**Agency Guidance for April FITARA Deliverable**

Per M-15-14, Agencies are required to conduct annual self-assessment reviews and updates. The first update must be completed by April 30, 2016. To fulfill this requirement, OMB has developed two templates for agency updates rather than requiring updates to the implementation plans. OMB has pre-populated the below tables with (1) your Agency’s approved self-assessment scores, and (2) the actions/milestones (and corresponding due dates, if provided) that are listed in your Agency Implementation Plans, Self-Assessment table or a separate source that agencies may be using to track progress. Agencies are required to complete both templates and submit them to OMB by April 30th.

Directions for completion:

* For *Agency Common Baseline Self-Assessment Update*:
  + *Initial Element Rating:* Your Agency’s previously submitted self-assessment ratings are pre-populated in the attached template. Please review and update any ratings that don’t accurately reflect your submission. These updated scores will not be posted publicly.
  + *Current Element Rating:* Please provide an updated Assessment score on each Category Element.
  + *Relevant Policy Supporting Implementation of Element*: This column includes all public and internal memos, directives, policies, strategies, and procedures, established to enable successful outcomes.
  + *Obstacles / Risks / Challenges by Category*: Please include all barriers to success by category, as well as any mitigation plans and/or strategies developed to address these issues.
  + **For Agencies that stated that they do not have formal bureaus or component level organizations as related to elements M, N, O.** While there may not be official component level organizations, your agency operates IT in regions, field offices, and or program offices, in which there is someone responsible for managing IT. Therefore, for these elements, we ask that your agency provide ratings and details about how your agency delegates and manages authority over IT investments throughout the agency and any supporting policies, directives, or memos that govern such a delegation. Your agency Bureau Leadership Directory and Assignment Plan should be updated as applicable.
  + Please submit your completed Self-Assessment (in Word or Excel) to your OMB OFCIO Desk Officer.

* For *Agency Actions and Milestones Table:*
  + Commitments included in each Agency Implementation Plan have been pulled to pre-populate the attached template. While OMB made every attempt to extract commitments and target completion dates accurately, please review and make any adjustments necessary to reflect the actions your agency is taking to fully implement the FITARA Common Baseline elements. Should your agency feel that it is necessary to change or adjust the pre-populated language, please highlight the new or different language and inform your Desk Officer of the changes that were made.
  + Agencies should use the example JSON file and schema at management.cio.gov/schema to generate a FITARAmilestones.json describing these milestones and post this to agency.gov/digitalstrategy. This will allow OMB to automatically pull agency responses into a government-wide view of FITARA progress and milestones.
  + If there are Actions / Milestones not listed that your agency is currently undertaking or has completed to achieve progress in a specific category that your agency would like to report, please add current status information to the table.
  + *Status*: Please provide an update on the completion status of each agency Action / Milestone.
  + *Status Description*: Please describe in detail your agency’s responses to the Action / Milestone status column. These responses include all ongoing actions, dependencies, and partial milestones, completed and established to successfully implement an agency action and/or milestone.
  + Your agency Bureau Leadership Directory and Assignment Plan should be updated as needed.

