

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 Doug Page on 301-504-1121.)

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

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 Dave Chab, ARS/OCIO/Infrastructure Branch on 301-504-4843.)

- Has the Location received approval from its Area Information Technology Specialist (AITS) and Brenda Katulski, the ARS Telecommunications Mission Area Control Officer (TMACO), before ordering dedicated telecommunications equipment or services per the REE Centralized Telecommunications Management Plan (CTMP) dated 4-30-97 and the USDA Telecommunications Network Stabilization and Migration Program (TNSMP) dated 4-4-97 and USDA DR-3300-1 dated 20-96.

Per Departmental policy (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 routers, servers, switches, hubs, multiplexers, PBXs, KSUs, video equipment, certain kinds of wireless equipment (not cell phones or pagers), circuits, network management contracts, etc. used for long distance data, voice, and/or video. Review dedicated telecommunications purchases to ensure that there is documentation that the AITS and the ARS TMACO have approved the purchases.

- Per USDA CIO's memo dated 2-01, the USDA CIO via a waiver request prior to purchasing must approve dedicated telecommunications purchases over \$25,000. The location should submit the waiver request to the ARS TMACO who will review and forward to Gary Rich, the ARS Waiver Liaison to the Department. Gary will review and then forward to the USDA's Chief Information Officer for approval. Review dedicated telecommunications purchases over \$25,000 to ensure that a waiver request was submitted and approved per this policy.
- Does the Location share telecommunications services and equipment with other USDA sites?

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:

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

3. 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 MCI circuit to the Departmental IAN.)

- Location should work with its AITS and the ARS TMACO to evaluate sharing services and equipment where feasible. Ask the location whether they are to be co-located with another USDA agency and whether they consider sharing telecommunications services and equipment with them.
- Does the Location use GSA's FTS2001 contract for intraLATA (also called "local toll;") interLATA (also called "long distance"); and international voice, data, and video telecommunications services? If not, does it have an approved exception from the ARS TMACO?

Departmental policy requires that the 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. Ask to review any telephone bills to see whether they are being billed for local toll, long distance, and/or international calls via another vendor (not MCI's FTS2001).

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 FTS2001 contract to acquire pager service?

The GSA Federal Wireless and the GSA 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 the ARS/OCIO/Infrastructure Branch for further information and cost-benefit analysis support.

- Does the location use radio frequencies? If so, are they authorized the National Telecommunications Information Administration (NTIA) radio frequencies? If yes, has the radio, telemetry or Global Positioning System (GPS) equipment been certified for narrow banding? If no, when does the Location plan to replace/upgrade this equipment? (Contact person: Maureen Harris, 301-504-1077)

If the Location uses radios, telemetry\*, or GPS equipment to transmit data\*, 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 162-174 MHz (VHF) and 406-420 MHz (UHF) frequency bands will convert from the present 25 KHz channel spacing to 12.5 KHz channel spacing by January 1, 2005 and January 1, 2008 respectively. Come these dates, the equipment must be able to operate at 12.5 KHz (narrowband) on either side of the assigned frequency. (Any equipment purchased after 1995 should already meet these requirements.)

After receipt of a request for a frequency assignment, the REE Frequency Manager is responsible for requesting a Radio Frequency Authorization (RFA) from the National Telecommunications Information Administration (NTIA). Prior to using the radio frequency, a Location must have the Radio Frequency Authorization (RFA) in hand. Ideally, the Location should have the RFA prior to purchasing equipment. NOTE: Requests for new radio frequency assignments take at least six months, and often much longer. So planning is important.

Locations may not use non-Government (FCC) frequencies, such as those utilized by radios purchased from Radio Shack. Use of non-Government (FCC) radio frequencies that are licensed to local public safety or university organizations is 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.

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 will contact locations when respective RFAs are due for review.

\*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.

Please ensure Location has RFAs in their possession for any equipment they operate as listed above.

- Does the Location have a need for secure telephone/fax or GETS cards? If yes, does the person/persons who would have access to the secure phone/fax have appropriate security clearances? Are these items secured according to regulation?

