

## **TECHSTAT ACCOUNTABILITY SESSIONS**

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### **I. Purpose**

- A. This Directive establishes the Department of Homeland Security (DHS) policy for TechStat Accountability Sessions (TechStats).
- B. A TechStat is a direct, evidence-based review of an Information Technology (IT) investment with support from senior leadership, which strengthens IT governance and facilitates efficient and effective Department-wide IT delivery. It is a realistic, data driven assessment to identify weaknesses and to determine corrective actions or modifications to make the investment successful in reaching its performance goals and expected value, or to halt or terminate the investment.

### **II. Scope**

This Directive applies throughout DHS.

### **III. Authorities**

- A. Public Law 113-291, "Carl Levin and Howard P. "Buck" McKeon National Defense Authorization Act for Fiscal Year 2015," Title VIII, "Acquisition Policy, Acquisition Management, and Related Matters," Subtitle D, "Federal Information Technology Acquisition Reform"
- B. Title 44, United States Code (U.S.C.), Chapter 35, "Coordination of Federal Information Policy"
- C. Title 40, U.S.C., Section 11315, "Agency Chief Information Officer"
- D. Office of Management and Budget (OMB) Memorandum M-11-29, "Chief Information Officer Authorities"
- E. OMB Memorandum M-15-14, "Federal Information Technology Acquisition Reform Act"
- F. DHS Delegation 04000, "Delegation for Information Technology"

G. DHS Chief Information Officer Memorandum, "Implementation of TechStat Reviews of DHS at DHS Components"

## IV. Responsibilities

A. The **DHS Chief Information Officer (CIO)**:

1. Leads, maintains, and manages the TechStat process within the Department;
2. Appoints the personnel responsible for oversight of the DHS TechStat activities, as administered by the Office of the Chief Technology Officer (CTO);
3. Identifies investments that are underperforming, conducts root cause analysis to mitigate risks, and provides OMB a report (quarterly from the Integrated Data Collection) of the outcomes and results;
4. Manages investment evaluations, improvements, and risk and mitigation reviews for each major IT investment;
5. Conducts TechStat reviews and provides recommendations to the Under Secretary for Management, to modify, pause, or terminate any acquisition, investment, or activity that includes a significant IT component based on the TechStat evaluation;
6. Interacts with the Acquisition Decision Authority / Component Acquisition Executive and Acquisition Review Board members for acquisition programs, supports the Management Lines of Business (LOBs) Chiefs, Business Owners, Program Managers, and OMB to facilitate TechStat sessions; and
7. Coordinates TechStat with input from across the Management LOBs on investments and acquisitions identified for TechStat.

B. The **Office of Program Accountability and Risk Management (PARM)**:

1. Participates in the TechStat reviews for acquisition programs; and
2. Provides insight, recommendations, and results to the Acquisition Review Board and ensures alignment with the overall acquisition oversight process.

- C. The **Component Chief Information Officers**:
1. Maintain oversight of the TechStat process within the Component;
  2. Appoints the responsible personnel within the Component, identifying investments for review, facilitating TechStat sessions, and tracking action items resulting from TechStat sessions;
  3. Conduct Component TechStats on underperforming or at risk projects/programs on a quarterly basis;
  4. Ensure a representative of the Office of the Chief Technology Officer is involved throughout the TechStat process; and
  5. Ensure timely access to documentation and TechStat artifacts as requested by the Office of the Chief Technology Officer.
- D. The **Program Managers** and **Business Owners**:
1. Provide full and complete documentation to support TechStat;
  2. Arrange personnel interviews as needed; and
  3. Attend TechStat sessions.

## V. Policy and Requirements

- A. All TechStats are conducted in accordance with Federal mandates, OMB requirements, and DHS policy. This policy establishes the following:
1. The DHS CIO assesses the current risk associated with a major investment's ability to accomplish its established goals based on the following evaluation factors:
    - a. Risk management;
    - b. Requirements management;
    - c. Contractor oversight;
    - d. Performance<sup>1</sup>;
    - e. Human capital; and

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<sup>1</sup> Which is derived from OCIO Program Health Assessments, and data provided from other Management Lines of Business (as appropriate).

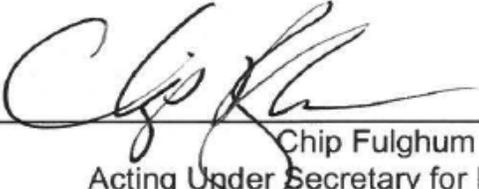
- f. Other factors that the DHS CIO deems important to forecasting future success.
  2. A major investment is automatically subject to a TechStat if it has a high risk or moderately high risk rating on the ITD for three consecutive months.
  3. A major investment is evaluated to determine the need for a TechStat if it has a high risk or moderately high risk rating on the ITD for one month and there are indications that the high risk rating will continue unless action is taken.
  4. An investment (major or non-major) is evaluated to determine the need for a TechStat if the investment has performed recommended corrective actions that have proven unsuccessful in turning the investment around.
  5. An investment (major or non-major) is evaluated to determine the need for a TechStat if the CIO or Component Chief Information Officer request the evaluation due to concerns over cost, schedule variance or dependencies, performance, usage, or Departmental impact.
  6. Once it is determined a TechStat is needed, the TechStat is performed according to this policy and supporting instruction which are based on the "TechStat Toolkit" available at <https://cio.gov/drivingvalue/techstat/browse-toolkit>.
  7. OMB is contacted at [egov@omb.eop.gov](mailto:egov@omb.eop.gov) with the subject line "DHS TechStat Notification" at least two weeks before the TechStat session.
  8. Reporting of outcomes and outputs of all TechStat sessions through the quarterly Integrated Data Collection (IDC) and includes:
    - a. An assessment using OMB's "Investment and Portfolio Management Maturity Framework" template;
    - b. A root cause analysis of performance issues;
    - c. Corrective action plans which address the causes; and
    - d. A timeline for implementing the corrective actions.
- B. TechStat outcomes can result in the termination of a program, if recovery efforts are deemed fiscally ineffective, or lack the appropriate resources and vision to continue.

C. IT Investments rated with a high risk (red CIO evaluation in the IT Dashboard) for three consecutive months:

1. The DHS Office of the Chief Information Officer holds a TechStat session on that investment.
2. The TechStat session is held within 30 days after the third month.
3. If the investment remains categorized with a red CIO evaluation after one year following the TechStat session, then OMB may take appropriate performance and/or budgetary actions until DHS has addressed the root cause and ensures the investment's ability to complete the remaining activities within planned cost and schedule.

## VI. Questions

Address any questions or concerns regarding this Directive to the Office of the Chief Information Officer.

  
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Chip Fulghum  
Acting Under Secretary for Management

MAY 17 2017

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Date