U.S. Department of the Interior
Federal Information Technology
Acquisition Reform Act
Common Baseline and Implementation Plan

Version 2.0
November 13, 2015

TABLE OF CONTENTS

INTRODUCTION

This Implementation Plan represents the U.S Department of the Interior's (DOI) commitment to implement the Office of Management and Budget's (OMB) Federal Information Technology Acquisition Reform Act (FITARA) Common Baseline.

The following principles are core to the Common Baseline:

- **Strengthening the role of the Chief Information Officer (CIO):** Enable the DOI CIO's role in the development, integration, delivery, operations and retirement of any type of IT, IT service, or information product to integrate with the capabilities they support wherever IT affects functions, missions, or operations. Strengthen the DOI CIO's accountability for the agency's IT costs, schedule, performance, and security, and strengthen the relationship between the DOI CIO and Bureau IT leaders.

- **Providing transparency on the management and governance of IT resources across DOI and its programs:** Establish management practices that align IT resources with DOI's missions, goals, programmatic priorities, and statutory requirements. Provide appropriate visibility and involvement of the DOI CIO in the management and oversight of IT resources across the Department to support the successful implementation of cyber security policies to prevent interruption or exploitation of program services.

FITARA Implementation Team

DOI established a FITARA Implementation Team (FIT) to guide the implementation of the FITARA Common Baseline standards throughout DOI. The Common Baseline describes the roles and responsibilities of the CIO and other Departmental officials to optimize IT management across the organization. The FIT engages these key officials in the implementation process:

- **Chief Information Officer (CIO) -** provides vision, strategy, and guidance for IT investments and programs across the Department. Reports directly to the Secretary and receives management guidance from the Deputy Secretary as the Department's Chief Operating Officer (COO), and administrative guidance and support from the Assistant Secretary – Policy, Management and Budget (A/S – PMB) and the Deputy Assistant Secretary for Technology, Information and Business Services (DAS – TIBS).

- **Chief of Staff for the Office of Policy, Management and Budget (COS PMB) –** supports the A/S – PMB by overseeing the functions, operations, and personnel within the Office of Policy, Management and Budget (PMB). The A/S – PMB is the Department's Chief Financial Officer (CFO) and Chief Acquisition Officer (CAO).

- **Deputy Assistant Secretary - Budget, Finance, Performance and Acquisition (DAS-BFPA) –** provides leadership and executive oversight for the Office of Budget, the Office of Financial Management, the Office of Planning and Performance Management, the Office of Acquisition and Property Management (whose Director is

DOI's Senior Procurement Executive (SPE)), and the Office of Small and Disadvantaged Business Utilization. The Director of the Office of Acquisition and Property Management (the SPE) and the DOI Budget Director report to the DAS-BFPA.

- **Deputy Assistant Secretary - Human Capital and Diversity (DAS-HCD)/Chief Human Capital Officer (CHCO) -** provides leadership and executive oversight for the Department's Human Capital programs including human resources, civil rights, youth partnerships and service, employee and organizational development, and occupational safety and health.

- **Deputy Assistant Secretary - Technology, Information and Business Services (DAS-TIBS) –** provides leadership and executive oversight for the Department's Offices of Collaborative Action and Dispute Resolution, Hearings and Appeals, Facilities and Administrative Services, Valuation Services, and the Interior Business Center. The DAS-TIBS provides administrative guidance and support to the CIO, in close coordination with the Secretary, Deputy Secretary, and A/S – PMB.

- **Deputy Solicitor for General Law –** provides legal counsel and representation to the Secretary, the Assistant Secretaries, and the Bureau Directors, in support of the Deputy Solicitor and the Solicitor.

The FIT is leading the DOI implementation of the FITARA Common Baseline. The Secretary and Deputy Secretary approve major policy changes recommended by the FIT. As senior leaders in the Department, the FIT works collaboratively to develop Department-wide policies and procedures that address systemic issues within the budget, finance, human capital, and information technology communities. Through working sessions and recurring meetings, the FIT identifies and develops integration points to equip and empower the CIO with the information, access, and authority needed to make informed decisions.

As leaders over their respective communities, the FIT members are building effective channels of communication needed to manage the changes that will result from implementing FITARA-related policies and processes. The CIO has developed strong working relationships with FIT members, the A/S – PMB, who is the Department's CFO and CAO, as well as bureau/office Directors, Deputy Directors and their Assistant Directors for Information Resources (ADIR). The CIO has the support of the Secretary and Deputy Secretary, and is positioned to be the lead decision-maker for IT planning, programming, and budgeting decisions across the Department.

Background and Path Forward
FITARA and OMB's guidance support DOI's ongoing IT modernization efforts and cybersecurity goals. In December 2010, Secretarial Order 3309, *Information Technology Management Functions and Establishment of Funding Authorities*, launched DOI's IT Transformation initiative. The initiative introduced significant change to the way bureaus/offices manage information and technology. The Secretarial Order

established a single CIO within DOI, reporting directly to the Secretary. The bureau/office IT leaders became ADIRs. Beginning in 2011, DOI pursued initiatives to eliminate redundancy, strengthen information security, improve IT service delivery, and achieve consistency and cost savings.

Since assuming the role of CIO in August 2014, Sylvia Burns has been working closely with senior leaders in PMB and in the bureaus/offices to consistently engage and align DOI's budget, finance, acquisitions, human resources, and IT communities. This approach is consistent with FITARA's expectation of inclusive senior-level engagement between the CIO and other senior officials. DOI also established a governance body for the Department's IT leadership and instituted processes for planning IT spending and reviewing contract actions.

