



Department of Homeland Security FITARA Common Baseline Self-Assessment and Plan
Version: 1.0 FINAL

Overall Ratings Defined:

1	Incomplete – Agency has not started development of a plan describing the changes it will make to ensure that all baseline FITARA responsibilities are in place by December 31, 2015
2	Partially Addressed – Agency is working to develop a plan describing the changes it will make to ensure that all baseline FITARA responsibilities are in place by December 31, 2015.
3	Fully Implemented – Agency has developed and implemented its plan to ensure that all common baseline FITARA responsibilities are in place.



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<p>A. Visibility of IT resource plans/decisions to CIO</p>	<p>3</p>	<p>DHS has a mature Planning, Programming, Budget and Execution (PPBE) process led by Policy and the Chief Financial Officer (CFO) that includes the development of planning guidance and engagement with multiple governance councils (CIO Council (CIOC), Deputy’s Management Action Group (DMAG), etc.). OCIO has visibility through 1) involvement in Program and Budget Review (PBR) justifications 2) direct access to program of record 3) access to Resource Allocation Plan (RAP) justifications, and 4) invitation to all program and budget related CFO Council sessions. OCIO is integrated into the shaping of annual Resource Allocation Plan instructions to the DHS organizations ensuring that appropriate IT resource data is collected into the agency wide RAP submission to the CIO. OCIO was fully engaged in the structuring of the Future Year Homeland Security Program (FYHSP) system which therefore documents resource plans for major and non-major IT investments categorized by functional portfolio and delineating funds by investment phase. The CFO is responsible for establishing policies for, and overseeing the integration of, PPBE process of DHS; reviewing and ensuring that the Department meets performance-based budget requirements; and that the costs of programs are presented accurately and completely. The CFO also provides guidance for, and oversees the development of, the Future Years Homeland Security Program (FYHSP) and prepares the annual performance plan for the DHS. The DHS PPBE process incorporates CIO to identify and review information technology (IT) spending for the budget year and planning years. This data feeds OCIO databases used to support IT portfolio analysis and reporting, including the reflection of funding decisions in the Major IT Business Cases (summary of funding tables), and in the IT Portfolio. CFO Council sessions that are PBR related require invitation of the CIO. Extensive deliberations occur during these meetings that ultimately yield resource decisions by the Secretary. Once resource decisions are certified, OCIO has full access to supporting data.</p> <p>The OCIO has met with all the Component Chief Information Officers (CIO) and discussed the need to ensure that there are open lines of communications</p>	<p>Throughout the process of the FITARA Implementation exercise OCFO and OCIO have been collaborating to ensure continuous improvement of the processes to determine if there are better practices that could be implemented. The working groups have identified opportunities for improvement, working an action plan and are making updates to the process. The planned actions follow:</p> <ul style="list-style-type: none"> • Identify and review relevant policies that impact processes, roles, and responsibilities within DHS planning, programming, and budget (PPB) phases. (November 6, 2015) • Document and model current processes and supporting requirements for PPB phases. (November 6, 2015) • Identify gaps and opportunities in current processes to address OMB Common Baseline requirements. (November 20, 2015) • Draft content updates to ensure relevant policies are compliant with OMB Common Baseline requirements. (November 20, 2015) • Collaborate with appropriate stakeholders to develop process models and supporting list of requirements for the target PPB phases. (December 11, 2015) • Ensure content updates to policies are approved by all relevant parties and submit updated/approved policies to OMB. (March 31, 2016) • Document and implement the updated and agreed upon processes for PPB phases to ensure CIO has visibility into IT resource plans and decisions. (March 31, 2016) 	<ul style="list-style-type: none"> • FY17-21 Rap Instructions showing attention to IT • FY17-21 RAP Instructions Attachment I (IT Portfolio Analysis) showing data collected on behalf of OCIO to enable input into the Budget and Program Review (PBR) • The FYHSP System Report showing IT Investment Information (file name: FYHSP System Report – Investment Info...) • A sample meeting invite during the Program and Budget Review (USSS as the example) showing the CIO and DCIO on the invite for the CFO Councils focusing on PBR • A meeting invite showing evidence of one of the CFO/CIO Council sessions during the Program and Budget Review • The FYHSP System Report showing non-investment IT resource information (file name: Copy of Detailed Budget FTE Export)



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		<p>between the OCIO and the components. The goal is to ensure the components are kept abreast of the changes in business processes, policies, and processes as they occur. As a result OCIO has also established the FITARA Component Integrated Planning Team (IPT).</p> <p>DHS CIO leverages the Acquisition Review Board (ARB) to review Levels 1 and 2¹ investments and will utilize a value/risk assessment to review high priority investments and delegate to the Component CIOs the minimal risk IT investments. For minimal risk investments, Component CIOs will provide defined data elements to the DHS CIO to justify their acquisition review.</p>		
<p>B. CIO role in pre-budget submission for programs that include IT and overall portfolio</p>	<p>2</p>	<p>With the visibility described in section A, the Office of the CIO (OCIO) is very much integrated into the programming and budgeting phases of the PPBE system. OCIO leads annual analyses of Component IT resource plans and submits enterprise IT proposals on behalf of Components for DHS leadership consideration. In cooperation with the Office of the CFO (OCFO), OCIO conducts an annual portfolio review of Component IT resource plans and change proposals. The CIO is invited to all resource related CFO Council sessions throughout the PBR. OCIO will continue to mature IT department-wide portfolio analysis capabilities to better inform leadership decisions regarding DHS IT programming and budgeting. The DHS IT Portfolio Management has a methodology to assess IT investments based on value. The process would be expanded to include risk in order to identify the IT Investments the CIO office would focus on first. In the DHS PPBE process, the DHS CIO provides direct input into the Planning Phase (led by the Office of Policy) and into the Programming Phase (led by CFO/PA&E). To comply with FITARA, the DHS CIO role, responsibilities, and corresponding needs within the PPBE processes need to be strengthened and clearly defined.</p>	<ul style="list-style-type: none"> • Identify and review relevant policies that impact processes, roles, and responsibilities within each PPB phase. (November 6, 2015) • Document and model current processes and supporting requirements for the PPB phases. (November 6, 2015) • Identify gaps and opportunities in current processes to address OMB Common Baseline requirements. (November 20, 2015) • Draft content updates to ensure relevant policies are compliant with OMB Common Baseline requirements. (November 20, 2015) • Collaborate with appropriate stakeholders to develop process models and supporting list of requirements for the target PPB phases. (December 11, 2015) • Ensure content updates to policies are approved by all relevant parties and submit updated/approved policies to OMB. March 31, 2016 • Document and update the DHS IT portfolio management processes to align with the updated PPB phases to assess the effective use of IT-related resources. (February 14, 2016) 	

