



DHS 2022 FEDERAL INFORMATION TECHNOLOGY ACQUISITION REFORM ACT (FITARA) SELF ASSESSMENT

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[Abstract](#)

Per OMB M-15-14, Agencies are required to conduct annual FITARA Common Baseline self-assessment review and update. The first update was due on April 30, 2016. From 2018 forward, the annual updates will be due as part of the May IDC.

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VERSION CONTROL

Current Version: Draft

Date	Version	Notes (Changes from the previous draft)	Updated by:
5/17/17	DHS FITARA Self-Assessment and Milestones 2017 Update – V1.2	Submitted to DHS CIO	EBMO.tasker@hq.dhs.gov
5/18/17	DHS FITARA Self-Assessment and Milestones 2017 V1.3	Updated to Reflect MGMT Directive 102-02 Rev 1 Signed May, 17, 2017	EBMO.tasker@hq.dhs.gov
5/25/17	DHS FITARA Self –Assessment and Milestones 2017V1.4	Updated to Reflect completed Action Item May 25, 2017	EBMO.tasker@hq.dhs.gov
4/12/18	DHS FITARA Self-Assessment	Updated to Reflect proposed May 2018 Scores which are incorporated to reflect Component Self-Assessment Scores gathered over the last year.	EBMO.tasker@hq.dhs.gov
4/26/19	DHS FITARA Self-Assessment	Updated to reflect May 2019 scores incorporating updates across the Department including relevant directives and instructions as well as completed Action Items	EBMO.tasker@hq.dhs.gov
4/27/2020	DHS FITARA Self-Assessment	Updated to reflect May 2020 scores incorporating updates across the Department	Bmo.tasker@hq.dhs.gov
4/27/2021	DHS FITARA Self-Assessment	Updated to reflect May 2021 scores incorporating updates across the Department	Bmo.tasker@hq.dhs.gov
5/2/2022	DHS FITARA Self-Assessment	Updated to reflect May 2022 scores incorporating updates across the Department	Bmo.tasker@hq.dhs.gov

Status: Updated

Directions for completion of each of the elements are below.

Field	Description
Category - Element	Pre-populated category and element
Current Element Rating May 2022	Please provide an updated Assessment score on each Category Element.
Agency Evidence of Complete Implementation (provide for ratings of 3)	This column includes all public and internal memos, directives, policies, strategies, and procedures, established to enable successful outcomes. This section should be limited to 1000 characters or less.
Obstacles / Risks / Challenges by Category	Please include all barriers to success by category, as well as any mitigation plans and/or strategies developed to address these issues. This section should be limited to 1000 characters or less.

For agencies without formal bureaus or component-level organizations as related to elements M, N, O: For these elements, please provide ratings and details about how authority over IT investments throughout the agency is delegated and managed as well as any supporting policies, directives, or memos that govern such delegation. Components or offices where IT is managed should be included in reporting, including, but not limited to regions, field offices, or program offices. Please update the Bureau Leadership Directory and Assignment Plan in concert with these updates as applicable.

RATINGS

1	Incomplete – Agency has not started development of a plan describing the changes it will make to ensure that all baseline FITARA responsibilities are in place by December 31, 2022
2	Partially Addressed – Agency is working to develop a plan describing the changes it will make to ensure that all baseline FITARA responsibilities are in place by December 31, 2022
3	Fully Implemented – Agency has developed and implemented its plan to ensure that all common baseline FITARA responsibilities are in place

BUDGET FORMULATION

Element	Description
A	Visibility of IT resource plans/decisions to CIO
B	CIO role in pre-budget submission for programs that include IT and overall portfolio
C	CIO role in planning program management
D	CIO reviews and approves major IT investment portion of budget request