Fully implementing the FITARA Common Baseline will be challenging, as DOI learned from IT Transformation efforts. DOI is a large, decentralized agency. Over 70,000 employees in more than 2,400 operating locations, including many remote areas, carry out the Department's mission across the United States and its territories. A key lesson from previous IT Transformation efforts is the need for strong, cohesive leadership, transparency in actions and decisions, and clear and consistent communication throughout DOI.
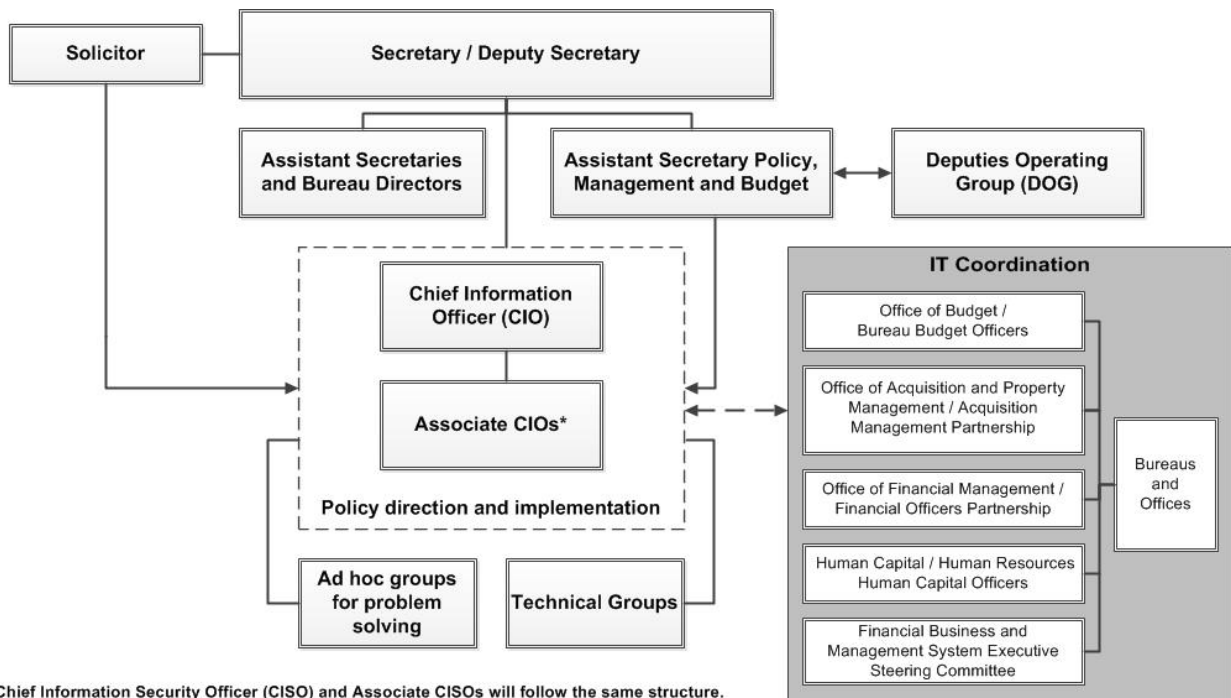
Governance
DOI is implementing a governance structure that engages the CIO in all IT decision-making throughout the Department. The CIO reports to the Secretary and interacts regularly with the Deputy Secretary in his role as the Department's COO. The CIO regularly participates in meetings with the Department's senior leadership, including the Assistant Secretaries, Bureau Directors and Deputy Bureau Directors. The CIO will engage with Departmental and bureau budget, finance, acquisition, and human resources leadership through leadership groups in each of these functional areas. The governance structure also ensures that the CIO is engaged with governing bodies in DOI's key programs. The CIO will engage with program-level leadership and cross-bureau governing bodies on all IT issues. The graphic below illustrates the Department's governance structure.

DOI will implement significant changes to foster the alignment needed to strengthen the role of the CIO in all IT decisions, including those made at the lowest levels of the organization. The Department will establish a position in each bureau/office to lead all IT for that bureau/office. These positions will carry the title of Associate Chief Information Officers (ACIO), and will report to the CIO (as the second line supervisor) and the Deputy Bureau Director (as the first line supervisor). Bureaus/offices will be required to consolidate all IT authority under their ACIO and empower the ACIO to oversee and direct all IT for the bureau/office. The CIO will establish a new CIO Leadership Team comprised of the CIO, her senior leadership team and bureau ACIOs (see graphic below and the area within the dashed box).

The ACIO will serve as the senior leader and adviser over all IT resources within the bureau/office. The ACIO will manage horizontal alignment and coordination of IT

planning, budgeting, acquisition and IT workforce actions within their bureau/office. The direct reporting link between the CIO and the ACIO will ensure that the CIO is engaged in all of these activities, throughout all offices and programs within the Department.

*Chief Information Security Officer (CISO) and Associate CISOs will follow the same structure.

Shared Services
The Department's FITARA implementation will include organizations within the Department that provide shared services, e.g., like the Interior Business Center (IBC). The FIT will ensure that the budget formulation, execution, acquisition, and workforce controls in the Common Baseline are implemented within DOI's shared services organizations. The CIO will be directly involved in IT decisions related to shared services.

The Department will harness the FIT's ability to provide visibility across the functional communities and collectively make informed decisions that impact the entire agency, by formalizing the group's structure and responsibilities. In the long-term, the FIT's members and functions will evolve into a decision-making body for strategic and risk-based decisions such as provisioning shared services and enterprise acquisitions. The new decision-making body, called the Risk Management Board (RMB), will assess and manage risks associated with acquisition of IT and other services.

In addition, the Department will implement a policy to ensure that shared services organizations comply with the customer agency's FITARA policies, including customer agency CIO review of IT acquisitions. For example, when DOI awards an IT acquisition on behalf of another agency, the policy will ensure that the customer agency's IT officials have reviewed the action in accordance with that agency's FITARA policies and procedures.
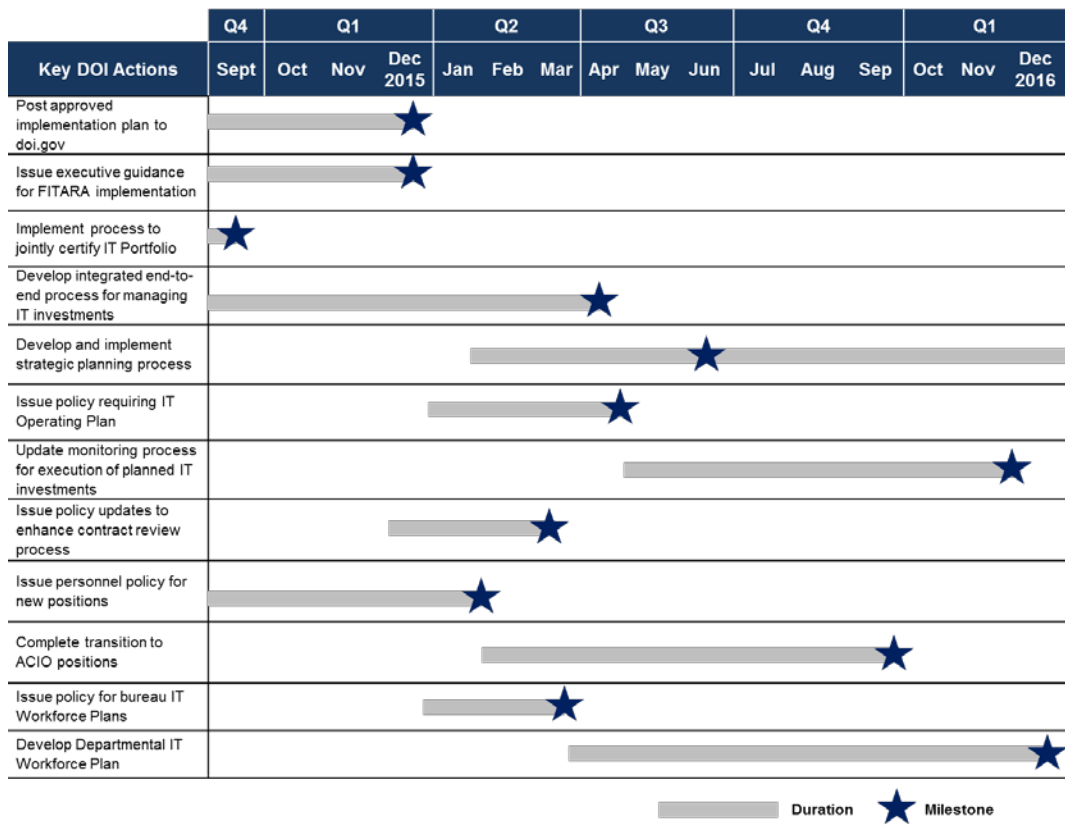
SUMMARY OF KEY ACTIONS

