

CARE FUNCTIONAL REVIEW
INFORMATION TECHNOLOGY ACTIVITIES

Additional information on the subjects in this section can be found at the Information Technology Division (ITD) homepage: <http://www.afm.ars.usda.gov/divisions/itd/>

5.01 AFM Systems - For information on the interpretation or clarification on the functional questions in this section, please contact, please contact Doug Page on 301-504-1121.

Is the Location experiencing any problems updating information in the REE Directory? Is the Location updating the REE Directory regularly?

The REE Directory contains information on all ARS employees. Each Location should verify personnel and locator information on [http://isbprod.ars.usda.gov/dir2/viewemp\\$.startup](http://isbprod.ars.usda.gov/dir2/viewemp$.startup) and submit needed updates. Contact the ITS for assistance.

5.02 Voice/Data/Video Telecommunications - For information on the interpretation or clarification on the functional questions in this section, please contact E. Linda Rafats on 301-504-1090. NOTE: Due to the reorganization of the ARS CIO office, some questions will be referred to that office.

Does the location maintain an accurate inventory of all telecommunication equipment and circuitry included in the Location Security Plan? If this is not included in the Security Plan, please list the circuit ID, provider, date of installation, and circuit type.

DR 3300-1 requires an inventory be made of telecommunications equipment and circuitry for all USDA sites. The OCIO recommends that this information be included in the Location Security Plan

Is the Location aware of and has it participated in the planning process for telecommunications services and equipment in accordance with USDA DR 3300-1 and the USDA Telecommunications Network Stabilization and Migration Program (TNSMP)?

According to DR 3300-1 and TNSMP, dedicated telecommunications purchases, regardless of dollar value or source, are subject to strict planning and procurement processes. Dedicated telecommunications includes all aspects of data telecommunication, including dial-up access to networks, PBXs, KSUs, Frame Relay circuits, or wireless equipment. Routers, switches, and hubs are also included.

Has the Location obtained a waiver from USDA's Chief Information Officer before acquiring dedicated telecommunications equipment and service that was not included in the forecast? If the Location did not forecast a dedicated item that it now requires, it must work with its ITS, as well as the ARS TMACO, to obtain a waiver from the CIO (see the TNSMP).

Does the Location share telecommunications services and equipment with other USDA organizations?

Departmental policy (DR 3300-1 and the TNSMP) requires Locations to evaluate sharing services and equipment with other USDA agencies and to share when it is:

- Cost-effective (includes one-time and ongoing costs),
- Functionally effective (includes security and administrative support), and

- The agencies are sharing the same city, building, or campus of buildings. (Clarification: If two organizations are in the same city, a local circuit can be run between them to allow only one WorldCom circuit to the Departmental IAN.)

The Location must work with its Area IT Specialist, as well as the ARS/CIO office, to review such possibilities (see the TNSMP).

Does the Location know its local telephone billing details? Does it understand that the FTS2001/WorldCom contract is mandated by USDA for international long-distance, and local-toll calling?

Departmental policy requires that the WorldCom/FTS2001 contract be used for these services. However, some Locations may not be able to comply with some provisions of this requirement because they are using university or state services that are mandatory for that Location. The CARE team should note exceptions in the report with the reason the Location is not using the FTS2001 contract.

Has the Location consulted the GSA Federal Wireless Contract prior to acquiring cellular or pager services or the WorldCom/FTS2001 contract to acquire pager service?

The GSA Federal Wireless and the GSA WorldCom/FTS2001 contracts are not mandatory for these services but Locations are required to compare these contracts prior to ordering equipment or service elsewhere. Contact the Area Office and Linda Rafats on 301-504-1090 for further information and cost-benefit analysis support. If the service has been in place for over a year, it should be reviewed for cost-effectiveness with other, current plans.

