


VA INFORMATION RESOURCES MANAGEMENT (IRM) FRAMEWORK

1. **REASON FOR ISSUE:** This directive establishes policy for the implementation of an integrated Department-wide IRM framework.
2. **SUMMARY OF CONTENTS/MAJOR CHANGES:** This directive establishes policy and responsibilities for planning, budgeting, procurement and management-in-use of information technology (IT) under the direction of the Chief Information Officer (CIO). This policy:
 - a. Describes a management framework as it relates to IRM planning, budgeting, procurement and management-in-use of information systems.
 - b. Defines the role of the Chief Information Officer (CIO)
 - c. Adopts the OMB Capital Programming Guide Version 1.0, July 1997 as the procedures to be used when implementing this policy.
3. **RESPONSIBLE OFFICE:** Office of Information Resources Management, Policy and Standards Service (045A3).
4. **RELATED PROCEDURES:** OMB Capital Programming Guide, Version 1.0, July 1997. This document can be found electronically at the OMB Home Page: <http://www.whitehouse.gov/WH/EOP/omb>. From that location click on OMB documents. Then click on Circulars. Next click on numerical sequence. Click on Supplement to Part 3 under A-1 1
5. **RESCISSIONS:** MP-1, Part II, Chapter 29, dated October 4, 1985; Chapter 20, dated December 22, 1988; MP-6, Part I, Chapter 1, dated August 21, 1984; Chapter 3, dated September 11, 1987; Chapter 4, dated June 3, 1985; Chapter 5, dated February 5, 1986; Chapter 6, dated April 12, 1985; Chapter 7, dated September 11, 1987; and Chapter 13, dated February 5, 1986; OI-1, Part VI, Chapter 11, dated April 19, 1984.

CERTIFIED BY:



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VA INFORMATION RESOURCES MANAGEMENT (IRM) FRAMEWORK

1. **PURPOSE AND SCOPE.** This directive defines an integrated VA IRM Framework process that consists of planning, budgeting, procurement and management-in-use of VA's information technology (IT) investments. This Framework requires that IT investments be measured in relationship to their support of VA's mission, program goals, and objectives.

2. POLICY

a. VA officials will plan comprehensively for all IT activities, including identifying objectives that are expressed in quantifiable and measurable form.

b. VA officials will establish and maintain a process for executive decision-making on IT investments recommended by the Chief Information Officer (CIO) Council.

c. VA officials will determine, before making an investment in a new information system:

(1) Whether the function to be supported by the system should be performed by the private sector, and, if so, whether any component of the Department performing that function should be converted from a governmental organization to a private sector organization; or

(2) Whether the function should be performed by the Department and, if so, whether the function should be performed by a private sector source under contract or by Department personnel.

d. VA officials will comply with all applicable statutes, Federal regulations, policies and guidelines, and VA regulations and policies pertaining to IT resources when planning, developing, acquiring, implementing, maintaining, disposing, managing and assessing VA's IT activities.

e. VA officials will comply with the National Institute of Standards and Technology (NIST) Applications Portability Profile for Open Systems when economically and technically feasible, by ensuring that all IT acquisition and development are interoperable, portable and scaleable.

f. VA officials will share IT resources, processes and services when it is an economically and technically sound business practice.

g. VA officials will ensure the integrity and security of automated information and public dissemination of all information maintained in IT investments.

h. VA officials will maintain complete and accurate data on all personnel and non-personnel costs associated with IT activities.

i. VA officials will ensure that IT investments are acquired, developed and implemented in a timely fashion, meet user requirements, and deliver intended benefits to the Department through coordinated decision-making about the information, human, financial and other supporting resources.

j. VA will maintain a CIO Council to guide and oversee the use of IT resources, identify IT to improve the quality and efficiency of services to veterans, recommend IT investments and improvements in VA's business processes, and establish permanent or ad hoc working groups, under charter, as appropriate.

k. VA officials will ensure that all staff receive IT training necessary to perform the responsibilities of their positions prior to IT investment implementation and sustainment training after implementation to maintain security over sensitive systems.

l. VA officials will assess, on a continuing basis: the experiences of other private and public sector organizations in streamlining and revising work processes relating to development, deployment and use of IT.

m. VA officials will apply performance measures to IT. Performance measures will be outcome-oriented, significant, linked to responsibility and based on credible information.

n. VA officials will review IT investments based on customer/user satisfaction, strategic impact and effectiveness, internal business performance, and innovation.

