



United States Department of the Interior

OFFICE OF THE SECRETARY
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OCIO Directive 2007-010

To: Assistant Secretaries
Deputy Assistant Secretaries
Heads of Bureaus and Offices
PMB Deputy Assistant Directors and Office Directors
Director, NBC
Director, Executive Secretariat

From: Michael J. Howell
Chief Information Officer

Pamela K. Haze
Director of Budget

Paul Hoffman
Deputy Assistant Secretary for Performance, Accountability and Human Resources

Subject: Information Technology Capital Planning and Investment Control Schedule for Fiscal Year 2010

Purpose:

This directive issues the Information Technology (IT) Capital Planning and Investment Control (CPIC) calendar reflecting the governance roles, timeframes and high-level tasks necessary to develop an IT portfolio recommendation in time for 2010 budget formulation to begin in the spring of 2008.

Background:

Under the Information Technology Management Reform Act of 1996 (Clinger Cohen Act), the Department of Interior is required to implement a process for maximizing the value and assessing and managing the risk of information technology acquisitions. Capital Planning and Investment Control (CPIC) is DOI's process by which information technology investments are selected for funding, managed and evaluated to ensure expected results are achieved. The CPIC process is closely integrated with the budget process. Budget recommendations on IT investments including those budgeted through the Working Capital Fund will be based on the results of the CPIC process and will require the approval of projects through the Department of

the Interior Investment Review Board (DOI IRB) and the appropriate bureau IRB. It is DOI's objective that the IT portfolio is composed of the highest priority investments that best support the Department's mission in the most cost-effective manner and is well justified and defensible.

Requirements:

1) Governance Board Portfolio Development Responsibilities

In April 2008, the DOI IRB will recommend a 2010 IT portfolio. In preparation for this, the E-Government Team will be responsible for developing recommendations for the mission systems portfolio while the Information Technology Management Council (ITMC) will be responsible for developing recommendations for the infrastructure and planning portfolio. The DOI IRB will be responsible for decision making on an integrated portfolio. All governance boards are responsible for adhering to the schedule and tasks required to develop the IT portfolio for input into the 2010 budget formulation process. An overview of the 2010 portfolio development governance process to include preliminary meeting dates and objectives can be found in *Attachment A: 2010 Portfolio Development Governance Overview*.

2) Bureau/Office Portfolio Development Responsibilities

Each Bureau/Office must submit their proposed 2010 information technology portfolio to the Office of the Chief Information Officer – Portfolio Management Division (OCIO-PMD) by **February 25, 2008**. Bureau/Office Investment Review Boards are expected to review the portfolio prior to the submission to the Department. Detailed submission guidance can be found in *Attachment B: 2010 Portfolio Submission Guidance*.

The preliminary planning target for the information technology portfolio is 2% below FY 2009 levels. In their submission to the Department, Bureaus/Offices should prioritize any investments above this level. In developing their portfolios, Bureaus/Offices should ensure that there is sufficient investment in IT infrastructure and security. Bureaus/Offices should consider the customer-centric objectives outlined with the E-Government Strategic Plan. In addition, Bureaus/Offices should ensure alignment with the modernization blueprints.

3) Enterprise-wide Investments

Any enterprise investments requesting Planning or Development/Modernization/Enhancement funding must be submitted by **January 7, 2008** to enable sufficient time for consideration by the E-Gov Team, ITMC and DOI IRB prior to development of the 2010 portfolio recommendation. Existing/ongoing enterprise investments must provide initial estimates of Bureau/Office 2010 direct bills to include a description of any changes to service levels by **February 4, 2008**. Any investments that are managed by the Office of the Secretary (to include enterprise-wide investments) shall be reviewed by the OS IRB before February 25, 2008. Detailed submission guidance can be found in *Attachment B: 2010 Portfolio Submission Guidance*.

4) Managing Performance of Investments

All investments must be appropriately managed to ensure expected performance and results are achieved. ***Attachment C: FY 2008 Control Requirements*** outlines the specific reporting requirements.

Attachment D: FY 2008 Calendar provides a comprehensive schedule of tasks and deadlines for FY 2008. Training regarding this directive will be provided to the Capital Planning community in November 2008.

Any questions regarding this directive should be referred to Larry Warren, Chief – Portfolio Management Division, at (202) 208-4109.

Attachments:

Attachment A: 2010 Portfolio Development Governance Overview

Attachment B: 2010 Portfolio Submission Guidance

Attachment C: FY 2008 Control Requirements

Attachment D: FY 2008 Calendar

Attachment A: 2010 Portfolio Development Governance Overview

I: Governance Swimlanes

At the September 25, 2007 Investment Review Board meeting, the IRB members approved the 2010 portfolio development schedule shown below.