The table below summarizes DOI's key actions to bring the Department into full compliance with FITARA in each management function:

Functional Area	DOI Key Actions
Governance	- Established a FITARA Implementation Team (FIT) with Departmental leadership from across disciplines (IT, human capital, finance, and acquisition) to plan and implement FITARA. - Implementing a governance framework that engages the CIO with the appropriate stakeholders at both the Department and bureau levels in critical IT decisions and plans.
Budget Formulation	- Developing an integrated end-to-end process for managing IT investments through their lifecycle. - Implementing a strategic planning process to identify and communicate the CIO's priorities to bureaus/offices. - Leveraging the capital planning process to ensure that the CIO's priorities inform the budget formulation process. - Implemented a process for the CIO and Budget Director to jointly certify the IT Portfolio as part of the budget submission.
Budget Execution	- Developing policy requiring bureaus/offices to submit an annual IT Operating Plan to the CIO. - Leveraging IT investment management reporting requirements to continually monitor IT investments, to include standardized IT budget execution reporting, comparison of actual costs to planned costs, and performance measurement for IT investments. - Creating a Department-wide RMB to evaluate IT shared services projects and enterprise acquisitions. - Issued a DOI policy requiring that the CIO approve IT reprogramming requests.
Acquisition	- Requiring that the CIO continue to approve all planned IT acquisitions through bureau/office IT Operating Plans. - Create a contract review program for IT acquisitions. The program will be risk-based, with both the CIO and the SPE personally approving the highest-risk acquisitions. - Enhance DOI's acquisition workforce by developing (in coordination with the Federal Acquisition Institute (FAI)) and implementing Government-wide IT competency standards acquisition personnel.

Functional Area	DOI Key Actions
Organization and Workforce	● Establishing bureau/office positions for ACIO, ACISO and APOs with standard position descriptions and performance plans approved by the CIO. The ACIOs will report to the CIO and the Deputy Bureau Director. ● Develop a process for the DOI CIO, CISO, and PO to engage in the selection process and approve bureau/office candidates selected to fill these positions and approve performance ratings for bureau/office staff in these positions. ● Requiring that bureaus/offices consolidate all IT authority under their respective ACIOs to manage IT throughout their bureau/office. With direct performance accountability to the CIO, the CIO's authority will cascade down to the bureau/office ACIOs and subsequently to all bureau components and sub-components across the entire Department. ● Implement new IT Hiring Control Policy requiring bureaus/offices to submit annual IT hiring plans to the DAS-HCD and the CIO, and establishing a Department-wide IT workforce planning process.

Implementation Timeline for Key Actions

Key DOI Actions	Q4	Q1			Q2			Q3			Q4			Q1		
	Sept	Oct	Nov	Dec 2015	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec 2016
Post approved implementation plan to doi.gov				★												
Issue executive guidance for FITARA implementation				★												
Implement process to jointly certify IT Portfolio	★															
Develop integrated end-to-end process for managing IT investments							★									
Develop and implement strategic planning process									★							
Issue policy requiring IT Operating Plan							★									
Update monitoring process for execution of planned IT investments													★			
Issue policy updates to enhance contract review process						★										
Issue personnel policy for new positions					★											
Complete transition to ACIO positions												★				
Issue policy for bureau IT Workforce Plans					★											
Develop Departmental IT Workforce Plan															★	

Duration ━━ Milestone ★

Implementation Plan Approach

This implementation plan describes the key activities the Department will complete to comply with the requirements of FITARA legislation. It is organized functionally as depicted in the "Summary of Common Baseline for IT Management" graphic below from the OMB Memorandum M-15-14, *Management and Oversight of Information Technology*, which provides FITARA implementation guidance to agencies. The functional sections identified in FITARA include: Budget Formulation, Budget Execution, Acquisitions, and Organization and Workforce.

Summary of Common Baseline for IT Management

Using the Common Baseline assessment process, DOI reviewed existing policies and procedures to determine DOI's current level of FITARA compliance and identified gaps. DOI has formulated specific actions to address these gaps.

BUDGET FORMULATION

Visibility of IT resource plans and decisions to CIO and in budget materials

---

Requirements from the Common Baseline:

A1- Visibility of IT resource plans/decisions to CIO. The CFO and CIO jointly shall define the level of detail with which IT resource levels are described distinctly from other resources throughout the planning, programming, and budgeting stages. This should serve as the primary input into the IT capital planning and investment control documents submitted with the budget (formerly Exhibits 53 and 300).

A2- Visibility of IT resource plans/decisions in budget materials. The CFO and CIO jointly shall define the level of detail with which IT resource levels are described as detailed in A1.

The FIT has formed a working group with representatives from OCIO, budget, acquisition, and the Solicitor's Office to analyze the end-to-end process for planning and executing IT investments. This working group is reviewing existing processes for strategic planning, capital planning, preparing budget requests, planning expenditures,

and monitoring IT investments. Based on the as-is assessment and the gaps in that process, the group is developing an integrated, collaborative, end-to-end process for managing IT investments.

This process will begin with the steps that are essential to budget formulation: strategic planning, capital planning, and developing the budget request. The CIO and DAS-BFPA will collaborate to enhance each element of this process with new policies and procedures that will clearly define the CIO's expectations, including defining the level of detail that is expected in describing IT investments.

