**U.S. Department of Transportation**

# Federal Information Technology Acquisition Reform Act (FITARA) Implementation Plan

**Pursuant to Public Law 113–291 Title VII, Subtitle D, Section 831–837 of the National Defense Authorization Act for Fiscal Year 2015**

## December 2015

I am pleased to present the Federal Information Technology Acquisition Reform Act (FITARA) Implementation Plan for the U.S. Department of Transportation (DOT).

Since its inception in 1967, the DOT has been responsible for ensuring a safe, efficient, accessible and convenient transportation system that meets our vital national interests and enhances the quality of life of the American people. FITARA provides a unique opportunity to better manage our Information Technology (IT) resources. The actions outlined in the plan move the Department in the right direction to ensure the Chief Information Officer (CIO) has the visibility and authority required to drive performance excellence and service delivery through effective governance and resource management.

The mission of the Department's CIO is to provide digital leadership and drive enterprise technology transformation to enable and advance the missions of the Department. FITARA provides a foundation to gain efficiencies and effectiveness in achieving the goals of our Departmental CIO. The actions and priorities contained in the plan set us on a path to achieving the DOT's core mission and better supporting the Department. In order to do that, we believe that it is essential to further develop the management approach around IT budget, acquisition, human resources, and general governance.

FITARA will also guide us as we redesign and reimagine the technical architecture of the Department to respond to ever-evolving challenges and modernizing technology solutions. We must create architecture at the DOT that is secure by design. Re-architecting the way we manage IT through a strong, centralized IT shared services model requires not only adept CIOs at the Department level, but we also must have knowledgeable CIOs at the business unit level. Managing commodity IT as a shared service will allow CIOs at the OA level to apply a renewed focus on using IT to advance the mission of the business.

A diverse, multi-agency group with support from both executive leadership and individual employees contributed to the plan. We are committed to ensuring that the plan serves as a foundation for continued innovation in the way we manage IT resources, both now and in the future. We welcome your comments and encourage you to send your feedback to OCIO@dot.gov.

Sincerely,

Victor M. Mendez

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Document Version Control

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| 1.1 | November 2015 | U.S. Department of Transportation FITARA Implementation Plan |
| | December 2015 | U.S. Department of Transportation FITARA Implementation Plan |

## Purpose

This Implementation Plan responds to the Federal Information Technology Acquisition Reform Act (FITARA), passed by Congress in December 2014, pursuant to Title VIII Subtitle D, Section 831-837 of the National Defense Authorization Act for Fiscal Year 2015. This plan applies only to the extent that such requirements and recommendations are consistent with the expressed language contained in the Federal Aviation Administration (FAA) authorization, FAA General Procurement Authority, and FAA Air Traffic Control Modernization Reviews[1]. As such, the FAA Chief Information Officer (CIO) is delegated FITARA responsibilities relating to IT budget execution and acquisitions.  The plan reflects input from a diverse group of stakeholders and outlines the Department of Transportation's (DOT) strategy to address FITARA and information technology- (IT) related management practices for the Office of the Secretary of Transportation and the DOT Operating Administrations. The DOT is modifying its investment management and review practices to maximize the value of its investments in IT systems to improve the effectiveness of its business operations, promote economies of scale that will result in improved service delivery, promote cost savings and avoidance initiatives, mitigate risks, and help eliminate inefficient and/or duplicative investments. Additionally, the Department is establishing new policies and practices, where applicable, and strengthening existing policies surrounding Acquisition Workforce and Chief Information Officer (CIO) selection and evaluations, budgeting and policy compliance with FITARA goals.

## Background

The DOT spends in excess of $3B annually on IT to manage and support a portfolio of more than 400 major and non-major IT investments. These investments are categorized in three service areas according to the Department's Enterprise Architecture (EA): Business Support, Mission Services, and Enterprise Services. The DOT is a large, diverse department with nine separate Operating Administrations. Due to the decentralized nature of the Department, many IT investments are managed locally. This practice has resulted in a lack of transparency of IT resources at the departmental level, thereby hampering the DOT CIO's ability to promote collaboration, create efficiencies, and ensure resources are effectively managed in a way that maximizes the effective/efficient use of taxpayer resources. FITARA was established in order to provide CIOs of covered agencies enhanced responsibility and authority for collaboration across their departments with the CXO community on the management and oversight of IT resources and assets. These responsibilities and authorities include, but are not limited to: IT portfolio review; budget formulation and approval of IT budgets; CIO appointing authority; enhanced transparency and risk management of IT investments; IT workforce planning; strategic sourcing; and consistency in reporting to strengthen accountability and manage cost, schedule, and performance measures for IT programs.

With the issuance of FITARA, the Office of Management and Budget (OMB) requested agencies update policies and practices to meet the intent of the legislation. OMB levied a number of recurring requirements that agencies must adhere to in addition to reiterating the importance of established practices that promote efficient and effective IT management. To meet OMB objectives and comply with

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[1] 49 U.S.C. §§ 106, 40110, 40121

the FITARA legislation, the DOT stakeholder communities collaborated to determine the policies, processes, and guidance that require updates or revisions to meet the full intent of FITARA.

## Objectives

This implementation plan documents the Department's strategy to comply with FITARA, and outlines appropriate Senior Agency Official roles in managing IT as a strategic resource through an integrated and collaborative process designed to:

1.  Assist the DOT CIO and Operating Administrations in aligning the Department's IT investments with agency mission, goals, programmatic priorities, and statutory requirements;
2.  Establish the necessary agency-wide IT management controls that will meet FITARA requirements while providing Operating Administrations with the flexibility to adapt to component processes and unique mission requirements;
3.  Provide guidance for the establishment of a more robust and inclusive governance process that will enable effective planning, budgeting, execution and prioritization of IT investments;
4.  Establish the "Common Baseline" for roles, responsibilities, and authorities of the DOT CIO, CFO and appropriate Senior Agency Officials in managing IT as a strategic resource;
5.  Strengthen accountability for IT cost, schedule, and performance;
6.  Provide appropriate enterprise visibility for the DOT CIO to successfully implement cybersecurity policies; and
7.  Provide transparency of IT resources across the entire Department.

## Guiding Principles

When executed correctly, IT enables business operations and processes essential to meeting the Department's strategic objectives in an integrated, cost-effective way. To this end, the Department will leverage a single, integrated governance forum, the Investment Review Board (IRB), to oversee the implementation of FITARA mandates. In addition to a single governance structure, the Department will embrace the following guiding principle in the management and oversight of IT resources (e.g. people, money, technology):

-   **Portfolio-Based Approach:** The Department organizes individual investments into service area portfolios, based on the Department's EA, to aid departmental analysis and review for IRB approval and oversight.
-   **Common Operating Environment (COE) Services Management Policy:** The COE Services Management Policy, signed on February 20, 2015, allows the Department to rationalize IT investments, drive down costs and improve service across the Operating Administrations. The policy promotes the principle of Department-wide authorities and responsibilities pertaining to the implementation and management of an enterprise IT infrastructure.