These communications options are used primarily in a COOP situation. While most locations would have no need for such items, there may be some locations/persons (i.e., BSL-3 labs, top Area Administration) that would find them beneficial for continuity of operations in an emergency situation. DR3300-1, Appendices D and J define the requirements for National security and emergency preparedness telecommunications. Contact the Area Office or Maureen Harris (301-504-1088) for assistance.

- Has the acquisition of two-way video equipment been approved by the USDA Chief Information Officer (CIO)?

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.

Additional information regarding the subjects in this section can be found at the Office of the Chief Information Officer (OCIO) Cyber Security homepage:

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INFORMATION TECHNOLOGY REVIEW

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).

- 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 Security Program Manager (ISSPM).

- Does a warning banner appear prior to system LOGON in order to provide fair notice on proper use to those attempting to access USDA systems and networks?

Department Policy CS-017 - "Required Language for Agency Warning Banners" provides guidance on implementing language requirements concerning Warning Banners for those accessing government networks and systems. The policy and exact wording to use can be found on URL: [http://www.ocionet.usda.gov/ocio/cyber\\_sec/policy.html](http://www.ocionet.usda.gov/ocio/cyber_sec/policy.html)

**Note: This Web site can only be accessed via a USDA assigned IP address; therefore, ARS employees at a University Location will need to contact the OCIO/Infrastructure Branch (301-504-4843) for access via VPN.**

- 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](mailto: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?

If Internet access is through any means other than the IAN, such as a commercial Internet Service Provider (ISP) or university, USDA/Department Regulation “DR3140-002 USDA Internet Security Policy,” requires a technical waiver be obtained. The waiver request must be submitted through the AITS 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 are 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. Department Manual, DM3525-001 “USDA Internet Access Security for Private Internet Service Providers”, establishes minimum security requirements to ensure adequate protections are in place to protect USDA data from tampering, break in, and disruption.  
<http://www.ocio.usda.gov/directives/files/dm/DM3525-001.htm>

**Note: This Web site can only be accessed via a USDA assigned IP address; therefore, ARS employees at a University Location will need to contact the OCIO/Infrastructure Branch (301-504-4843) for access via VPN.**

- 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?

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](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.

- Does the Location have a completed self-assessment using NIST 800-26 for each of these systems?

Both the Federal Information Security Management Act (FISMA), Public Law 107-347 and OMB Circular A-130, Appendix III, Security of Federal Automated Information Resources require that all Federal Government Information Technology Systems be certified and accredited every 3 years and self assessments be completed annually.

- 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))/Interconnection Security Agreement/Research Support Agreement ((RSA))/Service Level Agreement)? (A template is being developed by the OCIO – Lisa Upton.)

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](http://www.arsnet.usda.gov/ocio_intra/cybersecurity/policy.html)

- 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 the interpretation or clarification on the functional questions in this section, please contact Yvette Anderson on 202-720-4030.)

- Obtains OMB approval for the location before conducting surveys to 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 the Information Collection Officer in OCIO-CSB.

5.05 Records Management (For information on the interpretation or clarification of the functional questions in this section, please contact Steve Pollard on 202-720-3359.)

- Does the Location establish, maintain, protect, and dispose of records according to current 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 retention periods and instructions on what to do with records when they are no longer needed to conduct Agency business."

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

Instructions for retiring/transferring records are contained in Manual 251.8. 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, the REE Records Management Officer.

- 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? Contact the Area Office, or call Steve Pollard, the REE Classified Material Officer, for further assistance.

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 Web site or when major changes are made to issuances, the REE Issuances Manager will notify ARS Areas and LAOs via e-mail.

- Is the Location using the latest version of administrative issuances that are on the P&P Web site? If not, why not? 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 Forms (For information on the interpretation or clarification on the functional questions in this section, please contact Yvette Anderson on 202-720-4030.)

- Is the Location encountering any problems ordering forms from the Beltsville Services Center, Beltsville, Maryland?

Any Location needing paper copies of forms can order them from the Beltsville Service Center, Beltsville Maryland. These orders may be placed either via a paper copy of AD-14 or CFPDC-1, or through the electronic ordering system. Locations should contact their Area Offices for more information.

- 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.)

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, ARS P&P 263.3, dated 4/2/91, and the US Postal Service (USPS) require 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 properly secure the postage meter?
- Is the postage meter inspected according to postal regulations (see above Web sites for table)?