	Sept-Oct 2007	November 2007	December 2007	January 2008	February 2008	March 2008	April 2008	May 2008	June 2008	July 2008	August 2008	September 2008				
MIT	Review Process Set Strategic Direction, Priorities		- Update on Enterprise Initiatives			Update on existing Enterprise Initiatives - Review of Enterprise Concepts	- Review IRB Recommendations - Prioritize over-target initiatives		- Update on Enterprise Initiatives			- Update on Enterprise Initiatives - FY 2011 Process Planning				
IRB	- FY 10 Roles and Schedule - Review Blueprints				- Review Enterprise initiative status and performance Review Enterprise Concepts (New Ideas)	◆	- Portfolio Development - Over-Target Prioritization	- Review Portfolio Performance	- Reconcile budget submissions with recommendations		Review of portfolio changes based on Secretary decisions, review of baseline changes and performance update.	- FY 2011 Process Planning				
ITMC	- Define scoring criteria - Issue Submission Requirements			- Review Portfolio Performance - Review Infrastructure Enterprise Concepts (New Ideas)		- Scoring and submission review - Develop infra portfolio										
eGov	- Refine scoring criteria - Issue Submission Requirements			- Review Portfolio Performance - Review System Enterprise Concepts (New Ideas)		- Scoring and submission review - Develop systems portfolio										
Budget		◆	Passback and Appeals Exhibit 53 Due	◆	Out-year Targets Identified		◆	Budget Guidance Issued	◆	Bureau Budgets Submitted	◆	Initial POB Budget Recommendation Presented	◆	Secretary Budget Decisions	◆	Budget Submitted to OHG
WCFC					◆	Budget Guidance Issued	◆	Submissions Due	WCFC/Budget Deliberations		◆	Secretary Budget Decisions				
Bureau					- Review Bureau Portfolio Performance - FY 2010 Portfolio Development	◆	Submission to Department		- Review Bureau Portfolio Performance - Reconcile budget submissions with recommendations			- Review Bureau Portfolio Performance				

Attachment A: 2010 Portfolio Development Governance Overview

II: Meeting Calendar

The tentative FY 2008 meeting calendar for the eGov Team, ITMC and IRB is as follows. This calendar and schedule is available at http://www.myinterior.doi.net/e_gov/2008schedule.doc and will be updated as needed.

Time View	E-Gov Team		ITMC		IRB	
Month	Day	Time/Location	Day	Time/Location	Day	Time/Location
October			18	8:30 am-Noon 7000A		
November	14		15	8:30 am-Noon 7000A		
December	5	9-Noon MIB 1352	20	8:30 am-Noon 7000A	19	1-4 pm Rachel Carson
January	16	9-Noon	17	8:30 am-Noon 7000A		
February			21	8:30 am-Noon 7000A	20	8:30 am-4:30 pm
March	12	9-Noon	13	9-Noon Portfolio	26	8:30 am-4:30 pm
			20	Regular ITMC mtg		
	19	8:30 am-4:30 pm	20	1-4 pm Portfolio		
			21	9-Noon Portfolio		
April			17	8:30 am-Noon 7000A	2	8:30 am-4:30 pm
May			15	8:30 am-Noon 7000A	14	1-4 pm
June	18	9-Noon	19	8:30 am-Noon 7000A	18	1-4 pm
July			17	8:30 am-Noon 7000A		
August			21	8:30 am-Noon 7000A	20	1-4 pm
September			18	8:30 am-Noon 7000A	17	1-4 pm

Attachment A: 2010 Portfolio Development Governance Overview

III: Process Changes and Meeting Objectives

The proposed 2010 portfolio development process incorporates the following process changes:

- The initial planning target for the overall 2010 IT portfolio is 2% below FY 2009 levels. During the January and February eGov, ITMC and IRB meetings, it is expected that the respective governance boards will define the approach for submitting a portfolio within the “IT Cap” as well as the prioritization of initiatives that exceed the “IT cap.”
- All Enterprise-wide D/M/E investments will be scored to include those investments that are in the initial planning stages. Only those Bureau investments with significant D/M/E requests (\$1M or greater in D/M/E) will be scored. It is expected that each Bureau/Office will nominate one scoring team member by the February 20, 2008 IRB meeting.
- Bureau/Office IRBs (to include the Office of the Secretary) are expected to review Bureau/Office submissions prior to the February 25, 2008 submission deadline. The Bureau/Office submissions will be reviewed by OCIO-PMD and recommendations provided to the eGov, ITMC and IRB. Consistent with the 2009 portfolio development cycle, OCIO review will focus on ensuring alignment to blueprints and other IRB records of decision and avoidance of duplication.
- The DOI IRB will be expected to prioritize any enterprise-wide investments above the “IT cap.” The DOI IRB will also be expected to prioritize any increases for enterprise-wide investments within the “IT cap.” In their portfolio submissions, Bureaus/Offices will be expected to prioritize any investments above the “IT cap.”
- E-Gov, ITMC and IRB members will have an opportunity to review Enterprise-wide D/M/E proposals in advance of portfolio recommendation efforts. Enterprise-wide D/M/E requests will be submitted January 7, 2008 to allow review by the eGov Team and ITMC during January and by the IRB in February.
- In developing the 2010 portfolio recommendation, funding sources will be considered for Enterprise-Wide investments. This will help facilitate the ongoing alignment between the CPIC process and the budget submission process (particularly Working Capital Fund Consortium deliberations).
- A separate meeting will be held to prioritize Enterprise-wide investments that are over the IT cap.
- All governance board members will be provided with “decision trackers” to ensure a common understanding of a) whether funding is recommended for a particular investment; b) any conditions; c) if funding is not recommended, whether the investment may come before the board(s) at a future time.

