



# United States Department of the Interior

OFFICE OF THE SECRETARY  
Washington, D.C. 20240

OCIO Directive 2006-018

To: Assistant Secretaries  
Deputy Assistant Secretaries  
Heads of Bureaus and Offices

From: W. Hord Tipton *for Marcetta Allen*  
Chief Information Officer

Pamela K. Haze *Pam Haze*  
Co-Director of Budget

Paul Hoffman *Paul Hoff* NOV 21 2006  
Deputy Assistant Secretary Performance, Accountability and  
Human Resources

Subject: Information Technology Capital Planning and Investment Control  
Schedule for Fiscal Year 2009

## Purpose:

This directive issues the Information Technology (IT) Capital Planning and Investment Control (CPIC) schedule of activities leading to the development of the Fiscal Year (FY) 2009 IT portfolio and budget submission.

## Background:

CPIC is the Department's primary process for (1) making decisions about which IT initiatives and systems the Department should invest, and (2) creating and analyzing the associated rationale for these investments to ensure DOI's investments in IT are sound, cost-effective, and support the mission and business goals of the Department. All IT investments must be in alignment with the Interior Enterprise Architecture (EA) and support the Department's E-Government strategy and goals. The CPIC process is closely integrated with the Department's budget process to ensure IT investment decisions improve budget decision making.

## Requirement:

The Information Technology Management Reform Act of 1996 (Clinger Cohen Act) requires the Department's Chief Information Officer to ensure that information technology is acquired and information resources are managed for the agency in a manner that implements the policies and

procures of the Act. This directive provides the schedule of activities and associated responsibilities for developing the FY 2009 IT portfolio. Specific guidance on the requirements for proposing new investments and updating the resource requirements for ongoing investments may be found in the Department's IT CPIC Guide at [http://www.myinterior.doi.net/ocio/cpic/DOI CPIC Guide v3.1.doc](http://www.myinterior.doi.net/ocio/cpic/DOI%20CPIC%20Guide%20v3.1.doc)

An enhancement to this year's schedule is delineating individual portfolio development responsibilities of the Information Technology Management Council (ITMC) and the E-Gov team. In developing the 2009 portfolio, the ITMC is responsible for adhering to the schedule and tasks required to develop IT infrastructure recommendations to the Departmental IRB in April 2007. The E-Gov team is similarly responsible for adhering to the schedule and tasks required to develop the mission/systems portfolio recommendations to the Departmental IRB in April 2007. In April 2007, the Departmental IRB shall develop a proposed IT portfolio considering the ITMC and E-Gov team's recommendations.

**Contact:**

Questions on this directive may be referred to Larry Warren, Office of the Chief Information Officer at (202) 208-4109.

**Attachments**

cc: Deputy Assistant Secretary, Business Management and Wildland Fire  
Bureau and Office Chief Information Officers  
Bureau Capital Planning Coordinators  
Bureau Acquisition Manager  
Bureau Budget Officers  
DOI Investment Review Board Members

Governance View

	October 2006	November 2006	December 2006	January 2007	February 2007	March 2007	April 2007	May 2007	June 2007	July 2007	August 2007	September 2007
IRB		Nov 15 FY 07 Roles and Schedule Portfolio Performance FY 07 Budget Changes Review Blueprints		Jan 10 Review Blueprints	Feb 7 Review Blueprints Review Enterprise initiative status Review of portfolio performance		◆ April 6 Portfolio Developer (In-Target Portfolio and Over-Target Requests)				Aug 17 Review of portfolio changes to based on Secretary decisions review of baseline changes and performance update	
ITMC			Dec 14 Define Infrastructure Categories and Object Classes Define criteria	Jan 17 Discuss priorities Finalize criteria	Feb 28 Review Mission Needs Statement Vote on Priorities	Mar 14 and 28 Vote on MNS Develop Infrastructure Portfolio		May 16 Review of Infrastructure Portfolio Performance				
eGov			Dec 13 Define scoring criteria	Jan 24 Discuss priorities Finalize criteria	Feb 2 Review Mission Needs Statement Vote on Priorities	Mar 7 and 21 Vote on MNS Develop Systems Portfolio		May 9 Review of System Portfolio Performance				
Budget		◆ Nov 27-30 Passback and Appeals ◆ Dec 28 Exhibit 5: Due		◆	Out-year Targets Identified		◆ Budget Guidance Issued	◆ May 11 Bureau Budgets Submitted		◆ July 9 Initial POE Budget Recommendation Presented	◆ Secretary Budget Decisions	◆ Sept 10 Budget Submitted to OMB