¹ Level 1 (Major) Life Cycle Cost: At or above \$1 billion; Level 2 (Major) Life Cycle Cost: \$300 million or more, but less than \$1 billion; Level 3 (Major) Life Cycle Cost: \$50 million or more, but less than \$300 million. Level 3 (Non-Major) Life Cycle Cost: Under \$50 million.



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			<ul style="list-style-type: none"> Document and implement the updated and agreed upon processes for PPB phases to ensure CIO has a role in pre-budget submission for programs that include IT and overall IT portfolio. (March 31, 2016) 	
C. CIO role in planning program management	<p align="center">2</p>	<p>DHS Directive 142-02 IT Integration and Management authorizes the CIO to:</p> <ol style="list-style-type: none"> approve or review all IT Acquisitions (ITAR)/Spending (in conjunction with the Chief Acquisition Officer); Coordinate and implement (in conjunction with the DHS Chief Financial Officer) on IT budget strategy; Review and approve the Components' IT budget submitted into the DHS budget <p>The directive drives the investment review process for IT investments, and exercises responsibility over the entire IT portfolio for the Department (in coordination with the CAO and through the Departmental acquisition review process.</p> <p>The DHS CIO is currently a member of the Acquisition Review Board (ARB), which is the departmental executive board that reviews all Level 1 and Level 2 acquisitions (unless delegated to the Component Acquisition Executive (CAE) by the CAO in writing) for executable business strategy, resources, management, accountability, and alignment to strategic initiatives. The ARB supports the Acquisition Decision Authority (ADA) in determining appropriate direction for the acquisition programs at Acquisition Decision Events (ADEs). The ARB conducts systematic reviews of acquisitions to determine they are progressing in compliance with the approved Capability Development Plan (CDP) or Acquisition Program Baseline (APB) for their current acquisition phase. ADA decisions are documented via Acquisition Decision Memoranda. However, DHS</p>	<ul style="list-style-type: none"> Identify and review relevant policies that impact processes, roles, and responsibilities within each PPB phase. (November 6, 2015) Document and model current processes and supporting requirements for the PPB phases. (November 6, 2015) Identify gaps and opportunities in current processes to address OMB Common Baseline requirements. (November 20, 2015) Draft content updates to ensure relevant policies are compliant with OMB Common Baseline requirements. (November 20, 2015) Collaborate with appropriate stakeholders to develop process models and supporting list of requirements for the target PPB phases. (December 11, 2015) Ensure content updates to policies are approved by all relevant parties and submit updated policies to OMB. (March 31, 2016) Program Accountability and Risk Management (PARM), the Office of the Chief Financial Officer (OCFO), Office of the Chief Procurement Officer (OCPO), and OCIO will formalize the endorsement or approval process to incorporate CIO review, assessment, and acknowledgement of appropriate artifacts to include incremental development supporting the acquisition of Level 1 and Level 2 and special interest IT investments in the Acquisition Lifecycle Framework (ALF). (December 4, 2015) PARM will update language within Directive 102 as necessary to fully align with FITARA OMB Common Baseline, CIO responsibilities, and incorporate the requirements for incremental development. (December 30, 2015) 	



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		<p>will seek to improve its understanding of balance of IT resources with other agency funding needs throughout all points of a program lifecycle.</p> <p>The Executive Steering Committees (ESCs) for more than two dozen high priority Level 1 and 2 IT investments play a key role in ensuring that these investments meet cost, schedule and performance requirements.</p> <p>Funding decisions will be reflected in the Major IT Business Cases (summary of funding tables), and in the IT Portfolio.</p>	<ul style="list-style-type: none"> • OCIO is conducting a survey of all Level 1, Level 2, and special interest programs to assess appropriate level of agile adoption across DHS (ONGOING, commenced August 2015, anticipated completion. (November 30, 2015) • Regarding Agency oversight for IT projects that are in pre-ADE-1, these programs are included in the INVEST system and are tracked. However, OCIO, PARM, and the JRC are working to improve this oversight at the highest levels. <ul style="list-style-type: none"> ○ DHS will complete an analysis of the current state of Pre-ADE-1 activities. (November 16, 2015) ○ DHS will develop a proposed framework for streamlining Pre-ADE-1 activities. (December 31, 2015) ○ DHS will complete an implementation recommendation plan for streamlining and reporting on Pre-ADE-1 activities. (February 29, 2016) ○ DHS will pilot a streamlined approach to the pre-ADE-1 process with selected programs. (May 31, 2016) • Document and implement the updated and agreed upon processes for PPB phases to ensure CIO has a role in program planning. (March 31, 2016) 	
<p>D. CIO approval of agency IT budget in submission to OMB</p>	<p>2</p>	<p>The DHS Capital Planning and Investment Control (CPIC) facilitates the reporting and monitoring of IT investments to support the DHS PPBE processes to determine that IT investments align with the Department’s mission and maximize return on investment. Within DHS, the CPIC team provides training, reporting, scoring, and submission to OMB of DHS investment business cases (formerly OMB Exhibit 300) and IT portfolio (formerly Exhibit 53) for all IT investments, in partnership with DHS Components. Additionally, the CPIC process monitors monthly reporting on all IT initiatives for submission to the OMB IT Dashboard. The requirement for CIO signature is incorporated within</p>	<ul style="list-style-type: none"> • Identify and review relevant policies that impact process steps, roles, and responsibilities of the PPB phases to better support analysis and approval of the IT funding portion of the budget. (November 06, 2015) • Document and model current processes and supporting requirements for the PPB phases. (November 6, 2015) • Identify gaps and opportunities in current processes to address OMB Common Baseline requirements. (November 20, 2015) 	



