



DHS 2023 FEDERAL INFORMATION TECHNOLOGY ACQUISITION REFORM ACT (FITARA) SELF-ASSESSMENT

Eric Hysen, Chief Information Officer

[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 DHS Integrated Data Collections submission.

Contact: Robert Dorr, Executive Director, Business Management Directorate
robert.Dorr@hq.dhs.gov

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
4/18/2023	DHS FITARA Self-Assessment	Updated to reflect May 2023 scores incorporating updates across the Department	bmo.tasker@hq.dhs.gov

DHS 2023 Federal Information Technology Acquisition Reform Act (FITARA) Self-Assessment

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 2023	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, 2023
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, 2023
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 2023	Agency Evidence of Complete Implementation	Obstacles / Risks / Challenges by Category
Budget Formulation (A-D)	A	3	<p>DHS maintains CIO visibility into and involvement with the DHS Planning, Programming, Budgeting, and Execution (PPBE) process through established policies, guidance, and practices. In addition, improvements continue to be realized across Components as processes are refined.</p> <p>OCIO worked with OCFO to develop a <i>DHS Resource Allocation Plan (RAP)</i> Attachment for IT so that all IT budget requests provide key information that will allow the DHS CIO to evaluate future year plans for IT strategic alignment, IT suitability (including program health and system cybersecurity maturity), and IT executability.</p> <p>The DHS CIO Council, Chief Information Security Officer (CISO) Council and IT Business Management Council (BMC) meet regularly to facilitate information sharing and working relationships across the agency at key stages of the budget formulation process. These groups strengthen relationships and enhance coordination of IT resource management among the OCIO, OCFO, and OCPO communities across DHS.</p>	
	B	3	<p>DHS continues to optimize the CIO role in pre-budget submission processes. OCIO supports efforts across the Department to increase visibility of IT portfolio 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. OCIO submits IT resourcing priorities as input into the annual <i>DHS Resource Planning Guidance (RPG)</i> 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 another significant mechanism in the planning process that helps identify where IT resources may be needed across the Department.</p>	

Agency Common Baseline Table				
Category	Element	Current Element Rating May 2023	Agency Evidence of Complete Implementation	Obstacles / Risks / Challenges by Category
	C	3	<p>OCIO works with its partners in OCFO to continuously collaborate during key budget formulation processes during the planning and programming phases. A recent example: OCIO reviewed and prioritized Program Decision Options containing IT, collaborating with OCFO on the DHS above-guidance RAP submission.</p> <p>OCIO also reviews IT-related, within-guidance program changes from Component RAP submissions for alignment to the IT priorities outlined in DHS strategic guidance. DHS CIO provides Component and Department summaries of alignment to these priorities and an assessment of executability to the USM and the Deputy’s Management Action Group (DMAG), the governance group from which the annual <i>DHS Resource Allocation Decision</i> (RAD) is developed.</p>	
	D	3	<p>DHS PPBE processes involve OCIO and OCFO collaboration throughout the RAP process all the way through the RAD and subsequent budget submission to OMB. OCIO leverages reports from OCFO to review Component IT RAP submissions, analyzes the IT portfolio for alignment to IT strategic priorities, and provides sign-off consistent with FITARA. There is also a DHS requirement that Components include a statement confirming IT funding review and approval by both Component CFO and CIO as part of Component RAP submission.</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 2023	Agency Evidence of Complete Implementation	Obstacles / Risks / Challenges by Category
Budget Execution (E-H, J, L)	E	3	<p>DHS OCIO continues to issue Program Health Assessments (PHA) monthly. Guidance for the execution of PHAs is provided in the <i>DHS PHA Guidebook</i> and <i>PHA Quality Assurance Plan</i>. The results of PHAs, and associated cost, schedule, and risk information, 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 continues to collaborate with the DHS Office of Program Accountability and Risk Management (PARM) and the IT Program Management Center of Excellence (ITPM COE) to reinforce DHS Acquisition Lifecycle Framework, Systems Engineering Lifecycle, and Agile governance and best practices. In addition, IT program managers engage in the monthly Agile Community of Interest.</p> <p>Examples of DHS guidance issued around IT program management include: the <i>Agile Development and Delivery for Information Technology Instruction Manual</i>, <i>Technical Review Guide Version 3.0</i>, <i>SELC Instruction</i>, and the <i>SELC Guidebook</i>.</p>	
	F	3	<p>Across DHS, planned IT expenditure reporting is captured through the Capital Planning Investment Control (CPIC) process and is captured within the DHS the Investment Evaluation, Submission and Tracking system (INVEST) which automates the capture and management of planned expenditures for IT investments, programs, and projects. INVEST interfaces with DHS OneNumber, the authoritative budget system of record, to provide visibility into planned DHS IT expenditures in advance of <i>OMB Justification</i> and <i>President's Budget</i> submissions to OMB.</p> <p>INVEST also interfaces with the DHS IT Acquisition Review (ITAR) Tool. All ITAR submissions must be aligned to an IT investment, providing another point in the PPBE cycle where the DHS CIO validates planned IT expenditures against procurement strategies. In addition, DHS OCIO continuously monitors submissions across the budget cycle for IT spend embedded within non-IT investments and across all levels of investments.</p>	
	G	3	<p>OCIO plays a central role maintaining DHS policies, manuals, guidance, and instructions for IT processes and policies. The <i>DHS Enterprise Architecture Management Directive</i>, and <i>Enterprise Architecture Board (EAB) Guide</i>. for example, outline the roles, responsibilities, and assessment criteria for the EAB review process. EAB Reviews facilitate enterprise architecture and investment strategic alignment and represents a key DHS IT management engagement point. Prior justification for this element referenced OCIO actions to enhance Agile IT development practices across DHS including revisions to DHS Agile Instruction, as well as, establishing the Agile Community of Interest and Agile Core Metrics.</p>	