- **Enterprise Architecture:** Through a consistent view across all program and service areas, EA is the foundation for investment planning and decision-making. The architecture guides the Department's efforts in maximizing standardization and interoperability among technology solutions. Additionally, the EA will be leveraged to enable the identification of redundant and inefficient systems and to ensure alignment and compliance with applicable laws, policies, and regulations to promote streamlined business operations.
- **Data-Driven Decisions:** The quality of any investment decision is dependent on the quality of the information presented to the decision-maker. This principle recognizes the importance of information relevancy and accuracy; therefore essential information about cost, performance, capabilities, risks, etc., must be kept up to date and made available to applicable stakeholders in order to inform sound decision-making.
- **Capital Planning and Investment Control (CPIC) Methodology:** CPIC is a systematic approach to ensuring sound stewardship of IT resources. IT assets must be rigorously managed throughout their lifecycle, and CPIC's foundational principles of selecting, managing, evaluating, and controlling IT investments helps the Department achieve this objective. As mandated by the Clinger Cohen Act of 1996, CPIC will continue to guide the Department's focus on the results produced by IT investments.
- **Acquisition Strategy Review Board (ASRB):** The ASRB leverages the integrated expertise of the Department's Acquisition, Budget and Information Technology management communities for the review of IT contracts to ensure government interests are protected and economies of scale are considered.
- **OMB PortfolioStat and the Information Technology Investment Management (ITIM) Framework:** PortfolioStat assesses the health of the DOT's IT portfolio as well as progress towards government-wide initiatives. The ITIM framework will help gauge the DOT's progress against five stages of maturity: creating investment awareness (stage 1), building the investment foundation (stage 2), developing a complete investment portfolio (stage 3), improving the investment process (stage 4), and leveraging IT for strategic outcomes (stage 5).

## Governance

Effective governance is crucial to ensuring the long-term success of FITARA, the Clinger-Cohen Act of 1966, and departmental policies, guidance, and processes for the effective management of IT resources. The Department's IT governance structure identifies the IRB as the overarching senior governance body. The IRB is the department-level executive governance board with a chartered scope that includes:

- Providing strategic direction, leadership, and alignment of IT investments and programs with the DOT mission/ business needs, direction, budget objectives, goals, performance planning, and reporting;
- Ensuring IT Investments are aligned to one of three overarching service areas of Business Support, Mission Services, and Enterprise Services;

- Ensuring the integration of the IT budget formulation process with the overall DOT budget and financial management processes;
- Ensuring the integration of IT governance policy and processes with the DOT Acquisition Management decisions;
- Executing management oversight of large-scale enterprise IT investments and projects;
- Monitoring the execution of Operating Administration planning, selecting, acquiring, securing, operating, and managing IT investments; and
- Executing management oversight of IT investment performance through defined metrics.

The IRB, co-chaired by the Deputy Secretary of Transportation and the DOT CIO, includes the following principal members: the DOT CFO, SPE, Under Secretary for Policy, and Operating Administrators.
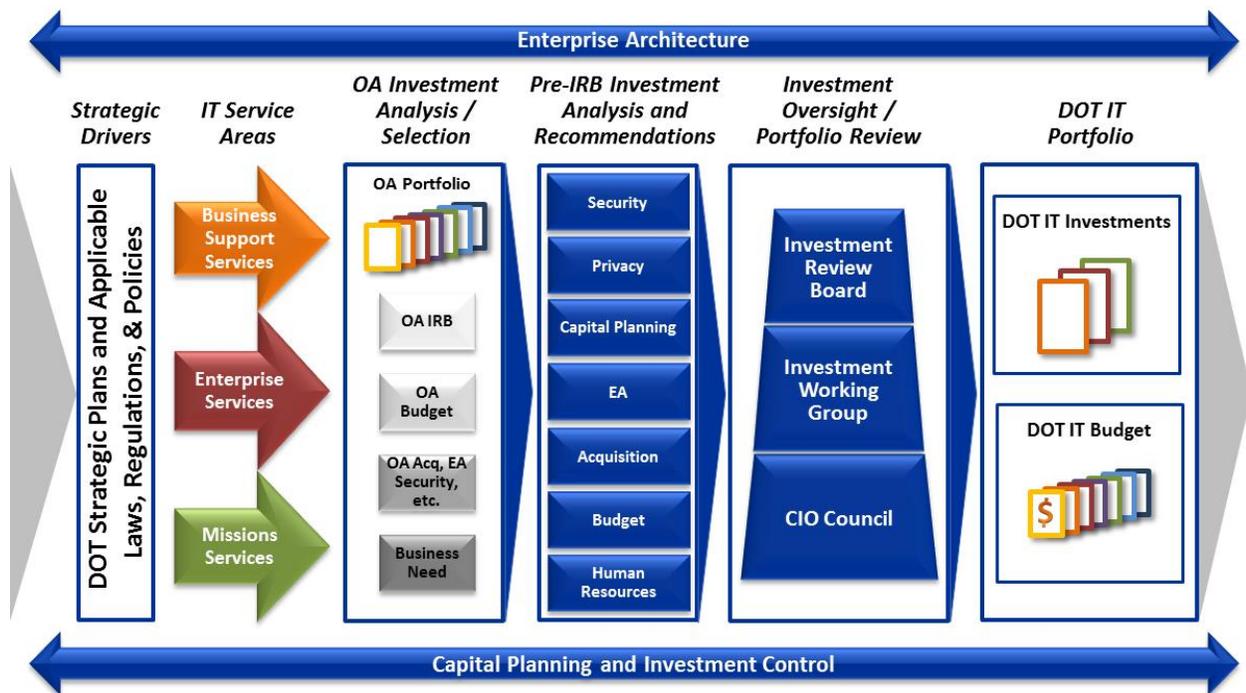


**Figure 1: Integrated Investment Management Framework**

The IRB operates within the Integrated Investment Management Framework as depicted in Figure 1. The framework leverages resources throughout the Department, which include but are not limited to the Investment Working Group, Enterprise Architecture Board, Investment Analysis Team, Acquisition Strategy Review Board (ASRB), Human Resources Council, and the CIO Council to enable strategically driven IT outcomes. The DOT CIO will use the IRB within the framework as the primary mechanism for overseeing the Department's implementation plan and compliance with FITARA. The ASRB serves as an independent forum to assess the feasibility of IT-related contracts, and its determinations help inform the IRB. The IRB examines ASRB and other supporting bodies' information, analysis, and recommendations, which are consolidated in issues papers presented to the IRB to help reach a

consensus on one of three possible decisions for IT investments: approval, disapproval, or approve with conditions.