Does the Location have radio frequencies? If yes, are they authorized NTIA frequencies? Have authorized National Telecommunications Information Administration (NTIA) frequencies been reviewed within the last five years? Has the radio, telemetry (measuring weather or water for example) or Global Positioning System (GPS) equipment been certified for narrow-banding? If no, when does the Location plan to replace this equipment? (Contact person: Maureen Harris 301-504-1108)

If the Location uses radios, telemetry, or GPS equipment, it must have authorization for a Government radio frequency on file (per USDA DR 3300-1 and ARS Directive 260.1 (being revised)). Due to the upcoming mandatory transition to narrowband, the NTIA has instituted a program whereby all Government agencies that operate land mobile radio systems in the frequency bands of 162-174 MHz (VHF) and 406-420 MHz (UHF) will convert from the present 25 KHz channel spacing to 12.5 KHz channel spacing by January 1, 2005 and January 1, 2008 respectively. Any equipment purchased after 1995 should have been narrowband capable meaning it can be programmed to 12.5 KHz channel spacing. Come the dates above, the equipment must operate plus or minus 12.5 KHz (narrowband) on either side of the assigned frequency. Examples of telemetry and GPS equipment: transmitters on bugs or cows sending information to data collection systems; wireless hydrologic measurement tools; GPS systems on tractors; weather condition measurement tools sending information back to a central collection point using wireless modems.

After receipt of a request for a frequency assignment, the REE Frequency Manager is responsible for requesting a Radio Frequency Authorization (RFA) through the Department from the NTIA. Prior to using the radio frequency, a Location must have the Radio Frequency Authorization (RFA) in hand. Ideally, the RFA should be had prior to purchase of equipment. NOTE: Requests for new radio frequency assignments take at least six months, and often much longer. So planning is important. In accordance with NTIA and USDA directives, all RFAs must be reviewed every five years from original approval or modification so that frequencies no longer required can be released for use elsewhere. The Radio Frequency Manager is in charge of this review and locations must contact her for further information.

Locations may not use non-Government (FCC) frequencies, such as those utilized by radios purchased from Radio Shack. The use of non-Government (FCC) radio frequencies that are licensed to local public safety or university organizations are allowed ONLY with a mutually-approved arrangement. As part of this arrangement, the Government agency must obtain from the non-Government licensee, written certification that the Government operation of these radios is necessary. A copy of this certification should be forwarded to the REE Frequency Manager.

Is the Location leadership part of a COOP plan? If so, is there a GETS card, secure telephone (landline, satellite, or cellular) or fax available? Is each person who has responsibility for these aware of current regulations?

DR 3300-1, Appendices D and J, define the requirements for National security and emergency preparedness telecommunications. Contact the Area Office or ITD/TSSB for assistance.

Is the organization using current videoconferencing technology (less than five years old)? If not, is the Location aware of videoconferencing options available on the FTS2001/WorldCom contract and other sources?

The FTS2001/WorldCom contract provides solutions for videoconferencing. In addition, USDA DR 3300-1 Appendix E requires Locations to consider sharing existing Federal Government video facilities before acquiring new equipment. If there is already equipment at a Location, but sharing is not feasible, the Location must send a proposal through the APMO and ITD to the USDA/OCIO for approval. Specific procedures are outlined in Appendix E.

5.03 Information Systems Security - For information on the interpretation or clarification on the functional questions in this section, please contact Bill Keen on 301-504-1072. Additional information regarding the subjects in this section, can be found at the Office of the Chief Information Officer (OCIO) Cyber Security homepage: <http://www.arsnet.usda.gov/ocio/intra/cybersecurity/policy.html>.

Has a Security Point of Contact been assigned at the Location?

P&P 253.3, "ARS Information Systems Security Program", states that a Security Point of Contact must be assigned at each ARS Location by the Area Administrative Officers, with the assistance from Location Coordinators.

The Security Point of contact serves as primary security liaison with the Area Information Technology Specialist (AITS)/Deputy Security Officer and the Headquarters Information System Program Manager (ISSPM).

Has information about the Security Point of Contact been provided to the Agency ISSPM and if so, is it current?

The ARS Office of the Chief Information Officer (CIO) keeps a current file of all after duty security Points of Contact in the event a security incident occurs after hours. The following information can be electronically sent to bkeen@ars.usda.gov:

- Name of contact(s)
- Work number
- After hours number
- Pager (if applicable)
- Cell number (if applicable)
- E-mail address
- Platforms: Server/PC type, software, html editor
- Operating system and version
- Internet Protocol (IP) addresses

Does the Location access the Internet through the USDA Internet Access Network (IAN) or another approved means?

As of 03/14/2003

If Internet access is through any means other than the IAN, such as a commercial Internet Service Provider (ISP) or university, interim guidance, CS-003, "USDA Internet Access Security for Private Internet Service Providers," requires a technical waiver be obtained. The waiver request must be submitted through the AITS and the Information Technology Division to the OCIO for approval. Contact the AITS for assistance..