Attachment A: 2010 Portfolio Development Governance Overview

Although subject to change, it is expected that the following topics will be discussed at each of the governance board meetings:

OBJECTIVES VIEW		E-Gov Team		ITMC		IRB	
Month	Day	Subject	Day	Subject	Day	Subject	
November	14	eGov Scorecard		One-on-One Meetings with CIOs to review Guidance			
December	5	- 2010 Guidance - Blueprints Dashboard			19	Geospatial Blueprint Control Update 2010 Process – Where Are We	
January	16	- System Enterprise-Wide DME - 2010 Target Approach	17	- Infrastructure Enterprise-Wide DME - 2010 Target Approach			
February					20	- Enterprise-Wide DME - Existing Enterprise Initiative Update (Direct Bill Forecasts) - Target Approach - FBMS Update - IMARS Update - Maximo Update - Revisit Blueprint Records of Decisions <i>Note: IRB members must identify Bureau/Office scoring representative by the February 20 meeting.</i>	
March	12	Overview of Systems Portfolio	13	Overview of Infrastructure Portfolio	26	In-Target Portfolio	
			20	Regular ITMC Mtg			
	19	Systems Portfolio Decisions	20	Infrastructure Portfolio Decisions			
			21	Infrastructure Portfolio Decisions			

Attachment A: 2010 Portfolio Development Governance Overview

OBJECTIVES VIEW	E-Gov Team		ITMC		IRB	
April					2	Over-Target Prioritization
May					14	- ReBaseline Requests - Portfolio Performance Update
June					18	- Budget Submission Differences (Focus on WCF)
July						
August			21	- Consolidated Infrastructure 300 Approval	20	- Secretary Passback Updates - Portfolio Performance Update
September					17	- 2011 Process Planning
POC:	Larry Warren 202-208-4109 lwarren@ios.doi.gov		Marietta Allen 202-208-6077 Marietta_Allen@ios.doi.gov		Larry Warren 202-208-4109 lwarren@ios.doi.gov	

Attachment B: 2010 Portfolio Submission Guidance

Part I - Overview:

Each year, the Department of the Interior Investment Review Board (IRB) reviews investment funding requests and develops a recommended information technology portfolio for use in budget decisions. **The preliminary planning target for the information technology portfolio is 2% below FY 2009 levels.** The purpose of this guidance is to document the data submission requirements for the Budget Year 2010 portfolio development process.

The remainder of this guidance consists of:

- Part II - Bureau/Office Submission Requirements
- Part III - Enterprise-Wide Investment Submission Requirements
- Part IV – 2010 Budget Request Guidance

Training on this submission guidance will be provided to Capital Planning Working Team members in November 2007. Additional training can be provided to Bureaus/Offices on an as-needed basis. Any questions regarding this guidance should be referred to Mary Pletcher (202-513-0793, mary_pletcher@ios.doi.gov).

Part II – Bureau/Office Submission Requirements:

Bureau/Office submissions are due on **February 25, 2008**. Bureau/Office IRBs are expected to review the 2010 budget requests prior to the submission. A Bureau/Office submission consists of the following:

- Requirement 1: 2010 Portfolios (Created in eCPIC)
- Requirement 2: Overview of Bureau/Office Portfolio (Powerpoint Presentation)
- Requirement 3: 2010 Budget Requests

A description of each of these submission requirements follows.

Requirement 1: 2010 Portfolios

In order to ensure that all Bureau/Office IT investments are reviewed and considered for funding, Bureaus/Offices are expected to create 2010 portfolios within eCPIC. Three separate portfolios must be created:

- 1) **Systems Portfolio:** All major and non-major business systems/application investments. In relation to the Exhibit 53, this portfolio will consist of the Bureau/Office Part I and Part IV investments.
- 2) **Infrastructure and Planning Portfolio:** All Bureau/Office-specific infrastructure (Part II) and planning (Part III) investments.
- 3) **Contribution Portfolio:** This portfolio is for all contributions for Enterprise-Wide investments. This portfolio includes the following:
 - a. Consolidated Business Case Contributions (e.g., FBMS, Facility Management System/Maximo, Enterprise Architecture, Capital Planning)
 - b. System Direct Bill/Variable Investments (e.g., FFS, Quicktime, FPPS)
 - c. Infrastructure Direct Bill/Variable Investments (e.g., ESN, Oracle License, Symantec, GSA HSPD-12 implementation)

System and Infrastructure Direct Bill/Variable estimates will be distributed to Bureaus/Offices by **February 11, 2008**.