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		<p>the IT Strategic Plan and IDC submitted to OMB. CIO engagement in the development of the IT portions of the RAP/Resource Allocation Decision (RAD) processes can be strengthened in the existing IT governance processes.</p>	<ul style="list-style-type: none"> • Draft content updates to ensure relevant policies are compliant with OMB Common Baseline requirements. (November 20, 2015) • Work with JRC to determine how to leverage intake for capability requirements to identify new major IT requests. (November 20, 2015) • Develop appropriate processes to support review and approval of the IT investment portion of the budget request, resulting in a CIO/CFO joint affirmation statement. (November 20, 2015) • OCIO and OCFO will vet program health status and the relationship of budgets under consideration to a plan to resolve unsatisfactory status that has been similarly vetted and approved at the Component level. (March 31, 2016) • Collaborate with appropriate stakeholders to develop process models and supporting list of requirements for the target PPB phases. (December 11, 2015) • Validate processes for approval of major IT investment requests. (March 31, 2016) • Ensure content updates to policies are approved by all relevant parties and submit updated policies to OMB. (March 31, 2016) • Document and implement the updated and agreed upon processes for PPB phases to ensure the CIO has approval of agency IT budget submission to OMB. (March 31, 2016) • CIO and CFO will coordinate the integration points between both offices to ensure that CIO has appropriate review and approval of the IT investment portion of the budget request. (March 31, 2016) 	
<p>E. Ongoing CIO engagement with</p>	<p>2</p>	<p>DHS is establishing an IT Program Management (PM) Center of Excellence (IT PMCOE), which is the nucleus of best-in-class personnel, processes, and tools for enterprise-wide IT program management. The IT PMCOE will provide program managers and governance boards comprehensive and robust assets to</p>	<ul style="list-style-type: none"> • The OCIO ITPM COE will be established as a cross-functional team in EBMO (and will solicit Component involvement) to gather appropriate best practices, to determine pain points, and to 	



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program managers		<p>sustain the lifecycle of IT investments. Along with the IT PMCOE, DHS has also established an IT Program Management (ITPM) Training Program that was created to provide the framework and ITPM enterprise training, as well as “hands-on” experience, to OCIO Headquarters (HQ) and Components managing IT programs and projects who are either PM certified or pursuing the appropriate level of PM certification with an IT focus. Lastly, the Department conducts Program assessments to gauge how well a program is performing through a thorough review of program risk, human capital, cost and schedule, contract oversight, and requirements to evaluate program health and delivery.</p>	<p>address these pain points to provide a standardized path to success for ITPMs. (November 12, 2015)</p> <ul style="list-style-type: none"> • The OCIO ITPM COE will develop IT performance metrics for Level 1 and Level 2, and special interest program to ensure programs are delivering value and meeting business objectives. (November 12, 2015) • OCIO and PARM will develop specific requirements to review and validate the performance metrics for Level 1, Level 2, and Special interest programs within the ARB reviews. (December 15, 2015) • OCIO will leverage the updated DHS TechStat process to conduct root cause analysis to establish or develop action items, and provide support to failing or troubled programs. (November 20, 2015) • PARM and OCIO will update the process to ensure CIO IT PMCOE is fully engaged in reviewing IT performance metrics and strategies to ensure programs are delivering value and meeting business objectives. (December 4, 2015) • OCIO and PARM will coordinate and harmonize the IT program assessment and engagement functions between both offices. (December 31, 2015) • Initiate process to update Directive 142-04 (IT Integration and Management) to reflect CIO roles/responsibilities for IT performance metric. (December 31, 2015) • The ITPM COE will create ITPM standard operating procedures, best practices guides, an ITPM Toolkit, and best of breed Document Templates (CM Plan, PMP, QMP, RMP, etc.). (March 31, 2016) 	
F. Visibility of IT planned	2	<p>DHS is currently modernizing its financial management system. Part of this effort will include implementing a new classification structure for the</p>	<ul style="list-style-type: none"> • Document requirements for collecting and validating planned expenditure reporting for IT investments. (February 15, 2016) 	



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expenditure reporting to CIO		accounting system that will provide the transparency of all IT transactions and expenditure plans for projects and programs to minimize the program’s exposure to cost, schedule and performance risks.	<ul style="list-style-type: none"> Document current capabilities for collecting and validating planned expenditure reporting for IT investments. (February 15, 2016) Identify gaps in current capabilities where OMB Common Baseline requirements are not satisfied. (November 20, 2015) Document proposed methods to capture planned expenditures for IT investments. (February 15, 2016) Update guidance and documentation to collect the appropriate amount of information needed to better support analysis, planning, and recommendations related to planned IT expenditures. (March 31, 2016) Implement the updated and agreed upon processes and methods for planned expenditure reporting for IT investments. (April 30, 2016) <p>PortfolioStat</p> <ul style="list-style-type: none"> Identify gaps in current process where OMB Common Baseline requirements are not satisfied and/or do not align with overarching PortfolioStat policy and guidance. (November 13, 2015) Identify relevant policies that impact process steps, roles, and responsibilities for CFO budget execution reporting and PortfolioStat budget execution reporting requirements. (November 20, 2015) CFO, CIO, Chief Readiness Support Officer (CRSO), and PLCY will update policy, guidance, and documentation to collect the appropriate amount of information needed to better support analysis, planning, and recommendations related to IT budget execution across CFO and PortfolioStat reporting requirements. (March 31, 2016) 	



