# FITARA - Agency Submission Review and Analysis Plan

# 1) Evaluation Approach

The evaluation of agency plans will be guided by the following overarching questions:

1. Has the agency committed to, or already implemented, significant changes?
2. Has the agency credibly described a path to act on those changes?
3. Has the agency described how the plan integrates both horizontally (CIO-CFO-CAO) and vertically (Dept CIO - Component CIO and program managers)?
4. Does the agency’s CIO Assignment Plan credibly keep accountability at the CIO-level?

The agency self-assessment, implementation plan and supporting evidence will be the primary artifacts reviewed. In addition, any open GAO recommendation, IG audits, Portfoliostat or other identified materials may be used to support the review and overall assessment.

The following questions will be applied to the key concepts identified in the table below for each element in the Common Baseline.

1. **Comparison by Element**
   1. How does the agency rate themselves on the element?
      1. Does the agency rate themselves a “3”, if so:
         1. Did the agency submit evidence to support their self-assessment rating?
         2. Does the evidence support their self-assessment rating?
         3. Does the evidence identify how the outcome is measured/monitored?
         4. Does the agency identify any remaining weakness or deficiencies and if so an approach to address?
      2. Does the agency rate themselves a “2”, if so:
         1. Does the agency specify how it will address the gaps to move from a 2 to a 3?
         2. Does the agency detail the changes that will take place to effectuate the change (guidance, policies or other)
         3. Are realistic and expeditious implementation timelines identified?
      3. Does the agency rate themselves a “1”, if so:
         1. Has the agency identified an urgent process to expedite addressing the element by the 12/31/15 implementation deadline?
   2. Does the plan address weaknesses previously identified through PortfolioStats, TechStats, Inspector General audits, and Government Accountability Office reports?

# 2) Evaluation Concepts

## Budget Formulation and Planning

|  |  |
| --- | --- |
| ***Common Baseline Element*** | ***Key Concepts*** |
| ***A.* *Visibility of IT resources***  A1. *CIO Role/Responsibility*: Visibility of IT resource plans/decisions to CIO. The CFO and CIO jointly shall define the level of detail with which IT resource levels are described distinctly from other resources throughout the planning, programming, and budgeting stages. This should serve as the primary input into the IT capital planning and investment control documents submitted with the budget (formerly Exhibits 53 and 300).  A2. *CXO Role/Responsibility*: Visibility of IT resource plans/decisions in budget materials. The CFO and CIO jointly shall define the level of detail with which IT resource levels are described as detailed in A1. | * The CIO-CFO must work together and reach agreement on the level of detail for how IT resources are described distinctly from other resources. * The CIO should have visibility at all stages of the planning, programming, and budgeting process. * This will serve as the primary input into CPIC documents. |
| ***B.* *CIO role in pre-budget submission***  B1. *CIO Role/Responsibility*: CIO role in pre-budget submission for programs that include IT and overall portfolio. The agency head shall ensure the agency-wide budget development process includes the CFO, CAO, and CIO in the planning, programming, and budgeting stages for programs that include IT resources (not just programs that are primarily IT oriented). The agency head, in consultation with the CFO, CIO, and program leadership, shall define the processes by which program leadership works with the CIO to plan an overall portfolio of IT resources that achieve program and business objectives and to develop sound estimates of the necessary IT resources for accomplishing those objectives.  