The CIO will issue guidance at multiple points in the "to-be" process to define expectations. The High-Level Planning Objectives document will detail the results of strategic planning and outline expectations for capital planning. The CIO will create the Joint Planning Document to summarize the results of capital planning to inform bureau/office budget requests. Lastly, the CIO will review and certify all IT budget requests to ensure that these expectations are met.

CIO role in pre-budget submission for programs that include IT and the overall IT portfolio

---

Requirements from the Common Baseline:

B1- CIO role in pre-budget submission for programs that include IT and overall portfolio. The agency head shall ensure the agency-wide budget development process includes the CFO, CAO, and CIO in the planning, programming, and budgeting stages for programs that include IT resources (not just programs that are primarily IT oriented). The agency head, in consultation with the CFO, CIO, and program leadership, shall define the processes by which program leadership works with the CIO to plan an overall portfolio of IT resources that achieve program and business objectives and to develop sound estimates of the necessary IT resources for accomplishing those objectives.

B2- CIO role in pre-budget submission for programs that include IT and overall portfolio. The agency head shall ensure the agency-wide budget development process includes the CFO, CAO, and CIO as described in B1 and that CIO guidelines are applied to the planning of all IT resources during budget formulation. The CFO and program leadership shall work jointly with the CIO to establish the processes and definitions described in B1.

As stated above, DOI is augmenting and enhancing existing planning activities to engage the CIO in all aspects of IT budget formulation. The Department is developing an integrated IT strategic planning and roadmapping process, enhancing the current capital planning process, and ensuring that these processes inform the IT budget submission. The updated processes will emphasize collaboration across key stakeholders (IT, budget, and acquisition) at both the bureau and Departmental levels.

For strategic planning and roadmapping, the Department is implementing a process to

communicate the CIO's strategic priorities, identify and support IT investments that support these priorities, update the enterprise architecture to reflect the "as-is" and "to-be" states with the underlying business, information, application and technology architectures, perform advanced acquisition planning, and create a long-term roadmap to support capital planning decisions. The CIO will engage with all bureaus/offices and with the SPE and the Budget Director in this strategic planning process. The process will result in a High-Level Planning Objectives document, which the CIO will issue to bureaus/offices to guide capital planning and budget formulation.

The CIO and DAS-BFPA will collaborate to develop a more robust strategic planning and roadmapping process during FY 2016. The process will be implemented incrementally with some aspects taking effect in FY 2016 and building on that in FY 2017 and beyond. The responsibility for strategic planning and enterprise roadmapping will not be assigned or delegated below the CIO.

For capital planning, DOI is developing a new process step to ensure that the CIO's priorities are reflected in bureau/office budget requests. Following review of investments that have been submitted by bureaus/offices, the CIO will issue a Joint Planning Document at the outset of the budget submission process. The CIO will approve both major and non-major investments. DOI will implement the Joint Planning Document as part of capital planning for BY 2019.

In FY 2015, DOI instituted new policies and processes for IT budget formulation that required the CIO and DOI's Budget Director to jointly certify DOI's IT Portfolio. DOI's FY 2017 budget submission in September 2015 reflected this new approach. The CIO is and will continue to review and certify all IT spending for the bureaus, not just major investments. The responsibility for certification will not be assigned or delegated below the CIO.

These four processes (strategic planning, roadmapping, capital planning, and budget formulation) establish the beginning of DOI's Integrated Lifecycle Management (ILCM) process. The ILCM process will ensure consistent management and oversight throughout every IT asset's lifecycle (planning to disposition).

CIO role in planning program management

> ***Requirements from the Common Baseline:***
>
> **C1**- CIO role in planning program management. The CIO shall be included in the internal planning processes for how the agency uses IT resources to achieve its objectives. The CIO shall approve the IT components of any plans, through a process defined by the agency head that balances IT investments with other uses of agency funding. This includes CIO involvement with planning for IT resources at all points in their lifecycle, including operations and disposition or migration.
>
> **C2**- CIO role in program management. CIO, CFO, and program leadership shall define an agency-wide process by which the CIO shall advise on all planning described in C1.

The FIT has developed a governance structure to engage the CIO in Department-wide IT planning activities. This structure leverages existing leadership and program groups across the Department. For example, DOI's Deputies Operating Group (DOG) includes senior Departmental leadership and Deputy Bureau Directors for all bureaus/offices. The CIO participates in this group and plays a primary role in any leadership decisions that involve IT.

The CIO will also engage with budget, acquisition, finance and human resources leadership from across all bureaus/offices through leadership groups in each functional area. For example, the Acquisition Manager's Partnership includes the senior contracting official within each bureau and the Senior Procurement Executive. The CIO will engage directly with this group on acquisition IT issues. The decisions and actions of this group flow down across all bureaus/offices into all of the Department's contracting activities. The CIO will play the same role in groups representing budget, finance, and human capital.

The governance structure also ensures that the CIO is engaged with governing bodies in DOI's key programs. The CIO will engage with program-level leadership and cross-bureau governing bodies on all IT issues.

DOI will also establish a Department-wide RMB comprised of DOI senior leaders that will engage the CIO and other key stakeholders in strategic IT decisions such as accepting new IT shared services projects and initiating enterprise IT contract solutions. The RMB process will ensure that these IT projects with potential impact across the Department are assessed and approved by the appropriate stakeholders before they are implemented.

In addition to the governance structure, DOI's ILCM process will involve the CIO in bureau/office program planning. There will be multiple points in the end-to-end planning process where the CIO will engage with bureaus/offices to review and approve their planned IT investments: during the strategic planning process, during the capital planning process, and by certifying all IT budget requests.

CIO reviews and approves the major IT investment portion of the budget request, and the CIO and CFO certify the IT portfolio

> *Requirements from the Common Baseline:*
>
> **D1**- CIO reviews and approves major IT investment portion of budget request. Agency budget justification materials in their initial budget submission to OMB shall include a statement that affirms: – the CIO has reviewed and approves the major IT investments portion of this budget request; – the CFO and CIO jointly affirm that 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 (formerly Exhibit 53) includes appropriate estimates of all IT resources included in the budget request.
>
> **D2**- CIO and CFO Certify IT Portfolio. The CFO shall work with the CIO to establish the affirmations in D1.