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			<ul style="list-style-type: none"> Collaborate with stakeholders to develop Process Models and supporting list of requirements for the target review and reporting of IT budget execution to support PortfolioStat reporting requirements. (December 11, 2015) Ensure content updates to policies are approved by all relevant parties and submit updated policies to OMB. (March 31, 2016) The CFO and CIO implement the updated and agreed upon processes for IT budget execution reporting. (April 30, 2016) 	
<p>G. CIO defines IT processes and policies</p>	<p>2</p>	<p>The DHS Systems Engineering Life Cycle (SELC) is a technical framework for applying systems engineering principles within DHS to ensure the efficient and effective delivery of capabilities to end users. All DHS programs and projects adhere to the SELC, as well as the ALF, in order to comply with the Federal Acquisition Regulations System (FAR), 48 Code of Federal Regulations (CFR) 1, and the Clinger-Cohen Act of 1996, 40 USC § 1401, as amended.</p> <p>The DHS SELC is contained within the instruction (Management Directive 102-01-103), which identifies the activities that constitute a structured, disciplined, and quality technical effort through which products, processes, and the roles of people are well defined and developed. To ensure program efforts are conducted with these attributes, the SELC framework identifies a series of event-based technical reviews to assess the technical readiness of the system and program to proceed beyond its current activity.</p> <p>To support the SELC, DHS has developed an SELC Guidebook that provides a comprehensive reference guide for practitioners who are responsible for planning and executing systems engineering activities. It is written to a target audience of program management office (PMO) personnel and contains detailed discussions of systems engineering activities, artifacts, and related reference materials.</p>	<ul style="list-style-type: none"> Identify relevant process steps, roles, and responsibilities within each review phase of the SELC for CIO certification. (November 6, 2015) Collaborate with PARM stakeholders to develop process models and supporting list of requirements for CIO certification of SELC reviews related to IT initiatives only. (November 12, 2015) CIO, PARM, and S&T Will review the Technical Review Guide to ensure it includes the CIO's certification of incremental development or scope of the SELC reviews to ensure that the process sufficiently addresses various IT resource categories. (November 12, 2015) Verify that changes in process models reflect updates to relevant policies. (November 20, 2015) Conduct survey of all Level 1, Level 2, and special interest programs to assess level of agile adoption across DHS; this activity is ongoing, commenced August 2015. (November 30, 2015) Submit approved target process models and supporting operating process manuals/guidance. (December 11, 2015) PARM will incorporate Agile guidebook and instruction, and SELC guidebook and instruction into the D102. (March 31, 2016) 	<p>Management Directive 102-01-103 defines the IT processes and suffices as evidence for this requirement. Specifically, this directive states: "The DHS Chief Information Officer (CIO) is responsible for ensuring that Information Technology (IT) Investments are aligned with Department and Component Strategy and Missions. Relative to the SELC, the CIO reviews and approves (with the Executive Director, PARM) the program/project SELC Tailoring Plan."</p>



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			<ul style="list-style-type: none"> • PARM, CIO, and S&T will incorporate CIO certification of incremental development or scope of the SELC reviews to ensure that the process sufficiently addresses various IT resource categories for all gate reviews. (December 31, 2015) 	
H. CIO role on program governance boards	2	DHS's multiple functioning IT Governance boards and councils require update and harmonization to improve efficiency and collaboration.	<ul style="list-style-type: none"> • PARM, OCFO, OCPO, and OCIO will update existing processes and approved policies to ensure CIO reviews major program (Levels 1 and 2) acquisition plans for programs that include IT resources, including incremental development principles, shared services, category management, strategic sourcing, and incremental or modular contracting. (March 31, 2016) • DHS OCIO will augment the list of IT governance boards on which the CIO participates with a description of the authority, scope, and CXO membership of those boards. (November 15, 2015) • DHS will identify all IT governance boards on which the CIO should participate in accordance with FITARA. (December 4, 2015) • DHS will recommend charter amendments to non-compliant boards to make the CIO a voting member. (March 31, 2016) 	
I. Shared acquisition and procurement responsibilities	2	The CFO is responsible for reviewing, as a member of the ARB, the program's status, authorization, appropriation, obligation, expenditure of funding, life cycle cost estimate, and affordability in a manner that is consistent with the approved structure of the acquisition. CFO serves as the focal point within DHS for policy, process and procedure regarding life cycle cost estimation and analysis, approves major acquisition program (Level 1 and Level 2) Life Cycle Cost Estimates (LCCE), develops Independent Cost Estimates (ICEs) as directed by Under Secretary for Management (USM), and advises the Homeland Security Acquisition Institute (HSAI) on career field certification, training, and education for the cost estimate and analysis community. The CIO, as a member of the ARB, has the authority to review all acquisition documentation for Level 1 and 2 programs that use IT resources, including LCCEs.	<ul style="list-style-type: none"> • PARM and OCIO will document existing process model to ensure that IT acquisitions are led by personnel with appropriate federal acquisition certification (FAC), including specialized IT certification as appropriate. (November 20 2015) • PARM, with OCIO input, will ensure that DHS Directive 102 is updated as appropriate to reflect changes in the CIO roles/responsibilities and align with FITARA guidelines. (November 20, 2015) • Identify where supplemental guidance is needed for federal acquisition certification (FAC). (November 20, 2015) 	