Requirement 2: Overview of Bureau/Office Portfolio (Powerpoint Presentation)

Each Bureau/Office must submit a Powerpoint Presentation that provides an overview of the Bureau/Office portfolio. The presentation will be used by OCIO-PMD in formulating recommendations to the eGov Team, ITMC and IRB. The presentation will also be provided to the appropriate Budget personnel to further align the CPIC and budgeting process. The presentation should answer the following questions:

- 1) **Overview of portfolio priorities**
 - a. **Is the Portfolio 2% below 2009 levels?**
 - b. **What increases were funded within the -2% cap?**

Attachment B: 2010 Portfolio Submission Guidance

- c. **If the portfolio exceeds this level, what investments are “above the cap?”**
- d. **Which “above the cap” investments are most important? What is the prioritization?**
- 2) **Portfolio mix**
 - a. **Systems versus Infrastructure/Planning**
 - b. **Bureau-specific investments versus Enterprise-Wide contributions**
 - c. **DME versus Steady-State**
- 3) **Strategic drivers**
 - a. **What selection criterion was used to formulate the portfolio?**
 - b. **Are there any new investments that are being funded? What are the drivers for these new investments?**
 - c. **How does the portfolio ensure that customers’ needs are met?**
 - d. **Does the portfolio reflect the implementation of any cost containment strategies?**

A Powerpoint template will be provided to each Bureau/Office IRB member and Capital Planner. Bureaus/Offices may modify the template but should ensure that the questions are adequately answered. The template is also intended to assist the Bureau/Offices in preparing for their Bureau/Office portfolio development IRB meetings.

The presentation must be provided electronically to Mary Pletcher, mary_pletcher@ios.doi.gov, by **February 25, 2008**.

Attachment B: 2010 Portfolio Submission Guidance

Requirement 3: 2010 Budget Requests

All investments (Major, Non-major, Bureau Contributions, and Infrastructure) must complete the 2010 Budget Request form in eCPIC by **February 25, 2007**. However, the sections that must be completed depend on the type of investment.

The following matrix outlines the submission requirements for Bureau Investments.

Type of Investment	Section 1: Funding Information	Section 2: Funding Change Information	Section 3: Description	Section 4: Justification
Investments with Significant D/M/E (> \$ 1M)	X	X	X	X
Major System Investments (<i>without Significant D/M/E</i>)	X	X	X	
Non-Major System Investments (<i>without Significant D/M/E</i>)	X	X	X	
Bureau Specific Infrastructure and Planning Investments (<i>without Significant D/M/E</i>)	X	X	X	
Bureau Contributions <ul style="list-style-type: none"> - System Direct Bill/Variable Investments (e.g., FFS, Quicktime, FPPS) - Consolidated Business Case Contributions (e.g., FBMS, Facility Management System/Maximo, Enterprise Architecture, Capital Planning) - Infrastructure Direct Bill/Variable Investments (e.g., ESN, Oracle License, Symantec, GSA HSPD-12 implementation) 	X	X		

Guidance regarding completion of the 2010 Budget Request form can be found in Part IV of this document.

Attachment B: 2010 Portfolio Submission Guidance

Part III – Enterprise-Wide Investment Submission Requirements

All Enterprise-Wide investments are expected to complete 2010 Budget Requests. Guidance regarding the 2010 Budget Request can be found in Part IV of this document.

The following matrix outlines the submission requirements for Enterprise-Wide Investment:

Type of Investment	Section 1: Funding Information	Section 2: Funding Change Information	Section 3: Description	Section 4: Justification	Date Due
Investments with D/M/E	X	X	X	X	Enterprise-wide investments with <u>D/M/E</u> requests must complete their <i>draft</i> 2010 Budget Request in eCPIC by January 7, 2008 . Investment owners should notify Roberta Heintz (NBC) and/or Mary Pletcher (OCIO-PMD) that their budget request has been completed.
Steady-State Investments	X	X	X		All enterprise-wide investments requesting steady-state funding must complete their 2010 Budget Request in eCPIC by February 4, 2008 .

In addition to completion of the 2010 Budget Request document, enterprise-wide investments with direct bills/variable costs must provide an initial projection of the costs by Bureau/Office for 2008-2010 by **February 4, 2008**.

Attachment B: 2010 Portfolio Submission Guidance

Part IV – 2010 Budget Request Guidance

The 2010 Budget Request form consists of four sections:

- 1) Funding Information
- 2) Funding Change Information (Comparison to the Exhibit 53)
- 3) Description
- 4) Justification

Section 1: Funding Information

This section consists of the following information:

- **Summary of Spending:** Provide estimates through FY 2016 for contractor and government costs. Government FTE costs must include salaries and benefits.
- **Funding Source Table:** Provide a funding source code for all funding contained (contractor and government costs) in the Summary of Spending.
- **Government FTE Table:** Indicate the *number* of FTEs that are included as part of the government costs contained in the Summary of Spending Table.
- **Component Breakdown for 2010:** Provide the percentage hardware, software, and services for the 2010 funding request. Government FTE costs should not be reflected.
- **C&A Status:** Indicate whether all systems associated with the investment have been Certified and Accredited.
- **% IT Security:** Indicate the percentage of the 2010 funding request that is associated with IT security.
- **Assumptions:** Provide a list of key assumptions that were used in developing the FY 2010 requests.

