



United States Department of State

Washington, D.C. 20520

Department of State

FITARA COMMON BASELINE IMPLEMENTATION PLAN

Version 3
February 26, 2016

UNCLASSIFIED

Contents

Introduction3

Guidance3

Objectives.....3

Self-Assessment4

Implementation Plan8

 Planning Initiation.....8

 Approach for Closing Gaps9

 Implementation Planning by Common Baseline Element.....10

 Planning and Budgeting.....10

 Acquisition and Execution14

 Organization and Workforce.....20

Next Steps25

Appendix A: Acronyms26

Appendix B: Investment Review Process.....28

Appendix C: Department of State Bureau IT Leadership Directory29

Appendix D: Organization Chart30

Introduction

The Department of State (DOS) has prepared this Federal Information Technology Acquisition Reform Act (FITARA) Common Baseline Implementation Plan in accordance with Office of Management and Budget (OMB) guidance as outlined in Memorandum 15-14 (M-15-14). The Department of State Chief Information Officer (CIO) is equivalent to an Assistant Secretary, and manages the Bureau of Information Resource Management (IRM), providing information technology infrastructure and services the Department needs to achieve its foreign policy mission. This Common Baseline Implementation Plan communicates how the CIO performs these functions, and meets the new FITARA requirements. The plan describes major findings from the DOS self-assessment, the DOS implementation approach, and the overall plan to address the requirements of FITARA. This document will be refined incrementally as DOS' implementation efforts mature. DOS shall conduct an annual review, and update to the DOS self-assessment beginning in April 2016 as outlined in M-15-14 to reflect any changes and lessons learned. This plan was approved by OMB on February 2, 2016.

Guidance

Title VII Subtitle D Sections 831-837 of H.R. 3979, National Defense Authorization Act of 2014 introduced major reforms in the acquisition and management of information technology (IT) for all Executive departments and agencies through FITARA. M-15-14 provides a detailed description of a Common Baseline of roles and responsibilities across administrative functions for IT resource management, budgeting, acquisition, execution, human capital management, and program management. This document describes the DOS plan to implement changes to become aligned with the Common Baseline.

Objectives

FITARA objectives are to:

- Improve accountability and clarity of roles and responsibilities for the acquisition and management of IT assets and resources;
- Improve transparency in the planning, acquisition, and lifecycle management of IT assets and resources;
- Perform more active risk management;

- Ensure IT expenditures meet each agency's mission, strategy, and goals; and
- Provide options to quickly remediate or cancel programs when priorities change.

The objectives of this DOS Common Baseline Implementation Plan are to:

- Summarize the findings and gap assessment of current DOS policy, process, resources, and organization for complying with FITARA direction;
- Serve as a basis for DOS collaboration on future activities supporting FITARA guidelines;
- Clearly identify where, when, and how DOS will implement activities to align with the Common Baseline;
- Identify and recommend alternate options for acquiring, managing and supporting IT assets and resources in DOS's complex global operating environment;
- Clarify DOS plans to multiple audiences inside DOS and OMB; and
- Document lessons learned during the implementation process requiring re-planning.

Self-Assessment

General findings from the self-assessment are:

1. The DOS has a strong framework that meets legislative and Federal mandates through its Electronic-Government (E-Gov) management of major investments, which supports FITARA objectives in areas such as reviewing plans, execution, acquisition management, human resources management, and expenditures as part of the Department's Capital Planning and Investment Control (CPIC) program.
2. The Department complies with existing IT legislation and guidelines, and meets the objectives and goals of FITARA. The Department's Chief Information Office (CIO) leverages an E-Gov Program Board consisting of senior leaders across the C-suite, manages investments in accordance with applicable OMB circulars through an enterprise Capital Planning and Investment Control (CPIC) Program, and leverages Enterprise Architecture to integrate business requirements. This framework ensures the Department's CIO has visibility into planning and budgeting, acquisition,

program and project management, expenditures, and human capital aspects of IT resources.

3. The existing decentralized applications development and management environment has become steadily more transparent as the Department's CPIC and E-Gov governance programs continually identify the reporting of IT assets and expenditures.
4. At the DOS, there are two types of Federal service tracks for personnel, Foreign and Civil Service, with different objectives and skill sets that require distinct and different rating systems. This introduces complexities for performance evaluations of Bureau IT leadership.
5. DOS IT investments are funded in a complex global environment. DOS' goal is to manage IT programs in a common manner, regardless of manner of funding.
6. Shared budget oversight by the CIO and the Director of Budget and Planning (BP), the Assistant Secretary for the Bureau of Administration, the Chief Acquisition Officer (CAO), and the Comptroller has already begun or is in place, and continues to improve.
7. Shared procurement oversight by the CIO and the Assistant Secretary for the Bureau of Administration and Chief Acquisition Officer (CAO) has already begun, and is evolving.
8. Some IT policies may require assessment or enhancements as FITARA implementation matures.