## Common Baseline

OMB has established a Common Baseline to detail how agencies meet and/or will modify existing practices to meet FITARA. The Common Baseline provides a foundation for agencies to consider unique missions and provides the flexibility needed to adopt procedures that meet FITARA requirements and promote the efficient and effective management of IT resources. This approach enables operational management at the Component level while maintaining centralized control and responsibility at the departmental level. The Common Baseline outlines roles, responsibilities, and authorities of the DOT CIO and other applicable Senior Agency Officials in managing IT as a strategic resource, and serves as the framework to help strengthen current responsibilities and authorities outlined in the Clinger-Cohen Act. The Common Baseline will be used to ensure Senior Agency Officials associated with the overarching management of IT are engaged in the oversight and lifecycle management of IT investments.

### Self-Assessment

OMB required applicable agencies to conduct a self-assessment to identify current conformity and potential gaps against the Common Baseline. The DOT CIO and stakeholder community performed this assessment and discovered a number of conformity gaps that will be addressed through strengthening, updating, or revising existing policies, processes and guidance. For those processes that are of a mature nature, with the exception of budget approval and bureau CIO appointment, the DOT CIO may designate Operating Administration CIOs or applicable Office of the CIO (OCIO) staff to act as a representative of the DOT CIO in aspects of the FITARA implementation in a rules-based manner. The DOT CIO will retain accountability for the assigned roles and will use periodic monitoring via monthly dashboard assessments, program reviews, and departmental governance board reviews to ensure the effective management of IT resources. Additionally, the DOT CIO will ensure the overall suitability of selected officials entrusted with CIO responsibilities through the assessment and monitoring of IT core competencies tied to performance appraisal objectives.

OMB requested agencies use the following ratings:

1: Incomplete—Agency has not started development of a plan that describes 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 that describes the changes it will make to ensure that all baseline FITARA responsibilities are in place by December 31, 2015; or

3: Fully implemented—Agency has developed and implemented its plan to ensure that all Common Baseline FITARA responsibilities are in place.

The DOT self-assessment and implementation plans are as follows:

## Budget Formulation and Planning

"The CIO has a significant role in the decision processes for all annual and multi-year planning, programming, budgeting, and execution decisions."[2]

### *Visibility of IT resources*

**A1.** *CIO Role/Responsibility:* **Visibility of IT resource plans/decisions to CIO.** The CFO and CIO jointly shall define the level of detail with which IT resource levels are described distinctly from other resources throughout the planning, programming, and budgeting stages. This should serve as the primary input into the IT CPIC documents submitted with the budget (formerly Exhibits 53 and 300).

**A2.** *CXO Role/Responsibility:* **Visibility of IT resource plans/decisions in budget materials.** The CFO and CIO jointly shall define the level of detail with which IT resource levels are described as detailed in A1.

*DOT Rating 3: Under the Department's legacy governance model, the DOT CIO worked in coordination with the CFO to identify annual and multi-year IT resources. This task was primarily accomplished through routine analysis of IT exhibits and budget submission documents that outlined IT requests from Operating Administrations. While the reviews provided insight into overarching plans for major investments, they weren't aligned with the budget cycle. Additionally, the DOT CIO and CFO lacked the finite details needed to build long-term IT plans and strategies that capitalized on economies of scale and leveraged shared resources in a federated environment.*

*For the FY 2017 Budget formulation cycle, the DOT CIO and CFO have jointly developed an IT investment review approach that requires Operating Administrations to identify the IT portions of their justifications in greater detail. This data will be compared with existing CPIC and EA portfolio documentation. The comparison will be analyzed and utilized as the basis for OCIO recommendations. This approach meets this objective by adding rigor and transparency to the planning, programming and budgeting process stages and delineates IT resources from other resources. The budget process also calls for dedicated IT analysis designed to provide visibility of planned and actual IT spend by delineating those system(s), application(s), and costs tied to capital investments. This approach enhances the accuracy of IT expenditures and provides greater visibility into the Department's enterprise IT inventory. The DOT will leverage this information as the primary input data to formulate and approve budget requests and inform capital planning and investment control activities.*

### *CIO role in pre-budget submission*

**B1**. *CIO Role/Responsibility:* **CIO role in pre-budget submission for programs that include IT and overall portfolio.** The agency head shall ensure the agency-wide budget development process includes the CFO, CAO, and CIO in the planning, programming, and budgeting stages for programs that include IT resources (not just programs that are primarily IT-oriented). The agency head, in consultation with the CFO, CIO, and program leadership, shall define the processes by which program leadership works with the CIO to plan an overall portfolio of IT resources that achieve program and business objectives and to develop sound estimates of the necessary IT resources for accomplishing those objectives.

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[2] [Office of Management and Budget (OMB) M-15-14](#)

**B2.** *CXO Role/Responsibility:* **CIO role in pre-budget submission for programs that include IT and overall portfolio.** The agency head shall ensure the agency-wide budget development process includes the CFO, CAO, and CIO as described in B1, and that CIO guidelines are applied to the planning of all IT resources during budget formulation. The CFO and program leadership shall work jointly with the CIO to establish the processes and definitions described in B1.

*DOT Rating 2: The Department's budget process allows for collaboration and planning among the CFO, SPE, and DOT CIO as members of the IRB. The Secretary has approved the DOT CIO's defined processes as outlined in the Department's Investment Management Process Guidance, dated March 12, 2015. The guidance provides the framework for the IRB to examine IT resources using a portfolio-based approach whereby investments are assessed against the DOT's strategic objectives. As outlined in the Investment Management Process Guidance, the CIO in coordination with the CFO and SPE reviews and approves the DOT portfolio service areas via the IRB on a quarterly basis. An approved portfolio serves as the IRB's recommended pre-budget submission for the Secretary's consideration for incorporation into the Department's budget. The offices of the CFO and CIO hold bi-weekly strategy meetings to ensure that policies and processes for planning, programming, and budgeting stages IT resources are in synch.*

*The Investment Management Process Guidance will be updated to place increased emphasis on budgeting stages for programs that include IT resources as part of the total lifecycle costs of IT to fully meet the intent of this objective. Program Managers (PM) will be required to follow the Agency's Earned Value Management Guidance with specific emphasis on independent cost estimates and contract negotiation to ensure appropriate cost models are developed from market research efforts. These rules of the road will help the Department ensure reliable and high-quality cost estimates are defined to help develop realistic lifecycle cost estimates required to inform IT decisions.*

*Additionally, the Investment Management Process Guidance will outline the CIOs role and highlight activities performed in the Agency's pre-budget submission for IT resources. The Office of the CIO in coordination with the Office of the CFO will develop budget guidance for the procurement and management of IT resources. The CIO and CFO will convene joint budget planning meetings with Operating Administration CIOs and Budget staff to review and provide preliminary recommendations and guidance on proposed budget request prior to requesting the Secretary's decision. The reviews are expected to take place over a 6-8 week period (May-June) during the Budget Formulation stage.   The Investment Management Process Guidance will be updated and placed into the Departmental review and coordination process by December 31, 2015 and be signed into publication by February 10, 2016*

### CIO role in planning program management
**C1.** *CIO Role/Responsibility:* **CIO role in planning program management. The CIO shall be included in the internal planning processes for how the agency uses IT resources to achieve its objectives.** The CIO shall approve the IT components of any plans through a process defined by the agency head that balances IT investments with other uses of agency funding. This includes CIO involvement with planning for IT resources at all points in their lifecycle, including operations and disposition or migration.