Section 2: Funding Change Information

The purpose of this section is to capture funding changes that have occurred since the December 2007 Exhibit 53 submission. Investment owners should indicate:

- **Whether FY 2008 or FY 2009 funding levels have changed:** Complete the yes/no fields.
- **Amount of Funding Change:** Enter the exact dollar amount of the funding change. Do not round to thousands or millions.
- **Funding Change Explanation:** Document the rationale for the funding change.

Section 3: Description

The purpose of this section is to provide a brief overview of the investment. This section consists of the following information:

- **Description:** Provide a brief overview of the investment. Indicate the mission/program that is supported and the performance gap that is closed as a result of the investment.
- **Description of Planned D/M/E:** If D/M/E is requested for FY 2008, FY 2009, or FY 2010, provide a brief description of the scope effort. Indicate the performance improvements that will be achieved.
- **5-Year Plan for Investment:** Describe the long-term outlook for the investment. Will this investment still exist in

Attachment B: 2010 Portfolio Submission Guidance

five-years? What system(s) will be enhanced/modernized in the next 5 years? What system(s) will be retired? Will enhancement and modernization activities be required? Will system(s) that are part of this investment be retired within the next five years?

- **Impact if Full Funding is not Received:** What are the impacts if this investment does not receive full funding in FY 2009? What activities must be stopped or scaled back?
- **DME Approval:** - If D/M/E is proposed for this investment, has your Bureau/Office Chief Architect (for Bureau/Office investments) or DOI Chief Architect (for enterprise-wide investments) reviewed and approved the proposed development? All D/M/E efforts should be done in accordance with the Enterprise Architecture of the Department and Bureau. As such, D/M/E efforts should be approved by the appropriate Chief Architect to ensure architectural compliance. This is a yes/no field on the form.

Section 4: Justification

The purpose of this section is to provide the appropriate information to enable scoring of this investment. Only Bureau investments with Significant D/M/E and Enterprise-Wide investments with D/M/E (regardless of amount) will be required to complete this section. **The questions should be answered focusing on the value of the proposed D/M/E.** The following questions must be answered:

- **How does this investment support Mission Critical Activities?** Describe the impact to mission/programmatic delivery if D/M/E funding is not provided. What is the impact if the investment is delayed until the next budget cycle?
- **How does this investment support the President's Management Agenda and Performance Assessment Rating Tool?** Describe how this investment supports the PMA or PART. It is important to clearly describe any direct linkages to PMA or PART.
- **How does this investment support the implementation of the DOI GPRA Strategic Plan?** Indicate the specific intermediate and outcome goals that this investment supports. Clearly describe the impact to achievement of these goals if D/M/E funding is not provided.
- **Who is the Executive Sponsor for the Investment?** Indicate the name and title of the Executive Sponsor for the investment.
- **Describe the senior level interest in the investment and the Congress?** Indicate if the investment is mandated by Congress, the Judiciary, OMB, or DOI. Clearly describe the specific mandate. In addition, indicate the level of executive support for this investment. Indicate if the investment has :
 - Bureau/Office-level executive sponsorship and oversight
 - Documented Bureau/Office Deputy Director (or higher) sponsorship
 - Department-level executive sponsorship
- **Describe how the D/M/E efforts will provide value to external customers:** Describe whether external customer service will be improved, how the service will be improved, and the expected number of customers impacted. Quantify the expected performance improvements.
- **Describe how the D/M/E efforts will provide value to internal customers:** Describe whether external customer service will be improved, how the service will be improved, and the expected number of customers impacted. Quantify the expected performance improvements.
- **Has adequate enterprise architecture analysis been performed relative to this investment?** Specify whether the investment is part of a modernization blueprint (in process or completed). If the investment is part of a modernization blueprint, indicate the specific recommendations that the D/M/E will support. If this investment is not part of a modernization blueprint, describe any architectural analysis that has been undertaken.
- **Alternatives Analysis:** Indicate whether an alternatives analysis has been completed for this investment. If an analysis has been completed, it must be posted in the eCPIC resource library.