In September 2015, the CIO and Budget Director jointly certified the IT Portfolio as part of the internal process to approve DOI's FY 2017 budget submission. This joint certification process, initiated through formal guidance in August 2015, requires the CIO and the Budget Director to review and jointly certify all IT resource priorities in budget requests for the entire Department. The joint certification process begins at the bureau level, with the senior official over both IT and budget at each bureau/office certifying the IT budget request. These requests are then submitted to the Department's CIO and Budget Director to certify the entire request and submit a Joint Certification Statement (JCS) Budget Exhibit to the Office of Management and Budget. This responsibility will not be assigned or delegated below the CIO.

BUDGET EXECUTION

Visibility of IT planned expenditures reporting to the CIO

> *Requirements from the Common Baseline:*
>
> **F1**- Visibility of IT planned expenditure reporting to CIO. The CFO, CAO and CIO shall define agency-wide policy for the level of detail of planned expenditure reporting for all transactions that include IT.
>
> **F2**- Visibility of IT planned expenditure reporting to CIO. The CFO, CAO and CIO shall define agency-wide policy for the level of detail of planned expenditure reporting for all transactions that include IT.

DOI currently has several processes to provide visibility into IT budget execution. However, these processes are focused on planning IT acquisitions and do not provide

adequate visibility into other types of IT spending. DOI will enhance and expand these existing measures to ensure full FITARA compliance.

DOI currently requires bureaus/offices to submit an annual IT Spend Plan that focuses on planned IT acquisitions. The CIO and DAS-BFPA will collaborate to expand this policy. The IT Spend Plan will be renamed the IT Operating Plan. The CIO will require bureaus/offices to develop an annual IT Operating Plan that includes all planned IT acquisition actions and all other aspects of IT spending. The CIO will approve the IT Operating Plan for each bureau/office annually.

The CIO, DOI Budget Director and Director of the DOI Office of Financial Management will issue guidance to standardize IT budget execution reporting and develop a coordinated process to monitor actual expenditures against the IT Operating Plans. The updated IT Operating Plan process will be developed in FY 2016 and implemented for FY 2017. Responsibility for monitoring IT budget expenditures will not be assigned or delegated below the CIO.

The updated process for IT Operating Plans will ensure that the CIO reviews and approves all IT acquisitions. DOI will also enhance existing policies to ensure that planned acquisitions are reviewed prior to award. See the Acquisition section for more details.

CIO defines IT processes and policies

> ### *Requirements from the Common Baseline:*
>
> **G1**- CIO defines IT processes and policies. The CIO defines the development processes, milestones, review gates and the overall policies for all capital planning, enterprise architecture, and project management and reporting for IT resources. At a minimum, these processes shall ensure that the CIO certifies that IT resources are adequately implementing incremental development (as defined in the below definitions). The CIO should ensure that such processes and policies address each category of IT resources appropriately—for example, it may not be appropriate to apply the same process or policy to highly customized mission-specific applications and back office enterprise IT systems depending on the agency environment. These policies shall be posted publicly at agency.gov/digitalstrategy, included as a downloadable dataset in the agency's Public Data Listing, and shared with OMB through the IDC. For more information, see OMB Circular A-130: Management of Information Resources.

The CIO currently has authority over all IT policies and processes. DOI will implement several new policies and procedures to establish standard processes and procedures for IT projects and activities within bureaus and offices. As described in the Budget Formulation section, DOI is developing an ILCM process. The initial stages of this process will engage the CIO in strategic planning, capital planning, and budget formulation for all IT spending across DOI. In the execution stage, the CIO will approve

annual operating plans for all bureaus and offices and will monitor actual spending against those plans.

DOI's current roadmap process will be incorporated into the strategic planning portion of the ILCM process. Currently, roadmaps provide the CIO with essential information in planning for IT resources, but are limited to the lifecycle components of initiation, planning, and design. Integrating DOI's roadmap process into the ILCM processes will create performance lifecycle alignment through implementation and allow for ongoing performance management through the operations and disposition phases of IT investments.

DOI's updated policies for planning and execution will ensure that the CIO certifies that IT resources are adequately implementing incremental, agile development; processes and policies address each category of IT resources appropriately; and IT decisions will be made within a governance framework to ensure that priorities are balanced across IT and mission needs.

CIO (or delegate) role on program governance boards

Requirements from the Common Baseline:

H1- CIO role on program governance boards. In order to ensure early matching of appropriate IT with program objectives, the CIO shall be a member of governance boards that include IT resources (including "shadow IT" or "hidden IT"—see definitions), including bureau Investment Review Boards (IRB). The CIO shall notify OMB of all governance boards the CIO is a member of and at least annually update this notification.

H2- Participate with CIO on governance boards as appropriate.

The FIT has developed a governance structure that engages the CIO in existing leadership and program groups across the Department. For example, DOI's Deputies Operating Group (DOG) includes senior leaders from the Department and all bureaus/offices. The CIO actively participates in this body, and is engaged in any decisions that involve IT.

In addition, there are governance organizations for specific program areas within the Department. The CIO will engage with each of these organizations on IT issues. Examples include Bureau Budget Officers, the Acquisition Managers Partnership, the Financial Officers Partnership, and governance bodies that work within specific bureaus, offices, or programs, such as bureau-level investment review boards.

The Department will ensure that the CIO, or her/his delegate, participates in any board that has decision-making authority over IT resources, and continues to share an update-to-date list of the CIO's governance board participation via: http://www.doi.gov/digitalstrategy/governanceboards.

CIO role in recommending modification, termination, or pause of IT

> ### *Requirements from the Common Baseline:*
>
> **J1**- CIO role in recommending modification, termination, or pause of IT. The CIO shall conduct TechStat reviews or use other applicable performance measurements to evaluate IT activities of the agency. The CIO shall recommend to the agency head the modification, pause, or termination of any acquisition, investment, or activity that includes a significant IT component based on the CIO's evaluation, within the terms of the relevant contracts and applicable regulations.

As part of the ILCM process, the Department will develop processes to evaluate investments at multiple points during their lifecycle. Investments will be evaluated during the capital planning process, and then also throughout execution. Through the CPIC process, the CIO will review and approve all new investments. In order to ensure engagement throughout implementation, the CIO, the Budget Director, and the SPE will develop a coordinated process to monitor the execution of planned IT investments. This process will involve comparing actual expenditures to planned and budgeted expenditures, and it will monitor the quality and performance of the investment. This monitoring process will ensure that the CIO has an opportunity to recommend modification, termination, or pause of IT investments that are not performing up to standards.

The CIO and DAS-BFPA will collaborate to develop the updated monitoring process in FY 2016 and to implement the process for FY 2017 expenditures. Responsibility for recommending modifications, termination, or pause of IT expenditures will not be assigned or delegated below the CIO.