**C2.** *CXO Role/Responsibility:* **CIO role in program management**. CIO, CFO, and program leadership shall define an agency-wide process by which the CIO shall advise on all planning described in C1.

*DOT Rating 2: The DOT CIO is invested in the internal planning processes for how the agency uses IT resources to achieve its objectives. The DOT partially meets this objective through application of the phases of CPIC methodology and leveraging the EA framework. The DOT CIO is currently involved in program management for major investments through the monthly reviews in preparation for reporting to the Federal IT Dashboard and annual reviews for the submission of the Information Technology Portfolio Summary (ITPS). The DOT CIO's staff works with Operating Administration CPIC coordinators and IRB supporting resources to analyze and present data to the IRB for informed decision making. However, the Department recognizes the need to enhance the DOT CIO's and CFO's role in the internal planning and program management throughout the lifecycle of IT projects to ensure IT resources are used to achieve objectives. This task will be performed collaboratively with the CFO, SPE, and Operating Administration CIOs. The CIO is in the process of completing the first part of a two-phased baseline review of its Integrated Program Planning and Management (IPPM) and Investment Management Process Guidance documents. The first phase will outline actions Operating Administration CIOs must take to establish a process for conducting internal program reviews and approving IT components in planned procurements, and will be complete not later than December 31, 2015. The second phase will culminate with the final revision and release of both documents by February 10, 2016.*

*The DOT CIO, CFO, and SPE will provide oversight via the IRB. The DOT CIO is evaluating the potential benefits in establishing Program Management reviews to conduct periodic program management assessments as needed. The IRB serves as the final decision authority for rationalizing IT investments across the Department. Additionally, the Department will continue to leverage existing practices for the disposal of IT resources at the end of their lifecycle.*

### CIO role in budget request

**D1.** *CIO Role/Responsibility:* **CIO reviews and approves major IT investment portion of budget request.** Agency budget justification materials in their initial budget submission to OMB shall include a statement that affirms: the CIO has reviewed and approves the major IT investments portion of this budget request; the CFO and CIO jointly affirm that the CIO had a significant role in reviewing planned IT support for major program objectives and significant increases and decreases in IT resources; and the IT Portfolio (formerly Exhibit 53) includes appropriate estimates of all IT resources included in the budget request.

**D2.** *CXO Role/Responsibility:* **CIO and CFO Certify IT Portfolio.** The CFO shall work with the CIO to establish the affirmations in D1.

*DOT Rating 2: Historically, Operating Administration budget justifications did not have sufficient detail to certify review and approval of all major IT investments. Specifically, OCIO did not have access to the appropriate level of information to:*

- *validate operations and maintenance costs;*
- *capture spending outside of formal, defined, and approved systems, including software;*
- *validate developmental costs in some cases where the budget is developed based on overarching procurement vehicles that cover multiple systems; and*
- *capture "shadow" IT that is controlled outside of the Operating Administration CIO function.*

*To meet the majority of FITARA's intent the DOT CIO and CFO have developed a collaborative IT investment review approach that requests more IT detail underlying the programmatic justifications. This requires the DOT CIO's review and approval of the IT budget using the ITPS (formerly Exhibit 53), and an IT asset template that list all IT investments by EA service area. To fully meet FITARA, the Investment Management Process Guidance will be amended to include a statement that affirms, "CIO has reviewed and approves the major IT investment portion of this budget request." As principal members of the IRB, the DOT CIO, CXO, and CFO leverage Operating Administration Portfolio Approval Request (PAR) memos and ITPS to jointly certify that budget estimates for IT resources contained in the Operating Administration portfolios contain appropriate estimates. Operating Administration CIOs shall ensure that program office/manager estimates are developed using the same or equal criteria mentioned in section I1 & I2 under, "Share acquisition and procurement responsibilities." The DOT will also ensure that agency budget justification materials in their initial budget submission to OMB include a certification that affirms that the CIO has reviewed and approved the major IT investments portion of this budget request.*

## Acquisition and Execution

"The CIO has a significant role in the decision processes for all annual and multi-year planning, programming, budgeting, and execution decisions; management, governance and oversight processes related to IT; and certifies that IT investments are adequately implementing incremental development as defined in OMB capital planning guidance."[3]

### *Ongoing CIO engagement with program managers*

**E1.** *CIO Role/Responsibility:* **Ongoing CIO engagement with program managers.** The CIO should establish and maintain a process to regularly engage with program managers to evaluate IT resources supporting each agency strategic objective. It should be the CIO and PMs' shared responsibility to ensure that legacy and ongoing IT investments are appropriately delivering customer value and meeting the business objectives of programs.

**E2.** *CXO Role/Responsibility:* **Ongoing CIO engagement with program managers.** PMs shall work with the CIO to define IT performance metrics and strategies to support fulfillment of agency strategic objectives defined in the agency's strategic plan.

***DOT Rating 2:*** *The DOT CIO sets policies for managing programs that are implemented at the Operating Administration level. The DOT IPPM requires metrics that cover specific developmental processes, specifically relating to cost, schedule, and performance parameters. The DOT IPPM also assesses programs on the delivery of useful capability to users in a timely manner. Operating Administration CIOs*

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[3] [Office of Management and Budget (OMB) M-15-14](#)

*coordinate directly with PMs on the establishment and reporting of IT performance metrics. The OCIO will establish a training program to ensure that PMs are educated and applying Departmental standards in program and project execution.*

*The DOT CIO is evaluating methods to conduct periodic program management reviews/assessments designed to enhance the engagement of decision makers and stakeholder throughout a program's lifecycle. Program Managers and applicable program management office staff will be required to apprise a CIO convened program review panel of a program's health and status. The review would provide oversight of performance management goals, objectives and metrics to ensure investments are being managed properly and delivering cost-effective business value to the Department. The CIO or his or her designee will chair such review panels on a quarterly schedule, however, reviews may be held on a more or less frequent basis should performance indicators dictate. The DOT CIO will require OA CIOs' to establish internal program oversight processes leveraging the "to-be" DOT enterprise criteria. In addition to ensuring the effective management of IT programs, the OA CIOs should also ensure that IT programs/projects focus on achieving strategic objectives.*

### *Visibility of IT planned expenditure reporting to CIO*

**F1.** *CIO Role/Responsibility:* **Visibility of IT planned expenditure reporting to CIO.** The CFO, CAO, and CIO should define DOT-wide policy for the level of detail of planned expenditure reporting for all transactions that include IT resources.