Attachment B: 2010 Portfolio Submission Guidance

- **Quantitative Benefits**: Describe the quantitative benefits that will be achieved through implementation of this investment.
- **Strength of Return**: Indicate whether this investment will result in direct cost reductions or is comprised principally of cost avoidance. Specify the amount of direct cost reductions and the percentage of cost return (for example, investment will result in 50-75% direct cost reductions within a business line).
- **Estimated Payback Period**: Indicate the point of time when the Return on Investment will equal the cost. Specific whether the payback period is 1) Greater than 36 months; 2) 30-36 months; 3) 24-30 months; 4) 18-24 months; 5) 18 months or less.
- **Describe the Complexity of the D/M/E**: Discuss whether modular development will be used, whether the D/M/E will use COTS or custom development, and the extent of customization required (if COTS is planned).
- **Describe the Planned Technology**: Indicate the proposed technology (if known). Indicate whether the proposed technology is already used by this investment, other investments within the Bureau/Office or Department-wide.
- **Describe the Management Capability**: Indicate whether a Project Manager has been identified for the D/M/E effort. Describe the Project Manager and organization's experience in managing similar projects. Describe the level of organizational support for the investment - is this investment highly supported by the affected user community?

Attachment C: FY 2008 Control Requirements

I. Overview

All investments must be appropriately managed to ensure expected performance and results are achieved. Both the Department and Bureaus/Offices share responsibilities for managing investment performance. To this extent, the Office of the Chief Information Officer – Portfolio Management Division is currently in the process of developing a “Federated Portfolio Management” directive that clearly delineates Bureau/Office and Department portfolio management roles and responsibilities. The directive will be issued for a formal 30-day comment period before the end of the FY 2008 1st Quarter. *The FY 2008 Control Requirements are consistent with the direction of the Federated Portfolio Management directive.*

This guidance document consists of three sections:

- II: ITIM Maturity Self-Reporting Requirements (applies to Bureaus/Offices)
- III: Bureau/Office Control Reporting Requirements
- IV: Enterprise-Wide Control Reporting Requirements

II: ITIM Maturity Self-Reporting Requirements

There are no changes to the format of the Information Technology Investment Management (ITIM) Maturity Self-Assessment. Bureaus/Offices are expected to report their progress in achieving ITIM maturity on a quarterly basis. In accordance with DOI’s GPRA Strategic Goals and as documented in the OCIO E-Gov Investment Management Scorecard requirements, all Bureaus/Offices are expected to implement 100% of ITIM Stage 3 practices by the end of FY 2008. Bureaus/Offices must submit their ITIM Maturity self-assessment to Jimmy Jones (james_jones@ios.doi.gov) according to the following schedule:

<u>Timeframe</u>	<u>Self-Assessment Reporting Deadline</u>
FY 2008 – 1 st Quarter	January 31, 2008
FY 2008 – 2 nd Quarter	April 30, 2008
FY 2008 – 3 rd Quarter	July 31, 2008
FY 2008 – 4 th Quarter	October 31, 2008

Beginning in the second quarter of FY 2008 and continuing into FY 2009, Bureaus/Offices implementation of Stage 3 will be validated during a formal Compliance Review process. More information about the Compliance Review process will be provided in the Federated Model Directive to be issued.

III. Bureau/Office Control Reporting Requirements

Bureau/Offices will be expected to submit a single Control Report for their Bureau/Office on a quarterly basis. In FY 2008, Bureaus/Offices will not be expected to submit their performance baselines for their major investments to OCIO-PMD. Instead, Bureaus/Offices will have responsibility for collecting, reviewing and managing their major investment performance baselines. Variance and baseline change information will be reported to OCIO-PMD on a quarterly basis. The Bureau/Office Control Report should be submitted to Jimmy Jones (james_jones@ios.doi.gov) according to the following schedule:

<u>Timeframe</u>	<u>Control Reporting Deadline</u>
FY 2008 – 1 st Quarter	January 31, 2008
FY 2008 – 2 nd Quarter	April 30, 2008
FY 2008 – 3 rd Quarter	July 31, 2008
FY 2008 – 4 th Quarter	October 31, 2008

Each Bureau/Office Capital Planner will be provided a Control Reporting template composed of two parts:

- Part One: Investments Reporting Quarterly
- Part Two: Investments Reporting Monthly

Part One: Investments Reporting Quarterly

Attachment C: FY 2008 Control Requirements

All Bureau/Office major investments should be submitting their performance baselines to their respective Bureau/Offices on at least a quarterly basis. Note, this is a minimum reporting requirement. Bureaus/Offices are not prohibited from requiring more frequent reporting for their major investments. For each major investment that must report quarterly, the Bureau/Office will be expected to report the following information:

- Cost Variance
- Schedule Variance
- Whether there was any change to the performance baseline (planned start dates, end dates or planned cost)
- Whether the baseline change exceeded 10% (Cost Estimates Decreased/Increased by more than 10% AND/OR Schedule was Decreased/Increased by more than 10%)
- If the baseline change exceeded 10%, the date of the Bureau IRB approval (*Note: the corresponding record of decision must be posted in eCPIC*).

An example of Part One is shown below.

