bureauwide coordination of the draft IRM strategic plan should occur during July prior to completion of this milestone. Also, a review of the plan by the bureau's IRM Steering Committee should be completed prior to seeking the bureau head's approval.

M3. Program Assistant Secretary Approval of Bureau IRM Strategic Plans. Each bureau IRM strategic plan should be forwarded to the appropriate Program Assistant Secretary during August after formal approval by the bureau director. Program Assistant Secretaries should review their respective bureaus' IRM strategic plans. Specific areas of emphasis during the review should be: consistency of plans with Departmental/Program Assistant Secretary objectives and budget outlooks, and validity of mission needs underlying the plan.

M4. A/S-PMB Review of Bureau IRM Strategic Plans. Upon completion of Program Assistant Secretary approvals, bureau IRM strategic plans will be forwarded to the A/S-PMB for review. The A/S-PMB review of bureau IRM strategic plans will be concerned primarily with: determining consistency with Departmental goals and objectives; conformance to OMB policies, Federal procurement regulations, and Federal and Departmental standards; and budgetary impacts. Identification of possible multibureau or Departmentwide projects or initiatives also will be emphasized during the review. Bureau IRM strategic plans will serve as

an important input for the development of long-range Departmental goals, strategies, and policy requirements.

M5. IRMRC Review of Bureau and Departmental IRM Strategic Plans. Upon completion of A/S-PMB review of bureau IRM strategic plans, a synopsis of each bureau's IRM strategic plan will be provided to the IRMRC for review. Also, accompanying the bureau IRM strategic plan will be recommendations for establishing Departmentwide plans, strategies, standards, or policies.

M6. A/S-PMB Approval of IRM Strategic Plans. Upon completion of IRMRC review of IRM strategic plans, the A/S-PMB will approve each bureau's IRM strategic plan, and/or direct any necessary revisions. The A/S-PMB, as the Designated Senior Official for IRM, will perform necessary coordination and liaison functions with OMB, GSA, National Institute of Standards and Technology (NIST), and congressional committees regarding Departmental IRM strategic plans and strategies.

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