**F2.** *CXO Role/Responsibility:* **Visibility of IT planned expenditure reporting to CIO.** The CFO, CAO, and CIO shall define DOT-wide policy for the level of detail of planned expenditure reporting for all transactions that include IT resources.

*DOT Rating 2: The DOT CIO, CFO, and SPE have jointly developed an IT investment approach to achieve a greater level of visibility for IT expenditure and reporting for all planned IT procurements during the budget year. The approach holds Operating Administration CIOs accountable for developing and maintaining an up-to-date annual IT spend plan. The spend plan, at a minimum, documents "All planned IT" within each annual appropriation and will be reported to the DOT CIO, CFO, and SPE. This approach assists the agency in tying investments to contracts and improves the tracking of IT obligations and expenditures.*

*The DOT CIO and CFO will work with the Operating Administrations to better understand current processes with the goal of defining a consistent approach to an IT expenditure plan. The SPE will work with Operating Administrations to improve contract language to ensure system costs are detailed within procurements that cover more than one system.*

### *Visibility of IT planned expenditure reporting to CIO*

**G1.** *CIO Role/Responsibility:* **CIO defines IT processes and policies.** The CIO defines the development processes, milestones, review gates, and the overall policies for all capital planning, enterprise architecture, project management, and reporting for IT resources. At a minimum, these processes shall

ensure that the CIO certifies that IT resources are adequately implementing incremental development (as defined in the below definitions). The CIO should ensure that such processes and policies address each category of IT resources appropriately—for example, it may not be appropriate to apply the same process or policy to highly customized mission-specific applications and back office enterprise IT systems depending on the agency environment. These policies shall be posted publicly at agency.gov/digitalstrategy, included as a downloadable dataset in the agency's Public Data Listing, and shared with OMB through the IDC. For more information, see OMB Circular A-130: Management of Information Resources.

*DOT Rating 2: The Department will leverage the aforementioned updated IT budget process to increase visibility of IT planned expenditure through the use of Operating Administration IT spend plans. The DOT will also continue to adhere to OMB policy and leverage current management practices outlined in the IPPM Practitioner's Guide and Investment Management Process Guidance to conduct all phases of capital planning reporting and project oversight of IT investments. The DOT's IPPM Practitioner's Guide outlines the development processes and artifacts required for milestone and phased gate reviews, while the Investment Management Process Guidance outlines the criteria for CPIC. Once updated, the IPPM will consist of program/project management policies and practices common to agile development methodology. As a part of the periodic program management reviews/assessments alluded to in section E1, enterprise architecture alignment agile IT development methodologies will be a key focus area to ensure IT resources are being used wisely.*

*The DOT utilizes a portfolio-based approach to review IT resources. The Operating Administration CIOs assert compliance of their portfolios using the Department's PAR Memorandum as part of the IRB process. The DOT CIO maintains overarching responsibility for Departmental certification of incremental development and has the authority to require changes to the Operating Administration submitted PARs. As part of the aforementioned baseline review, the Investment Management Process Guidance and the IPPM will be updated to strengthen the Department's program management oversight and milestone review processes, with a focus on incremental development. The plans/process revisions required to address the review's findings will be presented for Departmental review and coordination by December 31, 2015 and finalized for adoption no later than February 10, 2015.*

### CIO role on program governance boards

**H1.** *CIO Role/Responsibility:* **CIO role on program governance boards.** In order to ensure early matching of appropriate IT with program objectives, the CIO shall be a member of governance boards that include IT resources (including "shadow IT" or "hidden IT"—see [definitions](#)[4]), including bureau Investment Review Boards (IRB). The CIO shall notify OMB of all governance boards the CIO is a member of and update this notification at least annually.

**H2**. *CXO Role/Responsibility:* Participate with CIO on governance boards as appropriate.

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[4] [Office of Management and Budget (OMB) M-15-14](#)

**DOT Rating 3:** *The DOT's IRB is the senior executive governance board charged with oversight of IT investments and ensuring the Department's investments align with the DOT's strategic priorities, objectives, and Operating Administration missions. The Deputy Secretary and the DOT CIO co-chair the IRB. In this capacity, the DOT CIO retains overarching responsibility for ensuring decision processes for all annual and multi-year planning, programming, budgeting, and execution decisions, and the management, governance and oversight processes related to IT are adhered to, in accordance with Title 40 U.S.C. § 11319(b)(1)(A).*

*The DOT will ensure adherence with these responsibilities through regular, collaborative IRB meetings designed to focus on cost, schedule, performance and risk factors to determine the overall health of the IT portfolio. Although the final determination on investment decisions is rendered at the IRB, each Operating Administration is expected to have a bureau-level IRB that reviews investments and informs IRB decisions. The Operating Administration IRB should operate on the principle foundation of the IRB as outlined in the Investment Management Process Guidance, where practicable. Additionally, the DOT CIO or designated representative shall be a participant on Operating Administration IRBs.*

*IRB decisions are codified in an Investment Decision Recommendation (IDR) signed by the DOT CIO following each IRB meeting. The Operating Administration CIO approval of the IDR will certify that investments contained in the portfolio are adequately implementing incremental development and other requirements, as defined in capital planning guidance issued by OMB; 40 U.S.C. § 11319. The Department will continue use of the IPPM to manage IT development efforts and commercial off the shelf procurements throughout their lifecycle. The IPPM Practitioner's Guide will be updated to highlight the requirement for incremental development where practical.*

### *Shared acquisition and procurement responsibilities*

**I1.** *CIO Role/Responsibility***: Shared acquisition and procurement responsibilities.** The CIO reviews all cost estimates of IT-related costs and ensures all acquisition strategies and acquisition plans that include IT apply adequate incremental development principles (see definitions).

**I2.** *CXO Role/Responsibility***: Shared acquisition and procurement responsibilities**. The CAO, in consultation with the CIO and, where appropriate, the CFO, shall ensure there is an agency-wide process to ensure all acquisitions that include any IT: are led by personnel with appropriate federal acquisition certifications (FAC), including specialized IT certifications as appropriate; are reviewed for opportunities to leverage acquisition initiatives such as shared services, category management, strategic sourcing, and incremental or modular contracting and use such approaches as appropriate; are supported by cost estimates that have been reviewed by the CIO; and adequately implement incremental development.

