United States Department of the Interior

OFFICE OF THE SECRETARY
Washington, DC 20240

OCIO DIRECTIVE 2015-001 FEB 20 2015

To: IT Transformation Executive Steering Committee Members
Assistant Directors of Information Resources
Bureau and Office Capital Planners

From: Sylvia W. Burns
Chief Information Officer

Subject: Fiscal Year (FY) 2015 Information Technology (IT) Portfolio and Investment Management Requirements

Purpose:
This directive provides the Department of the Interior's (Department) FY 2015 IT portfolio and investment management requirements and reporting schedule. The high-level tasks reflected in the schedule encompass the governance roles, timeframes, and activities necessary to recommend the selection of an IT portfolio in time to complete the Department's Budget Year (BY) 2017 budget for submission to the Office of Management and Budget (OMB). To the greatest extent possible, the BY 2017 IT Capital Planning and Investment Control (CPIC) process anticipates the changes resulting from the Secretarial Order on IT Transformation and Information Resources Management (IRM) Governance Framework implementation and focuses on actions to achieve efficiencies by FY 2016.

The Department's IT Transformation (ITT) initiative is driving consolidation, innovation and strategic sourcing within the IT infrastructure to achieve management and technology efficiencies across the Department. The Office of the Chief Information Officer (OCIO) and the ITT Executive Steering Committee will develop BY 2017 ITT priorities, which will inform the Department's BY 2017 IT budget formulation process. The Working Capital Fund (WCF) Consortium is planning to make decisions on Central Bill accounts in April. Subsequent to these decisions, bureau and office WCF bills will be built into the Department's BY 2017 Budget Guidance that the Department Budget Office will release.

The Department's BY 2017 IT budget formulation officially begins in FY 2015 and is included in the bureau and office budget submissions to OMB in September 2015, concluding with the submission of bureau and office budgets to Congress, expected in February 2016. The IT funding submission, which is the result of our IT portfolio and investment management activities, is synchronized with this process.

Background:
Under the Information Technology Management Reform Act of 1996 (also known as the Clinger-Cohen Act), and Subtitle D of the Federal Information Technology Acquisition Reform Act (FITARA) of the National Defense Authorization Act, 2015, the Department is required to

implement a process for maximizing the value of its IT investments, as well as assessing and managing associated risks. CPIC is the Department's process by which IT investments are selected for funding, controlled for implementation through project management disciplines, and evaluated in a production environment to ensure expected results are achieved. The CPIC process is integrated with the budget process. Budget recommendations on IT investments, including those budgeted through the WCF, are based on the results of the CPIC process, the Department's IRM governance decisions, and the appropriate bureau and office investment reviews. The Department's objective is to ensure that the IT portfolio consists of the highest priority investments that best support the Department's mission in the most cost-effective manner. All IT spending must be justified and defensible.

Requirements:
The two attachments to this memo outline Departmental requirements and guidance for the selection of the BY 2017 IT Portfolio with the necessary oversight and governance.

1. ***Attachment A: IT Budget Formulation and Portfolio Development Requirements*** provides detailed submission requirements for BY 2017, as well as an overview of the governance process, PortfolioStat, Application Portfolio Rationalization, and IT definitions.

Each bureau and office must submit their proposed BY 2017 IT portfolio to the Department's Office of the Chief Information Officer – Planning and Portfolio Management (Department OCIO-PPM) Division on the following dates:

- **February 27, 2015:** Each bureau and office must enter their IT Portfolio Part 2 IT infrastructure internal costs and their IT Portfolio Part 3 IT Planning and Management internal costs within a spreadsheet template that the Department Planning and Portfolio Management Division (PPMD) provides and then import the completed data into eCPIC.

- **February 27, 2015:** Each bureau and office must complete contributions to Enterprise-wide investments, including all IT infrastructure workbooks. Existing/ongoing Enterprise investments must provide initial estimates of bureau and office BY 2017 costs and include a description of any changes to service levels. For details on who is responsible for updates, please see the Enterprise-Wide Investment Contributions section in *Attachment A*.

- **March 6, 2015:** Each bureau and office and Segment Roadmap team must complete Budget Formulation Forms in eCPIC for all Part 1 Mission investments.

- **March 13, 2015:** Each bureau and office must complete validations and updates to application investment mapping for all major investments, as well as non-major investments associated with existing Line-of-Business/Segment Roadmaps.

- **March 18, 2015:** Each bureau and office must complete Portfolio Profiles and Joint Statements of Compliance, leveraging PPMD templates provided.

Each bureau and office Investment Review Board (IRB) is expected to review and approve their respective portfolios prior to submission to the Department. Additionally, bureau and office

budget offices are requested to validate the bureau or office submissions to ensure that each investment's summary of funding, funding source, and Full Time Equivalent (FTE) tables match bureau and office budget FY 2015 operating plans and FY 2016 Congressional Justification. A Joint Statement of Compliance is a new requirement to support the Chief Information Officer authorities included in FITARA. Each bureau and office budget office should review IT investments for BY 2017 against the final BY 2016 funding submission. Accurate funding sources and FTE data supporting investments must be provided and reflected in the bureau and office IT Portfolio summaries (formerly known as Exhibit 53s) and Major IT Business Cases (formerly known as Exhibit 300s).

2. ***Attachment B: FY 2015 CPIC Control Phase Requirements*** provides specific reporting requirements for all IT investments to ensure that they are appropriately managed and achieve expected performance results.

Any questions regarding this directive should be referred to Kelly Morrison, Director, Planning and Portfolio Management Division, at Kelly_Morrison@ios.doi.gov or 202-208-5413.

Attachments:

1. Attachment A: IT Budget Formulation and Portfolio Development Requirements
2. Attachment B: FY 2015 CPIC Control Phase Requirements

cc: PMB Deputy Assistant Secretaries
Department Budget Office
OCIO Executive Staff
Business Segment Sponsors

Attachment A: IT Budget Formulation and Portfolio Development Requirements

The purpose of this guidance is to document all data submission requirements for BY 2017 IT budget formulation and IT portfolio development process.

This guidance document consists of the following sections:

I. Overview
II. Guidelines
III. Bureau and Office Submission Requirements
IV. IT Portfolio Management, Process, Governance and BY 2017 Budget Integration
V. PortfolioStat
VI. Application Rationalization Reporting Standards
VII. Definitions
   a. Major Investment
   b. Development Modernization and Enhancement (DME)/Operations and Maintenance (O&M) and Steady State (SS)
   c. Budget Classification Categories within the Summary of Funding Table
   d. IT Infrastructure

I. Overview

Each year, the authorized governing bodies review information technology (IT) investment funding requests and develop recommendations and budget decisions to the Department of the Interior (Department) Planning and Portfolio Management Division (PPMD). The authorized governing bodies recommend a Budget Year (BY) 2017 IT portfolio inclusive of investments aligned with Federal Government's and the Department's policies and strategic focus. The initial financial target for the overall BY 2017 IT portfolio submission is currently unknown; however, the Department should submit an IT budget using "at target" scenario estimates. All investments within the portfolio, including infrastructure, need to be looking for efficiencies. The Department governance bodies and bureau and office Investment Review Boards (IRB) need to determine the relative priorities of each of their investments in accordance with this funding guidance.

The goal of the Department IT budget planning process is to demonstrate and document clear alignment between IT Portfolio, Department Strategic Plan and Secretarial priorities. The BY 2017 Information Technology (IT) budget formulation efforts should be conducted with consideration of this goal and the processes, governance, reporting standards, and definitions described within this document. Moreover, the Office of Management and Budget (OMB) has increased its focus on strengthening Federal IT Portfolio Management through PortfolioStat requirements. Section(s) V and VI will detail the important facets of the PortfolioStat and Application Rationalization respectively, which play an important role in the Department's BY 2017 IT budget formulation and portfolio development process.

The Department IT budget formulation process will feed into the BY 2017 IT budget submission to OMB in September 2015. IT submission guidance and an associated schedule will be forthcoming once more information is known about the reporting requirements and dates.