Agency Common Baseline Table				
Category	Element	Current Element Rating May 2022	Agency Evidence of Complete Implementation	Obstacles / Risks / Challenges by Category
Budget Formulation (A-D)	A	3	<p>DHS maintains CIO integration and visibility during the Planning, Programming, Budgeting, and Execution (PPBE) process through established policies and guidance. Since the last self-assessment, OCIO has worked with OCFO on developing Resource Allocation Plan (RAP) & OneNumber Instructions so that all IT budget requests provide key information that will allow the DHS CIO to evaluate for IT strategic alignment, IT suitability, and IT executability, and to integrate IT with DHS resource planning activities.</p> <p>The CIO Council, Chief Information Security Officer (CISO) Council and IT Business Management Council (BMC) are cross-functional, executive-level groups that meet regularly to facilitate positive working relationships across the agency. These groups strengthen relationships and enhance coordination of IT resource management across OCIO, OCFO, and OCPO. Improvements continue to be realized as processes and guidance are refined.</p>	
	B	3	<p>DHS continues to optimize the CIO role in pre-budget submission practices to ensure ongoing compliance. OCIO, the DHS Office of Policy, and OCFO have leveraged a strong working relationship to ensure CIO involvement in all stages of PPBE. As previously outlined, OCIO submits Resource Planning Priorities that feed into the Resource Planning Guidance (RPG) approved by the Secretary and applicable to the entire enterprise. The DHS CIO also codifies IT resource planning guidance by engaging with both the CFO in developing RAP guidance and the Under Secretary for Management (USM) in supporting USM strategic guidance.</p> <p>The DHS Joint Requirements Integration and Management System, implemented by the Joint Requirements Council, is a significant mechanism in the planning process that helps identify where IT resources may be needed across the Department. OCIO Enterprise Architecture (EA) team conducts the initial review of all submissions to ensure that documents and requirements fully capture and justify IT resource needs.</p>	

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Category	Element	Current Element Rating May 2022	Agency Evidence of Complete Implementation	Obstacles / Risks / Challenges by Category
	C	3	<p>CIO review and involvement in planning and programming IT spend continues across the Department via participation in key PPBE processes and in relevant governance groups. OCIO reviews all IT related program changes for alignment with the IT priorities outlined in the RPG, USM strategic guidance, and RAP guidance. DHS CIO provides Component and Department summaries of alignment to these priorities and executability to the USM and the Deputy's Management Action Group.</p> <p>As mentioned earlier, OCIO in partnership with OCFO is ensuring CIO involvement throughout the programming phase and strengthening program planning for IT resources throughout their lifecycle by aligning program changes to IT investment. The CIO Council often meets jointly with both the CFO and DCIO Councils to support collaboration across DHS throughout the PPBE process at all levels. OCIO continues to collaborate with the Office of Program Accountability and Risk Management (PARM) to review and update policies as needed.</p>	
	D	3	<p>In addition to the aforementioned activities supporting the CIO's role during the PPBE process, DHS ensures the CIO plays a key role in developing the IT portion of the budget request and reviewing requests for reprogramming. The PPBE process facilitates collaboration from both OCIO and OCFO during the RAP process all the way through the Resource Allocation Decision (RAD), and the final IT budget submission to OMB. OCIO leverages reports from OCFO during the IT RAP process to review and analyze the IT Portfolio and eventually provide sign off per FITARA. There is also a DHS requirement that Components include a statement confirming IT funding review and approval by Component CFO and CIO upon submission of their RAP.</p>	

BUDGET EXECUTION

Element	Description
E	Ongoing CIO engagement with program managers
F	Visibility of IT planned expenditure reporting to CIO
G	CIO defines IT processes and policies
H	CIO role on program governance boards
J	CIO role in recommending modification, termination, or pause of IT
L	CIO approval of reprogramming

