Department of Commerce

National Oceanic and Atmospheric Administration Information Technology (IT) Planning and Investment Review Maturity Model FY09

Characteristics	Level 0: No Plans	Level 1: Initial	Level 2: Under Development	Level 3: Defined	Level 4: Managed	Level 5: Optimizing
Strategic IT Plan (SITP)	No SITP.	Ad hoc SITP exists.	SITP is not current or complete.	SITP is current to within one year and complete. SITP adheres to Departmental guidance.	SITP is used to guide IT and core business activities.	The SITP and its development process are continuously reviewed and improved.
Strategic IT Plan (SITP) SCORE – 4: For the FY11-FY15 NOAA PPBES Planning Process in the summer of FY08, the SITP was submitted as a guidance document to Mission Goal Leads, Program Managers, Exhibit 300 Project Managers, System Owners, and Security Officers in the development of business Program Operating Plans.						
Linkage	No linkage among planning processes.	There is some linkage between the IT planning process and the budget process but little to GPRA, GPEA, E-Gov, DOC and FEA, IT security, IQA, and other Federal IT mandates.	Linkage is established between IT and budget and there is some linkage to GPRA, GPEA, E-Gov, DOC and FEA, IT security, IQA, and other Federal IT mandates.	IT plans are linked to GPRA, GPEA, E-Gov, DOC and FEA, IT security, IQA, and other Federal IT mandates.	All plans are consistent and integrated and are used to guide IT and core business activities.	The linkage among all plans is continuously reviewed and improved.
Linkage SCORE – 4: All plans (SITP, OITP, POPs, and AOPs) are consistent and integrated. Additional effort needs to be made in strengthening the linkage to the EA such that Migration Plans drive the IT Planning process.						
Strategic IT Goals	No goals.	Some IT goals established.	IT goals are established but not aligned with core business goals.	IT goals directly align with core business goals.	Goals are used to guide IT and core business activities.	Goals are continuously reviewed and revised.

Characteristics	Level 0: No Plans	Level 1: Initial	Level 2: Under Development	Level 3: Defined	Level 4: Managed	Level 5: Optimizing
Strategic IT Goals SCORE – 5: Strategic Goals are a major part of all Plans and guide core IT and business activities.						
Performance Measurements	No performance measures.	Milestones have been established for some IT systems.	Performance measurements are established for some IT systems but are not used for management and reporting.	IT performance measurements have been established and are consistent with GPRA plans and the FEA Performance Reference Model; progress is tracked against them.	Goal success is managed through the use of performance measures.	The performance measurement process is continuously reviewed and improved.
Performance Measurements SCORE – 4: There is greater consistency between performance measures and GPRA and the FEA PRM.						
Major Systems	No descriptions of major systems.	The SITP provides incomplete descriptions of major budget initiatives and major systems.	The SITP provides descriptions of major budget initiatives and major systems. No alignment with core business goals. Business case for each major system is documented in OMB A-11, Exhibit 300 format.	The SITP provides a high-level description of major budget year initiatives for review by the CITRB during budget review cycle. Business case for each major system is documented in OMB A-11, Exhibit 300 format.	The organization uses the system plans to manage its IT investments.	Major systems documentation and costs are continuously reviewed and updated.
Major Systems SCORE – 4: The management practices of NOAA's best managed systems need to be better replicated across all major systems.						
IT Portfolios	No IT portfolio.	The organization has a partial list of systems and associated costs.	The organization has an IT portfolio but it is not complete or is aggregated at a very high	The organization has an established IT portfolio as required by OMB A-11, Exhibit 53.	The organization uses the IT portfolio to manage its technology investments.	The portfolio and the process for developing the portfolio are continuously reviewed and improved.

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			level.	The portfolio is complete and accurate.		

IT Portfolios SCORE – 4: The portfolio needs to be used in a more practical way as a decision analysis tool to develop scenario impact assessments.

Characteristics	Level 0: No Plans	Level 1: Initial	Level 2: Under Development	Level 3: Defined	Level 4: Managed	Level 5: Optimizing
Operational IT Plan (OITP)	No OITP.	The organization has ad hoc operational IT plans.	The OITP is prepared but is incomplete. It aligns only partially with the SITP.	The OITP is prepared annually at the beginning of the fiscal year. It aligns fully with the SITP and documents all systems. It is informative and includes the information required by OMB A-11, Exhibit 300.	The organization uses the OITP to conduct current year activities.	The OITP and its development process are continuously reviewed and improved.