**DOT Rating 2:** *The DOT will continue to leverage the SPE-led ASRB, the IRB, and the Department's EVM guidance. The SPE convenes an ASRB to review acquisition strategies and plans for IT procurements over $20M (or high risk acquisitions above $10M) for opportunities to leverage acquisition initiatives such as shared services, category management, strategic sourcing, compliance with EVM, and incremental or modular contracting approaches, as appropriate. The DOT CIO and CFO are participating partners in the*

*review. The FAA does not participate in the ASRB process. However, the FAA CIO has delegated responsibility for IT related acquisitions, and addresses shared acquisition responsibility for IT projects as a member of the FAA Joint Resources Council (JRC). The JRC combines the functions of the CIO, CFO, the senior acquisition executive and others to ensure IT-related costs are reasonable.  Further, the JRC ensures that IT acquisition strategies and acquisition plans apply adequate incremental development methodology where practicable. The DOT CIO and the FAA CIO work collaboratively to execute IT projects and programs.  For example, FAA IT project information is shared with the DOT OCIO via monthly IT dashboard reports. The Department CIO reviews and makes recommendations to FAA on improving cost, schedule and performance parameters associated with their investments. The Department has also shown success in collaborating in enterprise-wide contract vehicles, including the FAA Cloud Services (FCS) contract.  The DOT CIO's office and the FAA CIO's office led a working group made up of representatives from across the Department to finalize the requirements for the FCS contract to ensure it could be utilized at an enterprise level.  The DOT CIO and SPE are partnering on the development of agency-wide processes for ensuring that all acquisitions, including IT, are led by personnel with FACs. The Department's Acquisition Human Capital Plan and EVM guidance will be updated to reflect certification requirements using a tiered approach. FAC-P/PM (Project and Program Managers) level III certification will be required for personnel managing major investment projects, while FAC-P/PM level I & II will be used for non-major investment initiatives.*

*While current policies and processes meet the majority of FITARA's intent, the Department recognizes the need for a more robust departmental process for the oversight of acquisition strategies and acquisition plans for procurements that fall below the ASRB threshold. The Investment Management Process Guidance will be revised for Departmental review by December 31, 2015 and finalized for adoption no later than February 10, 2015.*

### *CIO role in recommending modification, termination, or pause of IT projects or initiatives*

**J1**. *CIO Role/Responsibility*: **CIO role in recommending modification, termination, or pause of IT projects or initiatives.** The CIO shall conduct TechStat reviews or use other applicable performance measurements to evaluate the use of the IT resources of the agency. The CIO may recommend to the agency head the modification, pause, or termination of any acquisition, investment, or activity that includes a significant IT component based on the CIO's evaluation, within the terms of the relevant contracts and applicable regulations.

**DOT Rating 2:** *The DOT partially fulfills this responsibility, as Operating Administration CIOs currently conduct performance reviews of their IT portfolio assets within the context of Operating Administration IRBs and make recommendations to Operating Administrators. The DOT CIO maintains overall oversight and responsibility for final recommendations on modification, termination, or pause of projects. The DOT CIOs responsibility is executed within the Department's integrated governance framework, the IRB.*

*The DOT CIO, in coordination with the IRB principals, leverages IRB supporting resource analysis and performance criteria outlined in the Investment Management Process Guidance along with Operating*

*Administration performance data to make informed decisions on which investments are selected for TechStat reviews.*

*The IRB leverages the TechStat process as an evidence-based accountability review of IT investments in order to address weaknesses and make decisions about the future of investments.*

*The Investment Management Process Guidance will be updated to capture final recommendations on modification, termination, or pause of projects. Additionally, the guidance will address notification provisions to meet OMB TechStat notification timelines and IDC submission requirements.*

## *CIO review and approval of acquisitions*

**K1**. *CIO Role/Responsibility*: **CIO review and approval of acquisition strategy and acquisition plan.** Agencies shall not approve an acquisition strategy or acquisition plan (as described in Federal Acquisition Regulation Part 7) or interagency agreement (such as those used to support purchases through another agency) that includes IT without review and approval by the agency CIO. For contract actions that contain IT without an approved acquisition strategy or acquisition plan, the CIO shall review and approve the action itself. The CIO shall primarily consider the following factors when reviewing acquisition strategies and acquisition plans: appropriateness of contract type; appropriateness of IT related portions of statement of needs or statement of work; appropriateness of above with respect to the mission and business objectives supported by the IT strategic plan; and alignment with mission and program objectives in consultation with program leadership.

**K2.** *CXO Role/Responsibility*: **CAO is responsible for ensuring contract actions that contain IT are consistent with CIO-approved acquisition strategies and plans.** The CAO shall indicate to the CIO when planned acquisition strategies and acquisition plans include IT. The CAO shall ensure the agency shall initiate no contract actions or interagency agreements that include IT unless they are reviewed and approved by the CIO or are consistent with the acquisition strategy and acquisition plan previously approved by the CIO. A similar process for contract modifications will be implemented. The CAO shall also ensure that no modifications that make substantial changes to the scope of a significant contract are approved that are inconsistent with the acquisition strategy and acquisition plan previously approved by the CIO, unless the modification is reviewed and approved by the CIO.

*DOT Rating 2: IT procurement actions over $20M (or high risk acquisitions above $10M) are analyzed under the ASRB, which is chaired by SPE, Deputy CIO and Deputy CFO. The OCIO has an integral role on the ASRB, and uses OMB stated criteria to make recommendations on all acquisition plans and IT investments that are presented to the board.*

*The SPE developed and recently released the Department's Acquisition Planning Operational Guide. The guide reiterates the requirement for the DOT CIO approval of planned acquisition strategies and acquisition plans that include IT resources and outlines IT considerations that help the SPE identify contracts with imbedded IT.*

*Operating Administration CIOs and procurement officials review contracts below the ASRB threshold to ensure they use a documented, repeatable process based on the objectives outlined above (K1).*

*To fully meet FITARA requirements and ensure the DOT CIO maintains overall oversight and responsibility, the Department's Investment Management Process Guidance will be updated to address gaps identified in the baseline review by December 31, 2015, and finalized for adoption no later than February 10, 2016 to aid PMs in determining which contracts require the DOT CIO approval and the actions required to secure Operating Administration CIO approval.*

### CIO approval of reprogramming

**L1.** *CIO Role/Responsibility***: CIO approval of reprogramming.** The CIO must approve any movement of funds for IT resources that requires Congressional notification.