Agency Common Baseline Table				
Category	Element	Current Element Rating May 2022	Agency Evidence of Complete Implementation	Obstacles / Risks / Challenges by Category
Budget Execution (E-H, J, L)	E	3	<p>OCIO engagement with program managers remains strong. Program Health Assessments (PHA) continue to occur monthly and a revised PHA Guidebook and PHA Quality Assurance Plan were signed by OCIO Chief Technology Officer (CTO) March 2022. PHAs are provided to the DHS CIO Council and CXO counterparts to support executive level discussions and ensure IT investments continue to meet objectives.</p> <p>OCIO CTO Directorate in collaboration with PARM and the IT Program Management Center of Excellence (ITPM COE) maintain ALF, SELC, and Agile governance. In addition to the ITPM COE, IT program managers engage in the monthly Agile Community of Interest. The 102-01-004-01 Agile Development and Delivery for Information Technology was signed December 7, 2021. The manual establishes the Streamlined Software Acquisition Process (SSAP). The Technical Review Guide Version 3.0 was published in February 2022. It aligns with the 102-01-103 SELC signed February 4, 2021, and the SELC Guidebook published in May 2021.</p>	
	F	3	<p>DHS improves its rating in this area where some Components have strengthened coordination and increased transparency into IT planned expenditures. Across DHS, planned IT expenditure reporting is captured through the CPIC process and INVEST which automates the capture and management of planned expenditures for major projects. The DHS OCIO INVEST system interfaces with the DHS OCFO OneNumber system, a PPBE system. Integration between the two systems assists tracing IT investment funding to inform reporting and enhance decision making during the programming phase. INVEST also interfaces with the DHS IT Acquisition Review (ITAR) Tool. All ITARs must be aligned to an IT investment providing another point in the PPBE cycle where the DHS CIO validates planned IT expenditures. DHS OCIO works to continuously monitor for IT spend embedded within non-IT investments and across all levels of investment.</p>	
	G	3	<p>OCIO plays a central role maintaining DHS policies, manuals, guidance, and instructions for IT processes and policies. In addition to the aforementioned Agile manual and SELC guidance, the Enterprise Architecture Management Directive was signed and published on 3/22/2022, and the Enterprise Architecture Board (EAB) Guide v2 was signed and published on 5/19/2021. The EAB Guide released by OCIO CTOD outlines roles, responsibilities, and assessment criteria for the EAB review process. Other actions OCIO has taken to enhance Agile IT development practices across DHS include establishing the Agile Community of Interest and Agile Core Metrics which were published to INVEST February 2021. OCIO assesses programs to further the maturity of IT solution delivery at DHS HQ. At the time of the last self-assessment the second revision to the DHS Agile Instruction was complete.</p>	

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Category	Element	Current Element Rating May 2022	Agency Evidence of Complete Implementation	Obstacles / Risks / Challenges by Category
	H	3	The DHS FITARA Team continues to document IT governance boards within the Department per the OMB FITARA Requirement. For Component and HQ level CIO boards, this includes CIO authority, scope, membership, and role.	
	J	3	The CIO is a member of the DHS Acquisition Review Board (ARB), in which each board member has the authority to recommend modification, termination, or pausing of an IT program. The ARB reviews recommendations from the DHS EAB regarding all IT investments, as well as those that are non-IT with IT elements, to ensure alignment with DHS EA Principles prior to entering an Acquisition Decision Event (ADE). OCIO collaborated with PARM, OCFO, and Science and Technology Directorate (S&T) on updates to the Acquisition Review Team (ART) Guidebook which further defines ARB processes and was released December 2020. Prior supporting activities include release of the EAB Guide and the DHS TechStat Accountability Sessions Directive. The DHS TechStat Accountability Sessions Directive, revision 02, was recently signed and published on 12/29/2021. A DHS TechStat Guidebook was made available on 1/27/2022.	
	L	3	The CIO or delegated direct report reviews all reprogramming and transfer requests that have an impact on IT investments and programs. This process was first formalized as of April 2016 through Departmental PPBE policies. The DHS PPBE Directive and Instruction underwent subsequent revision, in collaboration with OCIO, and were released in June 2019. Process diagrams as well as specific Reprogramming guidance further reinforce the DHS Directive that the CIO must review all IT related reprogramming and transfer requests.	

ACQUISITION

Element	Description
I	Shared acquisition and procurement responsibilities
K	CIO review and approval of acquisition strategy and acquisition plan

