

# FARM CREDIT ADMINISTRATION



## IRM STRATEGIC PLAN INFORMATION RESOURCES MANAGEMENT

FY 2019-2023

1501 FARM CREDIT DRIVE, MCLEAN, VA 22102

## Foreword

Technology is interwoven into the fabric of the operations at the Farm Credit Administration (FCA or agency). The Office of Information Technology (OIT) is a strategic partner to support the business objectives and needs of the agency. We use the Information Resources Management (IRM) planning process to ask ourselves what are FCA's business priorities and objectives. The advances in technology and the fast rate of innovation in Information Technology (IT) mean that OIT can provide options to our business users by partnering with them in new and creative ways.

The IRM Planning process provides an opportunity for the agency to articulate the strategic outcomes that will make the biggest difference to the success of the agency. By focusing on those strategic outcomes, the agency can direct OIT resources to the areas that will result in the highest-value outcomes for the agency.

OIT looks forward each year to collaborating with the agency's offices to create an IRM Plan that maps out a vision for reaching the agency's objectives.

## Role of the IRM Plan

The role of the IRM Plan is to provide a program that supports effective IT asset management and investment control. The planning process identifies new system and application development/procurement needs.

The FCA's Chief Information Officer (CIO) administers IRM policy and planning and is guided by all the offices within FCA. The CIO serves as the principal technical adviser to the Chief Executive Officer (CEO) and Senior Staff on all issues related to IRM. The CIO is the designated senior official for IRM acquisitions.

OIT annually reviews and updates, as appropriate, this five-year plan for addressing and implementing the agency's IT needs. OIT integrates applicable government-wide directives affecting IRM functions into agency policies, procedures, guidelines, and directives.

OIT's responsibilities are performed under policy guidance provided by Office of Management and Budget (OMB) Circular A-130, the "Managing Information as a Strategic Resource," OMB Circular A-108, "Federal Agency Responsibilities for Review, Reporting, and Publication under the Privacy Act," and in accordance with Section 508 of the Rehabilitation Act of 1973.

## IRM Planning and Investment Portfolio

### IRM Planning

The IRM Plan is an integral part of FCA's overall planning; it identifies the agency's technological strategic initiatives and supports other agency strategic planning efforts. The agency's strategic goals and objectives guide the IRM Plan and its management. The OIT uses the IRM Plan to define and manage a comprehensive list of Completed, Active, Pending, and Proposed projects, called the OIT Project Board. Under the OIT's core principle of Transparency, the OIT Project Board is made available to all FCA staff. After reviewing the IRM Plan and the more comprehensive OIT Project Board, the FCA Board provides direction and oversight to earmark resources for the most critical needs of the agency. The Chief Operating Officer (COO) provides direction and oversight to the agency's operations, including the IRM Plan and its processes. OIT meets with each FCA and Farm Credit System Insurance Corporation (FCSIC) office once per quarter in what are called "Partnership Meetings" to review projects and discuss ongoing and future data and technology needs. OIT discusses outcomes of the quarterly Partnership Meetings with Senior Leadership.

Proposed projects that are categorized in IRM Plan Initiatives are requested from FCA operating units at any time during the year and discussed during Partnership meetings. These discussions define the priority, urgency, and scope of technology changes and begins the budget process to allocate resources needed to implement. The review process considers cost, risk, anticipated return, and alignment with and impact on FCA's enterprise architecture.

As part of our overall IRM program, we maintain a strong capital planning and investment control process. Proposed high level projects are evaluated for inclusion in upcoming budgets by the CIO and reviewed during Partnership Meetings. A summary of included projects is listed along with their estimated costs and made available to the COO. The COO consults with the FCA Board and Senior Staff to ultimately decide which projects are funded and which are to be deferred.

Throughout the year, the CIO modifies the IRM initiatives and OIT staff constantly updates the OIT Project Board as projects and business needs change. The intent of the IRM Plan is to provide general guidance on IT direction through initiatives; on what projects OIT should spend its limited resources on; and ensures all projects support the FCA's strategic goals and objectives.

## Aligning FCA Strategic Plan with IRM Initiatives

FCA maintains an IT investment portfolio that supports, directly or indirectly, the three strategic goals outlined in the Farm Credit Administration Strategic Plan. The most recent plan is available on the FCA.gov Reports & Publications web page at <https://www.fca.gov/about/reports-publications>.