To address these initial findings, senior leaders across the Department worked collaboratively with the CIO to ensure proper support from bureaus that have distinct roles as outlined in M-15-14. The CIO worked with the Under Secretary for Management (M); the Bureaus of Administration (A); Budget and Planning (BP); Comptroller, Global Financial Services (CGFS); the Director General of the Foreign Service, and Director of Human Resources (DGHR); and other stakeholders to identify how IT can be leveraged as a strategic resource in fulfilling the Department's mission, strategy, and goals. The Department's current robust structure for setting goals and priorities through the Department's Strategic Plan, the Quadrennial Diplomacy and Development Review, and IT Strategic Plan serve as a strong foundation.

The Clinger-Cohen Act of 1996, Pub. L. No. 104-106, and Title 40, United States Code, Sections 11312 direct the Secretary to establish effective and efficient capital planning processes for selecting, managing and evaluating the results of all

of its capital investments in information systems. In response to this legislation, DOS established the E-Government Program Board (E-Gov PB), Advisory Board (E-Gov AB), and various technological focused working groups to meet IT capital planning requirements while maximizing opportunities to meet the Department's E-Gov goals to:

- Provide high-quality services through electronic means that improve collaboration, enhance accuracy and timeliness, eliminate redundancy, and reduce the time, cost, and effort of internal and external interactions.
- Promote the efficiency, effectiveness, and quality of professional life of Department personnel.

Through the E-Gov PB and E-Gov AB, the CIO works in partnership with BP, the Comptroller, Chief Acquisition Officer (CAO) and other executive stakeholders, to establish policies and procedures that ensure the accountability that information technology assets are designed, developed and maintained effectively. The Department will leverage the E-Gov PB and AB framework to meet FITARA requirements as this new legislation augments the Clinger-Cohen Act of 1996 mandates. An overview of the E-Gov framework is displayed in Figure 1.

The Department's leadership is committed to the current E-Gov framework, and agreed to make updates that enhance members' responsibilities for the management of IT. By augmenting E-Gov PB efforts as described in the specific Common Baseline Implementation Plan responses, the CIO and other Senior Leaders, including the Director of BP, CAO, the Comptroller, and DGHR, will have clearly specified roles and responsibilities for planning and budgeting, acquisition, program and project management, expenditures, and human capital aspects of IT resources, in compliance with FITARA.

Figure 1: Overview of Current E-Gov Governance

Review Meetings by Major Focus				
	Quarter 1	Quarter 2	Quarter 3	Quarter 4
	Approve IT Strategic Plan (ITSP)	Approve Portfolio Framework	Approve IT Portfolio	Approve Final Budget
E-Gov Program Board	- Ensures ITSP supports Department's vision to address performance of technology trends	- Ensures Portfolio Review Framework reflects changes to the strategic plan	- Ensures that IT portfolio composition is sufficient to achieve the ITSP	- Ensures final budget is sufficient to achieve ITSP - Modifies portfolio to adjust to budget environment
	Provide enterprise views of the Department's strategic priorities. Establish Department's strategic investment roadmap. Reviews poorly performing investments at each review to optimize the portfolio, redirect resources, and improve outcomes. Orders independent Program Reviews and TechStats to understand root causes of issues and develop recommendations in response to the issues.			
E-Gov Advisory Board	- Recommends changes or updates to the ITSP to achieve strategic goals	- Reviews revised framework & prioritizes investment health and/or value measures	- Identifies opportunities to optimize portfolio - Recommends additions based upon trends across the portfolio	- Reviews budget allocations and identifies risks and/or opportunities
	Collects data and monitors end-to-end project performance to inform Program Board decisions. Evaluate impacts to critical mission and business programs. Make recommendations to the E-Gov Program Board on IT investments.			

As an example of how FITARA implementation efforts have begun and are leveraging existing DOS governance frameworks, the CIO and CAO had identified a gap in the current identification of procurements. As a result, the E-Gov Program Management Office (PMO) defined a “Pre-Select” process to provide early visibility to investment ideas. The process expansion will help the CAO and BP Director forecast IT resource requirements, while also providing a capability for the CIO to meet FITARA Common Baseline Elements C1 and C2 and to gain a fuller implementation of E1 and E2. Additional governance improvements are included in the individual Common Baseline element descriptions. DOS will clarify the CIO roles and responsibilities, and will extend current E-Gov activities to non-major investments. The CIO Assignment Plan outlines our recommended thresholds and criteria for CIO and E-Gov PB review of investments and resources. DOS responses to the Common Baseline elements also outline the types of

improvements to DOS policies and frameworks that have been part of the DOS FITARA implementation.