Challenges

- 1) IRB expected to make a recommendation regarding a \$90CM+ portfolio in one or two meetings
- 2) IRB Board size hampers ability to conduct in-depth review of the portfolio
- 3) Decision-makers need to be provided with the right kind of data to make decisions
- 4) Improve leveraging Enterprise Architecture to drive investment decisions
- 5) IRB recommendations need to drive budget guidance on IT
- 6) Insufficient/inconsistent information on infrastructure hampers decision-making

v5 - 30 Oct

Proposed Solutions

- 1) Breakdown portfolio into components eGov team to review systems portfolio (Part I and 4). ITMC to review infrastructure and planning portfolio (Part 2 and 3)
- 2) Provide members an opportunity to discuss and vote on priorities prior to reviewing mission needs statements
- 3) Provide members an opportunity to define scoring criteria for new investments and ongoing investments
- 4) Give members an opportunity to think about decisions - remove on-the-spot pressure
- 5) Define meaningful infrastructure categories and object classes for classifying infrastructure spending Use categories/object classes to capture funding requests to ensure greater consistency and transparency
- 6) Provide in-depth EA blueprint information to IRB with sufficient lead time to be used in priority setting and MNS reviews

Scoring Criteria Assumptions

- 1) Scoring criteria should not be applied to all projects - different criteria for on-going investments versus new investments (documented in Mission Needs Statements)
- 2) On-going investment considerations
  - Health
  - Value/Expectations Achievement
  - Enterprise Architecture Alignment/Life-cycle management
  - Security
- 3) New investments - Different criteria for systems versus infrastructure

Blueprint Review and Approval

- Nov Financial Mgmt HR - briefing
- Jan Financial Mgmt HR - RODs  
Mgmt Planning/NEPA - briefing
- Feb: Rebaseline Law Enforcement Wildland Fire  
Mgmt Planning/NEPA - ROD
- March Indian Trust - briefings
- April Geospatial Trust - RODs Recreation rebaseline

Select, Control, View	October 2006	November 2006	December 2006	January 2007	February 2007	March 2007	April 2007	May 2007	June 2007	July 2007	August 2007	September 2007
<b>IRB</b>		Nov. 15: FY 07 Roles and Schedule, Portfolio Performance, - FY 07 Budget Changes - Review Blueprints		Jan 10 Review Blueprints	Feb 7 - Review Blueprints - Review Enterprise initiative status - Review of portfolio performance		April 6: Portfolio Developed (In-Target Portfolio Requests)				Aug 17: Review of portfolio changes to based on Secretary decisions, review of baseline changes and performance update	
<b>ITMC</b>			Dec 14 - Define Infrastructure Categories and Object Classes - Define criteria	Jan 17 - Discuss Priorities - Finalize criteria	Feb 28 - Review Mission Needs Statement - Vote on Priorities	Mar 14 and 28 - Vote on MNS - Develop Infrastructure Portfolio		May 16 Review of Infrastructure Portfolio Performance				
<b>eGov</b>			Dec 13 - Define scoring criteria	Jan 24 - Discuss priorities - Finalize criteria	Feb 21 - Review Mission Needs Statement - Vote on Priorities	Mar 7 and 21 - Vote on MNS - Develop Systems Portfolio		May 9 Review of System Portfolio Performance				
<b>Select</b>	FY 2009 Select Planning	Enterprise initiative Expectations (POB/PMD Facilitated)	Dec 1: CPIC Select Guidance Issued	Jan 31 Mission Needs Sims Due Jan 31 Bureau Contribution Forms Due (Enterprise Initiatives)	Feb 20: Select Submissions Due	Mar 28: Infrastructure Portfolio Recommendation Mar 21: System Portfolio Recommendation	April 6: Portfolio Developed (In-Target Portfolio and Over-Target Requests)			July 17: Exhibit 300s Due	Aug 7: 300s Locks Provided to Project Mgrs Aug 31: eCPIC Locked Down	Sept 10: Exhibit 300s and Exhibit 53 submitted to OMB
<b>Control</b>	Oct 16: Quarterly Reporting Due	Nov 15: Monthly Reporting Due	Dec 15: Monthly Reporting Due	Jan 16: Quarterly Reporting Due	Feb 15: Monthly Reporting Due	Mar 15: Monthly Reporting Due	Apr 16: Quarterly Reporting Due	May 15: Monthly Reporting Due	June 15: Monthly Reporting Due	Jul 16: Quarterly Reporting Due	Aug 15: Monthly Reporting Due	Sep 17: Monthly Reporting Due
	Results	Results	Results	Results	Results	Results	Results	Results	Results	Results	Results	Results
	Investment Review Notification	Investment Review Notification	Investment Review	Investment Review Notification	Investment Review	Investment Review	Investment Review	Investment Review Notification	Investment Review	Investment Review	Investment Review Notification	Investment Review
<b>Budget</b>		Nov 27-30: Passback and Appeals Dec 28: Exhibit 53 Due			Out-year Targets Identified		Budget Guidance Issued	May 11: Bureau Budgets Submitted		July 9: Initial POB Budget Recommendation Presented	Secretary Budget Decisions	Sept 10: Budget Submitted to OMB