INFORMATION TECHNOLOGY
ASSET MANAGEMENT AND
REFRESH

I.   Purpose

This Directive establishes the Department of Homeland Security (DHS) policy regarding Information Technology (IT) management and recapitalization to ensure that IT infrastructure assets are secure, trustworthy, efficient, and resilient in support of missions and business operations.

II.   Scope

This Directive applies throughout DHS. The Directive includes all IT infrastructure assets, which consist of any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information[1], including but not limited to desktops, laptops, servers, switches, routers, mobile devices, radios, printers, copiers, scanners, imaging devices, sensors and related equipment, firmware, and operating software sourced by the Department or any Component of the Department and maintained in government-owned or contractor facilities. This Directive does not apply to labor, provisioned services, or application software.

III.   Authorities

    A.   Public Law 113-291, "National Defense Authorization Act for Fiscal Year 2015," Title VIII, "Acquisition Policy, Acquisition Management, and Related Matters," Subtitle D, "Federal Information Technology Acquisition Reform (FITARA)"

    B.   Public Law 115-91, "National Defense Authorization Act for Fiscal Year 2018," Title X, "General Provisions," Subtitle G, "Modernizing Government Technology Act of 2017"

    C.   Clinger-Cohen Act, Title 44, United States Code (U.S.C.) §§ 11101 - 11704

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[1] Office of Management and Budget, Circular A-130, "Managing Information as a Strategic Resource"

D.   Government Performance and Results Act of 1993, as amended by the Government Performance and Results Modernization Act of 2010, Title 5, U.S.C. § 306 and 31 U.S.C. §§ 1115 et seq.,

E.   Title 41, U.S.C., Subchapter 1, "Office of Federal Procurement Policy" (§1101)

F.   Executive Order 13800, "Strengthening the Cybersecurity of Federal Networks and Critical Infrastructure," May 2017

G.   Office of Management and Budget (OMB) Circular A-130, "Managing Information as a Strategic Resource"

H.   OMB M-13-02, "Improving Acquisition through Strategic Sourcing"

I.   OMB M-16-02, "Category Management Policy 15-1: Improving the Acquisition and Management of Common Information Technology: Laptops and Desktops"

J.   OMB M-16-20, "Category Management Policy 16-3: Improving the Acquisition and Management of Common Information Technology: Mobile Devices and Services"

K.   OMB M-16-19, "Data Center Optimization Initiative (DCOI)"

L.   DHS Directive 060-01, "Development and Use of Strategic Sourcing of Contract Vehicles"

M.   DHS Directive 119-03, "Personal Property Management Program"

N.   DHS Directive 142-02, "Information Technology Integration and Management"

IV. Responsibilities

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

1.   Implements policies, procedures, and controls to ensure the proper procurement, operation, maintenance, recapitalization/refresh, and disposal of IT infrastructure assets across the Department.

2.   In conjunction with the DHS Chief Financial Officer (CFO), reviews and recommends to the Secretary/Deputy Secretary, through the Under Secretary for Management, approval of budget requests that include IT infrastructure assets.

3.   Regularly assesses the current state of the Department's IT infrastructure asset inventory.

4.   In consultation with the DHS Chief Procurement Officer (CPO), manages and governs the procurement of IT infrastructure assets, ensuring use of common standards, configurations, and strategic sourcing vehicles, as applicable.

5.   Manages the technology refresh schedule for each category of IT infrastructure asset across its lifecycle to inform budget and planning activities for each Component; and validates the refresh schedule on an annual basis.

B.   ***Component Heads***:

1.   Oversee the execution of the Planning, Programming, Budgeting, and Execution (PPBE) process and resource allocation decisions to support IT infrastructure needs and requirements of this Directive.

2.   Ensure that the Component CIO has the necessary resources to inventory, monitor, manage, and maintain the refresh schedule for IT infrastructure assets.

3.   Assume the risk for IT infrastructure assets that are at the end of their useful life and not maintained in accordance with the refresh schedule.

