

Office of the Procurement Executive / Office of Acquisition Management



**Office of Acquisition Management
IT Governance Plan**

Executive Summary

December 16, 2004

1.0 Introduction

In an effort to help support the vision of the Commerce Business Environment (CBE) and to create controls over IT change requests and purchases, the Office of Acquisition Management and Financial Assistance (OAMFA) has developed an IT governance plan. The plan establishes a framework for solid decisions, facilitates improved communications among system stakeholders, and standardizes the manner in which IT business is conducted within OAMFA.

2.0 Why was the OAMFA IT governance plan developed?

One of the main risks of how OAMFA's systems are currently managed is that there is a failure to facilitate communication and coordination among the Department's teams. Changes to one system are not presently evaluated, approved and accommodated by other system owners. Under the current OAMFA systems management approach, OAMFA's procurement vision is put at risk.

Currently, OAMFA's systems are managed by individual system owners in a decentralized structure. System dependencies are often not understood before changes are made or, more often, system owners are not given enough time to prepare for the effects of another system's changes. Without a structured communications process, there have historically been last-minute notifications of changes to other system owners. Enhancements and change requests are not managed across the portfolio resulting in complications for other OAMFA systems and often are not documented at all.

Another potential issue is that changes can be made without proper analysis of OAMFA's budget constraints. System owners may only be considering their own budget when making decisions while senior management may prefer that an analysis of the proposed changes takes place before spending that money. Additionally, there is not a process where a cross-team review of change requests is made before a change is made to determine if the changes make sense from a functional and strategic perspective. Currently, there is a reactive process in place where a change is made to a system and then other systems are forced to react, often without much advanced warning.

3.0 What we did: Summary of OAMFA IT Governance Plan

1. The first step of OAMFA's IT governance plan will involve a change in how OAMFA's systems are managed. OAMFA's systems are currently owned by a variety of different groups which has led to a number of challenges. The CASD Director must have stronger input than is currently in place in all OAMFA systems and must be aware of the latest developments for all of OAMFA's systems. Therefore, all OAMFA systems management responsibility would fall under the guidance of the CASD Director.
2. The OAMFA IT governance plan contains information on setting up an Internal Change Control Board (ICCB). The ICCB will handle OAMFA Infrastructure issues such as Inventory, IT Purchase Requests, and the structure of the OAMFA shared drive. The ICCB is described further in Section 4.0 of this Executive Summary.
3. The plan contains information on setting up an External Change Control Board (ECCB) to review change requests to existing OAMFA systems and to hear proposals for new

OAMFA systems. The ECCB is described in more detail in Section 5.0 of this Executive Summary.

4. The complete plan, which is in a Draft stage, is available upon request. The plan not only expands upon what is written in this Executive Summary, but it also provides other information including the following:

- Information on defining IT Governance, system owners and system managers
- Training requirements for system owners and system managers
- Thresholds for when change control boards should meet
- Clarification on who should fund system change requests
- Defines, in detail, the systems change request process, new systems request process, and IT purchase request process
- Roles and responsibilities of all stakeholders
- Stakeholder analysis
- Summaries of OAMFA systems

4.0 Internal Change Control Board (ICCB)

The Internal Change Control Board (ICCB) will be chaired by the CASD Director and will manage internal OAMFA Infrastructure issues. This board will discuss all change requests related to OAMFA Infrastructure items that pass threshold criteria and will make decisions on whether the change requests should be approved or denied. The initial meeting of the ICCB will be established by the CASD Director. A flow diagram of the OAMFA Hardware/Software purchase request process can be seen in the OAMFA IT governance flow diagrams document. The Internal Change Control Board (ICCB) will be comprised of the following people:

- CASD Director
- Grants Director
- CAPPs Director
- CAS Director
- OAMFA Technical PM
- Program Management Support Manager
- OAMFA Administrative Officer

In terms of the governance plan, OAMFA IT infrastructure is comprised of the following areas:

Inventory

OAMFA personnel will follow QAM ADM-04 for check-in/check-out procedures of OAMFA equipment. This QAM can be found in Appendix I: QAM ADM-04 of the governance plan.

IT Purchase Requests

All IT purchase requests within OAMFA, including requests to purchase new software, hardware and peripherals, should follow the procedures established under QAM ADM-01, which can be found under Appendix J: QAM ADM-01 of the governance plan. If the request is beyond the threshold value of \$500, the requestor will need to present the request to the OAMFA Internal Change Control Board. The ICCB will meet and provide a decision on whether to approve the request.

Shared Drive

OAMFA is examining best practices to determine an effective solution for organizing the shared 'G' drive. The solution will include naming conventions, folder structure recommendations as well as search capabilities.

IT Steering Committee

CASD serves as a liaison for OAMFA at the DOC IT Steering Committee meetings. CASD ensures that changes that are requested at this meeting are made throughout OAMFA.

5.0 External Change Control Board (ECCB)

The External Change Control Board (ECCB) will evaluate new projects and major software changes to existing OAMFA systems and manage the release schedules of OAMFA systems. For software changes, the ECCB will have the authority to make final decisions. For new projects, the ECCB will make recommendations to OAMFA's Deputy Director on courses of action and will look for the Deputy Director to make ultimate recommendations. If a new project passes the approval of the ECCB and the Deputy Director, the project will be presented to the O/S ITRB.

The External Change Control Board will also be chaired by the CASD Director and will be comprised of the following people:

- CASD Director
- OAMFA Technical PM
- CAPPs Director
- CAS Director
- Grants Director
- NOAA Representative
- NIST Representative
- Census Representative
- OS Representative
- Program Management Support Manager
- OCS representative for OAM
- OS CIO Representative

The ECCB will evaluate whether change requests meet the strategic and operational goals of OAMFA, fit within budget constraints and make functional sense for the requesting system. Flow diagrams of the OAMFA systems change request process and the OAMFA new systems proposal process can be found in the OAMFA IT governance flow diagrams document.

6.0 Next Steps

1. Incorporate any feedback from the CIO office and the O/S ITRB into the OAMFA IT governance plan (CASD Technical Manager/Booz Allen Hamilton)
2. Submit plan to all affected stakeholders to solicit input to the plan (CASD Director)
3. Meet with all affected stakeholders to hear feedback and to achieve support for the plan (CASD Director)
4. Establish initial meetings of the ICCB and the ECCB (CASD Director)