II. Guidelines

The following guidelines are foundational to every IT budget submission:

- Change in Investment Status Identifier: This is used when an investment has a change in status (e.g., downgraded to non-major IT investment, eliminated, retired, consolidated, split) for the current budget submission relative to the previous budget cycle. Status should change to one of the "eliminated by" options if there is $0 in the prior year (PY) and the current year (CY).
- Investment descriptions must be reflective of the investment's functionality, and must not include mention of vendors.
- OMB and the Department require that any bureau and office IT investment planning to perform any DME is required to establish an Integrated Project Team (IPT). An IPT refers to a cross-functional or multidisciplinary group of individuals organized and collectively responsible for the specific purpose of delivering a project, product, or process to an external or internal customer. An IPT must include at a minimum: a qualified, fully dedicated IT program manager; a contracting specialist, if applicable; an IT specialist; an IT security specialist; and a business process owner or subject matter expert (SME).
- OMB and the Department require that any bureau and office IT investment planning to perform any DME is required to leverage a modular development approach to focus on on-time delivery. Incremental development is required with deliverables not to exceed 90-120 day increments. More information and guidance can be found within OMB's *Contracting Guidance for Modular Development.*[1]
- Bureaus and offices are required to properly report DME and O&M/SS spending in accordance with the definitions provided in this document under Section VII (definitions below).
- Bureau and office Major IT investments are required to adhere to Federal Acquisition Certification for Program and Project Managers (FAC-P/PM) requirements as described in Attachment B.
- Bureaus and offices are expected to invest in innovation and IT investments that have a high return on investment.
- Bureaus and offices should focus on investing in consolidation and leveraging Enterprise-wide solutions for commodity IT systems rather than continuing to fund legacy, duplicative investments.
- Funding levels in the Department IT Portfolio Summary should represent (1) budget authority for the BY, reflecting the agency's budget request (new budget authority requested), (2) for the CY, the best current estimate of authority available, and (3) for the PY, actual amounts (which will be actual amounts based upon the 2015 Enacted Appropriation following the close of the FY on September 30, 2015).

[1] OMB Contracting Guidance for Modular Development: http://www.whitehouse.gov/sites/default/files/omb/procurement/guidance/modular-approaches-for-information-technology.pdf

- More accurate reporting: prior and planned IT expenditures not previously reported, must be reported for all known years in which the expenditures were made. The Department is using FY 2012 as a cost baseline. Thus, every effort should be made to retroactively report expenditures back to FY 2012.
- Outlays should be reported on the budget authority for the PY, the CY and the BY. For this submission, the PY is FY 2015, the CY is FY 2016 and the BY is FY 2017.
- Carryover obligations are reported in the PY column following the close of the fiscal year.
- All IT FTE costs should be accounted for in all years. The annualized Cost-of-Living Adjustment (COLA) rates will be 1% for FY 2015 and FY 2016 as well as the estimate for FY 2017.
- Rent, communications, and utilities costs should be captured on the IT Portfolio (formerly the Exhibit 53). While these costs may also be reported on the Exhibit 54, it is not considered to be double counting. The IT Portfolio and Exhibit 54 are treated separately.
- Bureaus and offices are responsible for entering their internal funding and ensuring that their internal funding does not include their Working Capital Fund (WCF) contributions. The Office of the Chief Information Officer (OCIO) will enter WCF central and direct bill data collected from the Department Budget Office on behalf of bureaus and offices.
- OMB requires, per Circular A-11, that the full cost of IT, regardless of funding source, be reported on the IT Portfolio. Note: The total amount entered in the Funding Sources Table for each fiscal year should match the total amount entered for each fiscal year within the Summary of Funding Table.
- External Funding Sources:
    - Other Federal Agencies: All funding sources that originate from other federal agencies and are not received by the Department through direct appropriations, should be reported on the respective bureau and/or office IT investments on the IT Portfolio. This source of funds should be depicted as external contributions (uncheck the "Internal Agency Funding" box of the Funding Source Table in eCPIC), and the other Federal Agencies' MAX account code should be entered into the funding source table.
    - Non-Federal Sources: All funding sources that originate from non-federal sources, and are not received by the Department through direct appropriations (e.g. user fees; state, local and/or non-profit contributions, etc.), should be reported on the respective bureau and/or office IT investments on the IT Portfolio.[2] This funding should be listed as Agency funding (check the "Internal Agency Funding" box of the Funding Source Table in eCPIC) and should reflect the Department budget account that the non-federal funds have been deposited into.

[2] While previous Office of Management and Budget (OMB) guidance might imply that this funding should not be included, OCIO and the Department's budget office have confirmed with OMB that this funding should in fact be included. The intent should always be to include in Department's total IT spending. Reported funding should not be limited to Federal discretionary appropriations, or other more typical Federal funding mechanisms.

III. Bureau and Office Submission Requirements

Bureau and office Assistant Directors of Information Resources (ADIRs) and budget offices are expected to review the BY 2017 IT Budget Formulation Forms prior to the submission. Bureau and office budget offices are requested to validate the bureau and office submissions to ensure investments' summary of funding, funding sources and Full Time Equivalent (FTE) tables match bureau and office FY 2015 operating plans and FY 2016 Congressional Justification, using the Joint Statement of Certification, to meet requirements included in Subtitle D, Federal Information Technology Acquisition Reform Act (FITARA) of the National Defense Authorization Act (NDAA), 2015. Accurate funding sources must be provided in eCPIC, which feeds the Department IT Portfolio and Major IT Business Cases. A bureau and office submission consists of the following:

- Requirement 1: BY 2017 Portfolios Review (eCPIC);
- Requirement 2: IT Portfolio Part 2 and 3 Workbooks (within Excel spreadsheet);
- Requirement 3: BY 2017 Budget Formulation Forms (eCPIC);
- Requirement 4: Enterprise-wide Investment Contributions (Excel spreadsheet);
- Requirement 5: Application Inventory Investment Mapping (BisonConnect site); and
- Requirement 6: Portfolio Profile (Excel spreadsheet) and Joint Statement of Certification (Word Template) to upload to the IT Portfolio Management SharePoint site.

Requirement 1: BY 2017 Portfolios Review

Bureau and office IT investment portfolios are created and maintained within eCPIC, the Department's IT Portfolio Management tool. In order to ensure that all bureau and office IT investments are reviewed and considered for funding, bureaus and offices are expected to have their BY 2017 portfolios populated within eCPIC with all of their IT investments. Bureau and office capital planning staff must ensure that the correct IT investments are included within each portfolio. The investments must be approved by the bureau and office IRB or governance process.

Three separate portfolios must be populated:

- ***Systems Portfolio (Systems)***: All major and non-major business systems/application investments. In relation to the IT Portfolio, this portfolio will consist of the bureau and office Part I mission investments.
- ***Infrastructure and Planning Portfolio (InfraPlanning)***: All bureau and office infrastructure (Part 2) and planning (Part 3) investments.
- ***System Contribution Portfolio (SysContrib)***: This portfolio is for all contributions for Enterprise-wide systems. This portfolio includes the following:
    - Consolidated Business Case Contributions (e.g., FBMS, DOI Learn); and
    - System Direct Bill/Variable Investments (e.g., HRLoB).

Bureaus and offices should review their portfolio on an ongoing basis and when a need arises to have an investment added or removed from one of the above portfolios, the bureau and office

should contact the Department Planning and Portfolio Management Division at OCIO_PPM_Team@ios.doi.gov.

Requirement 2: IT Portfolio Part 2 and 3 Workbooks

IT Portfolio Parts 2 and 3 budget data will be entered into workbook templates to ensure the accuracy of Working Capital Fund contributions.

OCIO will distribute workbooks in January 2015 to capture bureau and office internal costs associated with all IT investments within the IT Portfolio Parts 2 and 3. This data is combined with bureau and office WCF contributions to the same investments, as applicable, and together they are uploaded into the eCPIC submission tool to populate the funding tables.

OCIO will develop IT Transformation (ITT) priorities with the ADIR community and ITT ESC, which will impact future iterations of the Department's IT budget formulation process. Bureaus and offices should formulate their respective IT infrastructure costs for BY 2017 based upon any known bureau and office internal cost projections.

Submissions are due based upon the following schedule:

February 27, 2015:

- Bureaus and offices must enter their IT Portfolio Part 2 IT infrastructure and Part 3 IT Planning and Management internal costs within a spreadsheet, which the Department Planning and Portfolio Management Division will import into eCPIC.

Requirement 3: BY 2017 Budget Formulation Forms

The Budget Formulation Form must be completed for all new and existing investments that are seeking budget authority for BY 2017. The BY 2017 Budget Formulation Form can be found within eCPIC. It consists of four sections:

- Investment Overview;
- Funding Information;
- Operational Analysis (for Steady State only); and
- Questions for all Investments (Major and Non-Major).

Submissions are due based upon the following schedule:

February 27, 2015:

- Bureaus and offices that enter their own internal costs into eCPIC for Enterprise-wide investments are due this time.

March 6, 2015:

- All investment Budget Formulation Forms for bureau and office specific, Enterprise-wide, and Segment Roadmap team investments are due. eCPIC will be locked after this date, and no further changes will be made to investment data during analysis and decision-making processes.