B2. *CXO Role/Responsibility*: CIO role in pre-budget submission for programs that include IT and overall portfolio. The agency head shall ensure the agency-wide budget development process includes the CFO, CAO, and CIO as described in B1 and that CIO guidelines are applied to the planning of all IT resources during budget formulation. The CFO and program leadership shall work jointly with the CIO to establish the processes and definitions described in B1. | * The CFO, CAO and CIO must all be involved in the planning, programming, and budgeting stages for all programs including IT resources (should align to A1 above) * To what extent does the Agency IRB intersect with budget formulation? * To what extent do the processes allocate enough time for the CIO to perform a quality review of the substance of the budget request? * A process should be provided that demonstrates the engagement of program leadership in IT portfolio planning that:   + Meets business/program objectives   + Ensure sound estimates of necessary IT resources * The agency’s budget development process must include the CFO, CAO, and CIO. * CIO guidelines are applied to the planning of all IT resources during budget formulation. * Demonstrates involvement of CFO and program leadership in the development of the process. * This section envisions planning for an “overall portfolio of IT resources[.]” |
| ***C.* *CIO role in planning program management***  C1. *CIO Role/Responsibility*: CIO role in planning program management. The CIO shall be included in the internal planning processes for how the agency uses IT resources to achieve its objectives. The CIO shall approve the IT components of any plans, through a process defined by the agency head that balances IT investments with other uses of agency funding. This includes CIO involvement with planning for IT resources at all points in their lifecycle, including operations and disposition or migration.  C2. *CXO Role/Responsibility*: CIO role in program management. CIO, CFO, and program leadership shall define an agency-wide process by which the CIO shall advise on all planning described in C1. | * The CIO must be involved in internal planning processes for IT resources at all points in the investment lifecycle. * The agency must demonstrate that the CIO has approval for IT components of an investment. * The agency’s process must demonstrate that investments in IT are balanced against agency spending in other areas. * Agency must clearly define the CIO’s role in all planning program management stages. * Is the CIO involved in the development of the Agency Strategic Plan and does the IRM Plan spring from that? * Does the CIO have a role in business case development and evaluation? |
| ***D.* *CIO role in budget request***  D1. *CIO Role/Responsibility*: CIO reviews and approves major IT investment portion of budget request. Agency budget justification materials in their initial budget submission to OMB shall include a statement that affirms: – the CIO has reviewed and approves the major IT investments portion of this budget request; – the CFO and CIO jointly affirm that the CIO had a significant role in reviewing planned IT support for major program objectives and significant increases and decreases in IT resources; and – the IT Portfolio (formerly Exhibit 53) includes appropriate estimates of all IT resources included in the budget request.  D2. *CXO Role/Responsibility*: CIO and CFO Certify IT Portfolio. The CFO shall work with the CIO to establish the affirmations in D1. | * Clearly outline the requirement for the CIO to **REVIEW AND APPROVE** all major IT investment budget requests. * The CIO must have a significant role in the review of IT support for program objectives and the increase and decrease in IT resources. * Include process for a Joint Affirmation statement by the CIO and CFO re: the significance of the CIO’s role. * An agency’s IT Portfolio submission (formerly Ex. 53) must include an estimate of all IT resources included in budget. * Is there a strong correlation between the IT Portfolio and the agency budget request?   + Do the priorities seem to match up? |