C.   ***Chief Financial Officer (CFO)***:

1.   Ensures that IT resource policies are reflected in the annual Program and Budget Review (PBR), budget justification to OMB and Congress, and execution of current and prior-year budgets to ensure Component budgets support the implementation of this Directive.

2.   In conjunction with the DHS CIO, defines the programming, budgetary, and funding execution policies, practices, and processes that support implementation of this Directive across DHS.

D.   ***Chief Procurement Officer (CPO)***:

1.   In conjunction with the DHS CIO, ensures strategic sourcing opportunities and solutions are in place to meet DHS-wide IT infrastructure requirements.

2.   In conjunction with the DHS CIO, assists Components in transitioning existing contracts to strategic sourcing solutions.

E.   ***Component Chief Information Officers***:

    1.   In coordination with the DHS CIO, maintain an annual implementation plan for recapitalization and modernization of all IT infrastructure assets that includes a timeline and corresponding spend plan. Update the IT infrastructure recapitalization and modernization plan on an annual basis.

    2.   In coordination with the Component Property Management Officer (PMO), ensure that Component IT infrastructure assets are inventoried when obtained and inventories are updated on an ongoing basis.

        a.   Establish processes and controls to ensure all IT infrastructure assets are properly received, identified, recorded, and accounted for throughout their lifecycle.

        b.   Automate collection and reporting of IT infrastructure assets via monitoring, inventory, and management tools, where feasible.

    3.   Fully participate in the annual DHS IT Infrastructure Assessment for all IT infrastructure assets supporting the Component.

    4.   Ensure their annual implementation plan for refresh of IT infrastructure assets aligns with the DHS Continuous Diagnostic and Mitigation (CDM) solution and its operating requirements.

    5.   Ensure compliance with strategic sourcing and category management policy when purchasing IT infrastructure assets or services.

    6.   Ensure the DHS CFO and CIO have timely access to any IT infrastructure records and data considered necessary to carry out analyses, make decisions, and properly account for and record the financial and operational activity concerning IT infrastructure assets.

F.   ***Program Managers***:

    1.   In consultation with and in coordination with the Component CIO, manage the procurement, integration, operation, maintenance, and disposal of information systems and related infrastructure assets.

    2.   Ensure program budgets contain the funding necessary for IT infrastructure asset refresh, maintenance, and support.

3.   In consultation with and in coordination with the Component's Head of the Contracting Activity (HCA), review available contracts and agreements to determine whether sufficient contracts and agreements are in place to manage ongoing IT infrastructure asset refresh, maintenance, and support.

4.   Plan for and make necessary programmatic and software changes needed to ensure IT infrastructure assets can be maintained and supported throughout their lifecycle.

V.   Policy and Requirements

It is DHS policy to manage and recapitalize infrastructure assets to ensure that they are secure, trustworthy, efficient, and resilient in support of missions and business operations.   With rapid changes in IT, the Department must have well-managed procedures and plans for maintaining, upgrading, modernizing, and replacing IT infrastructure assets, ensuring that DHS offers the IT services needed to operate its missions. To accomplish this goal, DHS will:

A.   Implement and maintain policies, procedures, and controls to ensure the proper management and recapitalization of IT infrastructure assets, including validation of the annual refresh schedule. Validate the implementation of this policy through an annual IT infrastructure assessment.

B.   In accordance with applicable law and regulation, such as the Federal Acquisition Regulation, ensure use of common standards, configurations, and strategic sourcing vehicles when procuring and maintaining IT infrastructure assets, if available.

VI. Questions

Address any questions or concerns regarding this Directive to the Office of the Chief Information Officer.
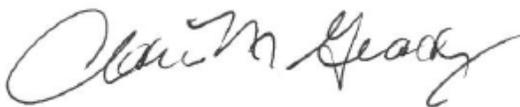
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Claire M. Grady   _____
Under Secretary for Management   Date