

UNITED STATES DEPARTMENT OF AGRICULTURE
FOOD SAFETY AND INSPECTION SERVICE
WASHINGTON, DC

FSIS DIRECTIVE

1040.1,
Revision 1

9/16/15

THE FSIS ENTERPRISE GOVERNANCE DECISIONMAKING PROCESS

I. PURPOSE

This directive informs FSIS employees of the Enterprise Governance (EG) process established for presenting public health and other mission-related issues to the FSIS Management Council (MC) for action, particularly issues that affect multiple programs. The issues presented are generally proposals that would have Agency-wide implications. The EG process is to be followed for both decision-making and implementation initiatives. FSIS is reissuing this directive to include that the USDA Chief Information Officer (CIO) has part in the EG process when there are Information Technology (IT) investments.

II. CANCELLATION

FSIS Directive 1040.1, *The FSIS Enterprise Governance Decisionmaking Process*, dated 4/28/14

III. BACKGROUND

A. The MC is the Agency's decision-making body, consisting of the Administrator, Deputy Administrator, Assistant and Deputy Assistant Administrators, and other senior FSIS leaders. FSIS staff obtain internal approval and authorization for all investments, projects, proposed policy initiatives, and changes to existing policy decisions from the MC, other senior FSIS officials, and for IT investments only, the USDA CIO.

C. The MC adopted an EG model to enhance the efficiency of its decision-making process. In this effort, the MC established three governance boards to research cost and to review issues and proposals before presenting the issues to the MC for decision. The following governance boards were established:

1. The Enterprise Architecture Board (EAB);
2. The Enterprise Investment Board (EIB); and
3. The Enterprise Steering Board (ESB).

D. The EAB, EIB, and ESB utilize sub-boards, workgroups, and committees to analyze issues and make recommendations before consideration by the boards or the MC.

DISTRIBUTION: Electronic; All Field Employees

OPI: OPPD

IV. ROLES AND RESPONSIBILITIES

The following details the roles and responsibilities of the three boards of the EG model. Only the MC can make EG decisions. Charters for the EAB, EIB, and ESB can be found at: [Enterprise Investment Board Charter](#). All three boards need to approve modifications to existing, or the creation of new, charters (including charters for subcommittees and workgroups). The Administrator approves any changes, revisions, or additions to any of the three EG board charters.

V. EAB RESPONSIBILITIES

A. The EAB implements, manages, and makes recommendations to the MC regarding FSIS Enterprise Architecture (EA). FSIS utilizes EAB members' expertise to review business proposals to enhance the efficiency and effectiveness of IT investments. The EAB ensures proposed IT and IT-related investments comply with FSIS, USDA, and Federal architecture to maintain a supportable, sustainable, and innovative architecture that supports the FSIS mission. IIT investments must also be routed through the Department's IT governance process. Therefore, the EAB Chair briefs OFS on IT investment decisions made by the MC.

B. The EAB establishes and oversees applicable sub-boards, workgroups, and committees on either a standing or ad hoc basis.

C. The CIO serves as the EAB Chair, and the Deputy Chief Financial Officer (CFO) serves as the EAB Vice Chair. The EAB Chair:

1. Presides at EAB meetings;
2. Ensures that EAB recommendations and prioritizations are fact-based and have received the appropriate coordination across FSIS;
3. Coordinates with other committee, board, and subcommittee chairs to ensure that their recommendations and activities are fully addressed through EAB processes;
4. Provides executive-level direction to the EAB by making the final decision on an issue when a group consensus cannot be reached;
5. Ensures that the EAB is adequately staffed and supported;
6. Provides the USDA Office of Chief Information Officer (OCIO) periodic Departmental-level updates and briefings on FSIS's EA and EAB activities;
7. Briefs members on new or revised USDA IT Governance processes, policies, or status; and
8. Briefs on EAB sub-board activities.

D. The EAB members:

1. Identify appropriate investment issues and concerns for discussion and resolution by the MC;
2. Review suggestions and make recommendations for all IT and IT-related FSIS investments;
3. Assess proposed IT and IT-related FSIS investments to ensure that analyses are complete and fact-based; that alternatives are developed and appropriately evaluated; and that they are managed by appropriately qualified project and program managers;

4. Ensure that each IT and IT-related investment aligns with the current FSIS and USDA EA;
5. Ensure that MC decisions and final actions, based on the EAB's recommendations, are clearly documented;
6. Ensure that concrete action plans with milestones, deliverables, and owners are created and tracked; and
7. May invite FSIS employees to attend meetings as non-voting participants for the purpose of employee development. This action requires the EAB Chair's approval.

VI. EIB RESPONSIBILITIES

A. The EIB assesses, evaluates, reviews, and makes recommendations to the MC regarding FSIS and program office resource requirements necessary for conducting the FSIS mission. Much of the detailed work required for new FSIS investments is performed by the requesting program area and the Office of the Chief Financial Officer (OCFO) Budget Division, including the Capital Planning and Cost Analysis Branch, and the Resources Management Advisory Committee (RMAC). EIB's review of FSIS resources ensures that resources are requested, spent, and reported to the MC in an open and transparent manner. As necessary, EIB coordinates review of investments with the EAB and ESB.