Ongoing CIO Engagement with Program Managers

> ### *Requirements from the Common Baseline:*
>
> **E1**- Ongoing CIO engagement with program managers. The CIO should establish and maintain a process to regularly engage with program managers to evaluate IT resources supporting each agency strategic objective. It should be the CIO and program managers' shared responsibility to ensure that legacy and on-going IT investments are appropriately delivering customer value and meeting the business objectives of programs. **E2**- Ongoing CIO engagement with program managers. Program managers shall work with the CIO to define IT performance metrics and strategies to support fulfillment of agency strategic objectives defined in the agency strategic plan.

DOI's governance structure and ILCM process will ensure that the CIO is continually engaged with program managers. The enhancements to the strategic planning process, including roadmapping, will clearly define Departmental priorities for all IT investments

and communicate those priorities to program managers. The capital planning process will ensure that the CIO approves all planned investments. The requirement to submit an annual IT operating plan, and the process for the CIO to monitor expenditures against that plan and measure the performance of investments, will ensure that program managers and the CIO are continually communicating throughout the investment's lifecycle.

CIO Approval of Reprogramming

Requirements from the Common Baseline:

L1-CIO approval of reprogramming. The CIO must approve any movement of funds for IT resources that requires Congressional notification.

L2-CIO approval of reprogramming. The CFO shall ensure any notifications under L1 are approved by the CIO prior to submission to OMB.

DOI has implemented this element, and there are no compliance gaps or further actions needed. The DAS-BFPA and Budget Director oversee Congressional notification on reprogramming. The DAS-BFPA and Budget Director notifies the CIO and requests approval of IT related reprogramming requests. The DAS-BFPA and Budget Director issued Department-wide Reprogramming Policy on June 9, 2015, communicating the IT reprogramming requirements mandated by FITARA. The policy states: "Bureaus may not reprogram any funding available for information technology programs unless the reprogramming is reviewed and approved by the CIO at the Department level." This responsibility will not be assigned or delegated below the CIO.

ACQUISITION

Shared acquisition and procurement responsibilities

Requirements from the Common Baseline:

I1- Shared acquisition and procurement responsibilities. The CIO reviews all cost estimates of IT related costs and ensures all acquisition strategies and acquisition plans that include IT apply adequate incremental development principles (see definitions).

I2- Shared acquisition and procurement responsibilities. The CAO, in consultation with the CIO and—where appropriate—CFO, shall ensure there is an agency-wide process to ensure all acquisitions that include any IT:
- are led by personnel with appropriate FAC-PPM certification;
- are reviewed for opportunities to leverage acquisition initiatives such as shared services, category management, including strategic sourcing, and use such approaches as appropriate; and are supported by cost estimates that have been reviewed by the CIO and strategies that adequately implement

---

> incremental development.

The Department has a robust certification program for the acquisition workforce. All DOI contracting personnel, including contracting officers (CO), contracting officer's representatives (COR), and project managers, are certified and appointed in full compliance with government-wide policy. DOI uses the Federal Acquisition Institute's FAITAS system to track all certifications. The Department offers a training program for project managers with a specific focus on IT. The certification programs for COs and CORs are broad and do not specifically focus on competencies and training for IT personnel.

The CIO and DAS-BFPA will coordinate with the Office of Federal Procurement Policy (OFPP) and the Federal Acquisition Institute (FAI) to establish standard, government-wide competencies for all portions of the IT acquisition workforce, including COs and CORs. In addition, DOI's IT acquisition review program (see Elements K1 and K2 for additional details) will include review of cost estimates and acquisition strategies to maximize the use of innovative acquisition techniques.

For project managers, DOI will enhance Department's certification program to ensure full compliance with government-wide competencies and standards, and incorporate training on project management techniques and innovative acquisition methods, including incremental development, shared services, and category management, into all IT acquisition workforce competencies.

CAO is responsible for ensuring contract actions that contain IT are consistent with CIO-approved acquisition strategies and plans

> ***Requirements from the Common Baseline:***
>
> **K1**- CIO review and approval of acquisition strategy and acquisition plan. Agencies shall not approve an acquisition strategy or acquisition plan (as described in FAR Part 7) or interagency agreement (such as those used to support purchases through another agency) that includes IT without review and approval by the agency CIO. For contract actions that contain IT without an approved acquisition strategy or acquisition plan, the CIO shall review and approve the action itself. The CIO shall primarily consider the following factors when reviewing acquisition strategies and acquisition plans:
> - Appropriateness of contract type;
> - Appropriateness of IT related portions of statement of needs or statement of work;
> - Appropriateness of above with respect to the mission and business objectives supported by the IT strategic plan; and
> - Alignment with mission and program objectives in consultation with program leadership.
>
> **K2**- CAO is responsible for ensuring contract actions that contain IT are consistent

> with CIO-approved acquisition strategies and plans. The CAO shall indicate to the CIO which planned acquisition strategies and acquisition plans include IT resources. The CAO shall ensure the agency shall initiate no contract actions or inter-agency agreements that include IT unless they are reviewed and approved by the CIO or are consistent with the acquisition strategy and acquisition plan previously approved by the CIO. Similar process for contract modifications. CAO shall also ensure that no modifications that make substantial changes to the scope of a significant contract are approved that are inconsistent with the acquisition strategy and acquisition plan previously approved by the CIO unless the modification is reviewed and approved by the CIO.

The CIO and DAS-BFPA will jointly lead strategic direction and set policy to achieve IT acquisition goals, including more efficient purchasing for IT products and services across the Department. As part of the updated ILCM process, DOI will ensure that all IT acquisitions are planned, reviewed, and evaluated collaboratively between the acquisition and IT leadership both at the bureau level and the departmental level.

The Department will establish a process to plan strategies for more efficient and consistent IT purchasing. The CIO, the SPE, and the Director of the Office of Small and Disadvantaged Business Utilization will collaborate to develop Department-wide acquisition strategies for specific categories of products and services. Strategies could include either leveraging existing interagency contracts or developing enterprise-level contracts for the Department. The RMB will review these strategies to ensure that acquisitions with potential impact across the enterprise are assessed by the CIO and other appropriate stakeholders before they are initiated.

The Department currently requires an IT Spend Plan from all bureaus and offices that includes all planned IT purchases. The CIO annually reviews and approves this plan. DOI will continue with this process, and expand it to include other aspects of IT spending, including interagency agreements for IT investments. This enhanced IT Spend Plan, which we will rename the IT Operating Plan, will ensure that the CIO continues to review and approve all planned IT acquisitions across the enterprise. This responsibility will not be assigned or delegated below the CIO.