**L2.** *CXO Role/Responsibility***: CIO approval of reprogramming.** The CFO shall ensure any notifications under L1 are approved by the CIO prior to submission to OMB.

*DOT Rating 2: The DOT CIO works with the CFO to review and approve reprogramming of funds associated with IT procurements. There are no formal policies or processes for this review.*

*The Department's Investment Management Process Guidance will be updated to incorporate formal process used to execute this function.*

## Organization and Workforce

"The CIO reports to the agency head (or deputy/COO) and assesses the requirements established for agency personnel regarding knowledge and skill in information resources management and the adequacy of those requirements for facilitating the achievement of the established IRM performance goals; and assesses the extent to which the positions and personnel at the executive and management levels meet those requirements."[5]

### CIO approves new bureau CIOs

**M1**. *CIO Role/Responsibility***: CIO approves bureau CIOs.** The CIO shall be involved in the recruitment and shall approve the selection of any new bureau CIO (including bureau leadership with CIO duties but not title—see definitions). The title and responsibilities of current bureau CIOs may be designated or transferred to other agency personnel by the agency head or his or her designee as appropriate and such decisions may take into consideration recommendations from the agency CIO.

*DOT Rating 1: The Department will make revisions to its July 29, 2008, Deputy Secretary of Transportation-signed memorandum (Advancing the Use and Strategic Value of Information Technology Resources throughout the Department of Transportation) not later than December 31, 2015, to incorporate specific language on the DOT CIO approval authority. The revised memorandum will outline how the DOT CIO will work with Operating Administrators to determine Operating Administration CIO*

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[5] [Office of Management and Budget (OMB) M-15-14](#)

*requirements. The plan will call for the CIO to be involved in the recruitment and approval of such CIOs by establishing minimum skillset requirements candidates must meet to be considered for Operating Administration CIO positions. Additionally, the DOT CIO will participate on interview panels and approve the selection of Operating Administration CIOs. By December 31, 2015, the DOT will assess each Operating Administration to determine the appropriateness of moving towards the goal of single-hatted CIOs to ensure IT resources and related issues can be given the required level of attention.*

*Candidates designated or transferred to CIO positions shall meet the same skillset requirements the DOT CIO and Operating Administrators establish for recruited candidates.*

### CIO role in ongoing bureau CIOs' evaluations

**N1.** *CIO Role/Responsibility***: CIO role in ongoing bureau CIOs' evaluations.** The CHCO and CIO shall jointly establish an agency-wide critical element (or elements) included in all bureau CIOs' performance evaluations. In cases where the bureau CIO is a member of the Senior Executive Service and the agency uses the Basic SES Appraisal System, this critical element(s) is an "agency-specific performance requirement" in the Executive Performance Plan. Each such agency may determine that critical element(s) (Executive Core Qualifications) contain these requirements. For agencies that do not use the Basic SES Appraisal System or for bureau CIOs who are not members of the SES, then these shall be critical elements in their evaluations. The [agency] CIO must identify "key bureau CIOs" and provide input to the rating official for this critical element(s) for at least all "key bureau CIOs" at the time of the initial summary rating and for any required progress reviews. The rating official will consider the input from the [agency] CIO when determining the initial summary rating and discusses it with the bureau CIO during progress reviews.

**N2.** *CXO Role/Responsibility***: CIO role in ongoing bureau CIOs' evaluations.** The CHCO and CIO shall jointly establish an agency-wide critical element (or elements) for the evaluation of bureau CIOs as described in N1.

*DOT Rating 1: The Department will leverage the July 29, 2008, Deputy Secretary of Transportation-signed (Advancing the Use and Strategic Value of Information Technology Resources throughout the Department of Transportation) Memorandum. The memorandum requires the DOT CIO to recommend performance objectives for Operating Administration CIOs at the start of the annual performance cycle. The memorandum will be updated to incorporate the need for jointly established critical elements for Operating Administration CIO performance evaluations. The critical elements shall be focused on the strategic goals and objectives of the Department, as opposed to non-IT-related duties that may arise from unique operational mission needs. Additionally, the DOT CIO will participate on interview panels and approve the selection of Operating Administration CIOs. The memorandum will be updated to specify the role of the DOT CIO in completing performance appraisals for Operating Administration CIOs. Additionally, the memorandum will address the identification of key component CIOs.*

### Bureau IT Leadership Directory

**O1.** *CIO Role/Responsibility***: Bureau IT Leadership Directory.** CIO and CHCO will conduct a survey of all bureau CIOs, and CIO and CHCO will jointly publish a dataset identifying all bureau officials with title of CIO or duties of a CIO. This shall be posted as a public dataset based on instructions in the IDC by August 15, 2015 and kept up-to-date thereafter. The report will identify for each: employment type (e.g. GS, SES, SL, ST, etc.), type of appointment (e.g. career, appointed, etc.), other responsibilities (e.g. full-time CIO or combination CIO/CFO), evaluation "rating official" (e.g. bureau head, other official), evaluation "reviewing official" (if used), and whether [agency] CIO identifies this bureau CIO as a "key bureau CIO" and thus requires the [agency] CIO to provide the rating official input into the agency-wide critical element(s) described in N1.

**O2.** *CXO Role/Responsibility***: Bureau IT Leadership Directory.** CHCO will work with CIO to develop the Bureau IT Leadership Directory as described in O1.

*DOT Rating 3: The Department will establish an Operating Administration IT Leadership Directory with the information required by OMB by August 15, 2015.*

### IT Workforce

**P1.** *CIO Role/Responsibility***: IT Workforce.** The CIO and CHCO will develop a set of competency requirements for IT staff, including IT leadership positions, and develop and maintain a current workforce planning process to ensure the department/agency can (a) anticipate and respond to changing mission requirements (b) maintain workforce skills in a rapidly developing IT environment, and (c) recruit and retain the IT talent needed to accomplish the mission.

**P2.** *CXO Role/Responsibility***: IT Workforce.** CIO and CHCO—and CAO where relevant—shall develop a set of competency requirements for IT staff, including IT leadership positions, and develop and maintain a current workforce planning process to ensure the department/agency can (a) anticipate and respond to changing mission requirements (b) maintain workforce skills in a rapidly developing IT environment, and (c) recruit and retain the IT talent needed to accomplish the mission.