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		<p>The CFO, through Budget, Program Analysis and Evaluation (PA&E) and the Cost Analysis Division (CAD), examines the affordability of major acquisition programs by understanding how much a program’s requirements cost versus what’s been obligated and expended to date and what has been appropriated and programmed for future spending. Key inputs for this analysis are the LCCE and Certification of Acquisition Funding document submitted by Component CFOs, and the programmed funding in the FYHSP.</p> <p>The CPO established the Procurement Innovation Lab to explore various innovative acquisition techniques for increasing efficiencies in the procurement process and institutionalizing best practices, including those that will support OCIO's agile/incremental development efforts. Homeland Security Acquisition Institute has begun offering webinars and learning cafe events in support of the innovation lab, with more learning events being developed. OCPO collaborates in DHS Agile Integrated Project Team (IPT) Working Group. OCPO actively participates and collaborates in shared services and category management initiatives. As for the strategic sourcing initiative, current Homeland Security Acquisition Manual (HSAM) requires mandatory use of strategic sourcing contracts unless one of the limited exceptions is documented or by requesting a waiver from the CPO when none of the exceptions apply; and as part of market research, a consultation with the DHS Strategic Sourcing Program Office (SSPO) to verify whether a strategic sourcing contract or order is appropriate.</p> <p>OCHCO will continue to provide the facility that supports IT training for DHS staff at the HSAI.</p> <p>The Chief Acquisition Officer (CAO), per DHS Directive 142-02, “Ensures IT is managed consistent with all statutory, regulatory, and Department requirements, and the strategic plans of the Department.</p> <p>The CAO, as the Acquisition Decision Authority, is responsible for ensuring compliance with DHS Instruction 142-01 by reviewing and approving the movement of each acquisition through the phases of the acquisition lifecycle when the acquisition program meets applicable criteria.</p>	<ul style="list-style-type: none"> • Identify gaps in current process for acquisition strategy plans where OMB Common Baseline Requirements are not satisfied. (March 31, 2016) • Identify relevant policies that impact process steps, roles, and responsibilities for acquisition plans. (March 31, 2016) • OCPO, PARM, and OCIO will document existing process models and supporting list of requirements for LCCE. (March 31, 2016) • In collaboration with OCIO, OCPO will determine and amend/issue procurement policy/oversight guidance and procedures. (December 11, 2015) • OCIO, supported by OCPO and PARM will implement the updated and agreed upon processes to ensure CIO review of strategy/acquisition plans, including incremental acquisition and development principles. (March 31, 2016) • Identify gaps in current process for LCCE review board process where OMB Common Baseline requirements are not satisfied. (March 31, 2016) • Identify relevant policies that impact process steps, roles, and responsibilities for LCCE review board process. (December 15, 2015) • OCFO and OCIO will update existing processes to include OCIO through a LCCE review board process. Additional guidance will be given to DHS Components to establish a similar review board where Component CIOs have the opportunity to review the LCCE. (March 31, 2016) • Ensure content updates to policies for acquisition strategy plans are approved by stakeholders with equity and in compliance with related OMB policy. (December 31, 2015) 	

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		<p>DHS policy 142-02 requires the CIO to approve, or review, all IT acquisitions in conjunction with the CAO. DHS's IT Acquisition Review (ITAR) process currently reviews all IT acquisitions over \$2.5 Million. Subject matter experts in a number of disciplines review the Statements of Work (SOWs) and Independent Government Cost Estimate (IGCEs) to determine that the acquisition aligns with CIO priorities and is in compliance with key statutes, regulations, and DHS policies. Under FITARA, procedures will be developed both for expanding DHS CIO review of new awards and delegating review of other contract actions to Component CIOs. In addition, processes need to be developed for CIO evaluation of IT cost, acquisition plans, and strategy for Level 1 and 2 IT programs early in the acquisition lifecycle.</p> <p>DHS will continue, as authorized by DHS Directive 142-02, to review all IT-related contractual actions based on criteria determined by the CIO, in collaboration with the CPO and require Components to report monthly IT buys assigned for Component approval via the ITAR tool.</p> <p>DHS CIO will review cost estimates of all IT related costs and all acquisition plans that include IT for Level 1 and 2 programs. The DHS CIO will delegate review and approval of cost estimates and acquisition plans that include IT for Level 3 programs to the Component CIOs.</p>	<ul style="list-style-type: none"> • Ensure content updates to policies for LCCE review board process are approved by all stakeholders with equity and submit updated policies to OMB for Review. (March 31, 2016) • Update INVEST to identify IT specialization. (March 31, 2016) • OCIO will continue to collaborate with OCPO and OCHCO to provide training to IT Project and Program Managers in support of the achievement of Program Manager- IT Specialization. (March 31, 2016) • OCPO will continue to work with OCIO to further establish the commodity manager structure, consistent with the government-wide category management and strategic sourcing initiatives. (March 30, 2016) • The CPO Procurement Innovation Lab and the HSAI will develop and deploy more learning cafe events. New learning cafe events will focus on actual case studies, taught by contracting officers who have conducted acquisitions involving innovative procurement techniques. (March 30, 2016) • OCPO procurement innovator designation/recognition program is being developed to recognize individuals choosing to fulfill certain learning events as DHS Innovation Coach or Innovation Master. (March 30, 2016) • OCPO, PARM and OCIO will continue efforts to enhance the acquisition and SELC guidance to determine appropriate visibility and analysis of IT cost elements, strategy/acquisition plans, and strategy to determine that the CIO has appropriate review, governance, and oversight of IT spending and implementation of IT policy, such as incremental delivery of IT capabilities and use of shared services. (April 30, 2016) 	