Attachment A: IT Budget Formulation and Portfolio Development Requirements

Note: All funding information provided by bureaus and offices by this date should have already gone through appropriate bureau and office governance processes and been validated by bureau and office ADIRs and the Bureau Budget Officers (BBOs).

Matrix of Submission Requirements

Type of Investment	BFF Section 1: Investment Overview	BFF Section 2: Funding Information	BFF Section 3: Operational Analysis	BFF Section 4: Questions for all Investments
All (existing and new) IT Portfolio Part 1 Major and Non-Major investments	Due **March 6**	Due **March 6**	SS systems or components over $50k in BY 2017 Due **March 6**	Due **March 6**
IT Portfolio Part 1 Enterprise-wide Investments	Due **March 6**	Due **March 6**	SS systems or components over $50k in BY 2017 Due **March 6**	Due **March 6**
IT Portfolio Part 1 Bureau and Office Contributions to Enterprise-wide investments	NA	Due **February 27**	N/A	N/A

Requirement 4: Enterprise-wide Investment Contributions

The Enterprise-wide investments within the Department IT portfolio provide service to the bureaus and offices and include internal costs and/or WCF contributions. The following table outlines shared responsibilities between Enterprise-wide investment managers, bureaus and offices, and the Planning and PPMD related to budget formulation reporting for Department Enterprise-wide Investments.

Attachment A: IT Budget Formulation and Portfolio Development Requirements

Grouping Category	Parent Investments	Bureau and Office Responsibility	Enterprise Investment Manager Responsibility	Department PPMD Responsibility
Enterprise Investment Manager works with bureaus and offices to populate bureau and office internal costs and WCF budget data into eCPIC	DOI - Revenue Collection Shared Service Planning DOI - Enterprise Facilities Maintenance & Management System (FMMS) OS - Infrastructure - Radio Modernization	1. Work with Enterprise Investment Manager to populate eCPIC with bureau and office internal costs 2. Review eCPIC and address any questions or issues with the Enterprise Investment Manager	1. Work with bureaus and offices to populate bureau and office internal costs 2. Update parent and child funding tables in eCPIC with WCF budget data 3. Respond to bureau and office questions or issues	No Action
Enterprise Investment Manager populates budget data into eCPIC	DOI - Financial and Business Management System (FBMS) DOI - IBC Shared Service Center (HRLOB) which includes: FPPS QuickTime Staffing D & A Testing DOI - Incident Management, Analysis, and Reporting System (IMARS)	Review eCPIC and address any questions or issues with the Enterprise Investment Manager	1. Update parent and child funding tables in eCPIC 2. Respond to bureau and office questions or issues	No Action

Attachment A: IT Budget Formulation and Portfolio Development Requirements

Grouping Category	Parent Investments	Bureau and Office Responsibility	Enterprise Investment Manager Responsibility	Department PPMD Responsibility
	FWS - Data Tracking System (DTS) BIA – Budget Execution Reporting Tool (BERT) OS - Volunteer.Gov DOI - E-Travel			
OCIO PPM collects data from Enterprise Investment Managers and/or POB and populates WCF budget data into eCPIC	DOI - Electronic FOIA Tracking System (EFTS) E-Gov - Electronic HR Integration (EHRI)/electronic Official Personnel Folder (eOPF) DOI - Access (HSPD-12) DOI - "DOI Learn" Enterprise Learning Management System DOI - Interior Collections Management System (ICMS)	Review eCPIC and address any questions or issues with the OCIO PPM	Provide updated costs to the OCIO PPM	1. Update eCPIC with bureau and office costs. 2. Respond to bureau and office questions or issues
OCIO PPM populates- Enterprise License Agreement (ELA) budget	IT Portfolio Part 2 Microsoft Costs included in IT Infrastructure Investments	No Action	No Action	Update eCPIC with bureau and office internal costs from the ELA

Grouping Category	Parent Investments	Bureau and Office Responsibility	Enterprise Investment Manager Responsibility	Department PPMD Responsibility
data into eCPIC				

Requirement 5: Application Inventory Investment Mapping

As part of the Department's BY 2017 IT Budget Formulation process, bureaus and offices are required to report applications aligned with all major and non-major IT investments. More information is included in Section VI Application Rationalization.

Submissions are due based upon the following schedule:

March 13, 2015:

- Validate and update application/investment mapping based on what was completed in FY 2014. Build upon the inventory so that all applications are aligned with the associated IT investments.

Requirement 6: Portfolio Profile and Joint Statement of Certification

The Portfolio Profile is a tool developed to summarize and document internal and OMB submissions. PPMD will provide an Excel workbook that must be completed to provide an overview of each bureau and office IT Portfolio explaining changes from one submission to the next and each year to the next.

The Joint Statement of Certification is a new requirement to support CIO authorities included in FITARA. While coordinating BY 2017 IT budget needs with bureau budgets, bureau and office ADIRs and BBOs should review the IT Portfolio Summary to ensure alignment with bureau and office FY 2015 operating plans and the FY 2016 Congressional Justification.

Templates will be provided for each bureau and office and loaded to the IT Portfolio Management SharePoint site for the Portfolio Profile and the Joint Statement of Certification. Please complete the template without altering the template format and save to the SharePoint site.

Submissions are due based upon the following schedule:

March 18, 2015:

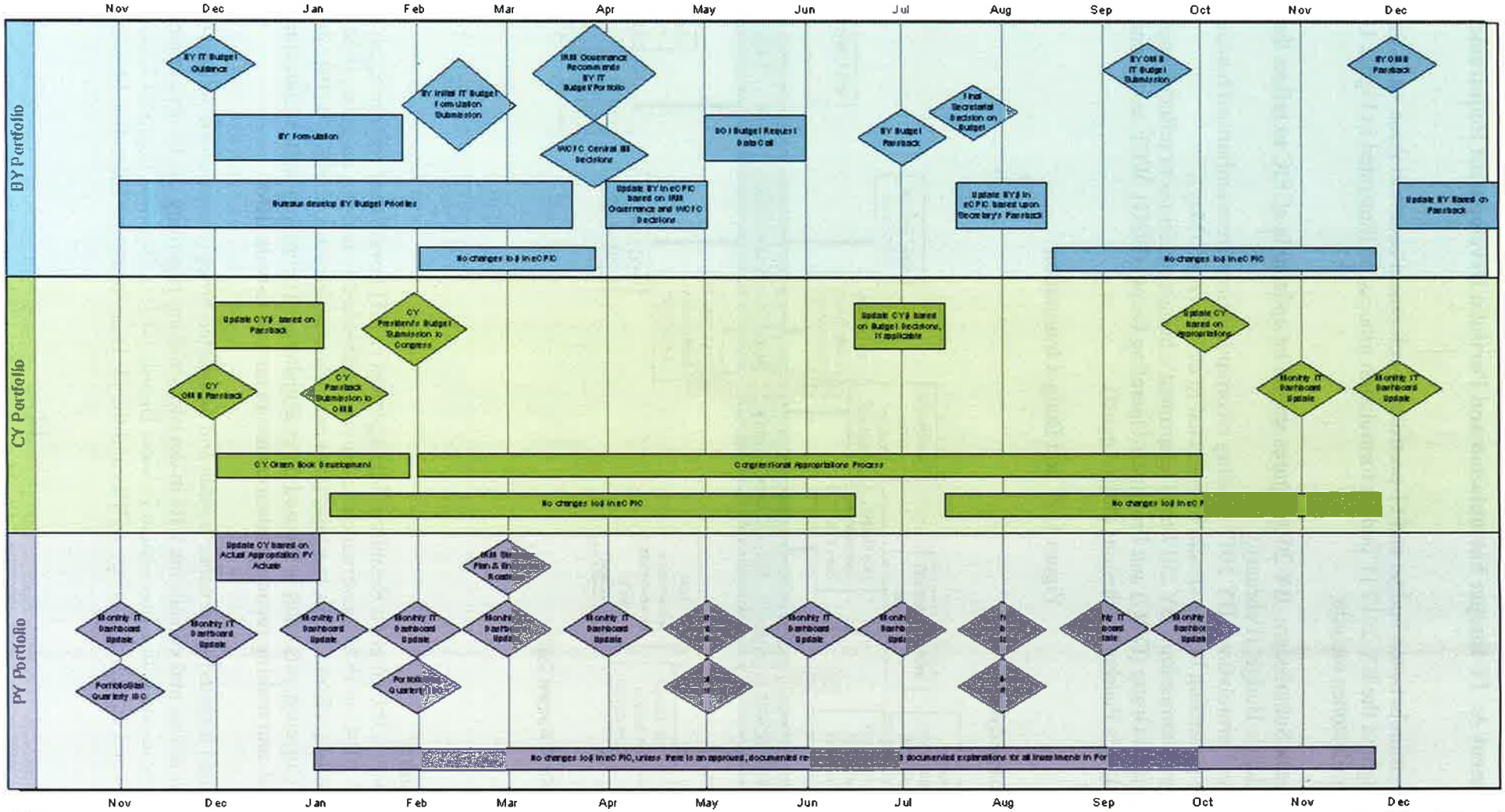
- BY 2017 Formulation Portfolio Profiles and Joint Statements of Certification should be completed and uploaded to the IT Portfolio Management SharePoint site.