Agency Common Baseline Table				
Category	Element	Current Element Rating May 2023	Agency Evidence of Complete Implementation	Obstacles / Risks / Challenges by Category
	H	3	DHS continues to document DHS and Component IT governance boards, to include CIO authority, scope, membership, and roles and responsibilities.	
	J	3	<p>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 the pausing of an IT program. The ARB reviews recommendations from the DHS EAB, as well as those of non-IT investments with IT elements, to ensure alignment with the DHS enterprise architecture prior to entering an Acquisition Decision Event (ADE).</p> <p>OCIO collaborated with PARM, OCFO, and the Science and Technology Directorate (S&T) to update the <i>Acquisition Review Team (ART) Guidebook</i> which further defines ARB processes. The Guidebook was released in December 2020.</p> <p>Prior supporting activities include release of the <i>EAB Guide</i> and the <i>DHS TechStat Accountability Sessions Directive</i>. The <i>DHS TechStat Accountability Sessions Directive, revision 02</i>, was recently signed and published on December 29, 2021. A <i>DHS TechStat Guidebook</i> was made available on January 27, 2022.</p>	
	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 <i>DHS PPBE Directive</i> and <i>Instruction</i> underwent subsequent revisions 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

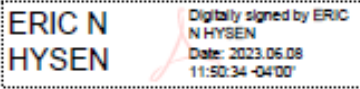
Agency Common Baseline Table				
Category	Element	Current Element Rating May 2023	Agency Evidence of Complete Implementation	Obstacles / Risks / Challenges by Category
Acquisition (I, K)	I	3	<p>The <i>DHS IT Integration and Management Directive</i> codifies responsibilities of the DHS CIO including management of the DHS ITAR process, as well as Component CIO responsibilities for management of their respective Component ITAR processes. The DHS ITAR process enables DHS CIO review and approval of acquisitions that contain IT. It also includes IT and procurement subject matter expert reviews 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><i>DHS Acquisition Management Instruction, Revision 02</i> was issued on January 10, 2023. It codifies IT oversight responsibilities of the DHS CIO and Component CIOs alongside those of the Chief Acquisition Officer and Component Acquisition Executives during the ALF. IT elements of the revision include adding cybersecurity risk documentation to facilitate more complete IT acquisition program review.</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. The DHS threshold for CIO review of IT acquisition requests remains \$500,000 Total Estimated Procurement Value (TEPV).</p> <p>DHS OCIO administers the ITAR process and continuously works to improve the process and to refine ITAR resources. As DHS policy updates are made, OCIO ensures ITAR submissions contain the necessary information for IT acquisition review across OCIO SME stakeholders. For example, in the last year, updates to the <i>DHS ITAR Guide</i> included additional cybersecurity review requirements for FedRAMP certification and alignment to the <i>DHS Sensitive Systems Policy Directive</i>.</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 2023	Agency Evidence of Complete Implementation	Obstacles / Risks / Challenges by Category
Organization and Workforce (M-Q)	M	3	DHS CIO participates in hiring panels and provides input towards final hiring decisions of Component CIOs. The 2018 update to <i>DHS Delegation 04000, Rev. 01 – Delegation to the Chief Information Officer and Directive 142-02, Rev. 01 – Information Technology Integration and Management</i> codified this requirement. In the last year there has been an instance of this element being executed when a new Component CIO was hired.	
	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 continues to be engaged with the Chief Human Capital Officer (CHCO) in ongoing oversight of the performance criteria for and evaluation of Component CIO performance consistent with <i>Delegation 04000, Rev. 01 – Delegation to the Chief Information Officer</i> .	
	O	3	The DHS Component IT Leadership Directory is posted at DHS Digital Strategy .	
	P	2	DHS OCIO recently developed a <i>DHS Customer Experience Hiring Strategy</i> and revamped the DHS IT Immersion program to provide an extensive overview to new employees across the DHS IT community. The Strategic Workforce Planning Initiative assessed the IT skills of DHS OCIO employees based on roles, and identified training opportunities, gaps, and future needs. Hiring managers continue to use the competency modeling and training database, which provides information on IT roles and career paths. Another successful initiative has been the Cyber Talent Management System (CTMS) authority aimed at enhancing the management of mission critical cybersecurity talent. OCIO shares recruiting information with the CIO Council and DCIO Council to enhance information sharing about hiring, training, and policy information	The Department is preparing to submit GAO audit recommendations for key workforce planning activities for closure. DHS and Components are continuing to enhance and integrate DHS IT workforce planning processes.
	Q	3	Per a change incorporated as of March 18, 2019, the <i>Delegation to the Under Secretary for Management</i> codifies the requirement that the DHS CIO reports to the Secretary and the Under Secretary for Management. The most updated version of this Delegation is <i>Delegation 00002, Rev. 00.4</i> released in September 2020.	

Endorsed by:



Eric Hysen
Chief Information Officer

Date



Department of Homeland Security
Office of the Chief Information Officer
Eric Hysen, Chief Information Officer

THIS PAGE INTENTIONALLY LEFT BLANK