Bureau **XYZ**

Part One: Investments Reporting Quarterly

Name of Investment	Date of Last Operational Analysis or PIR (Must be posted in eCPIC)	Oct. - Dec. Variances				
		Cost Variance	Schedule Variance	Did Baseline Change?	Did Change Exceed 10%*	If Change Exceeded 10%, Date of Bureau IRB Approval (ROD must be posted in eCPIC)
XYZ - HR System						
XYZ - Finance System						
XYZ - Mission System						
XYZ - Mission System						
XYZ - Mission System						

Part Two: Investments Reporting Monthly

Significant Development investments are still required to submit monthly performance baseline updates. However, these updates will be provided to the Bureau/Office instead of OCIO-PMD. Bureau/Offices will report to OCIO-PMD on a quarterly basis.

The following Bureau/Office investments are considered Significant Development for FY 2008:

- BIA - Protrac
- BLM - EPlanning
- MMS - OCS Connect
- MMS - MRMSS
- NPS - National Fee Collection Point of Sale System
- USGS - ANSS
- USGS - LDCM
- USGS - National Map Reengineering Project

An example of the Part II report is shown below.

Attachment C: FY 2008 Control Requirements

Bureau XYZ

Part Two: Significant Development Investments

Name of Investment	Oct - Dec Variances						Did Baseline Change?	Date of Change	Did Change Exceed 10%*	If Change Exceeded 10%, Date of Bureau IRB Approval (ROD must be posted in eCPIC)
	Oct. Cost Variance	Oct. Schedule Variance	Nov. Cost Variance	Nov. Schedule Variance	Dec. Cost Variance	Dec. Schedule Variance				
XYZ - Sign DME Inv # 1										
XYZ - Sign DME Inv # 2										

* Cost Estimates Decreased/Increased by more than 10% AND/OR Schedule was Decreased/Increased by more than 10%

Investments with cost and/or schedule variances exceeding -10% may be subject to a Project Review led by the OCIO. In addition, OCIO will review any baseline changes exceeding 10% after Bureau IRB approval. After OCIO review is completed, OMB will be notified of the baseline change (in compliance with OMB Circular A-11 Exhibit 300 requirements).

Attachment C: FY 2008 Control Requirements

IV. Enterprise-Wide Investment Reporting Requirements

Unlike Bureau/Office managed investments, Enterprise-Wide major investments are still required to submit their performance baselines with actuals. The following investments are considered Enterprise-Wide investments that are subject to the reporting requirements outlined within this section.

Investment Name	Reporting Frequency
DOI - CFS	Quarterly
DOI - Electronic Records Management	Monthly
DOI - Facility Management System (Maximo)	Monthly
DOI - Federal Financial System	Quarterly
DOI - FBMS	Monthly
DOI - IMARS	Monthly
DOI - IDEAS	Quarterly
DOI - NFPORS	Quarterly
E-DOI - Geo One-Stop	Quarterly
E-DOI - Geo LoB	Quarterly
E-DOI - NBC FM LoB	Quarterly
E-DOI - NBC HR LoB	Monthly
E-DOI - eTravel Migration	Monthly

Performance baselines are to be submitted to James Jones (james_jones@ios.doi.gov) in accordance with the following schedules:

Investments Reporting Quarterly

<u>Timeframe</u>	<u>Control Reporting Deadline</u>
FY 2008 - 1 st Quarter	January 18, 2008
FY 2008 - 2 nd Quarter	April 18, 2008
FY 2008 - 3 rd Quarter	July 18, 2008
FY 2008 - 4 th Quarter	October 20, 2008

Attachment C: FY 2008 Control Requirements

Investments Reporting Monthly

<u>Timeframe</u>	<u>Control Reporting Deadline</u>
October Actuals	November 19, 2007
November Actuals	December 18, 2007
December Actuals	January 18, 2008
January Actuals	February 19, 2008
February Actuals	March 18, 2008
March Actuals	April 18, 2008
April Actuals	May 19, 2008
May Actuals	June 18, 2008
June Actuals	July 18, 2008
July Actuals	August 18, 2008
August Actuals	September 18, 2008
September Actuals	October 20, 2008

Note: Significant development infrastructure investments such as GSA HSPD-12 Implementation, ESN Optimization and Land Mobile Radio will be expected to comply with the reporting requirements of the IT Roadmap.

Performance of Enterprise-Wide Investments will be briefed to the DOI Investment Review Board on a quarterly basis. Enterprise-Wide investments with performance issues may be subject to additional review by the Office of the Chief Information Officer and DOI Investment Review Board.

Attachment D: FY 2008 Calendar

The targeted audience for this attachment are CPIC process stakeholders in order to provide a more comprehensive understanding of submission due dates. For governance board meeting dates, please refer to Attachment A.