## Budget Execution

|  |  |
| --- | --- |
| **E. *Ongoing CIO engagement with program managers.***  E1. *CIO Role/Responsibility*: Ongoing CIO engagement with program managers. The CIO should establish and maintain a process to regularly engage with program managers to evaluate IT resources supporting each agency strategic objective. It should be the CIO and program managers’ shared responsibility to ensure that legacy and on-going IT investments are appropriately delivering customer value and meeting the business objectives of programs.  E2. *CXO Role/Responsibility*: Ongoing CIO engagement with program managers. Program managers shall work with the CIO to define IT performance metrics and strategies to support fulfillment of agency strategic objectives defined in the agency’s strategic plan. | * The CIO and program managers must share responsibility for IT investment performance. * There should be a process to ensure that legacy and on-going investments are delivering value and meeting objectives. * The Department CIO and Program Managers must share responsibility to deliver value and meet business objectives. * Program Managers are required to work with Department CIOs to define IT performance metrics and strategies that demonstrate how the investment fulfills the agency’s strategies/objectives. * What authority does the CIO have to stop a project that is going off course? Is he or she able to take swift action without asking permission? |
| **F. *Visibility of IT planned expenditure reporting to CIO***  F1. *CIO Role/Responsibility*: Visibility of IT planned expenditure reporting to CIO. The CFO, CAO and CIO should define agency-wide policy for the level of detail of planned expenditure reporting for all transactions that include IT resources.  F2. *CXO Role/Responsibility*: Visibility of IT planned expenditure reporting to CIO. The CFO, CAO and CIO shall define agency-wide policy for the level of detail of planned expenditure reporting for all transactions that include IT resources. | *CIO Visibility of Planned Expenditure Reporting - key concepts:*   * Agency CIO-CFO-CAO to define policy guiding the required detail for planned expenditures that include IT resources. Policy should include level of detail for planned expenditure reporting. * Agency policy for planned IT resource expenditures and reporting must be defined at a sufficient level to support CIO visibility. |
| **G. *CIO defines IT processes and policies***  G1. *CIO Role/Responsibility*: CIO defines IT processes and policies. The CIO defines the development processes, milestones, review gates, and the overall policies for all capital planning, enterprise architecture, and project management and reporting for IT resources. At a minimum, these processes shall ensure that the CIO certifies that IT resources are adequately implementing incremental development (as defined in the below definitions). The CIO should ensure that such processes and policies address each category of IT resources appropriately—for example, it may not be appropriate to apply the same process or policy to highly customized mission-specific applications and back office enterprise IT systems depending on the agency environment. These policies shall be posted publicly at agency.gov/digitalstrategy, included as a downloadable dataset in the agency’s Public Data Listing, and shared with OMB through the IDC. For more information, see OMB Circular A-130: Management of Information Resources. | *IT Processes and Policies - key concepts:*   * Has the CIO published policy/procedures governing IT resources and processes? * Established policies/procedures must be sufficiently defined to address various IT resource categories (i.e. processes for email can be different than processes for highly customized mission specific systems). * The CIO must certify that the agency is using incremental development. * Agencies are required to publicly post agency policies - agency.gov/digitalstrategy and shared through IDC. |
| **H. *CIO role on program governance boards***  H1. *CIO Role/Responsibility*: CIO role on program governance boards. In order to ensure early matching of appropriate IT with program objectives, the CIO shall be a member of governance boards that include IT resources (including “shadow IT” or “hidden IT”—see definitions), including bureau Investment Review Boards (IRB). The CIO shall notify OMB of all governance boards the CIO is a member of and at least annually update this notification.  H2. *CXO Role/Responsibility*: Participate with CIO on governance boards as appropriate. | *Governance Boards - key concepts:*   * Governance boards include both CIO and CXOs. * The CIO must be a member of governance boards that include IT resources both at the component and bureau level. * The CIO is required to annually notify OMB of all the governance boards they sit on. * Are bureaus making their own funding decisions without participation by the CIO? |
| **J. *CIO role in recommending modification, termination, or pause of IT projects or initiatives***  J1. *CIO Role/Responsibility:* CIO role in recommending modification, termination, or pause of IT projects or initiatives. The CIO shall conduct TechStat reviews or use other applicable performance measurements to evaluate the use of the IT resources of the agency. The CIO may recommend to the agency head the modification, pause, or termination of any acquisition, investment, or activity that includes a significant IT component based on the CIO’s evaluation, within the terms of the relevant contracts and applicable regulations. | * This element requires the agency CIO to conduct TechStat (or similar) reviews. * Based on the Techstat, the CIO may recommend to the agency head modifying, terminating or pausing the acquisition. * How are the CIO ratings for the IT Dashboard generated?   + How does the agency ensure the integrity of those ratings? |
| **L. *CIO approval of reprogramming***  L1. *CIO Role/Responsibility*: CIO approval of reprogramming. The CIO must approve any movement of funds for IT resources that requires Congressional notification.  L2. *CXO Role/Responsibility*: CIO approval of reprogramming. The CFO shall ensure any notifications under L1 are approved by the CIO prior to submission to OMB. | * Prior to submitting request to OMB for reprogramming of funds requiring Congressional Notification, the CFO will ensure that the CIO approves of such an action. * Is the CIO required to approve transfers on IT budgets? |