Number	Short Description	Description
Goal I	Regulation and Policy	Ensure that the Farm Credit System (FCS or System) and Farmer Mac fulfill their public missions for agriculture and rural areas
Goal II	Safety and Soundness	Evaluate risk and provide timely and proactive oversight to ensure the safety and soundness of the System and Farmer Mac
Goal III	Staff Development	Cultivate an environment that fosters a well-trained, motivated, and diverse staff while providing an effective plan for leadership succession

Each Initiative in the IRM Plan supports a specific goal or is identified as Distributed. **Distributed means that it applies to Goals I and II;** for example, Human Resources and Financial Management initiatives. When assigning the strategic goal to an initiative, we evaluate if the initiative is primarily intended to support a single Strategic Goal or if it is intended to serve all the functions of FCA. While every initiative serves all FCA, the categorization is determined based on the primary intention.

Additionally, each initiative is categorized as either Operations & Maintenance (O&M) or a Development, Modernization, or Enhancement (DME). O&M initiatives are needed to support the continued operations of the agency and include hardware, software maintenance, customer support, and OMB regulation, Department of Homeland Security (DHS) guidance, and other directives. O&M Initiatives are assigned to one of the four Divisions in OIT— Director’s Office (DO), Applications Division (AD), Technology Division (TD), or the Governance Division (GD). DME Initiatives are projects or purchases that are designed to improve the ability for FCA to meet its goals.

Projects listed in the OIT Project Board are assigned an IRM Initiative and inherit the Strategic Goal and O&M/DME categorizations of that initiative. In addition to the IRM Plan and the OIT Project Board, OIT maintains a detailed line-item Spend Plan. The Spend Plan is developed during the budget process and identifies every anticipated expense for the fiscal year. Like the OIT Project Board, each expense in the Spend Plan is assigned an IRM Initiative and inherits the Strategic Goal and O&M/DME categorizations of that initiative.

The following O&M IRM Plan Initiatives are ongoing efforts and will apply to projects in the OIT Project Board to maintain routine technology services. The number in parenthesis to the right of each description is the internal ID number of the initiative and is used to tie initiatives to projects in the Project Board and expenses in the IT budget.

<b>Operations &amp; Maintenance (O&amp;M)</b>	<b>Regulation and Policy</b>	<b>Safety and Soundness</b>	<b>Staff Development</b>	<b>Distributed<sup>1</sup></b>
AD-Maintain, Load, and Support Mission Data (338)				X
AD-Maintain/Support Custom Applications & Websites (295)				X
AD-Maintain/Support SharePoint (273)				X
AD-Maintain/Support SQL Server (292)				X
DO-OIT Staff Conversant in Latest Tech Trends (348)			X	
GD-Comply with Fed Regulations (341)				X
GD-Provide a Secure IT Environment & Manage Risk (314)				X
GD-Provide OIT Planning and Oversight (340)				X
TD-Customer Support (345)				X
TD-Maintain Network, Communications, and Storage (343)				X

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<sup>1</sup> Distributed means that an initiative applies to both Goals I and II

The IRM Plan initiatives listed below are multi-year efforts that will apply to numerous projects in the OIT Project Board in the upcoming years. These projects are designed to improve the work processes of the agency opposed to maintaining existing operations. They are identified as DME initiatives by OIT business partners to support and optimize FCA’s ability to perform its essential functions.

<b>Development, Modernization, or Enhancement (DME)</b>	<b>Regulation and Policy</b>	<b>Safety and Soundness</b>	<b>Staff Development</b>	<b>Distributed<sup>2</sup></b>
Acquire Data and Improve Quality & Accessibility (321)		X		
Automate Forms and Workflow Processes (322)				X
Develop Reports/Dashboards to Systematize Analysis (264)		X		
Implement a Human Resource Information System (HRIS) (349)				X
Improve Access to FCA Network (309)				X
Improve Interoffice Communications/Transparency (327)			X	
Leverage GIS Technology to Support FCA Mission (346)				X
Modernize FCA Custom Applications (347)				X
Improve Examination Approach and Tools (350)		X		
Migrate IT Resources to Cloud Environments				X
Execute Office of Secondary Market Oversight Data Use and Analysis Plan		X		

## Detailed Descriptions of Initiatives

### I. AD – Maintain, Load, and Support Mission Data - 338

This initiative involves support for two mission-critical FCA systems: CRS and FCS Loans. For both systems, FCA receives data from institutions, adjusts data collection requirements in response to changing needs, validates the data received, loads the data into electronic repositories, makes the data available to analysts and users for their risk-based examinations and analyses, and supports other data analysis needs. The data available in both systems and

<sup>2</sup> Distributed means that an initiative applies to both Goals I and II

the analysis performed on that data is necessary to our mission of ensuring safe and sound banking practices across the System.

