



# DHS 2020 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: Final**

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

Status: Updated

Directions for completion of each of the elements are below.

| Field   | Description   |
|---|---|
| Category - Element  | Pre-populated category and element  |
| Current Element Rating<br>May 2020                              | Please provide an updated Assessment score on each Category Element.  |
| Relevant Evidence<br>Supporting<br>Implementation of<br>Element | 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 /<br>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**

|          |   |
|----------|---|
| <b>1</b> | 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, 2020 |
| <b>2</b> | 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, 2020 |
| <b>3</b> | Fully Implemented – Agency has developed and implemented its plan to ensure that all common baseline FITARA responsibilities are in place   |

**BUDGET FORMULATION**

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

| Agency Common Baseline Table |         |                                 |   |  |
|------------------------------|---------|---------------------------------|---|--|
| Category                     | Element | Current Element Rating May 2020 | Relevant Evidence Supporting Implementation of Element  | 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. In addition to the advancements recognized by Components in the previous self-assessment, improvements are continuously being realized as processes and guidance are refined. For example, in June 2019, DHS released revisions to the PPBE Directive and Instruction, in a collaborative effort with OCIO.</p> <p>The IT Business Management Council (BMC) - including agency-wide executive and working-level OCFO and OCIO personnel - continues to meet on a regular basis. As previously stated, the IT BMC has helped strengthen relationships and enhance coordination of IT resource management. For example, in conjunction with the OCIO Component IT Resource Allocation Plan (RAP) review process, the IT BMC fosters information sharing to increase visibility into RAP guidance and IT resource planning across the organization. Over the last year, IT BMC stakeholders have come together to form additional working groups on emerging topics and activities at the intersection of IT and finance.</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. OCIO also nominates Winter Study topics for additional research/evaluation to determine clear resource requirements. 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 (JRIMS), implemented by the Joint Requirements Council (JRC), is a significant mechanism in the planning process that helps identify where IT resources may be needed across the Department. The 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> |  |

**Agency Common Baseline Table**

| Category | Element | Current Element Rating May 2020 | Relevant Evidence Supporting Implementation of Element  | Obstacles / Risks / Challenges by Category |
|----------|---------|---------------------------------|---|--|
| C        | 3       | 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. In the last two years, the DHS CIO worked with Component CIOs to review and validate any funding changes to IT resources to ensure alignment with DHS IT enterprise strategy and reduce any potential duplicative efforts. OCIO also continues to review all IT related program changes for compliance with the IT priorities outlined in the RPG and USM strategic guidance. DHS CIO provides Component and enterprise summaries of alignment to these priorities to the USM and the Deputy's Management Action Group.</p> <p>The IT BMC discusses IT resource needs and mechanisms to ensure all IT elements within the DHS budget are reviewed during the Program Budget Review process. Joint CIO-CFO Council meetings and the reestablished Deputy CIO Council are forums that support collaboration across DHS throughout the PPBE process at all levels.</p> <p>OCIO continues to ensure the CIO is involved in program planning for IT resources throughout their lifecycle and collaborates with 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. For example, OCIO leverages reports from OCFO during the IT RAP process to review and analyze the IT Portfolio.</p> <p>In confirmation of this collaboration, DHS includes a signed joint affirmation from the CIO, CFO and Chief Privacy Officer stating that: the CIO has reviewed and approved the major IT investments portion of the request; 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 includes appropriate estimates of all IT resources included in the budget request.</p>   |  |