## Acquisition

|  |  |
| --- | --- |
| **I. *Shared acquisition and procurement responsibilities***  I1. *CIO Role/Responsibility*: Shared acquisition and procurement responsibilities. The CIO reviews all cost estimates of IT related costs and ensures all acquisition strategies and acquisition plans that include IT apply adequate incremental development principles (see definitions).  I2. *CXO Role/Responsibility*: Shared acquisition and procurement responsibilities. The CAO, in consultation with the CIO and—where appropriate—CFO, shall ensure there is an agency-wide process to ensure all acquisitions that include any IT: – are led by personnel with appropriate federal acquisition certifications (FACs),[23](https://management.cio.gov/#fn:23) including specialized IT certifications as appropriate; – are reviewed for opportunities to leverage acquisition initiatives such as shared services, category management, strategic sourcing, and incremental or modular contracting and use such approaches as appropriate; – are supported by cost estimates that have been reviewed by the CIO; and – adequately implement incremental development. | * CIO review of all acquisition strategies/plans containing IT to ensure appropriate cost estimation and application of incremental development. * Acquisition processes must ensure IT acquisitions are:   + led by certified IT/acquisition professionals   + reviewed for opportunities to leverage acquisition initiatives   + supported by CIO-approved cost estimates and analysis of alternatives   + implemented using incremental development * Do processes of the agency prescribe a waterfall lifecycle? |
| **K. *CIO review and approval of acquisition strategy and acquisition plan***  K1. *CIO Role/Responsibility*: CIO review and approval of acquisition strategy and acquisition plan. Agencies shall not approve an acquisition strategy or acquisition plan (as described in FAR Part 7) or interagency agreement (such as those used to support purchases through another agency) that includes IT without review and approval by the agency CIO. For contract actions that contain IT without an approved acquisition strategy or acquisition plan, the CIO shall review and approve the action itself. The CIO shall primarily consider the following factors when reviewing acquisition strategies and acquisition plans: – Appropriateness of contract type; – Appropriateness of IT related portions of statement of needs or statement of work; – Appropriateness of above with respect to the mission and business objectives supported by the IT strategic plan; and – Alignment with mission and program objectives in consultation with program leadership.  K2. *CXO Role/Responsibility*: CAO is responsible for ensuring contract actions that contain IT are consistent with CIO-approved acquisition strategies and plans. The CAO shall indicate to the CIO when planned acquisition strategies and acquisition plans include IT. The CAO shall ensure the agency shall initiate no contract actions or interagency agreements that include IT unless they are reviewed and approved by the CIO or are consistent with the acquisition strategy and acquisition plan previously approved by the CIO. Similar process for contract modifications. CAO shall also ensure that no modifications that make substantial changes to the scope of a significant contract are approved that are inconsistent with the acquisition strategy and acquisition plan previously approved by the CIO unless the modification is reviewed and approved by the CIO. | * All Agency IT acquisition strategies, plans, and IAAs containing IT components must be approved by the CIO. * CIO shall approve all actions where acquisition strategy/plan is not included. * Agency processes shall ensure that the CIOs consider: contract type, statement of needs or statement of work, IT strategic plan, and alignment with mission and program objectives. * In non-commodity ones, are they encouraging firm fixed price over time and materials? * Are the deliverables consistent with the requirements of the CIO (G1)? |