**2. AD - Maintain/Support Custom Applications and Websites – 295**

This initiative ensures that the routine maintenance on the custom developed applications and websites is performed. It also covers minor updates to the applications that the system sponsors request.

**3. AD - Maintain/Support SharePoint - 273**

FCA uses Microsoft SharePoint to centrally store and manage agency documents, to host applications, and to provide for enterprise search. FCA now has hundreds of SharePoint sites, many of which contain mission critical information. Maintaining SharePoint by installing the latest updates and upgrading to new versions ensures the continued health, security, and performance of SharePoint. Routine account maintenance, access grants, and user education activities are covered under this initiative.

**4. AD – Maintain/Support SQL Server - 292**

FCA uses Microsoft SQL Server as its Relational Database Management System (RDBMS). Most of our major databases, analytical repositories, and applications utilize SQL Server. Maintaining SQL Server by installing the latest updates and upgrading to new versions is critical to ensuring the continued health and performance of our databases, which contain mission-critical data. Routine account maintenance, database maintenance, and tuning activities are covered under this initiative. Continuous maintenance of SQL Server is necessary to enable FCA users to perform the analysis and examinations that are part of their job functions and that tie back to the FCA’s core mission.

**5. DO – OIT Staff Conversant in FCA Mission and Latest Technology Trends – 348**

It is important that OIT staff understand the FCA mission and that they stay up to date with latest technology trends and software. We are especially focused on technology that can help our business partners. To accomplish this initiative, OIT attends conferences, classes, and webinars. In addition, we engage with consultants and technology vendors to understand what is available in the marketplace. There will rarely be projects associated with this initiative; however, each year there will be associated costs.

## **6. GD – Comply with Federal Regulations - 341**

OIT is responsible for ensuring agency IT systems comply with Federal government requirements established to create greater efficiencies in the utilization of IT resources or enhance the security posture of the Federal government. Agencies are required to comply with Section 508 of the Rehabilitation Act, Federal Information Security Modernization Act (FISMA), Trusted Internet Connection (TIC), disaster recovery planning, DHS continuous monitoring, and other OMB/DHS/Presidential directives. OIT must also evaluate new regulations and the National Institute of Standards and Technology (NIST) updated guidance for applicability to FCA's IT environment.

## **7. GD – Provide a Secure IT Environment and Manage Risk - 314**

Securing FCA information and protecting FCA's reputation as a regulator is the responsibility of all FCA personnel. OIT leads the effort to ensure the confidentiality, integrity, and availability of the FCA network, information systems, and applications, including responsibility for FCA's privacy and controlled unclassified information (CUI) programs. Greater efficiencies will be gained by acquiring technology and security services to address the risk commensurate with the increase in the number of vulnerabilities and threat vectors. OIT must also plan for recovery services, including the operation of an emergency site, to offset service disruptions at the primary location.

## **8. GD – Provide OIT Planning and Oversight - 340**

OIT must ensure the effective and efficient use of IT resources. IRM planning and budget development, including the consolidation of the agency's IT budget, establishes priorities for IT resource utilization at the agency level. Within OIT, effective project management, budget execution and reconciliation processes, adherence to standard operation procedures, and development of internal controls facilitates greater oversight.

## **9. TD – Customer Support - 345**

OIT supports FCA and FCSIC in the implementation and use of data and technology. This involves providing support for IT equipment, mobile devices, software, and video conferencing, as well as staffing a User Support Help Desk for on-demand service requests. To support this initiative and provide transparency to the agency, a Service Request (SR) database is used to track customer support requests. In addition, OIT is continuously supporting our business users with projects to improve their computer, network, communications, and workspace environments.

## **10. TD – Maintain Network, Communications, and Storage - 343**

OIT manages the day-to-day operations of a state of the art technology infrastructure. Operations and maintenance (O&M) functions include the care and maintenance of all IT

equipment and enterprise software licenses (e.g., Microsoft); equipment includes servers, laptops, mobile devices, smartphones, video conferencing systems, phones, printers, monitors, TVs, etc. OIT optimizes and replaces equipment as necessary and provides supporting services to include backup/recovery, mobile device management, security operations, and software patch management.