*DOT Rating 2: In the interim, the Department will use the OPM / OMB joint Career Path Guide Model (the Guide) to develop and maintain the current IT workforce. The guide is based on the IT Program Management Competency Model established by OPM in July 2011, and focuses on general and technical competencies pertinent to the IT Program Management career field. The Guide provides sufficient detail on the necessary parenthetical titles and career path progression requirements to enable the DOT to recruit, retain and keep current the skillsets and proficiency needed to execute the Department's mission. By December 31, 2015, the Department will publish the DOT Centric Core Competencies to address critical IT areas such as Cybersecurity and CIOs. These competencies will take into consideration those IT occupations the OPM, CIO and CHCO Workforce Development Subcommittee identified as high priorities for government-wide competency models.*

*CIO reports to agency head (or deputy/COO)*

**Q1**. *CIO Role/Responsibility*: **CIO reports to agency head (or deputy/COO).** As required by the Clinger-Cohen Act and left in place by FITARA, the CIO "shall report directly to such agency head to carry out the responsibilities of the agency under this subchapter." This provision remains unchanged, though certain agencies have since implemented legislation under which the CIO and other management officials report to a COO, Undersecretary for Management, Assistant Secretary for Administration, or similar management executive; in these cases, to remain consistent with the Clinger-Cohen requirement as left unchanged by FITARA, the CIO shall have direct access to the agency head (i.e., the Secretary, or Deputy Secretary serving on the Secretary's behalf) regarding programs that include information technology.

*DOT Rating 3: As established by the Clinger Cohen Act, and mandated by FITARA, the DOT CIO currently reports to the agency head. The DOT will continue to operate under this construct.*

## Transparency, Risk Management, Portfolio Review, and Reporting

The DOT will continue efforts to provide transparent and timely reporting of portfolio assessments to Congress (via OMB) in the following ways, with an emphasis of data quality/data improvements:

- Providing quarterly Integrated Data Collection input, to include cost savings and cost avoidance data.
- Reporting on Monthly Federal IT Dashboard updates of risks, performance metrics, project, and activity data of Major Investments in accordance with CPIC guidance.
  - Reporting will include CIO evaluations and identification of high-risk ratings.
- Conducting TechStats to review IT investments with the DOT leadership and identifying critical problems, as well as Automatic TechStats for any investment with a high-risk rating for three consecutive months.
- Conducting PortfolioStats to assess the current maturity of the DOT IT portfolio management process and select PortfolioStat action items to strengthen the IT portfolio.

## Federal Data Center Consolidation Initiative (FDCCI)

The DOT will prepare for the second phase of the initiative and will refresh and refocus the data center optimization strategy on the efficient and effective use of resources, improved agility, and implementation of the statutory requirements of FITARA. Data center consolidation will leverage virtualization, automation, and cloud-based technologies as ongoing and planned application and system modernization and consolidation occur. The DOT will continue to assess organizational needs and technology drivers to evaluate new technology-based architectures and solutions including storage, server, and networking, and their subsequent impacts on data center modernization and consolidation efforts. Standardization efforts are enabling efficient reuse and automation of the infrastructure and application services.

Planning and implementation efforts are underway that incorporate hybrid cloud solutions of the DOT's on premise data centers and off-premise cloud services. This optimizes the placement of IT services, addresses infrastructure integration and better supports agile methodologies and DevOps initiatives.

## IT Acquisition Cadres

The DOT has recently updated its acquisition workforce development program to implement all updated Government-wide Federal acquisition certification programs, including the FAC-C (Contracting), FAC-P/PM and FAC-COR (Contracting Officers Representative), as well as the FAC-PM - IT specialization.  The Department is currently in the process of assessing the specific skills and competencies associated with the deployment of a robust acquisition workforce IT Cadre. This assessment will address an appropriate deployment model for the IT Cadre, as well as appropriate training and career development needs for individuals/positions identified as members of the IT workforce Cadre.

## Federal Strategic Sourcing Initiative (FSSI)

The DOT will work to become compliant with the new rule regarding purchases of services and supplies in favor of strategically sourced vehicles. An analysis will be provided of the comparative value (price and non-price factors) between the services and supplies offered under the FSSI and services and supplies offered under the source or sources used for the purchase.

The internal DOT strategic sourcing program is a collaborative and structured process of critically analyzing current spending to develop future buying strategies that are more effective and efficient. In addition, the Office of the SPE serves as the Executive Secretariat for the Strategic Sourcing Executive Steering Committee (SSESC) within the Department. This on-going function includes efforts to charter, staff, and oversee cross-agency spend analysis teams, comparing and analyzing ($6 billion in FY 2014) baseline outlays. The Executive Steering Committee analyzes data, evaluates the results, and implements strategic sourcing solutions in areas that generate Department-wide savings. Since 2006 the DOT saved approximately $241M.

The DOT has also had success utilizing government-wide strategic sourcing programs. For example, as part of the execution of the President's Management Agenda to increase effectiveness and efficiency in the 21st Century, several Operating Administrations were able to leverage wireless services under the FSSI.

## Government-wide Software Purchasing Program

The DOT will work to secure access to government-wide enterprise software licenses through new awards that allow for the purchase of a license agreement that is available for use by all Executive agencies.

## Appendix A: Common Acronyms and Abbreviations

The following table contains common acronyms and abbreviations.

**Table 1: Common Acronyms and Abbreviations**

| Acronym | Description | Acronym | Description |
|---------|-------------|---------|-------------|
| CAO | Chief Acquisition Officer | FITARA | Federal Information Technology Acquisition Reform Act |
| CFO | Chief Financial Officer | FSSI | Federal Strategic Sourcing Initiative |
| CFO Act | Chief Financial Officer Act of 1990 | GS | Grade Schedule |
| CHCO | Chief Human Capital Officer | IDC | Integrated Data Collection |
| CIO | Chief Information Officer | IDR | Investment Decision Recommendation |
| COE | Common Operating Environment | IPPM | Integrated Program Planning and Management |
| COO | Chief Operating Officer | IPv6 | Internet Protocol version 6 |
| CPIC | Capital Planning and Investment Control | IRB | Investment Review Board |
| CXO | Senior Agency Official such as CAO, CFO, CHCO, CIO, COO | IRM | Information Resource Management |
| DOT | U. S. Department of Transportation | IT | Information Technology |
| EA | Enterprise Architecture | ITPS | Information Technology Portfolio Summary |
| ECQ | Executive Core Qualifications | NIST | National Institute for Standards and Technology |
| EVM | Earned Value Management | OFPP | Office of Federal Procurement Policy |
| FAA | Federal Aviation Administration | OMB | Office of Management and Budget |
| FAC | Federal Acquisition Certification | PAR | Portfolio Approval Request |
| FAC-C | Federal Acquisition Certification - Contracting | PM | Program Manager |
| FAC-COR | FAC-COR - Contracting Officers Representative | SL | Senior Level |
| FAC-P/PM | Federal Acquisition Certification - Project/Program Manager | SPE | Senior Procurement Executive |
| FAC-PM - IT | Federal Acquisition Certification - Program Manager - IT | U.S.C. | United States Code |
| FDCCI | Federal Data Center Consolidation Initiative | | |