## Organization and Workforce

|  |  |
| --- | --- |
| **M. *CIO approves new bureau CIOs***  M1. *CIO Role/Responsibility*: CIO approves bureau CIOs. The CIO shall be involved in the recruitment and shall approve the selection of any new bureau CIO (includes bureau leadership with CIO duties but not title—see definitions). The title and responsibilities of current bureau CIOs may be designated or transferred to other agency personnel by the agency head or his or her designee as appropriate, and such decisions may take into consideration recommendations from the agency CIO. | *New Bureau CIOs - key concepts:*   * The CIO must be involved in the recruitment of, and must approve the selection of new bureau CIOs (including those with CIO duties but not the CIO title). * When the agency is hiring a bureau CIO or Director of Information Resources, does the CIO have the opportunity to participate in the hiring panel? |
| **N. *CIO role in ongoing bureau CIOs’ evaluations***  N1. *CIO Role/Responsibility*: CIO role in ongoing bureau CIOs’ evaluations. The CHCO and CIO shall jointly establish an agency-wide critical element (or elements) included in all bureau CIOs’ performance evaluations. In cases where the bureau CIO is a member of the Senior Executive Service and the agency uses the Basic SES Appraisal System, this critical element(s) is an “agency-specific performance requirement” in the Executive Performance Plan. Each such agency may determine that critical element(s) (ECQs) contain these requirements. For agencies that do not use the Basic SES Appraisal System or for bureau CIOs who are not members of the SES, then these shall be critical elements in their evaluations. The [agency] CIO must identify “key bureau CIOs” and provide input to the rating official for this critical element(s) for at least all “key bureau CIOs” at the time of the initial summary rating and for any required progress reviews. The rating official will consider the input from the [agency] CIO when determining the initial summary rating and discusses it with the bureau CIO during progress reviews.  N2. *CXO Role/Responsibility*: CIO role in ongoing bureau CIOs’ evaluations. The CHCO and CIO shall jointly establish an agency-wide critical element (or elements) for the evaluation of bureau CIOs as described in N1.. | *Bureau CIO Evaluations - key concepts:*   * The CHCO and CIO must work together to establish Agency-wide critical elements of bureau CIOs’ performance evaluations. * The Agency CIO must identify “key bureau CIOs” and provide input to the rating official on the above critical elements for these officials at the time of the initial summary rating and for any required progress reviews. * The rating official must consider input from the Agency CIO when determining the initial summary rating and must discuss it with the key bureau CIOs during progress reviews. * Does the CIO have an opportunity to make input into the annual performance review for all senior level IT management within the Agency? |
| **O. *Bureau IT Leadership Directory***  O1. *CIO Role/Responsibility:* Bureau IT Leadership Directory. CIO and CHCO will conduct a survey of all bureau CIOs and CIO and CHCO will jointly publish a dataset identifying all bureau officials with title of CIO or duties of a CIO. This shall be posted as a public dataset based on instructions in the IDC by August 15, 2015 and kept up-to-date thereafter. The report will identify for each: – Employment type (e.g. GS, SES, SL, ST, etc.) – Type of appointment (e.g. career, appointed, etc.) – Other responsibilities (e.g. full-time CIO or combination CIO/CFO) – Evaluation “rating official” (e.g. bureau head, other official) – Evaluation “reviewing official” (if used) – Whether [agency] CIO identifies this bureau CIO as a “key bureau CIO” and thus requires the [agency] CIO to provide the rating official input into the agency-wide critical element(s) described in N1.  O2. *CXO Role/Responsibility:* Bureau IT Leadership Directory. CHCO will work with CIO to develop the Bureau IT Leadership Directory as described in O1. | *IT Leadership Directories - key concepts:*   * The Agency CIO and CHCO will survey all bureau CIOs or those employees with the duties of a CIO. * The CHCO will work with the CIO to develop a public Bureau IT Leadership Directory, including the employment type, other responsibilities, and whether or not the Agency CIO identifies this person as a “key bureau CIO”. * Does the CIO have an opportunity to make input into the annual performance review for all senior level IT management within the Agency? * Is there an org chart identifying the bureau CIOs? * Does it seem like all the significant bureaus are represented? * Is there some CIO council internal to the Agency, in which these people are able to gather and collaborate? |
| **P. *IT Workforce Planning***  P1. *CIO Role/Responsibility*: IT Workforce. The CIO and CHCO will develop a set of competency requirements for IT staff, including IT leadership positions, and develop and maintain a current workforce planning process to ensure the department/agency can (a) anticipate and respond to changing mission requirements. (b) maintain workforce skills in a rapidly developing IT environment, and (c) recruit and retain the IT talent needed to accomplish the mission.  P2. *CXO Role/Responsibility*: IT Workforce. CIO and CHCO —and CAO where relevant— shall develop a set of competency requirements for IT staff, including IT leadership positions, and develop and maintain a current workforce planning process to ensure the department/agency can (a) anticipate and respond to changing mission requirements. (b) maintain workforce skills in a rapidly developing IT environment, and (c) recruit and retain the IT talent needed to accomplish the mission.. | *IT Workforce Planning - key concepts:*   * The CIO and CHCO must work together to develop and maintain an IT workforce planning process and to develop competency requirements for the IT workforce, including leadership positions. * The workforce planning process must ensure that the Agency can anticipate and respond to changing mission requirements, maintain current IT workforce skills, and that it can recruit and retain sufficient IT talent in support of mission goals. * What is the career track for IT at the agency? * If the agency is running an SES CDP, how many 2210s are in that program? * How many 2210s are in other leadership development programs? |
| **Q. *CIO reports to agency head (or deputy/COO)***  Q1. *CIO Role/Responsibility*: CIO reports to agency head (or deputy/COO). As required by the Clinger Cohen Act and left in place by FITARA, the CIO “shall report directly to such agency head to carry out the responsibilities of the agency under this subchapter.” This provision remains unchanged, though certain agencies have since implemented legislation under which the CIO and other management officials report to a COO, Undersecretary for Management, Assistant Secretary for Administration, or similar management executive; in these cases, to remain consistent with the Clinger Cohen requirement as left unchanged by FITARA, the CIO shall have direct access to the agency head (i.e., the Secretary, or Deputy Secretary serving on the Secretary’s behalf) regarding programs that include information technology. | *CIO Reporting - key concepts:*   * On the organization chart, does the CIO report to the agency head or deputy (COO)? |