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			<ul style="list-style-type: none"> DHS will establish a draft tailored version of an SELC path for non-major IT acquisitions for components and headquarters that do not have a published SELC or equivalent. (May 31, 2016) 	
J. CIO role in recommending modification, termination, or pause of IT	2	DHS has a defined process and specific guidance on process and roles/responsibilities for TechStat. However, there are specific CIO responsibilities in OMB guidance that are not incorporated into Directive 102-03 or the process documents.	<ul style="list-style-type: none"> Identify gaps in current TechStat process where OMB Common Baseline requirements are not satisfied. (November 6, 2015) Identify relevant policies that impact process steps, roles, and responsibilities within TechStat. (November 12, 2015) Initiate updates to Directive 102-03 to reflect FITARA requirements and corresponding process documentation to properly align with all business controls and responsibilities for every relevant role included within the TechStat process. (March 31, 2016) Ensure content updates to policies are approved by all stakeholders with equities and submit updated policies to OMB. (March 31, 2016) OCIO will develop specific criteria, ConOps, and train Component CIO staff to conduct TechStat accountability sessions. (February 28, 2016) The CIO will initiate TechStat reviews for chronically red programs and as a member of the ARB, will make recommendations to modify, terminate or pause IT based on criteria identified in FITARA. (February 28, 2016) 	
K. CIO review and approval of acquisition strategy and acquisition plan	2	<p>HSAM currently requires a written acquisition plan for acquisitions above certain dollar thresholds. When a written acquisition plan is not required, acquisition planning is still required per the Federal Acquisition Regulation and HSAM, which requires an affirmative statement in the purchase request package that acquisition planning was coordinated with the contracting officer and appropriate subject matter experts.</p> <p>CPO review and approval of acquisition plans is required for: (1) For program acquisitions with a life cycle cost of \$300 million or more; (2) For service</p>	<ul style="list-style-type: none"> OCIO and OCPO will review and document the existing CPO process for acquisition plan reviews. (November 13, 2015) OCPO and OCIO will determine what procurement policy/oversight changes, if any, need to be made. (March 31, 2016) OCIO and OCPO will identify processes to reflect CIO participation in the review of acquisition plans of any investments that include IT resources and incorporate CIO signature authority for IT strategy/acquisition plans. OCIO and OCPO will update relevant 	



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		<p>acquisitions with an annual expenditure level of \$100 million or more; and (3) Any other AP designated by the CPO. For acquisition plans below the CPO review thresholds, Component Heads of Contracting Activity determine approval procedures.</p> <p>The Component Acquisition and Audit Support (CAAS) Branch (a branch under the Oversight and Strategic Support (OSS) Division of the OCPO) reviews Acquisition Plans requiring CPO approval. Prior to submission to CPO, APs must be properly coordinated with pertinent functional office/stakeholders, and must be reviewed and concurred upon by the Component Head of the Contracting Activity (HCA). After receipt of the Acquisition Plans, CAAS coordinates the review with various HQ and OCPO stakeholders to include: PARM, OCFO Budget, PA&E, Office of Small & Disadvantaged Business Utilization, SSPO, and Acquisition Systems Branch. Consolidated review comments are sent back to the components for resolution. The stakeholders who reviewed the initial Acquisition Plans are given an opportunity to review the disposition of their comments, when revised Acquisition Plans are submitted, to determine that their comments have been adequately addressed. Once an Acquisition Plan has been approved, if there are substantial changes, the revised Acquisition Plan must circle back through the review process for CPO approval. The current CAAS Acquisition Plan review process does not include an external review by OCIO as is currently done by PARM, Budget and PA&E.</p> <p>The OCPO may require review of any DHS contract action, including modifications to awarded actions, during the acquisition process to ensure that sound business practices are being used; actions are in compliance with applicable laws, executive orders, and acquisition regulations; and actions serve the Government's best interest.</p> <p>DHS's ITAR process currently reviews all IT acquisitions over \$2.5 Million. Subject matter experts in a number of disciplines review the SOWs and IGCEs to determine the acquisition aligns with CIO priorities and comply with key statutes, regulations, and DHS policies. Under FITARA, procedures will be developed both</p>	<p>policies to ensure compliance with OMB Common Baseline. (March 31, 2016)</p> <ul style="list-style-type: none"> • Component heads of contracting activity will include Component CIO review and approval as part of the approval procedures for acquisition plans below the CPO review thresholds. (March 31, 2016) • OCIO will develop specific criteria, ConOps, and training documents to support the CIO review and signatory requirements for acquisition plans. (February 14, 2016) • OCIO, in collaboration with OCPO, will perform a threshold analysis to identify/define "substantial change" and "significant contract". (February 14, 2016) 	



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		<p>for expanding DHS CIO review of new awards and delegating review of other contract actions to Component CIOs. In addition, processes need to be developed for CIO evaluation of IT cost, acquisition plans, and strategy for Level 1 and 2 IT programs early in the acquisition lifecycle.</p> <p>DHS will continue, as authorized by DHS Directive 142-02, to review all IT-related contractual actions based on criteria determined by the CIO, in collaboration with the CPO. The DHS CIO will:</p> <ol style="list-style-type: none"> a. Assign ITAR responsibility to Component CIOs to review and approve a subset of all IT-related contractual actions based on criteria to be determined by the CIO in collaboration with the CPO. b. Require Components to report monthly IT buys assigned for Component approval via the ITAR tool. c. Delegate Level 3 programs to Component CIOs for review and approval of acquisition plans. For Level 3 IT Investment criteria and thresholds as defined by HSAM 3007.103(3)(2), review and approval of acquisition plans will be delegated to Component CIOs, who will be required to provide evidence and metrics to the Agency CIO. 		
L. CIO approval of reprogramming	2	<p>DHS CFO Budget Division coordinates and reviews apportionments, reapportionments and allotments. Currently, CFO Budget Division has a defined process for reviewing and approving reprogramming of any funds for IT resources.</p>	<ul style="list-style-type: none"> • OCIO will coordinate with OCFO Budget Division to develop and document an approval process for OCIO coordination for reprogramming. (November 13, 2015) • Identify relevant policies that impact process steps, roles, and responsibilities within IT reprogramming and transfer request process. (December 11, 2015) • OCIO and OCFO will ensure content updates to policies are reviewed by all stakeholders with equities and submit updated policies to OMB. (March 31, 2016) • OCFO and OCIO will revise relevant OCFO and OCIO documentation and processes to reflect CIO approval of 	