IV. IT Portfolio Management, Process, Governance and BY 2017 Budget Integration

The following illustration provides the high level deliverables and activities for the Department's BY 2017 IT portfolio management process during FY 2015.

Attachment A: IT Budget Formulation and Portfolio Development Requirements

DOI Portfolio Management Timeline / Process



Notes:

- Investment re-baseline requests will be scheduled through July and reviewed by the DOI IEC. There will be a blackout period for re-baseline in August and September to accommodate submission preparation deadlines. Re-baselines will not be submitted in August or September.

Legend

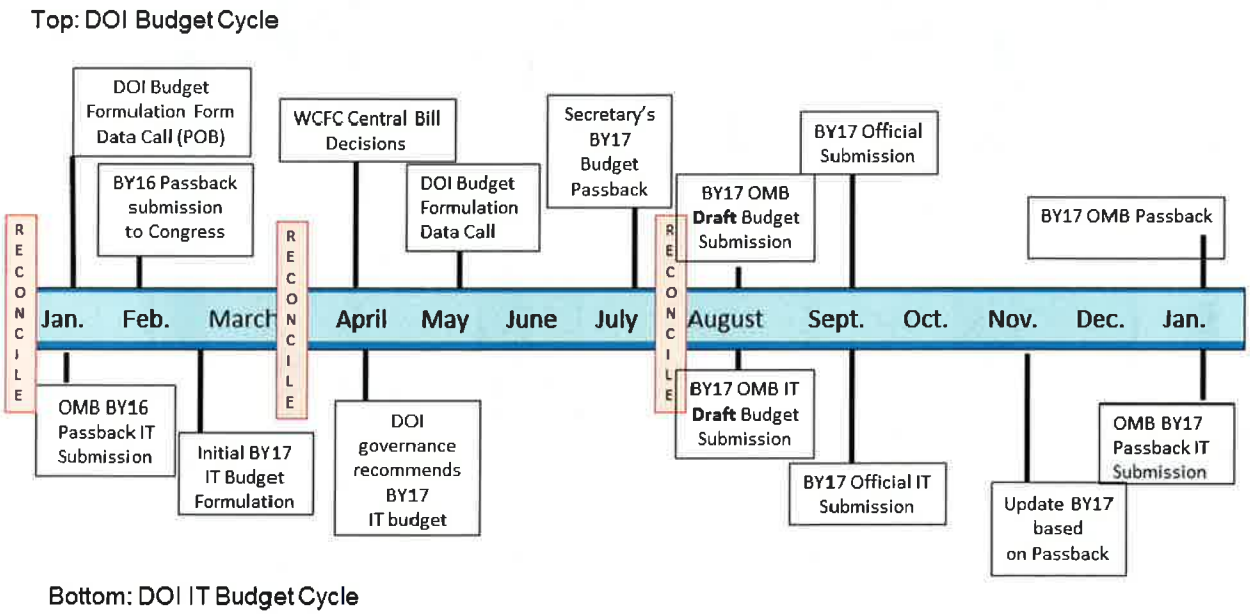
- Process
- Milestone

Attachment A: IT Budget Formulation and Portfolio Development Requirements

Budget Integration between budget and IT portfolio development occurs at three important periods throughout the BY 2017 IT budget formulation process, as illustrated in Figure 1 below. Key milestones include:

- Passback Submission: BY 2016 figures should be updated in eCPIC to reflect the President's Budget (February).
- Budget Formulation: BY 2017 funding recommendations from authorized bureau and office governing bodies should be reflected in eCPIC (April/May).
- Budget Submission: BY 2017 the Department's budget decisions to reflect Deputies Operation Group (DOG) and Principals Operating Group (POG), WCF costs, and Secretary's Passback decisions (July/August).

Figure 1: IT and Budget Integration



IRM Governance

The Department's Information Resources Management (IRM) governance reform began in FY 2011. In FY 2014, an IRM Governance Team was established to address on-going IRM governance reform efforts. This is a joint team comprised of bureau and office ADIRs and OCIO staff. Currently this team is focused on establishing a Technology and Architecture Review Board, and making recommendations for an new DOI-wide IRM.

The existing and targeted governance boards and associated processes are meant to provide a mechanism to advise and consult the CIO in decision-making regarding the IT investment portfolio. Bureau and office Investment Review Boards (IRBs), Business Segment Roadmap Teams, OCIO and bureau and office ADIRs and the IT Transformation Executive Steering

Committee (ITT ESC) are all existing governance bodies involved with the IT budget formulation process.

Bureau and office participation is key to IT investment planning and decision-making through the development of segment roadmaps. Segment roadmaps serve as high-level strategic investment plans for managing all related major and non-major IT investments across the Department. The resulting roadmaps prioritize investments and propose recommendations for the future of IT investments.

The development of each segment roadmap is performed by a team that has Agency executive sponsorship and is comprised of bureau and office functional experts. Existing roadmaps or roadmaps under development, as well as segments with developed Modernization Blueprints are bolded in the table below. All IT investments are aligned with a segment. Each business segment is aligned with one of the three primary IT portfolio categories; Mission, Support Services and IT Infrastructure, as depicted below.

Mission Domain Segments	Support Services Board Segments	IT Infrastructure Domain Segments
Biological Resources	Administrative Management	Back Office Services
Community and Social Services	Controls and Oversight	Business Analytical Services
Cultural and Heritage	**Financial Management**	Business Management Services
Disaster Management	Grants	Customer Services
Economic Development	**Human Resource Management**	Digital Asset Services
Education	Knowledge Creation and Management	**Geospatial**
Energy	Litigation and Judicial Activities	Information and Technology
Environmental Management	**Planning and Budgeting**	Process Automation Services
General Science	Public Affairs	
Homeland Security	**Public Goods Creation and Management**	
Indian Trust	Regulatory Compliance and Enforcement	
Land and Marine Conservation	Regulatory Development	
Land Management Planning and NEPA	**Revenue Collection**	
Land Use	Supply Chain Management	
Law Enforcement		
Recreation		
Use Authorization		
Water Delivery		
Water Quality		
Wildland Fire		

Segment roadmaps will be leveraged to analyze bureau and office Budget Formulation Forms (BFFs). Segment roadmap teams may also submit BFFs. BFFs for bureau and office specific and Enterprise-wide investments are submitted per the identified schedule. These BFFs will be

reviewed, analyzed, and prioritized by the investment's existing governance bodies. Investments aligned to a segment with a completed segment roadmap will be analyzed in the context of the roadmap.

Any unfunded requests being presented by segment leadership to facilitate the implementation of a segment roadmap will be evaluated by the Department Budget Office OCIO, and adjudicated by the appropriate IRM governance body.

V. PortfolioStat

PortfolioStat[3] is a tool that agencies and OMB use to assess the current maturity of their IT portfolio management process, make decisions on eliminating duplication, augment current CIO-led capital planning and investment control processes and move to shared solutions in order to maximize the return on IT investments across the portfolio. In March 2012, the Office of Management and Budget (OMB) established PortfolioStat accountability sessions, engaging directly with agency leadership to assess the effectiveness of current IT management practices and address opportunities to improve management of IT resources. The results from PortfolioStat so far have been significant. Agencies identified and committed to nearly 100 opportunities to consolidate or eliminate commodity IT investments, such as combining multiple email systems and eliminating duplicative mobile or desktop contracts.

The OCIO will continue to utilize PortfolioStat and will expect bureau and office participation throughout the process. OMB places a high importance on PortfolioStat analysis across Federal agencies. The Department is committed to fully support and mature its PortfolioStat process.

The Department PortfolioStat reporting requirements include: 1) the Information Resources Management (IRM) Strategic Plan, which describes why the Department is modernizing its IT and ensures that information resources management decisions are integrated with planning, budget, procurement, financial, human resources, and program management decisions; 2) the Enterprise Roadmap, which describes the current and future views of the Department's business and technology environments and lays out the Department's approach to achieving the strategic goals and objectives identified in the IRM Strategic Plan; and 3) the Integrated Data Collection (IDC), which reports progress in meeting IT strategic goals and objectives as well as cost savings and avoidances resulting from implementing IT transition plans identified in the Enterprise Roadmap. For more detail, please see ***Attachment B: FY 2015 CPIC Control Phase Requirements.***

The OCIO will need bureau and office input with IDC information related to Data Center Consolidation; Open Data; Cybersecurity; Cost Savings and/or Avoidance; Innovation; Transactional Services, Mobile Device and Service Contract Inventory, and possibly other requirements.