B. The EIB establishes and oversees applicable sub-boards, workgroups, and committees, on either a standing or ad hoc basis.

C. The CFO serves as the EIB Chair and the Deputy CIO serves as the EIB Vice Chair. The EIB Chair:

1. Presides at EIB meetings;
2. Ensures that the EIB recommendations to the MC and prioritizations are fact-based and have received the appropriate coordination across FSIS;
3. Coordinates with other committees, boards, and sub-committee chairs to ensure that recommendations and activities are fully addressed through EIB processes;
4. Provides executive-level direction to the EIB, including serving as final decision-maker on issues when a group consensus cannot be reached; and
5. Ensures that the EIB is adequately staffed and supported.

D. EIB Members:

1. Analyze and make recommendations to the MC on resource needs and requirements for the Agency and program areas that reflect good fiscal stewardship, are consistent with the FSIS Strategic Plan, and take into account available resources;
2. Ensure that EIB recommendations to the MC are complete and fact-based, and that alternatives have been reviewed and appropriately evaluated;
3. Support the work and processes of the EIB to ensure that the necessary charge of the Board is carried out in an efficient and effective manner;

4. Ensure that MC decisions and final actions are clearly documented;
5. Ensure that concrete action plans with milestones, deliverables, and owners are created and tracked; and
6. May invite FSIS employees to attend meetings as non-voting participants for the purpose of employee development. This action requires the EIB Chair's approval.

VII. ESB RESPONSIBILITIES

- A. The ESB takes the lead role in determining and making plans to implement new or revised policy or business practices that impact or require resources from multiple program areas and makes recommendations to the MC. The ESB ensures alignment of FSIS planned actions with the Agency's Strategic Plan and other applicable performance measurement initiatives and requirements.
- B. The ESB establishes and oversees applicable sub-boards, workgroups, and committees, on either a standing or ad hoc basis.
- C. The ESB Chair:
 1. Presides at ESB meetings;
 2. Ensures that ESB recommendations to the MC are fact-based and have received the appropriate coordination across FSIS;
 3. Coordinates with other committee, board, and subcommittee chairs to ensure that their recommendations and activities are fully addressed through ESB processes;
 4. Provides executive-level direction to the ESB by making the final decision on an issue when a group consensus cannot be reached;
 5. Ensures that the ESB is adequately staffed and supported; and
 6. Provides appropriate coordination across FSIS.
- D. ESB members:
 1. Analyze performance measurement efforts, investments, projects, proposed policy initiatives, changes to existing policy decisions, and other FSIS initiatives to ensure they are consistent with the FSIS Strategic Plan and goals and make recommendations to the MC;
 2. Ensure that FSIS business processes align with the Agency's mission, Strategic Plan, and goals and support mission critical activities.
 3. Ensure that ESB recommendations to the MC are complete and fact-based, and that alternatives have been reviewed and appropriately evaluated;
 4. Support the work and processes of the ESB to ensure that the necessary charge of the Board is carried out in an efficient and effective manner;

5. Ensure that the MC decisions and final actions are clearly documented;
6. Ensure that concrete action plans, with milestones, deliverables, and owners, are created and tracked; and
7. May invite FSIS employees to attend meetings as non-voting participants for the purpose of employee development. This action requires the ESB Chair's approval.

VIII. TRIAGE COMMITTEE

The Triage Committee is comprised of the EG Board Chair, Vice Chair, and the Executive Secretary (ES) for each board. This Committee meets weekly to discuss new proposals, give status updates, and discuss outstanding Governance matters.

IX. EXECUTIVE SECRETARIAT

Each EG Board has an ES who ensures that all EG proposals are vetted and presented to the Triage Committee in a timely manner, and that recommendations, approvals, and conditional approvals are fully communicated to the board members as the proposal moves through the EG process. The ES arranges the Board meeting agendas, documents all Board meetings, and posts the Board meeting minutes on the internal FSIS EG SharePoint site. The ES also documents MC decisions with concrete action plans that include milestones, deliverables, and the proposal owner.

X. JOINT BOARD

When EG issues need to be expedited, or if the issues can be more efficiently addressed at a joint meeting (examples: budget or Departmental policy decisions that require a quick turnaround time through the governance process), the Triage Committee can schedule a Joint Board meeting to be held on an ad hoc basis. The Joint Board consists of EG Board Chairs, members, and other senior level executives. Upon approval of the Joint Board, one or more board chairs can bring issues directly to the MC. The Joint Board meetings may be chaired by any of the three board chairs, or jointly by more than one chair.

XI. QUESTIONS

For additional information, please visit the EG website at <http://www.fsis.usda.gov/eg> or contact the ES of the ESB, EAB or EIB at EnterpriseGovernanceBoards@fsis.usda.gov.



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