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			Component's requests for reprogramming and transfer requests of IT resources. (March 31, 2016)	
M. CIO approves new bureau CIOs	3	<p>CIO is currently delegated under DHS Delegation #04000 dated June 5, 2012 to participate in the hiring process and approve final hiring selections of component CIO's. CHCO obtains Line of Business (LOB) concurrence from CIO on all Component CIO hiring actions.</p> <p>The Department of Homeland Security has 13 component CIOs:</p> <ul style="list-style-type: none"> • 9 Operational Component CIOs: US Citizenship and Immigration Services (USCIS), US Coast Guard (USCG), US Immigration and Custom Enforcement (ICE), Customs and Border Patrol (CBP), Federal Emergency Management Agency (FEMA), US Secret Service (USSS), Transportation Security Administration (TSA), National Protection & Programs Directorate (NPPD), Federal Law Enforcement Training Center (FLETC); • 4 Headquarters CIOs: Domestic Nuclear Detection Office (DNDO), Office of Intelligence & Analysis (I&A), Science and Technology (S&T), Office of Health Affairs (OHA). 		<p>DHS Directive 142-02, Information Technology Integration and Management, states: In collaboration with the relevant Component Head, and except as otherwise provided by law, the CIO retains approval authority over DHS-wide hiring of Component Key IT officials and other positions within the IT line of business above GS-15, equivalent, or as set forth in implementing Instructions. The CIO participates in the hiring and selection processes, and has approval authority for written performance objectives and annual performance evaluations.</p> <p>a. For hiring and selection activities, Components:</p> <p>i. Submit the qualification standards, including knowledge, skills, and abilities or competencies needed for senior positions, to the CIO for review and approval;</p>



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				ii. Invite the CIO or their designee to participate in the interview process of the best qualified list of candidates; and iii. Secure CIO approval prior to extending a job offer.
N. CIO role in ongoing bureau CIOs' evaluations	2	<p>All executives are directed at the beginning of each fiscal year to develop employee-specific objectives and performance standards in collaboration with rating officials. Senior Executive Service (SES) plan objectives and measures must link to the DHS Strategic Plan Missions and/or the Mature and Strengthen area, and our approved set of strategic or management performance measures. To accomplish this, at least one employee-specific performance objective in each SES performance plan (Element 2) should be aligned to a goal in the FY 2014-2018 DHS Strategic Plan, and the appropriate organizational performance measure from the DHS suite of FY 2015 strategic measures [also known as our Government Performance and Results Act Modernization Act (GPRAMA) measures], or from the supporting set of FY 2015 management measures, all of which are entered and reported quarterly in the FYHSP system. OCIO-specific objectives, measures, and annual performance targets are included in this suite of Department strategic goals. This strategic plan alignment must be revisited at mid-cycle against the published FY 2014-2018 DHS Strategic Plan, and inclusion of performance measures and targets must be revisited at mid-cycle to ensure they are consistent with the final approved FY 2015 set of DHS strategic and management performance measures and targets. Rating assessment must be based on the evidence of performance against the written performance requirements or standards issued for the position with respect to the relevant rating period. Within that framework, all relevant indicia of levels of performance, the performance elements applicable to the position, and the</p>	<ul style="list-style-type: none"> • OCIO subject matter experts will develop an executive-level leadership competency applicable to CIO SES, SL and ST employees, to include a basic definition of the competency and behavioral standards at two rating levels of performance ("Achieved Expectations" and "Achieved Excellence"). (November 20, 2015) • OCHCO will incorporate this competency as a sub-element in Critical Element 1: Leadership Competencies in SES and Senior Level and Scientific Professional/Technical (SL/ST) performance plans, amend performance system descriptions as necessary, and submit these amendments to the Office of Personnel Management (OPM). This CIO-centered competency will be included as part of the annual performance appraisal and rating as applicable only to designated CIO position incumbents. Guidance will be included in the rating year guidance message explaining selection and rating of this competency for those instances in which it applies to employees. (January 31, 2016) • Develop a scorecard to evaluate effectiveness of the IT competency in performance plans. (November 20, 2015) • CHCO will provide guidance during the implementation and closeout of the performance appraisal cycle that will provide Line 	



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		<p>relationship between organizational success and individual employee performance are considered in establishing the rating. As part of the rating process, each LOB Sponsor must provide rating input for executives at the component level in their LOB. The input is obtained and considered prior to determining ratings.</p>	<p>of Business (i.e. CIO, CAO, CPO, etc.) input into the agency-wide critical elements. (November 12, 2015)</p> <ul style="list-style-type: none"> • OCIO and OCHCO will collaborate to include evaluating rating officials and reviewing officials in the provided survey report. (November 20, 2015) • Conduct a survey to determine the effectiveness of the IT competency. (April 30, 2016) 	
<p>O. Bureau IT Leadership Directory</p>	<p>2</p>	<p>DHS CHCO has identified the 13 components as CBP, USCIS, FEMA, FLETC, ICE, USCG, USSS, TSA, DNDO, IA, OHA/CMO, S&T and NPPD. CHCO has constructed a list including name, Position Title, Pay Grade, Appointment Type and Job Series. None of the 13 component CIO's have responsibilities outside the IT functional area. Rating officials and reviewing officials (if required) are identified by title in their respective position descriptions. In reference to job series/pay grade, Component CIOs are Senior Executive Service (SES), and Deputy CIOs are either SES or Grade 15. Actual names and signatures are affixed to each CIO's respective annual performance appraisal plan throughout the performance cycle (i.e. 1 October through 30 September). DHS recognizes the list of 13 component CIO's to be key bureau CIO's.</p>	<ul style="list-style-type: none"> • CIO and CHCO will collaborate to include evaluating rating officials and reviewing officials in the provided survey report (November 20, 2015). 	