[3] http://www.whitehouse.gov/sites/default/files/omb/memoranda/2014/m-14-08.pdf

The Enterprise Roadmap offers a deeper look into the Department's current IT architecture, the plan for the future, and its transition approach. This roadmap captures the Department's current assets and their interaction with the lines-of-business within and outside of the Department. The Enterprise Roadmap aligns the Department's investments with the IRM Strategic Plan, which improves efficiency, lowers costs, and helps employees work smarter.

The Department continues to make progress in fulfilling PortfolioStat requirements by increasing the number of certified Federal Acquisition Certification for Program and Project Managers (FAC-P/PM) assigned to major IT investments, improving effective governance and decision making, and maturing IT Portfolio Management. Considerable attention is needed to build upon successes to date, including, but not limited to the following actions:

- Establish criteria for identifying wasteful, low-value or duplicative investments;
- Increase DME and optimized services
- Ensure certified Project Managers are assigned to all investments;
- Focus on on-time project delivery;
- Increase modular development; and
- Turn around the concerning downward trend of spending associated with development and innovation.

The Department plans to reduce IT costs by $100 million (M) per year in commodity infrastructure services to reinvest in mission/programs or other IT needs, beginning in FY 2016 through FY 2020. This effort will become an increasing focal area in FY 2015 throughout the bureaus and offices. The Department is leveraging PortfolioStat reporting as a way to track costs and provide updates to OMB. To date, the Department has been able to account for $62M in cost reductions. More consistent reporting will be required from bureaus and offices in order to reach the Department's commitment to OMB. Therefore, it is imperative that Capital Planners collaborate within their respective bureaus and offices to ensure they are capturing cost savings/avoidances and are able to explain the details regarding any initiative that reflects these savings/avoidances.

VI. Application Rationalization Reporting Standards

Application rationalization is a valuation engineering technique used to support IRM decision-making across the Department. It is a data-driven approach that is structured to optimize the management of the Department's application portfolio and allows bureaus, offices, and the Department an increased visibility on:

- Authoritative inventory of the Department's IT application portfolio with key meta-data; and
- Opportunities for cost savings and avoidance through application and IT service reuse, retirement, consolidation, and analysis of wasteful, low-value, and duplicative investments/systems/applications.

As part of the Department's BY 2017 IT Budget Formulation process, bureaus and offices are required to report all applications aligned with major and non-major IT investments. This builds upon the first application inventory steps taken in FY 2014 in which applications aligned with

major IT investments and non-major IT investments associated with existing Business Segment Roadmaps were mapped.

Employing application portfolio rationalization techniques strengthens the Department's application portfolio management program, increase the resolution on IT portfolio elements, and enhances the Department's ability to make informed decisions on its IT application portfolio. The Department requires bureaus and offices to provide information on their application portfolio on all IT budget submissions. Application rationalization serves as the mechanism for collection of the detailed application inventory and is used as an authoritative repository of the Department's application portfolio. A data driven, standard approach has been employed to define, establish, and evolve common criteria for assessing the value of the investment and application portfolio. Application portfolio rationalization uses a series of criteria and attributes, such as age of the application, the frequency of usage, technical health (i.e., level of modernization), technical fit (i.e., alignment to IRM strategy and target architecture), IT security and privacy risks, number of duplications or redundancies with other applications to better manage each line-of-business IT portfolio.

The meta-data for the application inventory is utilized for analysis and review to help make recommendations to reduce the overall complexity of the application portfolio and identify duplication of commodity IT and enhance IT application management. The assessment criteria for assessing the application portfolio is aligned to the PortfolioStat review process to present a consistent and holistic view of the Department.

VII. Definitions

a. Major Investment

Per OMB, Major IT Investment refers to an IT investment requiring special management attention because of its importance to the mission or function to the government; significant program or policy implications; high executive visibility; high development, operating, or maintenance costs; unusual funding mechanism; or defined as major by the agency's capital planning and investment control process. OMB may work with the agency to declare IT investments as major investments. Agencies should consult with assigned OMB analysts regarding which investments are considered "major." Investments not considered "major" are "non-major."

The Department's Major IT investments include at least one of the following:

- Investments previously reported to OMB as major investments unless approved by the Department for non-major categorization or decommissioning;
- $5M annual cost or > $35M lifecycle cost;
- Importance to the mission or significant role in administration of programs, finances, property, or other resources;
- Integral part of the Department's Enterprise Roadmap;
- Mandated by legislation or executive order, or identified by the Secretary as critical;
- Greater than $1M DME in the current fiscal year;
- High risk as determined by OMB, GAO, Congress and/or the CIO; and

- E-Government, Departmental, cross-cutting/Enterprise-wide (across more than one office or bureau).

b. Development Modernization and Enhancement (DME)/Operations and Maintenance (O&M) and Steady State (SS)

The Department continues to make improvements in its downward trend of spending associated with development and innovation. As it stands, the Department's DME spending has increased from 3.4% in FY 2015 to a projected 9.8% in FY 2016. The Department remains low, however, among all agencies in the Federal Government. The first step to a more balanced IT portfolio is an accurate analysis of the Department's DME vs. O&M ratio. Therefore, it is essential that all bureau and offices accurately and consistently categorize IT spending.

Development Modernization and Enhancement (DME)
Per OMB, DME is the program cost for new investments, changes or modifications to existing systems to improve capability or performance, changes mandated by the Congress or agency leadership, personnel costs for investment and project management, and direct support. For Major IT investments, this amount should equal the sum of amounts reported for planning and acquisition plus the associated FTE costs reported in the Major IT Business Cases.
Examples:

- Changes that require changes to organizational and operational capabilities and/or existing business processes that may impact end-users;
- Development: the introduction of any new functionality or capabilities that don't currently exist whether internally owned and operated or outsourced to an external entity.
- Modernization: migrations to new computing platforms, e.g. virtualization, cloud computing migrations where new skills, equipment and software may be needed to operate the application, system or infrastructure.
- Enhancement: Upgrades to new versions of software (SW) including operating systems. Deployment of totally new hardware (HW) platforms which are significantly different from current operational HW where new skills, equipment and software may be needed to operate the application, system or infrastructure.
    - Outfitting a brand new office with IT;
    - Implementation of new performance monitoring tools; and
    - Significant efforts to consolidate circuits at co-located sites.

Operations and Maintenance (O&M) and Steady State (SS)
Per OMB, O&M and SS are the maintenance and operation costs at the current capability and performance level including costs for personnel, maintenance of existing information systems, corrective software maintenance, voice and data communications maintenance, and replacement of broken IT equipment. For Major IT investments, this amount should equal the amount reported for maintenance plus the associated FTE costs reported in the Major IT Business Cases.

Note: Technical refresh is considered to be Steady State. If there is a change to the scope, however, that work and associated costs should be categorized as DME.

Examples:

- Technical Refresh (swapping out old HW with newer HW to perform the same function but improve performance);
- Upgrading/adding bandwidth capacity;
- Patch Management;
- Release Management (installing new releases of the same SW vs. new/full versions);
- Clean up of existing directories performance;
- Monitoring and Management of existing network;
- Replacing or moving an existing office circuit from one location to another;
- IT service and support to end users; and
- Replacing defective HW with a new unit that is fundamentally the same but without defect.

c. Budget Classification Categories within the Summary of Funding Table

Budget Authority
Authority provided by federal law to enter into financial obligations that will result in immediate or future outlays involving federal government funds. The basic forms of budget authority include (1) appropriations, (2) borrowing authority, (3) contract authority, and (4) authority to obligate and expend offsetting receipts and collections. (OMB FY16 IT Budget - Capital Planning Guide).

Budget Resources
Budgetary resources refer to the amounts available to incur obligations in a given year. Budgetary resources consist of "new budget authority or unobligated balances of budget authority" (OMB FY14 Circular A-11) provided in previous years.

Funding Source
Funding Source refers to the direct appropriation or other budgetary resources an agency receives. Bureaus and offices need to identify the budget account and the budget authority provided. Report those budget accounts providing the financing for a particular investment. Where IT investment funding is provided in a manner such that "original paying accounts" within agencies are transferring resources to a different agency account which ultimately supports the IT investment (for example, when bureau accounts are paying into a central CIO office account or a WCF), the funding source provided in the Department IT Portfolio (formerly known as Exhibit 53) should be that of the account which ultimately pays contracts and other costs directly, for the investment, rather than the original paying accounts.