The Department will enhance existing contract review processes to ensure that acquisitions are executed in accordance with the plans that were approved by the CIO. This program will include tiers of review, leveraging an executive-level contract review board for the highest-risk actions, and delegating reviews for lower-risk actions to individuals with clear lines of accountability to the CIO.

The Acquisition and Procurement Advisory Committee (APAC) is an executive-level review board that includes the CIO, the Senior Procurement Executive, and the Director of the Office of Small and Disadvantaged Business Utilization. This board will review the highest-risk IT acquisitions, including acquisitions with impact across the Department and those with a total contract lifecycle value over $50,000,000. APAC reviews will cover project management and innovative procurement techniques in accordance with

Element I2 and the requirements in Element K1.

The CIO will review all planned IT acquisitions through the enhanced IT Operating Plan process, and will review enterprise and high-risk actions prior to award through the APAC. Responsibility to review lower-risk acquisition actions prior to award will be delegated to bureau ACIOs.

In addition, the Department will implement a policy to ensure that shared services organizations comply with the requiring agency's FITARA policies, including CIO review of IT acquisitions. For example, when DOI awards an IT acquisition on behalf of another agency, the policy will ensure that the customer agency's IT officials have reviewed the action in accordance with that agency's FITARA policies and procedures.

Implementing the enhanced contract review strategy will require several policy updates. DOI anticipates completing these policies in the second quarter of FY 2016.

ORGANIZATION & WORKFORCE

IT Workforce Planning

Requirements from the Common Baseline:

P1- IT Workforce. The CIO and CHCO will develop a set of competency requirements for IT staff, including IT leadership positions, and develop and maintain a current workforce planning process to ensure the department/agency can (a) anticipate and respond to changing mission requirements. (b) maintain workforce skills in a rapidly developing IT environment, and (c) recruit and retain the IT talent needed to accomplish the mission.

P2- IT Workforce. CIO and CHCO develop a set of competency requirements for IT staff, including IT leadership positions, and develop and maintain a current workforce planning process to ensure the department/agency can (a) anticipate and respond to changing mission requirements. (b) maintain workforce skills in a rapidly developing IT environment, and (c) recruit and retain the IT talent needed to accomplish the mission.

The CIO and DAS-HCD/CHCO will issue a policy requiring bureaus to develop an annual IT workforce plan. These bureau-level plans will inform the development of a Departmental IT workforce plan. DOI anticipates issuing the policy in the second quarter of FY 2016 and completing the first Departmental IT workforce plan by the end of calendar year (CY) 2016.

CIO reports to agency head (or Deputy/COO)

> ***Requirements from the Common Baseline:***
>
> **Q1** - CIO reports to agency head (or deputy/COO). As required by the Clinger Cohen Act and left in place by FITARA, the CIO "shall report directly to such agency head to carry out the responsibilities of the agency under this subchapter". This provision remains unchanged, though certain agencies have since implemented legislation under which the CIO and other management officials report to a COO, Undersecretary for Management, Assistant Secretary for Administration, or similar management executive; in these cases, to remain consistent with the Clinger Cohen requirement as left unchanged by FITARA, the CIO shall have direct access to the agency head (i.e., the Secretary, or Deputy Secretary serving on the Secretary's behalf) regarding programs that include information technology.

DOI has implemented this element, and there are no compliance gaps or further actions needed. DOI's CIO currently reports to the Secretary and receives management guidance from the Deputy Secretary in his role as the Department's COO. In addition, the A/S – PMB, through the Deputy Assistant Secretary - Technology, Information and Business Services (DAS-TIBS), provides the CIO with administrative and management guidance.

CIO role in ongoing Bureau CIOs' evaluations

> ***Requirements from the Common Baseline:***
>
> **N1** - CIO role in ongoing bureau CIOs' evaluations. The CHCO and CIO shall jointly establish an agency-wide critical element (or elements) included in all bureau CIOs' performance evaluations. In cases where the bureau CIO is a member of the Senior Executive Service and the agency uses the Basic SES Appraisal System, this critical element(s) is an "agency-specific performance requirement" in the Executive Performance Plan. Each such agency may determine that critical element(s) (ECQs) contain these requirements. For agencies that do not use the Basic SES Appraisal System or for bureau CIOs who are not members of the SES, then these shall be critical elements in their evaluations. The [agency] CIO must identify "key bureau CIOs" and provide input to the rating official for this critical element(s) for at least all "key bureau CIOs" at the time of the initial summary rating and for any required progress reviews. The rating official will consider the input from the [agency] CIO when determining the initial summary rating and discusses it with the bureau CIO during progress reviews.
>
> **N2** - CIO role in ongoing bureau CIOs' evaluations. The CHCO and CIO shall jointly establish an agency-wide critical element (or elements) for the evaluation of bureau CIOs as described in N1.

The Department will create a new position in each bureau, called the Associate CIO (ACIO), that will be responsible for all IT within the bureau. This individual will report to

the CIO and the Deputy Bureau Director. The Department will also create an Associate Chief Information Security Officer (ACISO) and Associate Privacy Officer (APO) position for each bureau. These positions will report to the DOI CISO and PO, and to the bureau ACIO.

The CIO will work with the DAS-HCD/CHCO to establish standard position descriptions and standard performance elements for each of these positions. The CIO will approve the selection of the ACIOs, provide input into their annual performance plans, contribute to their performance reviews, and will approve their final performance ratings. A parallel process will be established for the DOI CISO and ACISOs and the DOI Privacy Officer and APOs in coordination with the bureau ACIOs.

This process will be initiated through a Secretarial Order, which will be finalized by December 31, 2015, and an implementing personnel policy, which will be issued in the second quarter of FY 2016. DOI anticipates having all ACIO positions filled by the end of FY 2016.

The Department will also take steps to ensure that authority for all IT is vested in each bureau ACIO so that they are empowered to manage IT throughout their bureau. This step is essential in order to ensure that the CIO's authority flows down through the ACIO (who will report to the CIO) into all components and sub-components of the Department.

To accomplish this task, the CIO will issue guidance to all bureaus and offices requiring them to develop a plan to ensure that the ACIO has the necessary level of visibility and control over IT in the bureau. Bureaus will submit their plans to the CIO, who will review and approve each plan. DOI anticipates finalizing all bureau plans in the third quarter of FY 2016. Bureaus will begin to implement their plans in the fourth quarter of FY 2016.