## **11. Acquire Data and Improve Quality and Accessibility - 321**

FCA's offices use mission critical data acquired from regulated institutions as well as internally created data. To do our work more efficiently and to move to a data-driven decision culture, we will acquire new data as needed, streamline data acquisition, and check data quality as it is loaded, prior to beginning our analyses. This will empower users to do creative scenario-based analyses that may help to reduce costs and increase efficiency.

## **12. Automate Forms and Workflow Processes - 322**

FCA currently uses several manual or semi-manual processes to accomplish important agency activities. We have begun moving to more advanced automated forms and workflows that improve the efficiency and effectiveness of the agency. We will examine current processes to determine whether there are opportunities to improve upon (or perhaps eliminate) current workflow processes.

## **13. Develop Reports/Dashboards to Systematize Analysis - 264**

This initiative provides a structured way for analysts and subject matter experts to communicate their findings to non-technical staff and to senior decision-makers. Through the use of data discovery and visualization tools, reports and dashboards can be created. These empower users to discover and act on non-evident trends and perform predictive analysis, consistent with our mission of ensuring safe and sound banking practices across FCS institutions.

## **14. Provide IT Support to Implement a Human Resource Information System (HRIS) - 349**

OIT is working with the Office of Agency Services (OAS) and the Human Resource Branch to procure and implement a Human Resource Information system (HRIS). This will be a multi-year effort; various modules will be purchased and integrated in a planned sequence. We will be purchasing the core module first, which will allow Human Resources to electronically process personnel actions. We will roll out the other HR automation tools in a phased approach and procure additional modules when appropriate.

### **15. Improve Access to the FCA Network – 309**

This initiative is an ongoing effort to improve the performance, convenience, and security of the FCA computer environment. OIT remains cognizant of FCA’s mobile workforce and is continuously working to expand, secure, and improve Internet connections and remote access to business data and tools.

### **16. Improve Interoffice Communications/Transparency - 327**

This initiative covers a wide range of activities from moving email to the cloud, to improving office SharePoint sites, to improving communication with the public and institution about changes to the FCA Website. Activities that improve the transparency of office data to other offices or improve the transparency of FCA data, communications, and activities fall under this initiative. Activities that make FCA’s data and applications more easily accessible to FCA employees, such as making applications available on mobile devices, also falls under this initiative.

### **17. Leverage GIS Technology to Support FCA Mission - 346**

Geographic information systems (GIS) let people visualize, question, analyze, and interpret data to understand spatial relationships, patterns, and trends. GIS-based maps and visualizations greatly assist in understanding situations and in storytelling. FCA has several sets of data that lend themselves to map-based analysis, such as the FCS Loans, the FCS Directory of Institutions, and employee data. We can help agency decision makers analyze and interpret key data by using GIS.

### **18. Modernize FCA Custom Applications - 347**

Many of FCA’s custom applications (for instance TRS, CRS, and Assessments) were developed more than 15 years ago with technology that is now outdated. Older applications may not run in a browser nor be available to run on a mobile device. We will continuously modernize our custom applications by converting to Software-as-a-Service (SaaS), buying services from another government agencies, buying Commercial off-the-shelf (COTS) software, or by migrating the application to a modern development platform.

### **19. Improve Examination Approach and Tools - 103**

The primary objective of this project is to ensure FCA safety and soundness examination activities are supported through the use of technology that provides staff with the ability to conduct reviews of System documentation, remotely connect to FCA to document work, and travel and work more effectively in the field.

## **20. Migrate IT Resources to Cloud Environments - 407**

OIT will determine how FCA can continue leveraging cloud computing capabilities to advance the work of the agency. FCA has implemented several improvements using cloud-based platforms, including updating the Agency's email and the Helpline Services Portal. This initiative defines the strategy for cloud adoption at FCA and implements targeted improvements to IT capabilities.

## **21. Execute Office of Secondary Market Oversight Data Use and Analysis Plan - 408**

The Office of Secondary Market Oversight (OSMO), in partnership with OIT, created a detailed multi-year project plan for enhancing data receipts from Farmer Mac, data usage, analytical reporting requirements, and financial reporting. This initiative is for the execution of that plan by developing tools that gather and integrate into a core database data relevant to FCA's oversight of the FCS secondary market.