#### 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. Review the Location's last ARMP package to see if any dedicated telecommunications services and equipment were forecasted and make a note of that on the report.

#### 5.10 Telecommunications Billing and NFC

- Does the location pay for recurring local telecommunications service bills through the TELE or FTSP system at the National Finance Center (NFC)?
- Are non-recurring telecommunications equipment and services being procured and paid for through the NFC PRCH payment method if over \$350?

Per Bulletin 03-001 dated 11-24-03 and AGAR Advisory 58 dated 10-3-03 regarding telecommunications purchases, purchase cards can only be used to purchase telecommunications equipment under \$350 unless the purchase is necessitated by an emergency as defined in the bulletin and the advisory. All non-recurring telecommunications equipment over \$350 must be purchased with a purchase order. And all recurring telecommunications services must be paid with a TELE account created via TUMS (for commercial services) or FTSP (for GSA telephone lines and FTS2001). Telecommunications purchases necessitated by an emergency must be documented and forwarded to the ARS TMACO per the bulletin instructions for approval or disapproval. Check purchase card transactions and purchase orders for compliance of this policy. If a purchase card was used for an emergency purpose, check to ensure that the ARS TMACO was notified and approved the emergency transaction.

- Does the location review and update its TELE accounts via TUMS at least annually to make sure the account information is accurate – such as the T&A contact point, the service location address, the service and toll dollar limits, etc.? Does the location cancel TELE accounts via TUMS that are no longer active?

TUMS access is via [www.nfc.usda.gov](http://www.nfc.usda.gov) and requires a user id and password. Nicole Oliver-Coleman, the ARS NFC Security Officer, should be contacted at 301-504-1074 to obtain a user id and password if needed. TELE accounts should be monitored via TUMS to ensure that agencies

know what NFC is paying on these accounts every month and to ensure that NFC has a current contact person if they have a billing question regarding one of these accounts.

- If the location has GSA telephone lines, does it review it's GSA TOPS account monthly to ensure that the telephone line inventory and billing are correct?

The NFC FTSP payment system is for GSA services provided through the Federal Telecommunication Service (FTS) consolidated switch sites, which are usually located in a Federal building – but not always. The GSA TOPS system may be used for verification of services and billing. It can also be used to track GSA orders. The ARS TMACO, Brenda Katulski, must approve access to TOPS.

5.11 Web Sites (For information on the interpretation or clarification on the functional questions in this section, please contact Pete Lombardo on 301-504-1073.)

- Does the location have a public-facing Web site?

Provide the following information for the Location's public-facing Web site(s): If more than one public-facing Web site, please duplicate requested information.

Web Site Base URL:

- Responsible location (and Mode Code):
- Is this the primary organizational site for this location?
- Primary contact(s):
  - Name:
  - E-mail address:
- Technology/Platforms (such as Server-side Includes, ASP, JSP or ColdFusion):
- Key Word Phrases (such as "Children Nutrition"):

- Is the Web site compliant with USDA regulations?

USDA Directive "Home Page Development and Maintenance" DR3430-001 can be found at <http://www.usda.gov/directives/files/dr/DR3430-001.htm>. Particular attention should be paid to Accessibility in accordance with Section 508 of the Rehabilitation Act.

- Does the location make best use out of existing Web/Internet communication services, rather than duplicating them?

The ARS Web Site presents information on all ARS employees as well as all research projects, locations, publications, and patents approved for public disclosure. The data for these come from the ARIS and REE Directory databases. To learn more send an email to [webmaster@ars.usda.gov](mailto:webmaster@ars.usda.gov).

In addition, email list services (aka listserv) are available for use in communicating with both the public and workgroups who span across agencies. For more information, send an email to [webmaster@ars.usda.gov](mailto:webmaster@ars.usda.gov).

- Is the Location experiencing any problems getting information updated on the ARS Web Site?

Each Location should verify their relevant information and submit needed updates as outlined in <http://www.arsnet.usda.gov/web/arsredesign/faq/faq.htm>. Email [webmaster@ars.usda.gov](mailto:webmaster@ars.usda.gov) for assistance.