**BUDGET EXECUTION**

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

| Agency Common Baseline Table |         |                                 |   |  |
|------------------------------|---------|---------------------------------|---|--|
| Category                     | Element | Current Element Rating May 2020 | Relevant Evidence Supporting Implementation of Element  | Obstacles / Risks / Challenges by Category   |
| Budget Execution (E-H, J, L) | E       | 3                               | <p>DHS OCIO remains committed to strong engagement with program managers, principally through the IT Program Management Center of Excellence, which continues to meet bi-weekly. Additionally, OCIO leverages program health assessments and the DHS TechStat process, to support executive level discussions and ensure IT investments continue to meet objectives.</p> <p>OCIO also conducts operational and program reviews to ensure that programs are meeting the Department’s strategic objectives and IT resources are providing the best value possible. Program managers submit program information through the CPIC tool, INVEST, to OCIO directly as a way of monitoring that program cost, schedule, performance, and mission objectives are being met. INVEST also captures program incremental development data. At the Component-level program reviews provide ongoing insight to IT investment alignment.</p> <p>DHS IT Integration and Management Directive codified these practices granting the CIO authority over all aspects of IT strategy and program implementation.</p>  |  |
|                              | F       | 2                               | <p>DHS maintains its rating in this Element as challenges remain at some Components where IT spend within non-IT investments may occur without Component CIO awareness. The Department continues to explore ways in which to capture this IT spend, particularly in financial systems, in order to ensure the CIO has full visibility into IT planned expenditure reporting. To date, CIO oversight of planned IT expenditures has been accomplished through the CPIC process and INVEST which automates the capture and management of planned expenditures for major projects. Enhancements are made to INVEST periodically, as needed, to ensure project data is collected and can be tracked in the most useful way to inform reporting and enhance decision making.</p> <p>Additionally, the DHS HQ and Component IT Asset Refresh Reports capture IT spend executed at the program level. The DHS IT Asset Management and Refresh Directive requires reporting on assets and associated costs for all systems and codifies the CIO role to manage IT infrastructure assets across the Department, including working with the CFO to define the appropriate policies and processes.</p> | Reporting of IT planned expenditures to CIOs at some Components is complicated by the existence of IT spend embedded within non-IT investments. DHS OCIO is working with these Components to increase transparency and coordination to address this issue through policy and process enhancements. |
|                              | G       | 3                               | <p>Delegation 04000, Rev. 01 and Directive 142-02, Rev. 01 outline responsibilities of the DHS CIO to include defining IT processes and policies. OCIO plays a central role maintaining DHS policies, manuals, guidance, and instructions for the DHS Systems Engineering Life Cycle (SELC) process and Agile. The DHS SELC Instruction, and the associated Guidebook are being reviewed and updated in a joint effort with OCIO, Chief Technology Directorate (CTD), PARM, and S&amp;T. The Agile Development and Delivery for IT Instruction Manual is also currently under review, and the second revision for the Agile Instruction was recently completed.</p>   |  |

| Agency Common Baseline Table |         |                                 |   |  |
|------------------------------|---------|---------------------------------|---|--|
| Category                     | Element | Current Element Rating May 2020 | Relevant Evidence Supporting Implementation of Element  | Obstacles / Risks / Challenges by Category |
|                              |         | 3                               | OCIO works with stakeholders to ensure guidance is updated with relevant process steps and roles & responsibilities as needed. Acquisition Management Directive and Instruction revisions, for example, involved OCIO review so that CIO oversight and certification of IT resources implementing incremental development were captured. OCIO and PARM also collaborated to document a sequence change for the Acquisition Review Board (ARB) to receive OCIO input on the EA implications of IT investments prior to an Acquisition Decision Event (ADE).  |  |
|                              | 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. The team engages leadership as necessary to ensure the appropriate role for the CIO on IT governance boards.  |  |
|                              | J       | 3                               | In prior support of Element J, DHS outlined that the CIO is a member of the 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 Enterprise Architecture Board (EAB) regarding “all IT investments or non-IT investments with IT elements, regardless of acquisition level,” to ensure alignment with DHS EA Principles prior to entering an ADE per DHS Policy Directive 103-03. In November 2019 an EAB Guide was released by OCIO OCTD to provide additional guidance on this process including outlining roles and responsibilities as well as assessment criteria during the EAB review process.<br><br>Additionally, OCIO continues to conduct TechStat reviews when program risk indicates the need as required by FITARA. As stated in previous annual self-assessments, the DHS TechStat Accountability Sessions Directive and Instruction were updated and signed May and June 2017 respectively to include further FITARA requirements. |  |
|                              | 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 have undergone 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  |
|----------|--|
| <b>I</b> | Shared acquisition and procurement responsibilities                  |
| <b>K</b> | CIO review and approval of acquisition strategy and acquisition plan |