Agency Common Baseline Table				
Category	Element	Current Element Rating May 2022	Agency Evidence of Complete Implementation	Obstacles / Risks / Challenges by Category
Acquisition (I, K)	I	3	<p>DHS established its ITAR process in 2007 to provide the DHS CIO with a means of formally reviewing IT acquisitions across the Department. DHS IT Integration and Management Directive codifies responsibilities of the CIO including management of the ITAR process. The ITAR process includes subject matter experts across the department to ensure utilization of incremental development methodologies as appropriate and that procurement documentation contains all required information prior to CIO review and approval.</p> <p>The 102-01-010, Level 3 Acquisition Management, was signed August 23, 2021. It establishes the strategic governance for the Department’s Level 3 acquisition program activities. Instruction 102-01-005 Management Directorate Level 3 Acquisition Management was signed February 23, 2022. It incorporates changes to reflect the 102-01-001 Acquisition Management Instruction signed January 21, 2021, currently under revision.</p>	
	K	3	<p>As described under Requirement I, the DHS CIO leverages the ITAR process to review acquisition planning documents and interagency agreements for IT acquisitions. DHS DUSM issued a Policy Directive, July 2020, removing the Acquisition Plan document requirement during acquisition reviews to streamline documentation. The DHS threshold for CIO review of IT acquisition requests remains at \$500,000 Total Estimated Procurement Value (TEPV) or more.</p> <p>The DHS ITAR Team continues to refine and improve ITAR resources, for example, re-launching the ITAR Component Coordinators Center of Excellence to enhance information sharing and support ITAR stakeholders across the Department and launching a Department-wide ITAR Conference. The DHS ITAR Essentials Guide is also updated regularly. Finally, as of April 2021 a DHS memo codified the ITAR escalation process where an Expedited ITAR Justification Form signed by the Component CIO is required when DHS CIO review and approval is needed in a short timeframe.</p>	

ORGANIZATION AND WORKFORCE

Element	Description
M	CIO approves new bureau CIOs
N	CIO role in ongoing bureau CIOs' evaluations
O	Bureau IT Leadership Directory
P	IT Workforce
Q	CIO reports to agency head (or deputy/Chief Operating Officer (COO))

Agency Common Baseline Table				
Category	Element	Current Element Rating May 2022	Agency Evidence of Complete Implementation	Obstacles / Risks / Challenges by Category
Organization and Workforce (M-Q)	M	3	DHS improves its rating in this element. At the time of the last submission, one instance during the Presidential Transition where the CIO did not approve a DHS Component CIO lead to a downgrade on the self-assessment. There have been no further instances. DHS maintains policies and processes such that the DHS CIO or DCIO participates in hiring panels along with other key stakeholders and provides input towards final approval on hiring decisions of Component CIOs. The 2018 update to DHS Delegation 04000, Rev. 01 – Delegation to the Chief Information Officer and Directive 142-02, Rev. 01 – Information Technology Integration and Management codified this FITARA requirement.	
	N	3	In 2016 DHS established an agency-wide critical element for CIO performance evaluation in its SES, Senior Level (SL) and Scientific Professional/Technical (SP/ST) performance plan templates. The DHS CIO is engaged with the Chief Human Capital Officer (CHCO) in ongoing oversight of the performance criteria for bureau CIOs and evaluation of Component CIO performance per Delegation 04000, Rev. 01 – Delegation to the Chief Information Officer.	
	O	3	The Bureau IT Leadership Directory is posted to the DHS website at DHS Digital Strategy .	
	P	2	OCIO Workforce Engagement (WE) continues to execute activities to strengthen the DHS IT workforce. As stated in prior support of this element, OCIO WE successfully implemented the Strategic Workforce Planning Initiative in collaboration with OCHCO. This Initiative assessed the IT skills of HQ OCIO employees according to IT roles and identified training opportunities, gaps, and future needs. Resources generated from this initiative include competency modeling and a training database by IT role and career path. Another successful initiative resulting from the OCIO and OCHCO collaboration is the development of a Cyber Talent Management System (CTMS) aimed at enhancing the management of mission critical cybersecurity talent. OCIO shares recruiting information with the CIO Council and DCIO Council and is currently working an IT Communications Strategic Plan to enhance information sharing about hiring, training, and policy information across CIO offices.	The Department is preparing to submit GAO audit recommendations for key workforce planning activities for closure. OCIO WE and Components are continuing to enhance IT workforce planning processes and overcome challenges. The IT Workforce Planning IPT serves as a forum for collaboration and monitoring progress.
	Q	3	Per a change incorporated as of March 18, 2019, the Delegation to the Under Secretary for Management codifies this requirement so that the DHS CIO reports to the Secretary and the Under Secretary for Management. The most updated version of this Delegation is Delegation 00002, Rev. 00.4 which was released September of 2020.	

Endorsed by:

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