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| **Agency Common Baseline Table** | | | | | |
| **Category** | **Element** | **Initial Element Rating August 2015** | **Current Element Rating**  **April 2016** | **Relevant Evidence Supporting Implementation of Element** | **Obstacles / Risks / Challenges by Category** |
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| **Budget Formulation**  **(A-D)** | A | 2 | 2 |  | The Budget office and the CIO Office have met and discussed the appropriate language that should be in this policy and process. The CIO office is in the process of developing a budget review process in conjunction with the CIOs of the larger bureaus, and is working with the budget office to get our CIO more insight into the total IT spend across Commerce. We expect to be completed by June 30th 2016.  With the issuance of the new A-11 guidance, the budget office has indicated that no new policy may be required. |
| B | 2 | 2 |  |
| C | 2 | 2 |  |
| D | 2 | 2 |  |
| **Budget Execution**  (E-H, J, L) | E | 2 | 2 |  | The Budget office and the CIO Office have met and discussed the appropriate language that should be in this policy and process. The CIO office is in the process of developing a budget review process in conjunction with the CIOs of the larger bureaus, and is working with the budget office to get our CIO more insight into the total IT spend across Commerce. We expect to be completed by June 30th 2016. With the issuance of the new A-11 guidance, the budget office has indicated that no new policy is required  Regarding acquisition review, we are changing some policies that exempt CIO review of acquisitions with less than 50% IT spend, and sharpening the CIO review to acquisitions at lower spend levels than currently apply. The goal is to have bureau and CIO review of IT acquisitions that exceed 25M dollars in total life cycle costs by June 30th 2016 and this ceiling may be reduced further. |
| F | 2 | 3 | **Commerce Acquisition Manual (CAM) Part 1307.1, Acquisition Planning,** revised (Dec 2015) to reflect the following significant changes: CIO’s roles and responsibilities in the acquisition process; special review requirements for interagency acquisitions and agency-specific acquisitions requiring a Business Case Analysis; and Milestone Review Board Considerations.  <http://www.osec.doc.gov/oam/acquistion_management/policy/commerce_acquisition_manual_cam/documents/CAM%201307-1%20-%20Acq%20Planning%20(Dec%202015)%20All%20Attachments.pdf> . |
| G | 2 | 3 | The Office of General Counsel, the Office of the CIO, and the Office of Acquisition Policy have reviewed existing policies and are reconciling existing policies to FITARA.  Since there are currently no policies we are aware of that impact FITARA, we are rating ourselves a “3”.  Nonetheless, we still issue a statement from the CIO indicating that all previous policies issued by his office or others are superseded by FITARA. |
| H | 3 |  | Evidence of the element is documented on the DOC website at <http://www.commerce.gov/digitalstrategy/governanceboards.html>  DOC has developed a FITARA OMB Max page listing all artifacts and resources as required by FITARA. ([*https://community.max.gov/x/3ACgO*](https://community.max.gov/x/3ACgO))   * Milestone Review Board policy memo * CITRB Charter |
| J | 3 |  | DOC has developed a FITARA OMB Max page listing all artifacts and resources as required by FITARA. ([*https://community.max.gov/x/3ACgO*](https://community.max.gov/x/3ACgO))   * Commerce IT Review Board Charter * The DOC TechStat Guide |
| L | 2 | 2 |  |
| **Acquisition**  (I, K) | I | 3 |  | DOC has developed a FITARA OMB Max page listing all artifacts and resources as required by FITARA. ([*https://community.max.gov/x/3ACgO*](https://community.max.gov/x/3ACgO))   * CITRB Charter * Department Administrative Order (DAO) 208-15, Acquisition Project Management   Commerce Acquisition Manual (CAM) 1307.1, Acquisition Planning. |  |
| K | 2 | 3 | **Commerce Acquisition Manual (CAM) Part 1307.1, Acquisition Planning,** revised (Dec 2015) to reflect the following significant changes: CIO’s roles and responsibilities in the acquisition process; special review requirements for interagency acquisitions and agency-specific acquisitions requiring a Business Case Analysis; and Milestone Review Board Considerations.  <http://www.osec.doc.gov/oam/acquistion_management/policy/commerce_acquisition_manual_cam/documents/CAM%201307-1%20-%20Acq%20Planning%20(Dec%202015)%20All%20Attachments.pdf> . |
| **Organization and Workforce**  (M-Q) | M | 2 | 3 | HR Bulletin 206 | We have received and are reviewing documentation of workforce plans across Commerce but have not yet set up a task force to focus on workforce planning. |
| N | 3 |  | Evidence of this requirement is in the Critical Element within the CIO’s Performance Plan.  DOC has developed a FITARA OMB Max page listing all artifacts and resources as required by FITARA. ([*https://community.max.gov/x/3ACgO*](https://community.max.gov/x/3ACgO)) |
| O | 3 |  | Evidence of this requirement is shown on the DOC digital strategy website. (<http://www.commerce.gov/digitalstrategy/bureaudirectory.html>).  DOC has developed a FITARA OMB Max page listing all artifacts and resources as required by FITARA. ([*https://community.max.gov/x/3ACgO*](https://community.max.gov/x/3ACgO)) |
| P | 2 | 2 |  |
| Q | 3 |  | Evidence of this requirement is show in the Department Organization Order (DOO) 15-23 states in Section 3. Administrative designation. .01 The position of CIO was designated in 44 U.S.C. § 3506, as amended by the Clinger-Cohen Act, Public Law (P.L.) 104-106. The CIO reports to and is responsible to the Secretary of Commerce (the Secretary) through the Deputy Secretary. (<http://www.osec.doc.gov/opog/dmp/doos/doo15_23.html>) |