3. RESPONSIBILITIES

a. **Secretary of Veterans Affairs:** The Secretary will designate a Chief Information Officer (CIO) who is responsible for the Department's IT program.

b. **The CIO will:**

(1) Serve as the principal advisor to the Secretary on all VA IT matters.

(2) Coordinate and manage the Department-wide implementation of the Clinger-Cohen Act of 1996 (Pub. L. 104-106, Division E, as amended) and the Paperwork Reduction Act of 1995 (44 U.S.C. Part 35), including implementing applicable Government-wide and VA information policies, principles, standards, and guidelines. These policies, standards and guidelines will address information collection, performance measurements, paperwork reduction, statistical activities, records management activities, privacy and security of information, sharing and dissemination of information, acquisition and IT use.

(3) Ensure periodic reviews of IT investments are conducted to validate estimated benefits and document effective management practices for use throughout the Department

(4) Determine, before making an investment in a new information system

(a) Whether the function to be supported by the system should be performed by the private sector, and, if so, whether any component of the Department performing that function should be converted from a governmental organization to a private sector organization; or

(b) Whether the function should be performed by the Department and, if so, whether the function should be performed by a private sector source under contract or by Department personnel.

(5) Promote the use of modular contracting, where appropriate, as a way of managing risk, in the acquisition of IT.

(6) Implement, as part of the budget process, a process for analyzing, tracking, and evaluating all major capital investments made by the Department for IT, including projected and actual costs, benefits and risks.

(7) Facilitate the development, implementation and maintenance of a sound and integrated IT architecture for the Department.

(8) Promote the effective and efficient design and operation of major IT management processes for the Department, including improvements to work processes.

(9) Oversee the IT planning process and publish the updated five-year IT plan annually.

(10) Serve as liaison with the Office of Management and Budget (OMB), the General Services Administration (GSA), the General Accounting Office (GAO) and other internal and external organizations on IT-related matters.

(11) Disseminate, coordinate, and submit VA responses to requests from external organizations on proposed Government-wide IT policy and standards.

(12) Submit periodic reports, as required, to oversight bodies regarding the status of major automation projects, decisions and outputs of the CIO Council.

(13) Approve/disapprove waivers of VA IT policies as appropriate.

(14) Approve/disapprove requests for waivers of other Government-wide policies and/or standards as appropriate. Prepare requests and notices to the appropriate oversight authorities for all waivers, as required by the Government-wide policy in question.

(15) Ensure public access to and sharing of VA information through a Government-wide distribution system.

(16) Chair the CIO Council. The Council provides guidance and oversight, and makes recommendations on IT capital investments to improve business processes, eliminate duplication, and generally unify the IT activities.

(17) Ensure all reports, plans, etc., required by law or regulation will be submitted in a timely- manner.

(18) Approve the appointment of the Administrations CIOs.

c. Administration Heads, Assistant Secretaries, and Other Key Officials. These officials will:

(1) Comply with all applicable Federal and VA policies, regulations, standards and guidelines relative to the development, acquisition, implementation, deployment, maintenance, management and assessment of VA's IT resources.

(2) Ensure that organizational plans are compatible with corporate VA plans

(3) Ensure all reports, plans, etc.: required by law or regulation will be submitted to the CIO in a timely manner.

