1. Purpose.

The purpose of this Directive is to provide policy and procedural guidance for all Office of Surface Mining Reclamation and Enforcement (OSM) activities concerned with the expenditure of funds for Information Resources Management (IRM). This includes both hardware and software. To accomplish this objective, the IRM Review Council will ensure that:

a. Approved proposals are consistent with the Bureau's 5-Year OSM Information Resources Management Strategic Plan.

b. Approved proposals are carried out in the context of the Department's Life Cycle Management (LCM) guidance.

c. Approved proposals for IRM reflect quality and cost-benefit to the agency.

d. Approved proposals for IRM are reflected in bureau-wide program priorities, policies and resource allocations.

e. Approved proposals fully meet guidelines imposed by external agencies, e.g., Congress, Office of Management and Budget, General Services Administration, etc.

f. Approved proposals fully fit in with core software, and OSM's standard hardware configuration, unless the request is to pilot non-standard hardware or non-core software.

2. Summary

IRM represents a significant expenditure within OSM. It is an expenditure over which the agency needs to exercise vigorous management control. In addition, Departmental guidelines require that each Bureau have in place a mechanism of overseeing IRM expenditures to ensure that such resources are used in the most effective manner possible. As a result of the need to control these expenditures and maintain compliance with Departmental guidelines, the IRM Review Council is established.
3. Definitions

a. IRM Review Council - A five member council established to provide oversight and direction for OSM's IRM expenditures.

b. Core Software - Microcomputer software that will be considered the standard software to be used in the following application categories: word processing; travel management; spreadsheets; database management; telecommunications and local area networks. Core designation includes both the name and version (release) of the software. Different software versions (releases) of the same name will not be designated as core software.

c. Non-core Software - Any microcomputer software that is not included on the list of OSM core software. (For list of core software, reference INF-11)

d. Microcomputers - Any IBM-PC compatible computer running on DOS, Apple, Unix or OS/2 operating system.

e. Peripheral - All ADP hardware except the monitor, Central Processing Unit and Keyboard when purchased as a unit.

4. Policy/Procedures

a. Responsibilities.

Assistant Directors are responsible for providing proposals to the IRM Review Council for their respective directorates. Assistant Directors are further responsible for ensuring that the proposals are accurate, in the correct format and contain all of the information requested in this Directive.

Field Office Directors are responsible for providing proposals to the Assistant Director, Field Operations. The Assistant Director, Field Operations is responsible for ensuring that the proposals are accurate, in the correct format, contain all information requested in this Directive and for providing proposals to the IRM Review Council.

b. Policy

Council Composition - The IRM Review Council is a five member Council consisting of the Deputy Director, Operations and Technical Services; the Assistant Director, Administration; Assistant Director, Finance and Accounting; Assistant Director, Information Systems Management; and Assistant Director, Field
Operations. The Deputy Director will serve as Chairperson and the Assistant Director, Information Systems Management will serve as the Executive Secretary. At various points in time, other persons may be invited to attend meetings as experts to clarify technical issues, dependent upon the matter under consideration by the Council.

Meetings - The Council will meet on an ad hoc basis. The Executive Secretary is responsible for ensuring that meetings are scheduled and that Council members receive appropriate documentation before the meeting. The purpose of the meetings will be to consider all requests received, assess their relative merits, ensure that the requests are consistent with the 5-Year IRM Strategic Plan, and produce a prioritized list for the Director’s consideration.

c. Procedures

Proposals may be submitted to the Council at any time. However, there are three especially critical times for making submissions. They are: (1) during formulation of out-year budgets, (2) prior to formulation of operating allocations and (3) prior to the mid-year budget review. Conceptually, this should work as follows:

1. In the spring of each year when the out-year budget submission is being formulated, Assistant Directors should identify anticipated IRM expenditures for inclusion in the budget submission. These will be reviewed by the Council and, if recommended to the Director and he concurs, included in the submission to the Department.