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| |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Department of Commerce Actions and Milestones Table** | | | | | | **Area** | **Actions and Milestones**  **extracted from Agency FITARA Action Plan** | **Target Completion Date** | **Status** | **Status Description** | | **Not Started, In Progress, Completed, Deferred** | **Describe in detail agency responses to status (e.g. ongoing actions, dependencies, partial milestones).** | | **Budget Formulation**  (A-D) | The Budget Formulation process will be modified to allow the CIO to expand his review of proposed IT investments to cover the entire IT Portfolio Report (formerly known as the exhibit 53) | February 2016 | In progress | The CIO and Budget Office will develop a process to both allow the CIO to gain access to IT spend during the formulation process and also the CIO will expand his current budget review to include the entire IT portfolio. We expect a draft to be ready for review by May 15th and the process to be in place by June 1st. | | Separate IT portfolio reviews are being scheduled with each bureau within Commerce. The CFO and CIO offices are preparing guidance documents to this [e]ffect and they should be signed by February 2016 | February 2016 | Deferred | Our budget office will issue policy and procedure guidance when they issue the call for the FY 18 budget in May 2016 concerning the CIO’s office’s participation in budget formulation. | | The CIO is expanding his/her review of the Department’s IT portfolio to include IT investment reviews, based on the IT baseline that covers both major and non-major IT projects, IT project reviews, IT portfolio reviews, Techstat and Portfolio stats. For bureaus Techstats and internal review, the Office of the CIO will be invited and will attend and participate. Processes and policies to implement these actions are being prepared and will be implemented starting in February 2016 | February 2016 | Deferred till June 2016 | The CIO has prepared draft policy and process documents to modify the existing Commerce IT Review Board policies to include a budget review, as well as IT programmatic reviews for major investments and CIO reviews for non-major investments that are high risk, involve new technology, are public facing, or involve other factors that the CIO feels require a separate review at the Departmental level. We expect these to be issued by June 30 2016. | | DOC will provide a plan to include documentation that affirms the CIO has reviewed and approved major IT investments. The policy documents that govern the Department Budget process will be modified to reflect this by April 30th 2016 or earlier, and will be implemented in the FY 18 budget formulation documents provided to OMB in September 2016 | April 30, 2016 | Deferred | Our budget office will issue policy and procedure guidance when they issue the call for the FY 18 budget concerning the CIO’s office’s participation in budget formulation. | | **Budget Execution**  (E-H, J, L) | The CIO will conduct program reviews of all Red and Yellow Program teams, and will require the development and monitoring of corrective action plans | April 30, 2016 | Deferred till June 2016 | Draft has been produced for review and it should be signed and implemented by June 30th 2016 | | The DOC will document a formal process or policy that explicitly identifies the CIO's role in verifying and confirming on a regular basis that non-major legacy and on-going investments are meeting program and agency strategic objectives. This process will be developed in coordination with the Department Budget and Acquisition offices and the offices of each bureau CIO | April 30, 2016 | Deferred till June 30th 2016 | A draft policy and process will be produced for internal review by April 30th .The process and policy will both address the reviews of specific investments and projects of interest to the CIO, as well as a triennial review of all investments in the IT Portfolio. | | The DOC CIO will work with the CFO and CAO to add a DOC CIO signature block to the acquisition plan approval page by December 31st 2015 | December 31, 2015 | Completed |  | | The DOC CIO will develop a draft formal process on when that authority is delegated to Bureau CIOs by December 15th 2015 and that process will be reviewed and coordinated with the DOC CIO Council and completed by April 15th 2016 | April 15, 2016 | Completed | The process is defined within the CIO Assignment Page. | | The CIO has announced that there will be a review of all DOC and Operating Administration policies and processes to bring them into compliance with FITARA both in policy and process and in action | May, 2016 | In progress | Ongoing. Existing outstanding issues are being resolved and the CIO will issue guidance and/or a policy by May 30 2016. | | The DOC OCIO will provide documented criteria and the process used to review non-CITRB projects by December 31st 2015 | December 31, 2015 | Deferred till June 2016 | A draft policy and process has been produced for and a policy and process will be put in place by June 30 2016. | | The DOC CIO will work with the DOC CFO to develop a policy and formal approval process to show evidence of this requirement [CIO approval of reprogramming requests]. We expect this to be in draft form ready for review by December 31st 2015 and to be completed by April 15th 2016 | April 15, 2016 | Deferred till June 2016 | The budget office has this action and we expect a policy to be issued from the Budget Office in early May. Since the Department budget office only currently reviews reprogramming requests over 5% the policy has to be made effective at the bureau level as well. This should be accomplished by working Commerce’s CIO and CFO Councils. | | **Acquisition**  (I, K) | The DOC CIO will work with the DOC CFO and CAO to update the policies to add the DOC CIO as an additional signatory to indicate approval of acquisition plans for IT investments. The CIO’s signature will indicate that the CIO has approved the expenditure of funds for the investment | December 31, 2015 | Completed |  | | **Organization and Workforce**  (M-Q) | [T]he DOC CIO will work with the DOC CHCO to implement a formal written process to incorporate the review/approval from the DOC CIO during the hiring for any DOC Bureau CIO | April 15, 2016 | Completed | HR Bulletin 206 incorporates this change. | | The DOC CIO will work with the DOC CHCO and the Principal Human Resource Managers (PHRMS) to provide draft competency requirements for IT staff and leadership positions by December 31st 2015. A team of HR specialists will also be chartered by December 31st 2015 to work with the CIO to review the draft and provide an update by April 30th 2016 | December 31, 2015 | Deferred till June 2016 | Documents describing core competencies have been distributed, need to be reviewed and updated. No task force yet put in place since we have not determined if there is a need for new workforce competencies in IT or elsewhere. | |