Bureau IT Leadership Directory

Requirements from the Common Baseline:

O1- Bureau IT Leadership Directory. CIO and CHCO will conduct a survey of all bureau CIOs and CIO and CHCO will jointly publish a dataset identifying all bureau officials with title of CIO or duties of a CIO. This shall be posted as a public dataset based on instructions in the IDC by August 15, 2015 and kept up-to-date thereafter. The report will identify for each: – Employment type (e.g. GS, SES, SL, ST, etc.) – Type of appointment (e.g. career, appointed, etc.) – Other responsibilities (e.g. full-time CIO or combination CIO/CFO) – Evaluation "rating official" (e.g. bureau head, other official) – Evaluation "reviewing official" (if used) – Whether [agency] CIO identifies this bureau CIO as a "key bureau CIO" and thus requires the [agency] CIO to provide the rating official input into the agency-wide critical element(s) described in N1.

O2- Bureau IT Leadership Directory.
CHCO will work with CIO to develop the Bureau IT Leadership Directory as

> described in O1.

DOI will update the leadership directory to include bureau-level IT leadership. DOI has posted the Leadership Directory to its public website: http://www.doi.gov/digitalstrategy/bureaudirectory

CIO approval of new bureau CIOs

> ***Requirements from the Common Baseline:***
>
> **M1**- CIO approves bureau CIOs. The CIO shall be involved in the recruitment and shall approve the selection of any new bureau CIO (includes bureau leadership with CIO duties but not title—see definitions). The title and responsibilities of current bureau CIOs may be designated or transferred to other agency personnel by the agency head or his or her designee, as appropriate, and such decisions may take into consideration recommendations from the agency CIO.

The CIO will approve the selection of all ACIOs. The CISO will approve the selection of all ACISOs, and the PO will approve the selection of all APOs.

The CIO will work with the DAS-HCD/CHCO to develop policy and procedures to implement this new process. DOI anticipates finalizing the policy in the second quarter of FY 2016.

APPENDIX 1: CIO ASSIGNMENT PLAN

The Department CIO is not delegating allowable FITARA authorities until after the new reporting structures are in place for the bureau ACIO positions. Ultimately, the CIO intends to delegate the appropriate FITARA authorities to bureau ACIOs. These delegations are contingent on bureau ACIO positions having direct performance accountability to the CIO through the reporting structure. Also, bureaus must have Department-approved Information Management and Technology (IMT) consolidation plans that align authority for all bureau IMT under their ACIO, and implementation of those plans must be underway. The CIO will delegate allowable FITARA authorities on a bureau-by-bureau basis given their progress in meeting FITARA requirements.

APPENDIX 2: IMPLEMENTATION PLAN DEVELOPMENT APPROACH

DOI collectively and collaboratively developed a holistic, well-defined, and comprehensive Common Baseline Self-Assessment, Implementation Plan and Assignment Plan.

- DOI established the FITARA Implementing Team as the governance body to oversee the development of the OMB deliverables and implementation at the Department.
- Cross-functional/departmental involvement through stakeholder group discussions to raise awareness of the purpose and intent of FITARA and obtain feedback on the Department's Common Baseline Self-Assessment.
- The FITARA Implementing Team developed and disseminated a Common Baseline questionnaire (embedded below) to bureau/office Leadership to obtain diverse perspectives on current performance of the Common Baseline roles and responsibilities and recommendations for improving the Department's approach to addressing each FITARA Element.
- DOI aggregated and analyzed bureau/office feedback to identify Department-wide themes which influenced the strategy and approach towards developing the Common Baseline Self-Assessment ratings and rationale.
- The FITARA Implementing Team incorporated cross-departmental and bureau/office feedback into the draft Common Baseline Self-Assessment, Implementation Plan, and the Assignment Plan.
- The draft deliverables released for review and feedback from the bureaus/offices, through email correspondence and Open Forums sessions with the FITARA Implementing Team.
- Department leadership reviewed the draft deliverables.
- Based on the feedback received, the FITARA Implementing Team performed a final review of Common Baseline Self-Assessment, Implementation Plan, and the Assignment Plan.
- The final deliverables were presented to the Deputies Operating Group prior to OMB submission.
- The Deputy Secretary submits the final deliverables to OMB on August 14, 2015.

DOI_FITARA
Questionnaire.docx

APPENDIX 3: LIST OF ACRONYMS

ACIO	Associate Chief Information Officer
ACISO	Associate Chief Information Security Officer
ADIR	Assistant Director for Information Resources
APAC	Acquisition-Procurement Advisory Committee
APO	Associate Privacy Officer
AS-PMB	Assistant Secretary – Policy, Management and Budget
BBO	Bureau Budget Officer
BOC	Budget Object Class Codes
BY	Budget Year
CAO	Chief Acquisition Officer
CFO	Chief Financial Officer
CHCO	Chief Human Capital Officer
CIO	Chief Information Officer
CISO	Chief Information Security Officer
CO	Contracting Officer
COO	Chief Operating Officer
COR	Contracting Officer's Representative
COS - PMB	Chief of Staff for the Office of Policy, Management and Budget
CPIC	Capital Planning and Investment Control
CY	Calendar Year
DAS-BFPA	Deputy Assistant Secretary – Budget, Finance, Performance, and Acquisition
DAS-HCD	Deputy Assistant Secretary – Human Capital and Diversity
DAS-TIBS	Deputy Assistant Secretary – Technology, Information, and Business Services
DOG	Deputies Operating Group
DOI	Department of the Interior
EA	Enterprise Architecture
FAC-C	Federal Acquisition Certification – Contracting
FAC-COR	Federal Acquisition Certification – Contracting Officer's Representative
FAC-P/PM	Federal Acquisition Certification for Program and Project Managers
FAI	Federal Acquisition Institute
FBMS	Financial and Business Management System
FBMS ESC	Financial and Business Management System Executive Steering Committee
FIT	FITARA Implementing Team
FITARA	Federal Information Technology Acquisition Reform Act

FM&M ESC	Facilities Management and Maintenance Executive Steering Committee
FY	Fiscal Year
GS	General Schedule
ILCM	Integrated Lifecycle Management
IMT	Information Management and Technology
IRM	Information Resource Management
IT	Information Technology
ITT ESC	IT Transformation Executive Steering Committee
JCS	Joint Certification Statement Exhibit
OCIO	Office of the Chief Information Officer
OFPP	Office of Federal Procurement Policy
PM	Program/Project Manager
PMB	Office of Policy, Management and Budget
PO	Privacy Officer
POB	Office of Budget
PR	Purchase Requisition
RMT	Risk Management Team
SDLC	Systems Development Lifecycle
SES	Senior Executive Service
SL	Senior Leader
SPE	Senior Procurement Executive
UPC	Unique Product Code
WCFC	Working Capital Fund Consortium