If the Location accesses the Internet through a method other than the USDA IAN, what security measures are in place to protect information resources from the Internet?

If the Location is using a local provider or university there is a good chance they will not know what security measures in place. If this is the case please note this in the final report. If they do know of any security measures please also note in the final report. Interim guidance, CS-003-1, establishes minimum security requirements to ensure adequate protections are in place to protect USDA data from tampering, break in, and disruption.

Has a security plan been developed for each general support system and major application within the Location and submitted to the ARS Office of the Chief Information Officer through the Area Office?

P&P 253.3, "ARS Information Systems Security Program" requires Locations to update and submit an annual security plan. The guideline for developing ARS Information Systems Security Plans is entitled "User Guide for Developing and Evaluation Security Plans for Unclassified Federal Automated Information Systems," (the guideline) Draft Version 6.03, dated July 18, 1997." This guideline and templates can be found on the OCIO Cyber Security Home Page located at http://www.arsnet.usda.gov/ocio_intra/cybersecurity/secplanGT.html. Security plans are due to the ARS Office of the Chief Information Officer (CIO) on April 15 of each year.

If a Location's information technology is managed by a university, is there some type of Agreement in place? (i.e. Memorandum of Agreement or Understanding ((MOA))((MOU))/Research Support Agreement ((RSA))/Service Level Agreement)?

Any Agency system that maintains and processes sensitive information is required by the USDA OIG to establish some type of agreement to protect the security interests of that system.

Does the Location follow best or notable IT security practices?

The *Security Best Practices Memo*, developed by the ARS CIO's office, identifies specific rules and responsibilities applicable to all Agency system users. This document can be found at: http://www.arsnet.usda.gov/ocio_intra/cybersecurity/policy.html. You may also use the Information Security Policy Compliance Self-Assessment check list soon to be located at http://www.arsnet.usda.gov/ocio_intra/cybersecurity/securityselfaccess.pdf.

Does the Location follow the Agency's security incident procedures?

Procedures developed by the ARS CIO's office identify the steps and actions to be taken by systems administrators when a security incident occurs.

Do employees know how to report or recognize misuses of IT resources as stated in P&P 253.4, "Use of Information Technology Resources," dated 09/03/99?

Is the Location ensuring that terminated/transferred employees no longer have access to IT resources (such as the network or NFC) as outlined in P&P 426.1, "Employee Exit Clearance Procedures," dated 10/22/98?

5.04 Information Collection from the Public - For information on this section, please contact Yvette Anderson on 202-720-4030.

Has the Location obtained OMB approval before conducting surveys of the public?

The Paperwork Reduction Act and OMB regulations require advance OMB approval before collecting information from 10 or more persons outside the Federal Government. This includes questionnaires, surveys, and applications for services, regardless of the media. For example, Web sites are now used to gather information. For further information and assistance, first contact the Area Office, then Linda Rafats on 301-504-1090.

5.05 Records Management - For information on this section, please contact Steve Pollard on 202-720-3359.

Does the Location establish, maintain, protect, and dispose of records according to current National Archives and Records Administration (NARA) and Departmental and Agency policies?

According to ARS P&P 251.8 (<http://www.afm.ars.usda.gov/ppweb/>), "Documentary materials created or received (by the REE agencies of USDA) in pursuance of Federal law or in connection with the transaction of public business are records and the property of the U.S. Government. They must not be removed from agency custody or destroyed without the approval of NARA. Employees may dispose of records, **regardless of media**, only in accordance with the General Records Schedules (GRS) or a NARA-approved records control schedule for the agency..." Schedules contain NARA-approved records control schedule for the Agency..."

Schedules contain NARA-approved retention periods and instructions on what to do with records when they are no longer needed to conduct Agency business." Agency records schedules, although many are outdated, can be found at the following web site: <http://www.afm.ars.usda.gov/itd/recmgmt/pubs/RSc-table.PDF>. Please verify any agency dispositions by contacting Steve Pollard.

Bulletin 99-002, "Electronic Records Preservation" <http://www.afm.ars.usda.gov/ppweb/> provides guidance on managing electronic records, including email. Note: in the absence of approved retention periods for agency electronic records, that cannot be printed out or saved in other media, such records must be retained in their native format. Dispositions (retentions) for administrative records (e.g., t&a's/travel vouchers) can be found on the NARA web site <http://ardor.nara.gov/grs/index.html>.