(4) Determine, before making an investment in a new information system:

(a) Whether the function to be supported by the system should be performed by the private sector, and, if so, whether any component of the Department performing that function should be converted from a governmental organization to a private sector organization; or

b) Whether the function should be performed by the Department and, if so, whether the function should be performed by a private sector source under contract or by Department personnel.

(5) Submit budget projections for IT investments and an IT operating plan to the Department CIO annually for approval.

(6) Develop and maintain an IRM program that identifies the IT investments necessary to accomplish the Administration or Staff Office mission

(7) Establish acquisition and implementation priorities for effectively designing and delivering information technology products and services in support of Administration programs.

(8) Ensure the use of standards and technical architectures that enable exchange of data within VA and with other Federal agencies.

(9) Provide representatives to serve on working groups or committees sponsored by the CIO Council.

(10) Submit requests for waivers of policy and/or standards. The request for waiver should include notification correspondence, technical documentation, description of IT project methodology being deployed, and sufficient analysis to justify the waiver.

(11) Establish goals and apply sound business process improvement or business reengineering methods to enhance the benefits of IT.

(12) Develop sound decision criteria and performance measures for all development and acquisition of information systems and IT initiatives.

(13) Direct and/or conduct, on a continuing basis, assessments of information technology-related activities to include acquisitions, security, records management, customer satisfaction, communication requirements, training, and human resource requirements. Ensure that recommendations and follow-up actions resulting from a completed assessment are implemented on a timely basis,

(14) Develop and maintain an ongoing process consistent with this Framework to plan, control and evaluate IT investments,

(15) Conduct in-process reviews and post-implementation reviews for IT investments.

d. The **Under Secretary for Health and the Under Secretary for Benefits:** In addition to the responsibilities listed in Paragraph c. Administration Heads, Assistant Secretaries, and Other Key Officials, these officials will each designate a CIO to provide full-time direction, leadership and management over IT activities at the Administration level. Specifically, these CIOs will serve as the principal advisors to the Department CIO on all Administration IT matters.

4. REFERENCES

a. Clinger-Cohen Act of 1996 Pub. L. No. 104-106, Div. E. (codified as amended in scattered sections of 40 U.S.C. and 41 U.S.C.).

b. Computer Matching Act and Privacy Protection Act of 1988, (codified as amended in scattered subsections of 5 U.S.C. Sec. 552a).

c. Computer Security Act of 1987, Pub. L. 100-235

d. Department of Veterans Affairs Act of 1988, Pub. L. 100-527.

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- e. Federal Acquisition Regulation (FAR), 48 CFR. Chapter 1
 - f. Federal Information Processing Standards (FIPS).
 - g. Freedom of Information Act, 5 U.S.C. 552
 - h. Government Performance and Results Act (GPRA) of 1993, Pub. L. No. 103-62
 - i. IRM Strategic Planning document
 - j. National Archives and Records Administration Regulations, 36 CFR, Chapter XII, Subchapter B.
 - k. OMB Capital Programming Guide, Version 1.0 dated July 1997
 - l. Office of Management and Budget (OMB) Circulars:
 - (1) A-11, Preparation and Submission of Budget Estimates,
 - (2) A-76, Performance of Commercial Activities.
 - (3) A-94, Guidelines and Discount Rates for Benefit-Cost Analysis of Federal Programs
 - (4) A-109, Major System Acquisitions.
 - (5) A-123, Material Weaknesses.
 - (6) A-127, Financial Management Systems.
 - (7) A-130, Management of Federal Information Resources.
 - m. Paperwork Reduction Act of 1995, 44 U.S.C. Chapter 35
 - n. Privacy Act of 1974, 5 U.S.C. Sec. 552a.
 - o. VA Acquisition Regulation (VAAR) Part 839, Management, Acquisition, and Use of Information Resources,
 - p. VA CIO Council Charter.
 - q. VA Capital Investment Planning Policy (draft)
 - r. 44 U.S.C., Chapters 21, 29, 31, and 33
 - s. 38 U.S.C. 5701, 5705, and 7332.