



DHS 2024 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 DHS Integrated Data Collections submission.

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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
4/18/2023	DHS FITARA Self-Assessment	Updated to reflect May 2023 scores incorporating updates across the Department	bmo.tasker@hq.dhs.gov
4/18/2024	DHS FITARA Self-Assessment	Updated to reflect May 2024 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 2024	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, 2024
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, 2024
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 2024	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. OCIO continues to partner with OCFO to leverage a <i>DHS Resource Allocation Plan (RAP) Attachment</i> 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 the 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> and <i>Mission Support Guidance (MSG)</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 IT Attachment 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>	

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	C	3	<p>OCIO works with its partners in OCFO to continuously collaborate during key budget formulation processes during the planning and programming phases. OCIO continues to participate in the review and prioritization of Headquarters (HQ) Program Decision Options (PDOs) containing IT in support of the DHS above-guidance RAP submission. Furthermore, in the last year DHS implemented a DHS HQ IT Executive Steering Committee to enhance HQ IT Portfolio oversight and facilitate planning and prioritizing IT PPBE decisions.</p> <p>OCIO also reviews IT-related, above- and 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 to the USM and the Deputy’s Management Action Group (DMAG), the governance group from which the annual <i>DHS Resource Allocation Decision (RAD)</i> 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 as well as the RAP IT Attachment to review Component IT RAP submissions. OCIO analyzes the IT portfolio for alignment to IT strategic priorities and provides sign-off consistent with FITARA. There is also a DHS requirement outlined in the RAP Instructions that Components include a statement confirming each IT funding request within the RAP submission has been reviewed and approved by both Component CFO and CIO.</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 2024	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 (ALF), Systems Engineering Lifecycle (SELC), and Agile governance and best practices. In addition, IT program managers engage in the quarterly Agile Community of Interest, and SecDevOps Community of Practice meetings. Bi-weekly lunch-and-learn meetings have also been established and focus on practical application of Agile methods.</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. Recent examples include updates to select <i>DHS IT System Security Program</i>, <i>Sensitive Systems Policy Directive</i> attachments; a new directive and instruction for the use of Face Recognition and Face Capture technologies; and policy statements on the acquisition and responsible use of Artificial Intelligence (AI) and Machine Learning technologies. Additionally, an accompanying <i>Commercial Generative AI Tool Usage Playbook</i> was released in November 2023 to promote and manage the use of AI in accordance with DHS policy.</p> <p>Prior justification for this element referenced the <i>Enterprise Architecture Board Directive and Guide</i>, and OCIO collaboration with PARM in the development and publication of ALF, SELC, and Agile governance including revisions to the DHS Agile Instruction and Agile Core Metrics Guidebook.</p>	

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	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 IT elements of non-IT investments, to ensure alignment with the DHS enterprise architecture prior to entering an Acquisition Decision Event (ADE).</p> <p>Additional activities in support of this FITARA element include OCIO collaboration 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. DHS OCIO Chief Technology Officer Directorate (CTOD) also manages 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 signed and published on December 29, 2021, and the <i>DHS TechStat Guidebook</i> was made available on June 21, 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

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Category	Element	Current Element Rating May 2024	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 from across the Enterprise remains \$500,000 Total Estimated Procurement Value (TEPV). Component CIOs manage their Component ITAR process before being sent for DHS CIO review. Components may maintain a lower threshold for Component CIO review. For example, in the last year, the Management Component threshold was lowered to \$100,000 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. The <i>DHS ITAR Guide</i> is one example of a key artifact that is frequently updated to provide the latest DHS ITAR guidance to the DHS IT community.</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 2024	Agency Evidence of Complete Implementation	Obstacles / Risks / Challenges by Category
Organization and Workforce (M-Q)	M	3	The DHS CIO participates in hiring panels and provides input towards final hiring decisions of Component CIOs. The 2018 update to the <i>DHS Delegation to the Chief Information Officer</i> and the <i>DHS Information Technology Integration and Management Directive</i> codified this requirement. There have been instances of this element being executed when a new Component CIO is hired.	
	N	3	In 2016 DHS established an agency-wide critical element for CIO performance evaluation in its Senior Executive Service (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 the <i>DHS Delegation to the Chief Information Officer</i> .	
	O	3	The DHS Component IT Leadership Directory is posted at DHS Digital Strategy .	
	P	3	In February 2024, DHS had key workforce activities shared across the IT community approved by GAO for audit GAO-20-129 closure. These activities are in alignment with FITARA Baseline Requirement P and the GAO Federal IT Workforce audit. DHS continues to leverage the Cyber Talent Management System (CTMS) as well as the <i>DHS Customer Experience Hiring Strategy</i> to hire critically needed IT personnel and advance delivery of services and mission execution. The CIO, Deputy CIO, CISO, and CTO Councils are all examples of governance groups where IT workforce staffing and training needs across the Enterprise are addressed. Prior supporting justification also described the work done to revamp the DHS IT Immersion program and the Strategic Workforce Planning Initiative. Hiring managers continue to use the competency modeling and training database, which provides information on IT roles and career paths.	
	Q	3	Per a change incorporated as of March 18, 2019, the <i>DHS 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> was released in September 2020 and subsequently approved by DHS Secretary Mayorkas in October 2022.	

Endorsed by:

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