Budget Classification Categorization within the Summary of Funding Table
The Summary of Funding table in eCPIC, which feeds the Department IT Portfolio and Major IT Business Cases, collects funding at a detailed level of categories listed below:

- Government full time equivalents (FTE);
- Contract Services;
- Hardware Costs (HW);
- Software Costs (SW);

- Travel Costs;
- Rent, Communications, Utilities; and
- Other costs.

d. IT Infrastructure

The Department IT Infrastructure definitions can be found on the Interior Enterprise Architecture Share Point site at:
https://portal.doi.net/IEA/Shared%20Documents/Forms/AllItems.aspx

Note that these definitions have been updated since prior distributions. Bureaus and offices should review and refer to these definitions when updating costs.

Attachment B: FY 2015 CPIC Control Phase Requirements

I. Overview

All investments must be appropriately managed to ensure expected performance and results are achieved. The Department of the Interior (Department), as well as bureaus and offices share responsibilities for managing investment performance. There are a number of different processes and requirements in place to assess portfolio and investment level performance. Investments with performance issues may be subject to additional review.

This guidance document consists of eight sections:

I. Overview
II. FAC-P/PM Policy and Certification Requirements
III. Monthly IT Investment Performance Reporting Requirements
IV. IT Investment Performance Baseline Management
V. Major IT Investment CIO Evaluations
VI. IT Investment Artifact Requirements
VII. PortfolioStat Reporting Requirements
VIII. Quarterly IT Organizational Assessment Goal #4: Maximize the Value of IT

II. FAC-P/PM Policy and Certification Requirements

FAC-P/PM Policy: The purpose of the Federal Acquisition Certification for Program and Project Managers (FAC-P/PM) is to establish general training, experience, and development requirements for program and project managers (P/PMs) in civilian agencies based upon core competencies needed to successfully manage programs and projects. This certification program promotes continued development of essential knowledge, skills, and abilities for P/PMs to improve program outcomes.

The Office of Management and Budget (OMB) issued revisions to the prior 2007 FAC-P/PM policy[1] in a memorandum dated December 16, 2013[2]. This revised policy took effect on March 31, 2014. The following information pertains to the Department's standing policy[3] on FAC-P/PM requirements; however, the Department plans to release an updated policy to ensure consistency with OMB direction. The refreshed Departmental policy is under development and will be released in parallel with the deployment of the Federal Acquisition Institute Training Application System (FAITAS) here at the Department which is scheduled for Q1 of FY 2015. Until such time, bureaus and offices should continue to follow the requirements of the existing Departmental policy or contact their Bureau Acquisition Career Coordinator (BACC) for additional questions or assistance. The current Department BACC Point of Contact (POC) list can be found here.

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[1] http://www.whitehouse.gov/sites/default/files/omb/procurement/workforce/fed_acq_cert_042507.pdf
[2] http://www.whitehouse.gov/sites/default/files/omb/procurement/memo/fac-ppm-revised-dec-2013.pdf
[3] https://portal.doi.net/CIO/PMD/Policies%20and%20Guidance/FAC-PPM/FAC-PPM%20%205%2021%202010%20(2).pdf

Attachment B: FY 2015 CPIC Control Phase Requirements

Current P/PMs certified under the previous FAC-P/PM policy will retain their current level of certification, as long as their continuous learning requirements are up-to-date. PMs seeking a higher level certification after March 31, 2014 must meet the new requirements. Details of the refreshed policy are listed in the table below:

FAC-P/PM Policy as of April 25, 2007	FAC-P/PM Policy effective March 31, 2014
Applicability:	
At a minimum, P/PMs assigned to programs considered major acquisition must be senior-level certified.	All acquisition P/PMs must be certified at the appropriate level, as determined by their agency. Considerations for determining the appropriate level have been added.
Allowability of Waivers:	
The Chief Acquisition Officer (CAO) could waive all or part of the FAC-P/PM requirements.	Extensions to the required certification date by the CAO are allowed, but waivers are not.
Competencies:	
Competencies were provided for each certification level.	Competencies have been updated for each of the three certification levels, and performance outcomes for competencies at each level have been defined, which better describes the required knowledge, skills and abilities needed for successful performance.
Training Requirements:	
Inflexible minimum hours of training and learning outcomes areas were tied to various functional areas.	Training requirements are more flexible with requirements ranging from approximately 80 - 120 hours collectively for each of the three levels, depending upon the instructional design and method of training delivery. Training can be tailored more to the individual and his/her competency gaps. Performance outcomes have been added.
Training Classes:	
Federal Acquisition Institute (FAI) developed a P/PM training blueprint to guide P/PM candidates to appropriate training vendors and classes.	FAI has developed and identified more training around the certification making it easier for agencies and P/PM candidates to determine what classes are available. Sample curricula are provided along with various training options from FAI, Defense Acquisition University (DAU), the Veteran's Affairs (VA) Acquisition Academy and commercial vendors.
Senior-Level Experience:	
Senior/expert P/PMs were required to have four years of program and project management experience on federal projects and/or programs.	Senior-level P/PMs are required to have four years of program and project management experience within the last ten years, including one year of experience on federal programs and/or projects. This experience can be obtained as a federal employee or as a contractor.
Core-Plus Specialized Certification:	
None available	General core-plus requirements have been added to the core FAC-P/PM certification along with specific requirements for a core-plus IT certification.
Management Information System:	
The Acquisition Career Management Information System (ACMIS) was the official system of records for the FAC-P/PM program.	The Federal Acquisition Institute Training Application System (FAITAS) is the official system of records for the FAC-P/PM program. All acquisition P/PMs were required to be registered in FAITAS by October 1, 2013.

Attachment B: FY 2015 CPIC Control Phase Requirements

Certification Requirements: Program and Project Managers of major investments and projects must attain FAC P/PM certification within one year from date of assignment to the project. Per Department
memorandum dated May 21, 2010, the Senior Procurement Executive (SPE) and the Department's Chief Information Officer (CIO) requested all bureaus and offices to begin working within their organizations
to implement the FAC-P/PM policy with their program and project managers identified in their IT Business Cases (formerly known as the Exhibit 300s).

The Department's FAC-P/PM certification requirements apply to individuals with the authority and responsibility for major information technology (IT) and non-IT investments. The FAC-P/PM is not a substitution for functional area competency or training requirements. For certification under the Department FAC-P/PM policy, bureaus and offices must apply the following minimum requirements to:

- Individuals with significant involvement in one or more phases of the acquisition investment process (initiation, conceptualization/design, development, implementation, modification, maintenance, evaluation, disposal);
- Managers with authority and responsibility for overseeing multiple phases of the acquisition process;
- Individuals responsible for leading cross-agency or acquisition investment programs and responsible for the majority of its life-cycle;
- Individuals responsible for leading, coordinating, and managing integrated project teams for acquisition investments; and
- Individuals participating on an integrated project team or a phase of the investment lifecycle with aspirations for career development as a program or project manager.

The Department determines the appropriate level of FAC-P/PM certification. To determine the appropriate level, the Department considers the following:

- Business risk (as it relates to cost and schedule of the project or program);
- Technical risk (which relates to the performance attributes of the acquired item that current technology can deliver);
- Criticality of the project or program to the Department's mission;
- Level of stakeholder interest and oversight; and
- Complexity of the project or program.

Training: Each certification level requires a range of approximately 80-120 hours of training, depending upon the instructional design and method of training delivery.

Experience: Experience requirements for each level of certification are:

- **Entry-Level P/PM** - one year of project management experience within the last five years.
- **Mid-Level P/PM** - two years of program or project management experience within the last five years.

- **Senior-Level P/PM**- four years of program or project management experience, which shall include a minimum of one year of experience on Federal programs and projects, within the last ten years.

Application Process: Individuals seeking FAC-P/PM certification are responsible for preparing an application package for submission to his or her supervisor. The application package must include the application form[4], FAITAS record, and supporting documentation, including but not limited to project experience, copies of training certificates, and project involvement.

Supervisors are responsible for verifying the accuracy and completeness of application packages, endorsing or disapproving them, and submitting packages through customary correspondence channels to the Bureau Acquisition Career Coordinator (BACC) or Information Technology Career Manager (ITCM).