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<p>P. IT Workforce</p>	<p>2</p>	<p>DHS has taken a leading role at the federal level in developing competency standards for IT Project and Program Managers. These standards, in the form of the FAC-P/PM-IT, have been implemented in DHS. Training to facilitate obtaining the standard has been partially delivered with ongoing planning to address remaining competencies. DHS OCIO operates a successful program for training and certifying IT program managers, and to date has conducted three one-year ITPM Development Program Tracks to convert DHS employees managing IT programs/projects into certified PMs. The ITPM Training Program was created to provide the framework and ITPM enterprise training, as well as “hands-on” experience, to OCIO HQ and Components managing IT programs and projects who are either PM certified or pursuing the appropriate level of PM certification with an IT focus. This initiative is governed by the revised federal mandated OMB, FAC-P/PM policy accompanied with the newly released FAC-P/PM IT Core Plus Specialization requirement. While a formal IT core-plus program has not yet been established for the other federal acquisition specialties (FAC-C and FAC-COR), DHS has begun offering training to facilitate improving IT competency for these personnel and has provided input to FAI regarding the development of a FAC-C-IT standard. DHS’s Acquisition Professional Career Program includes the hiring and development of IT-specialized Acquisition Professionals. Personnel in this program have IT degrees and focus on developing to become IT Project and Program Managers.</p> <p>DHS has also established the DHS IT Immersion Program in support of this goal to help new employees understand how their role fits into and impacts the DHS IT community, the agency, and its many missions. The program examines how a collaborative IT workforce supports achievement of the DHS and component missions. Through a hands-on approach, participants are connected with other IT professionals to establish a strong network and foundation for a fulfilling career within DHS IT.</p>	<ul style="list-style-type: none"> • OCIO will continue to collaborate with OCHCO to further refine the DHS IT competency model and identify training opportunities that will enhance IT staff development at multiple levels. (March 31, 2016) • OCIO and OCHCO will develop a workforce planning process for assessment of current IT skills. (March 31, 2016) • OCIO will continue to collaborate with OCPO on the IT Supplement to the DHS annual Acquisition Human Capital Plan (AHCP) to improve the development and recruitment of IT personnel. (March 31, 2016) • OCIO and OCPO will work collaboratively with stakeholders to provide Commercial Off the Shelf (COTS) training targeted to IT acquisitions personnel. (March 31, 2016) • OCIO will work with OCPO and OCHCO to further develop self-assessment tools used to streamline acquisition of FAC-P/PM-IT competencies. (March 31, 2016) <ul style="list-style-type: none"> ○ HSAI Acquisition Training • Utilize the workforce planning process to assess skills and employ Digital Services staff. (April 30, 2016) <ul style="list-style-type: none"> ○ OCIO key activities include: <ul style="list-style-type: none"> ○ Identify existing course and training inventory (i.e. sponsors & course offerings) – (November 15, 2015) ○ Align existing course inventory to acquisition certifications and IT specialization – (May 31, 2016) ○ Identify Agency mission training needs (per FITARA guidance and policies) – (May 31, 2016) ○ Identify existing employee skillsets (Acquisition & IT Specialization) – per FITARA guidance and policies – (February 28, 2016) 	

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		<p>DHS has established career paths for those that aspire to achieve senior management positions or wish to become or remain technical experts. It allows IT professionals to choose development paths that build intersections between career aspirations and the needs of the business. It is like having a career GPS that helps select from alternate routes to build experience in or across IT functions. Overall, the DHS IT Career Path is designed to enable IT professionals to make informed decisions about career choices and take charge of their own development. The DHS IT Career Path will help IT professionals build skills and progress to the next professional level, grade or IT function. This guidance will also assist supervisors with career coaching of employees. Finally, this guidance will provide job information to help with recruiting, development and retention of IT professionals.</p> <p>The IT Career Path is comprised of two parts: IT Career Profiles and IT Career Maps. Together, each career profile and map specify general and technical experiences, roles and career progression associated with the core functions within the 2210 occupation at DHS. Also included are an IT Career Goals Template and Personal Attributes Checklist for use in determining goals, preferences and career options.</p>	<ul style="list-style-type: none"> ○ Identify course gaps for employee skillsets enhancement – (February 28, 2016) ○ Identify strategy/roadmap/metrics to improve training and employee skillsets (fulfill gaps) –(March 15, 2016) ○ Execute strategy/roadmap – (March 31, 2016) ○ Report out on metrics – (March 31, 2016) 	



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<p>Q. CIO reports to agency head (or deputy/Chief Operating Officer (COO))</p>	<p>3</p>	<p>Department of Homeland Security DHS Delegation Number: 00002 Revision Number: 00 Issue Date: 5/29/2012, identifies the Delegation to the USM. This delegation vests the authorities for the USM and delegates to the USM the authority and responsibility that includes the CIO, who reports to the USM on IT and communications systems, in conjunction with the statutory and Executive responsibilities of the CIO.</p> <p>The CIO reports to the USM and the USM has purview over all CXO functions, which is a benefit and center point that cross-references throughout the CXOs to ensure collaboration and alignment of the implementation of FITARA. The USM has direct access to the agency head and oversees all management functions, including IT, on behalf of the Secretary and Deputy Secretary.</p>		<p>DHS Delegation Number: 00002 Revision Number: 00 (Issue Date: 5/29/2012) suffices as evidence for this requirement.</p> <p>FITARA states that the CIO shall have direct access to the Chief Operating Officer (Deputy Secretary). The CIO's access to the Deputy Secretary is a part of the Department's organizational culture which provides the DHS CIO with access to the Chief Operating Officer (Deputy Secretary) for issues related to information technology. For example, when the Deputy Secretary addresses Cybersecurity and other IT issues, he does so with the CIO by his side and as his agent for implementation.</p>