Operational IT Plan (OITP) SCORE – 4: Continue to better integrate OITP development with the IT portfolio management process.

Characteristics	Level 0: No Plans	Level 1: Initial	Level 2: Under Development	Level 3: Defined	Level 4: Managed	Level 5: Optimizing
IT Investment Review Process	No IT investment review process.	The organization has ad hoc plans and documentation.	The organization has an informal investment review process with ad hoc selection criteria.	Senior managers participate in a formal, documented investment review process for selection, control, and evaluation of IT investments.	The organization effectively uses the investment review process to guide IT investment decisions..	The IT investment review process is continuously reviewed and improved.

IT Investment Review Process SCORE – 5: An annual review of the CPIC process compares NITRB findings with actual investment outcomes.

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IT Investment Selection	No selection criteria.	The organization ranks IT investments solely by mission priority.	The organization has ad hoc selection criteria.	The organization uses standard selection criteria to rank and score IT investments	The organization uses the selection criteria effectively to select the best investments.	The selection criteria are continuously reviewed and improved.

IT Investment Selection SCORE – 5: NITRB selection criteria are very effective.

Characteristics	Level 0: No Plans	Level 1: Initial	Level 2: Under Development	Level 3: Defined	Level 4: Managed	Level 5: Optimizing
IT Investment Control and	No IT investment	Problem IT systems are	Problem IT systems are	IT systems are regularly	IT systems are managed	IT systems management

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Evaluation	control and evaluation process. Problem IT systems are not identified.	identified only when oversight organizations review systems.	acknowledged but systematic corrective actions are not taken.	reviewed in a structured control and evaluation process. Systems that are significantly behind schedule, over budget, and/or not delivering expected benefits are identified. Corrective measures are implemented.	so that they are on schedule, within budget, and deliver expected benefits.	processes are continuously reviewed and improved.

IT Investment Control and Evaluation SCORE – 4: The efficiency and effectiveness of the monitoring process needs to be improved so that variance can be identified at an earlier stage when remedies are less costly.

Senior Management Involvement	No involvement of senior management in the IT planning process and investment review process.	Senior managers are aware of IT planning but have little direct involvement.	Senior managers are involved in selected IT planning activities, often associated only with budget justifications.	Senior managers are directly involved in the preparation of the SITP and review of IT investments.	Senior management uses the IT planning and investment review process to conduct business.	Senior management is continuously involved in improving the IT planning and investment review process

Senior Management Involvement SCORE – 4: Better communicate plans with PPBES in order to increase the involvement of senior program executives.

Stakeholder Involvement	No stakeholder involvement in IT planning and investment review.	Stakeholder needs are considered in selected planning activities.	Stakeholder needs are considered in budget justifications but only selected other planning activities.	Stakeholder needs are considered in all phases of IT planning and investment review.	Stakeholder needs drive business decisions.	The integration of stakeholder needs in the planning and investment review process is continuously reviewed and improved.

Stakeholder Involvement SCORE – 4: Customer surveys and feedback need to be regularly included in assessments of operational systems.

IT Security	No IT security considerations in IT planning.	IT security considerations are ad hoc and applied inconsistently in IT plans.	IT security considerations are addressed in SITPs and OITPs but are	SITPs and OITPs reflect comprehensive strategies for IT security, including	Management ensures that IT security considerations are fully implemented	The integration of security in IT planning and investment review processes is continuously reviewed and improved.

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			not fully integrated in the planning and investment review processes.	critical infrastructure protection. IT security considerations are integral to the planning and investment review processes.	in IT systems.	

IT Security SCORE – 4: Improve the project management, risk management and associated resources necessary for deploying secure systems.

Characteristics	Level 0: No Plans	Level 1: Initial	Level 2: Under Development	Level 3: Defined	Level 4: Managed	Level 5: Optimizing
IT Architecture	IT planning and investment review are not conducted within the context of an IT architecture.	IT plans and investment reviews are conducted within the context of an ad hoc IT architecture.	IT planning and investment review are conducted with IT architecture in mind but the IT architecture plans are incomplete.	IT planning and investment review are conducted within the context of a fully defined IT architecture that is consistent with the DOC and FEA.	IT plans and investments are managed within the context of the IT architecture that is consistent with the DOC and FEA.	The integration of IT planning, investment review, and IT architecture development is continuously reviewed and improved.

IT Architecture SCORE – 3: Need to develop a fully defined target architecture, and geospatial architecture.