Date	Activity	Owner
November 13, 2007	Draft 2008 Directive Released	OCIO-PMD
November 14-15, 2007	Training to Bureau/Office CPIC Coordinators	OCIO-PMD
November 19, 2007	October Actuals Due – Enterprise Wide Investments with Significant D/M/E	Enterprise-wide Investment Owners
Before November 30, 2007	Final 2008 Directive Released	PIO/POB/PAM
November 30, 2007	Correct Known Errors on 2009 Exhibit 53	Bureaus/Offices
December 14, 2007	2009 Exhibit 53 Updates Based on Passback Finalize 2009 Investment Overviews	Bureaus/Offices Enterprise-wide Investment Owners
December 15, 2007	Quarterly High-Risk Reporting to OMB	OCIO-PMD (with input from investment owners, as needed)
December 18, 2007	November Actuals Due – Enterprise Wide Investments with Significant D/M/E	Enterprise-wide Investment Owners
December 21, 2007	Revised 2009 Exhibit 53 Submission	OCIO-PMD/POB
January 7, 2008	2010 Draft Budget Requests due for Enterprise-wide Investments with D/M/E	Enterprise-wide Investment Owners
January 18, 2008	FY 2008 1 st Quarter Baselines Due – Enterprise Wide Investments	Enterprise-wide Investment Owners
January 18, 2007	December Actuals Due – Enterprise Wide Investments with Significant D/M/E	Enterprise-wide Investment Owners
January 31, 2008	FY 2008 1 st Quarter Control Reporting Due <i>ITIM Maturity Self-Assessments Due</i> <i>Bureau/Office Quarterly Control Report Due</i>	Bureau/Offices
February 4, 2008	2010 Budget Requests due for Steady-State Enterprise-wide Investments	Enterprise-wide Investment Owners
February 4, 2008	2010 Direct Bill/Variable Cost Projections by Bureau Due	Enterprise-wide Investment Owners
February 19, 2008	January Actuals Due – Enterprise Wide Investments with Significant D/M/E	Enterprise-wide Investment Owners
February 25, 2008	Bureau/Office 2010 Submissions Due	Bureaus/Offices
February 27-29, 2008	2010 Budget Request Scoring	OCIO-PMD Bureau/Office Reps
March 15, 2008	Quarterly High-Risk Reporting to OMB	OCIO-PMD (with input from investment owners, as needed)
March 18, 2008	February Actuals Due – Enterprise Wide Investments with Significant D/M/E	Enterprise-wide Investment Owners
April 18, 2008	March Actuals Due – Enterprise Wide Investments with Significant D/M/E	Enterprise-wide Investment Owners
April 18, 2008	FY 2008 2 nd Quarter Baselines Due – Enterprise Wide Investments	Enterprise-wide Investment Owners

Attachment D: FY 2008 Calendar

April 30, 2008	FY 2008 2nd Quarter Control Reporting Due ITIM Maturity Self-Assessments Due Bureau/Office Quarterly Control Report Due	Bureau/Offices
May 1, 2008	CPIE Process/Budget Reconciliation Guidance Issued	OCIO-PMD/ POB
May 19, 2008	April Actuals Due – Enterprise Wide Investments with Significant D/M/E	Enterprise-wide Investment Owners
June 2, 2008	2010 Exhibit 300/53 Guidance Issued (Calendar and Solution) Guidance: Note: Assumes OMB release of 99%	OCIO-PMD
June 15, 2008	CPIE/Budget Reconciliation Due to OCIO-PMD	Bureau/Offices
June 15, 2008	Quarterly High-Risk Reporting to OMB	OCIO-PMD (with input from investment owners, as needed)
June 18, 2008	May Actuals Due – Enterprise Wide Investments with Significant D/M/E	Enterprise-wide Investment Owners
July 18, 2008	June Actuals Due – Enterprise Wide Investments with Significant D/M/E	Enterprise-wide Investment Owners
July 18, 2008	FY 2008 3rd Quarter Baselines Due – Enterprise Wide Investments	Enterprise-wide Investment Owners
July 31, 2008	FY 2008 3rd Quarter Control Reporting Due ITIM Maturity Self-Assessments Due Bureau/Office Quarterly Control Report Due	Bureau/Offices
August 4, 2008	2010 Exhibit 300s Completed	Bureau/Offices
August 11, 2008	2010 Exhibit 53 Information Completed	Bureau/Offices
August 18, 2008	2010 Exhibit 300 Comments provided to Investment Owners	OCIO-PMD
August 18, 2008	July Actuals Due – Enterprise Wide Investments with Significant D/M/E	Enterprise-wide Investment Owners
September 2, 2008	eCPIE Lockdown for 300 and 53 Generation/Submission	OCIO-PMD
September 8, 2008	2010 Exhibit 300/53 Submission	OCIO-PMD/POB
September 15, 2008	Quarterly High-Risk Reporting to OMB	OCIO-PMD (with input from investment owners, as needed)
September 18, 2008	August Actuals Due – Enterprise Wide Investments with Significant D/M/E	Enterprise-wide Investment Owners
October 20, 2008	September Actuals Due – Enterprise Wide Investments with Significant D/M/E	Enterprise-wide Investment Owners
October 20, 2008	FY 2008 4th Quarter Baselines Due – Enterprise Wide Investments	Enterprise-wide Investment Owners
October 31, 2008	FY 2008 4th Quarter Control Reporting Due ITIM Maturity Self-Assessments Due Bureau/Office Quarterly Control Report Due	Bureau/Offices