Maintenance Requirements: To maintain certification, professionals at every FAC-P/PM level are required to earn 80 Continuous Learning Points (CLPs) every two years beginning with the first fiscal year following the issuance of the FAC-P/PM certification. CLPs can be earned after certification. Continuous learning activities related to program and project management activities include, but are not limited to, the following:

- Training activities, such as teaching, self-directed study, and mentoring;
- Courses completed to achieve certification at the next higher level;
- Professional activities, such as attending/speaking/presenting at professional seminars/symposia/conferences, publishing and attending workshops;
- Educational activities, such as formal training, and formal academic programs; and
- Experience such as developmental or rotation assignments.

Reinstatement Process: Applications for reinstatement of lapsed certifications must be submitted using the application form. Reinstatement applications and supporting documentation should be submitted to the bureau and office functional lead or designee. The SPE and the CIO are responsible for the issuance of non-IT and IT FAC-P/PM reinstatement certification, respectively. Program and Project Managers can avoid lapsed certification by earning and documenting 80 CLPs every two years.

Waivers: The Department memorandum, "Federal Acquisition Certification"[5], dated September 11, 2008, delegated the issuance of waivers and the management of the waiver process to the SPE for managers of non-IT projects, and the CIO for managers of IT projects. The CIO or SPE may waive the requirement for obtaining FAC-P/PM certification prior to appointment as a Program or Project Manager upon the request of the bureau and/or office Director or the designee, on a case-by-case basis. Waivers will only be considered in very compelling and well-documented circumstances. This authority is not delegable. Waivers are not transferable to other agencies.

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[4] https://portal.doi.net/CIO/PMD/Policies%20and%20Guidance/Forms/AllItems.aspx?}

[5] http://www.doi.gov/pam/programs/acquisition/upload/DIAPR-2009-13.pdf

Waiver Process: The waiver request form can be found here. Requests for a waiver for the FAC-P/PM certification must be forwarded through the employee's supervisor for endorsement, the BACC or Bureau Information Technology Career Coordinator (BITCC), and the bureau and office functional lead to the SPE or CIO, as appropriate. Waiver packages must include:

- Completed waiver application request form;
- Program/Project title and summary of program or project;
- Written justification that includes reasons for and conditions of the waiver;
- Analysis of Program/Project Risks;
- Appropriate risks mitigation strategies (to ensure effective program/project management);
- Documentation and justification of the employee's background and experience in the required competencies, and documentation to support plan for completion of the required competencies;
- Outline of actions that will be taken if the conditions of the waiver are not met; and
- Concurrence and a recommendation for approval of the waiver from the bureau and office functional lead.

The employee's supervisor must assess the skills and competencies of the employee and develop a plan for enhancing or adding to the employee's competencies. The supervisor must forward the waiver request package through the endorsement process as described above. The waiver request will be reviewed by the Acquisition Career Manager (ACM) or the Information Technology Career Manager (ITCM), as appropriate, to determine whether granting the waiver is in the best interest of the Department and forward the waiver package, along with the recommendation, to the SPE or the CIO, as appropriate. In the event the ACM or the ITCM requires additional information to make a determination, the package will be returned to the employee through the review and endorsement channels, with a request to furnish supporting documentation.

Reciprocity: The FAC-P/PM certification is transferable to other Federal agencies except those subject to the Defense Acquisition Workforce Improvement Act (DAWIA). Interior will accept other civilian agencies' FAC-P/PM certifications as evidence that a Program or Project Manager meets and has maintained the core project management training and experience. To support the Department's acceptance of transferring an employee's certification and maintenance, it must be documented and accurately recorded in FAITAS. Further, the Department will adhere to FAI guidelines to determine if non-Federal government credentials will be eligible for full or partial consideration under the FAC-P/PM. Additional training may be required for issuance of the Department-specific FAC-P/PM certification in all of the above-mentioned categories.

III. Monthly IT Investment Performance Reporting Requirements

By the **first Monday of each month**, all major IT investments are required to report investment performance data to the IT Dashboard[6] through eCPIC, the Department's IT portfolio management tool, in compliance with the following schedule:

[6] http://www.itdashboard.gov/

Attachment B: FY 2015 CPIC Control Phase Requirements

Timeframe	Reporting Deadline
October or November Actuals	December 1, 2014
November or December Actuals	January 5, 2015
December or January Actuals	February 2, 2015
January or February Actuals	March 2, 2015
February or March Actuals	April 6, 2015
March or April Actuals	May 4, 2015
April or May Actuals	June 1, 2015
May or June Actuals	July 6, 2015
June or July Actuals	August 3, 2015
July or August Actuals	September 7, 2015
August or September Actuals	October 5, 2015
September or October Actuals	November 2, 2015

The three required reporting areas are:

1. **Cost and Schedule Performance Data (IT Major Business Case Details (formerly the Exhibit 300B) - Table B.2:** All major IT investments are required to report on cost and schedule status related to their performance baselines by updating the IT Major Business Case Detail B.2 Cost and Schedule Table. Updates should reflect the most current information available. Estimated actuals can be provided in place of cost and schedule actuals, but will need to be updated as soon as the finalized actuals are known. All major investments should be reporting on data no older than two months prior to the reporting month. Updating the IT Major Business Case Detail B.1 Project Table will prompt a rebaseline; therefore, it should only be updated as needed and not necessarily on a monthly basis.

   Corrective Action Reports: Major IT investments with cost and/or schedule variances exceeding +/-10% in eCPIC are required to submit a Corrective Action Report (CAR) and may be subject to a Project Review led by the OCIO. The CAR template is available on the IT Portfolio Management SharePoint site[7] and after completion, should be posted with the investment name and date.

2. **Operational Performance Metrics:** All major IT investments must report a minimum of five results specific operational performance metrics in the Major IT Business Case Detail C.1A Operational Performance Table which are appropriate to the mission of the investment and its business owner or customer. There must be a minimum of three Customer Satisfaction (Results) metrics, with at least one reflecting customer results; another should reflect how processes and activities were improved to produce these results (e.g. productivity); and the other should reflect a technology metric (e.g. reliability and availability). At least one of these metrics should have a monthly reporting

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[7] https://portal.doi.net/CIO/ITPM/Pages/Control.aspx?RootFolder=%2FCIO%2FITPM%2FDocuments%2FTemplates&FolderCTID=0x012000E24FD9DC35E6634EA3AA2E4A645EBD69&View={61908E1E-48D8-49B4-B279-E2982646DD62}

frequency. There must be a minimum of one Strategic and Business Results metric that measures how this investment contributes to the Strategic or Business need of the Agency. There should also be a minimum of one Financial Performance metric that measures the reasonableness and cost efficiency of the investment. Actual results for metrics with a monthly reporting frequency should be recorded in the IT Major Business Case Detail C.1B Operational Performance Actual Results Table. At the appropriate frequency, the actual results for the other metrics should also be reported in the IT Major Business Case Detail C.1A Table.

3. **Validate Investment Data is Current:** The "investment data is current" field must be checked for major IT investments on the Initiative Definition page in eCPIC on a monthly basis to validate the investment's data.

IV. IT Investment Performance Baseline Management

On March 30, 2012, OCIO issued OCIO Directive 2012-006, "Information Technology Investment Performance Measurement Baseline Management Policy[8]." All Department Major IT investments require a baseline reflecting the known lifecycle. Rebaselining is required in response to changed requirements, funding changes, or realization that the operative implementation plan is not achievable. A rebaseline constitutes a revised implementation plan with a new milestone schedule. Bureaus and offices must submit all performance measurement baseline change requests through the Performance Baseline Change Request (PBCR) process within eCPIC regardless of the change type and impact.

Rebaselines exceeding a +/-10% change to the performance measurement baseline, or a major change to the technical approach will require IEC approval. Once the new performance baseline is approved, the Department's OCIO shall update the Federal IT Dashboard within 30 days. The update to the IT Dashboard is considered notification to OMB, and the Department's bureaus and offices should begin to report against the submitted performance measurement baseline. **Compliant Rebaseline requests must be submitted by June 30, 2015** in order to be processed before the BY 2017 IT budget submission to OMB. PBCRs will not be processed in August or September in order to effectively meet the BY 2017 IT Portfolio and IT Major Business Case submission deadlines.

In addition to the proposed baseline submitted in eCPIC, the following associated documents are also required:

1. **Summary of Funding and Funding Source tables** exported from eCPIC to Excel to match the funding requested in the baseline change request. Cells that have been edited should be highlighted yellow;

[8] https://portal.doi.net/CIO/ITPM/DOI%20Policies%20Procedures%20and%20Resources/DOI%20Policies/2012-0330%20OCIO%20Directive%202012-006_IT%20Investment%20Peformance%20Measurement%20Baseline%20Management%20Policy.pdf

2. **Operational Performance Metrics table** exported from eCPIC to Excel to reflect the new operational performance metrics associated with the proposed baseline; and
3. **IEC PowerPoint template** if there is greater than a +/- 10% change to the performance measurement baseline or a major change to the technical approach.