2. In the summer of each year when the operating allocations are being made for the fiscal year beginning October 1, each Assistant Director should identify anticipated IRM expenditures in their submission to the Budget Office. In addition, a separate memorandum should be forwarded to the IRM Review Council delineating in summary form what was included in the budget submission of their respective offices. All submissions should provide sufficient information to allow the Council to understand it, be able to discern the relative cost/benefits, and determine its relationship to other IRM initiatives, if applicable. The
Council will review all the requests, prioritize them, meet with the Director and recommend which ones should be funded first. This "master list" will be retained by the Executive Secretary of the Council and will be updated as necessary throughout the year. As additional money becomes available, projects will be funded in accordance with the priority assigned by the Director.

(3) In late winter in anticipation of the mid-year budget review, any new requests for IRM (not identified previously in the operating allocation) or any requests to "rechannel" approved but uncommitted ADP expenditures, should be identified and forwarded to the Council. These new requests will be reviewed and factored into the "master list" as described above.

After approval by the Director and consultation and review by the Budget Officer all proposals exceeding the thresholds outlined below will be documented to the Council as outlined in this Directive. At any time, Assistant Directors may make submissions to the Council to cover unforeseen circumstances. In all appropriate cases, Assistant Directors will ensure that their requests are consistent with the OSM Information Resource Management Strategic Plan and have been subjected to the Department's systems development life cycle methodology, as appropriate.

Thresholds. Once an IRM request has been approved by the Council and has met the other criteria specified above, the Assistant Director needs no further approval to spend the allocated funds pursuant to the approval granted by the Council and consistent with the appropriate IRM policies, and procurement rules and regulations. (NOTE: These thresholds and procedures are being established to afford individual managers maximum flexibility within the constraints of Departmental guidelines. The Council is delegating to each office authority to act within these guidelines without further Council approval. (This is a system of trust and it should be noted that violations could result in an individual office losing its IRM procurement authority.) Specific thresholds are as follows:

(1) Microcomputers/Peripherals. When the aggregate projected expenditures for microcomputers and peripherals for a fiscal year will exceed $10,000 for any individual office, approval of the Council is required.
For replacement of individual microcomputers due to obsolescence (i.e., no longer supports the required function) or breakdown, Council approval is not required. Any such replacements will be at the current bureau standard.

(2) **Software.** Any software development, maintenance, or operation expenditure that will exceed $50,000 requires Council approval. Purchases of off-the-shelf software that conform to agency standards, i.e., core software, do not require Council approval.

**Format.** For all projects recommended by the Council and approved by the Director, a detailed request should be prepared in the form of a memorandum addressed to the Chairperson, IRM Review Council, and should contain as a minimum the following information, as appropriate.

(1) **Background.** Explain what has given rise to this particular request.

(2) **Goal/Purpose/Objective.** Explain exactly what you are trying to accomplish with this particular request.

(3) **Assumptions.** Explain any assumptions pertaining to the request.

(4) **Request.** Explain the specific request you are making.

(5) **Cost/Benefit.** Explain in summary terms the projected cost/benefits of the proposal.

(6) **Suggested source of funding.** Explain what tradeoffs, if any, are available to fund the project.

(7) **Relationships.** Explain the relationship of this request to any related IRM initiatives.

(8) **General plan.** Outline your overall plan for accomplishing the proposal.

(9) **Approval line.** Designate an approval line for the Chairperson to sign.
After action by the Council, the request will be returned with a cover memorandum outlining any terms or conditions pertaining to the request. In addition, copies will be provided to each member of the Council and to the Budget Office.

5. Reporting Requirements.

As spelled out in this directive.

6. Effect on Other Documents.

None

7. References.


OSM Information Resource Management Strategic Plan, July 1992


8. Effective Date.

Upon issuance

9. Contact.

Assistant Director, Information Systems Management
1951 Constitution Avenue, N. W., Room 142 SIB
Washington, D. C. 20240
(202) 208-2916

10. Keywords.

None

11. Appendices.

None