| Agency Common Baseline Table |         |                                 |   |  |
|------------------------------|---------|---------------------------------|---|--|
| Category                     | Element | Current Element Rating May 2020 | Relevant Evidence Supporting Implementation of Element  | Obstacles / Risks / Challenges by Category |
| Acquisition (I, K)           | I       | 3                               | <p>DHS established its IT Acquisition Review (ITAR) process in 2007 to provide the DHS CIO with a means of formally reviewing IT acquisitions across the Department. The DHS IT Integration and Management Directive codifies responsibilities of the CIO includes the management of the ITAR process. The review has always included the Statement of Work (SOW) or other requirements documents and the Independent Government Cost Estimate (IGCE). OCIO has updated the ITAR process to encompass the FITARA requirement that the CIO review acquisition plans and strategies to ensure that these plans call for the utilization of incremental development methodologies.</p> <p>Previous actions taken to strengthen the process for review of cost estimates, include the OCFO Cost Analysis Division (CAD) adopting Chapter 9 of the Cost Estimating Handbook (which includes the LCCE Review Board) as a formal part of the “DHS Financial Management Policy Manual (FMPM).” The LCCE Review Board includes the following stakeholders: OCFO Budget, PA&amp;E and CAD, OCIO CTD, S&amp;T, PARM, pertinent Component(s), and Program Management staff.</p> |  |
|                              | K       | 3                               | <p>As described under Requirement I, the DHS CIO leverages the ITAR process to review acquisition plans and strategies and interagency agreements, including cost estimates and other related documents, for IT acquisitions. The requirement that the CIO review IT acquisitions is set out in Delegation 04000, Rev. 01 – Delegation to the Chief Information Officer; Directive 142-02, Rev. 01 - Information Technology Integration and Management; and was further codified by OCPO in the Homeland Security Acquisition Manual, Sections 3007.103(j) and 3039.170. DHS lowered the de minimus threshold for ITARs from a Total Estimated Procurement Value (TEPV) of \$2.5M to \$500,000. This requires DHS CIO review of any IT acquisition request with a TEPV of \$500,000 or more and lifecycle cost of \$50 million or more which aligns to an investment reported in INVEST.</p>  |  |

**ORGANIZATION AND WORKFORCE**

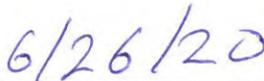
| Element | Description  |
|---------|--|
| M       | CIO approves new bureau CIOs   |
| N       | CIO role in ongoing bureau CIOs' evaluations                         |
| O       | Bureau IT Leadership Directory                                       |
| P       | IT Workforce   |
| Q       | CIO reports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

| Agency Common Baseline Table     |         |                                 |  |  |
|----------------------------------|---------|---------------------------------|--|--|
| Category                         | Element | Current Element Rating May 2020 | Relevant Evidence Supporting Implementation of Element   | Obstacles / Risks / Challenges by Category |
| Organization and Workforce (M-Q) | M       | 3                               | Over the last year, DHS CIO participated in the recruitment and selection process for two Component CIOs, sitting on both panels along with other key stakeholders. Similarly, prior evidence in support of Element M was DHS CIO participation in a March 2019 panel for Component CIO selection process. 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 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 <a href="#">DHS Digital Strategy</a> .  |  |
|                                  | P       | 3                               | DHS OCIO Workforce Engagement (WE) continues to execute activities to strengthen the DHS IT workforce. As stated in the 2019 self-assessment, OCIO WE successfully implemented the Strategic Workforce Planning (SWP) Initiative in collaboration with OCHCO. The SWP Initiative assessed the current IT skills of HQ OCIO employees according to IT role and identified training opportunities, gaps, and future needs. OCIO WE recently formed an Integrated Project Team to support collaboration with Components to oversee IT workforce roles and share methodologies and best practices. Additionally, in 2019 DHS was rated fully addressed on GAO's DHS High-Risk ITM Outcome #4 - IT Human Capital Plan. DHS will continue to align with Office of Personnel Management competencies and NIST cybersecurity methodologies.<br><br>Another successful initiative that has come out of collaboration with OCIO and OCHCO is the development of a Cyber Talent Management System (CTMS). This system builds on the previously referenced, cyber-retention pay program for FY19 and cyber-internship program all of which are aimed at enhancing the management of mission critical cybersecurity talent. |  |
|                                  | 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. 00.3 which was released October of 2019.   |  |

Endorsed by:



R.D. Alles  
Deputy Under Secretary for Management



Date



Department of Homeland Security  
Office of the Chief Information Officer  
Karen Evans, Chief Information Officer

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