Does the Location retire or transfer eligible records to a Regional Records Facility?

Instructions for retiring/transferring records are contained in Manual 251.8M <http://www.afm.ars.usda.gov/ppweb/drft251-8m.htm>. To determine which facility services the Location, staff should first contact their Area Office for advice and assistance, and then visit the National Archives and Records Administration (NARA) Web site: <http://www.archives.gov/facilities/index.html> or contact Steve Pollard.

Does the Location have records that would be categorized as "National Security Classified," "Secret," or "Top Secret?" If so, are they maintained in accordance with Departmental Manual DM-3440-1, found on <http://www.usda.gov/ocio/directives/DR/DR3440-001.pdf>? Contact the Area Office, or call Steve Pollard, the REE Classified Material Control Officer, by phone on 202-720-3359, Fax: 202-720-3907, Cell: 202-746-6610, or email: spollard@ars.usda.gov for further assistance.

As of 03/14/2003

5.06 Policy and Procedures Management - For information on the interpretation or clarification on the functional questions in this section, please contact Jackie Sharp-Hendrix on 202-720-5507.

See <http://www.afm.ars.usda.gov/ppweb/> for information on this subject. For information about the REE Administrative Issuances system, consult P&P 010, "The REE Administrative Issuances System," dated May 25, 1999. When new issuances are added to the P&P website or when major changes are made to issuances, the REE Issuances Manager will notify ARS Areas and LAO's via e-mail. NOTE: The P&P process is currently being revised. New issuance policies will be issued with the next year.

Is the Location using the latest version of administrative issuances that are on the P&P Web site? Are these issuances in a format that are usable to the Location?

If the Location is using issuances that have been canceled or replaced, list the number, title, and date of these issuances, as well as the reason. This will be used to help rewrite existing issuances so that they will better serve the organization.

5.07 Printed Matter - For information on the interpretation or clarification on the functional questions in this section, please contact Yvette Anderson on 202-720-4030.

Are printed envelopes or letterhead ordered?

Offices that have a need for letterhead design, envelope design, etc. should contact the representative for their Location. (ARS P&P 256.2, "Printed Letterhead, Envelopes, Postcards, Mailing Labels", dated 1/11/94 is outdated and will be rewritten. Key areas that no longer apply include the use of permit mail and penalty mail.)

Does the Location have printed matter with penalty mail or permit information printed on it?

New GSA Regulations require the Federal government to stop using penalty mail and Government permits by September 30, 2003. All existing stock must be destroyed or used up by that date.

5.08 Mail and Messenger Services - For information on the interpretation or clarification on the functional questions in this section, please contact Yvette Anderson on 202-720-4030. See <http://pe.usps.gov/text/DMM/P030.htm> and <http://pe.usps.gov/text/qsg/q024.htm> for further information.

Does the Location maintain accountability records of the postage meter activity?

If the Location is metering its own mail, the US Postal Service (USPS) requires manual or automated accountability records of postage meter activity. Either PS Form 3602-A, "Daily Record of Meter Register Readings," or an in-house automated system should be used. Accountability records must be maintained for six years before disposition in accordance with the General Records Schedule.

Does the Location use the OMAS system to pay for postage?

According to GSA Mail Management Interim Rule (41 CFR Parts 101-9 and 102-192), all Federal agencies must move to a commercial system for postage. This conversion is currently taking place. If the location is using OMAS, please note this for follow up by the REE Mail Manager.

Does the Location properly secure the postage meter?

As of 03/14/2003

Is the postage meter inspected according to postal regulations (see above Web sites for table)?

Is the Mail Meter printing a penalty mail logo or a permit number and logo?

The Location will need to move to commercial mail meters not later than September 30, 2003. The REE Mail Manager needs to be contact to assure the location is clear about what is needed to meet current guidance.

5.09 IT Resource Planning

Verify that the unit ARMP includes IT purchases planned and required for the fiscal year, including hardware/software replacements and purchases, dedicated telecommunications acquisitions (circuits, routers, telephone systems), maintenance and support contracts, Web-page development and support, etc.

The Location is required to forecast planned acquisitions of dedicated telecommunications services and equipment in its annual ARMP package (see Administrator's ARMP kickoff letter). Due to special Departmental mandates for telecommunications, all such equipment, regardless of cost, must be included in the forecast.