V. Major IT Investment CIO Evaluations

On a monthly basis, the Department's CIO performs a review of the Major IT Investment CIO Evaluations updated on the IT Dashboard. OMB's CIO Rating criteria[9] is consulted, while also leveraging data already being measured. The rating scale of 1-5 indicates the associated risk of the investment with a rating of 1 being the highest level of risk, and a rating of 5 being the lowest level of risk. If bureaus and offices wish to update their CIO Rating, they may submit a CIO Rating Change Request using the template found on the IT Portfolio Management SharePoint site[10] and email it to ocio_ppm_team@ios.doi.gov.

VI. IT Investment Artifact Requirements

All major IT investments should develop and be able to produce the following artifacts for BY 2016 Passback Submission in early 2015. Bureaus and offices must upload their artifacts to the appropriate bureau and office folders on the IT Portfolio Management Share Point site.[11] Bureaus and offices are responsible for providing updated versions (including date of last update) as significant changes are made or as available throughout the investment's lifecycle. The Department Planning and Portfolio Management Division (PPMD) team will upload and submit the required artifacts to OMB.

Required Artifacts To Be Uploaded Into SharePoint	Update Frequency
Investment charter, including the Integrated Project Team (IPT) (if/when projects are added to the investment, Investment charter should be updated).	Submit once, update as needed.
Investment-level alternative analysis and benefit-cost analysis.	Prior to selecting a solution, every 3 years once operational.
Risk management plan.	Every two years.
Operational analyses (for operational or mixed life cycle systems).	Annually.
Post implementation review results (investment level or project specific).	As necessary within 6 months after implementation.
Documentation of investment re-baseline and management.	As applicable.

[9] https://itdashboard.gov/faq#faq7

[10] https://portal.doi.net/CIO/ITPM/Documents/Templates/CIO_Rating_Change_TEMPLATE_Nov2013.xlsx

[11] https://portal.doi.net/CIO/ITPM/Investment%20Artifacts/Forms/Active%20Documents.aspx

Acquisition Plan.	Annually.
System Decommissioning artifacts: • Conversion Plan; • Decommissioning Plan; • Decommissioning Plan Approval; • Decommissioning Certificate; and • Post Decommissioning Review.	Applicable if system is decommissioning. Note: The first three documents should be completed at the start of the decommissioning. The second two documents cannot be done until the decommissioning is complete.

This is not an exhaustive list of project/investment artifacts that should be created and managed. Please consult OMB's Capital Programming Guide and Official Guidance for Agency IT Portfolios and IT Major Business Cases for further details and definitions of the artifacts. Additionally, the Department has issued the following policies that relate to project/investment management and artifact compliance:

1. OCIO Directive 2008-016 Integrated Baseline Review Policy with Attachment 1 Project Plan Standards Attachment.[12]
2. DOI Systems Development Lifecycle.[13]

VII. PortfolioStat Reporting Requirements

In March 2012, OMB established PortfolioStat accountability sessions, engaging directly with agency leadership to assess the effectiveness of current IT management practices and address opportunities to improve management of IT resources. As stated in the PortfolioStat guidance, M-13-09[14] and M-14-08[15] OMB established an Integrated Data Collection (IDC) channel for agencies to report structured information. Agencies will use this channel to report agency progress in meeting IT strategic goals, objectives and metrics as well as cost savings and avoidances resulting from IT management actions on a quarterly basis (February, May, August, November). Bureaus and offices will be provided an Excel workbook to submit updates to their reported data.

Based on current requirements, the data and input collected will consist of the following areas:

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[12] https://portal.doi.net/CIO/ITPM/DOI%20Policies%20Procedures%20and%20Resources/DOI%20Policies/2008-016%20Integrated%20Baseline%20Review%20Policy.pdf

[13] https://portal.doi.net/CIO/ITPM/DOI%20Policies%20Procedures%20and%20Resources/DOI%20Policies/2005-0930%20Implementation%20Information%20Technology%20Solution%20Development%20Lifecycle%20Guide(SDLC)%20Version%201.0.pdf

[14] http://www.whitehouse.gov/sites/default/files/omb/memoranda/2013/m-13-09.pdf

[15] http://www.whitehouse.gov/sites/default/files/omb/memoranda/2014/m-14-08.pdf

- **Inventory of Mobile Devices and Wireless Service Contracts:** Bureaus and offices must provide data for all wireless service contracts and supported mobile device hardware (mobile phones, tablets, and air cards) within the agency.
- **Cost Savings/Avoidance Decisions:** The provided data is leveraged as a data source for our $100M IT reduction commitment to OMB. It is imperative that Capital Planners collaborate within their respective bureau/office to ensure they are capturing cost savings/avoidances and are able to explain the details regarding the initiative that resulted in an avoidance/savings.
- **FedRAMP:** Identify all cloud systems that your agency has a relationship with and the ATO status of those systems.
- **Open Data:** Bureaus and offices must create and maintain an Enterprise Data Inventory for the following:
    - Public Data Listing;
    - Process to engage with customers to help facilitate and prioritize data release;
    - Document if data cannot be released; and
    - Roles and responsibilities for promoting efficient and effective data release.
- **Transactional Services:** Select and identify 10 of the most frequently used services offered by your agency.
- **Benchmarking Federal IT:** Bureaus and offices must provide data related to the following:
    - Help Desk;
    - Network Storage;
    - Desktop Services; and
    - Email.

VIII. Quarterly IT Organizational Assessments Goal #4: Maximize the Value of IT

On a quarterly basis, bureaus and offices are required to submit a self-assessment per the criteria outlined in memorandum, "Fiscal Year 2014 Office of the Chief Information Officer Information Resource Management Organizational Assessment." OCIO will perform assessments resulting in a rating for each bureau and office. The 4th Quarter ratings will be incorporated into the Department's Organizational Assessment for use in the Senior Executive Service (SES), Senior Level (SL), and Scientific and professional (ST) performance review process. The criteria which relate to Strategic Goal #4, "Maximize Value of Investments" are listed below:

- Increase the number of FAC-P/PM certified project managers assigned to Major IT Investments.
- Increase Major IT investment compliance with OMB and OCIO project management artifact requirements. The following artifacts are required:
    - Risk management plan;
    - Investment charter, including IPT (project charter is no longer required, though if there is a new project authorized, the investment charter should be updated to reflect this authorization);
    - Investment-level alternative analysis and benefit-cost analysis;
    - Operational analyses (for operational or mixed life cycle systems);

- Post implementation review results (investment level or project specific);
- Documentation of investment re-baseline and management;
- Acquisition Plan; and
- System Decommissioning Artifacts including:
    a. Conversion plan;
    b. Decommissioning plan;
    c. Decommissioning plan approval;
    d. Decommissioning certificate; and
    e. Post decommissioning review.

- Increase strong Major IT investment management execution to ensure IT investments are delivering expected outcomes on time, within budget (within acceptable +/- 10% threshold) and are reporting against a current performance baseline within eCPIC;
- Increase the % of Agency IT Portfolio Summary (formerly Exhibit 53) Part 1 Mission IT investments within the bureau and office portfolio that have applications associated with them;
- Increase the % of bureau/office systems documented in CSAM is mapped to IT investments; and
- Increase the % of all required fields populated within the Portfolio Profiles (BY 2016 Passback in Q2 2015, BY 2017 Formulation in Q2 2015, and BY 2017 Official Submission in Q4 2015.)

Overall Status Rating:
Methodology: For each of the six (6) metrics, thirty (30) is the maximum number of points attainable, with five (5) points assigned for each "Green" rating. Metrics rated as "Yellow" will receive four (4) points each and metrics rated as "Red" will receive three (3) points each. Points for each of the six metrics will be totaled and divided by thirty to derive the "Overall status rating" for the quarter.

Rating	Points	Gradations
Green	5 points	If 27-30 points, (90% or above)
Yellow	4 points	If 24-26 points, (80% to 89.9%)
Red	3 point	If 23 points or below (below 80%)
Total points	30 points	Maximum points that can be attained

The "FY15 Criteria and Assessment Methodology[16]" outlines how the PPMD team conducts an evaluation and issues a rating based on a red/yellow/green gradation scale.

[16] https://portal.doi.net/CIO/ITPM/Pages/Control.aspx?RootFolder=%2FCIO%2FITPM%2FDocuments%2FOrganizational%20Assessments&FolderCTID=0x012000E24FD9DC35E6634EA3AA2E4A645EBD69&View={61908E1E-48D8-49B4-B279-E2982646DD62}