Implementation Plan

Planning Initiation

DOS performed the following tasks to prepare the implementation plan:

1. Developed a roles and responsibilities chart that aligns the Common Baseline elements to DOS bureau responsibilities;
2. Developed a Project Charter in accordance with DOS Managing State Projects guidelines;
3. Discussed FITARA Common Baseline elements with functional bureau leadership to initiate collaboration for a Department-wide implementation;
4. Identified options for addressing gaps at the Common Baseline level;
5. Reviewed options to identify similarities, dependencies, and opportunities for efficiencies;
6. Developed a schedule for guiding planning deliverables;
7. Began communication efforts and created a communication matrix for implementation execution efforts;
8. Initiated discussions about governance with Executive Leadership; and
9. Created the draft Implementation Plan, with review by A/OPE, HR, and BP, in addition to the CIO and M.

In planning for FITARA, DOS recognized that there were enterprise-level questions regarding scope that had to be resolved early. These centered on identifying the priority objectives for FITARA, leveraging existing frameworks to swiftly respond to the legislative mandates, reviewing current processes and policies for FITARA enhancements, expanding the review of IT investments to increase visibility and transparency, and partnering across the Department to achieve a holistic management approach to IT resources. These discussions informed the Self-Assessment and identified assumptions and guidelines for the Implementation Plan. The assumptions and guidelines are in Figure 2.

Figure 2: Assumptions and Guidelines for the Implementation Plan

Assumptions
<ul style="list-style-type: none">● Incremental enhancements (configurations of systems and changes of process) within current frameworks and resources can be expected to be complete by December 31, 2015.● Once confirmed, additional changes to systems may be required for robust support of FITARA

Assumptions
<p>implementation.</p> <ul style="list-style-type: none"> ● Sufficient resources will be available for training, deployment, and communication. ● Existing management controls can be leveraged for validating FITARA compliance. ● This implementation plan is a strategic plan and overall guide. ● The implementation plan may require updates once discovery and prototyping are completed. ● Bureaus are responsible for identification, planning, request, use, and disposition of IT resources in accordance with the CIO Assignment Plan and with CIO approval and accountability. ● Resources will be available to support the cross-bureau efforts ● The proposed completion dates are subject to approval of the implementation plan. Upon OMB approval, completion dates may need to be revised.
Guidelines
<ul style="list-style-type: none"> ● DOS will leverage existing governance and policies for CIO oversight in the development and management of IT resources. ● The implementation will use an incremental approach for process improvement. ● National Security and other agency funding for DOS programs will be out of scope. ● The Self-Assessment is critical to the continued expansion of CIO accountability for IT resources across funding sources and bureaus. ● DOS will demonstrate FITARA compliance direction by December 31, 2015. ● DOS will use existing processes and frameworks to build out Common Baseline responsibilities (e.g., program and project management, capital planning and management, reporting); and only if missing, design new processes.

Approach for Closing Gaps

The DOS approach for closing the gaps identified in the Self-Assessment includes four key elements: improved risk management, process improvement, ownership of changes throughout the Department, and communication and alignment.

Improvements are:

- Expanded governance portfolio for E-Gov Program and Advisory Boards, to include investment reviews of non-major investments beginning in 2016, and other risk reviews as identified through the Department’s Capital Planning and Investment Control program.
- Further enhancement of current E-Gov processes to ensure the CIO has required authorities. There are clear roles and responsibilities among the senior leaders across the Department, and there is sufficient transparency during delegated authorities so that the CIO retains responsibility as identified in the CIO Assignment Plan.
- Continued evaluation of the impact of FITARA on respective bureau partners’ current policies, processes, and operations to identify changes and coordinated implementation. The DOS Foreign Affairs Manual (FAM) and Foreign Affairs Handbook (FAH) will be updated to implement process changes as policy. Additionally, where applicable, there will be improved

automated system integration to solidify these gains and enhance end-to-end transparency of investment, through budgets, and expenditures.

- Enhanced coordination of FITARA implementation alignment and accountability through the enterprise governance framework of the E-Gov PB and AB. Cross-bureau lessons learned, and incremental implementation of FITARA-related changes will be shared with all Department stakeholders. DOS will focus on consistent communication, and embracing change management to support FITARA implementation.

All key process owners participated in the development of a plan to close the gaps within their current policies and processes. For DOS, the Common Baseline Implementation Plan includes four sets of process owners in addition to the CIO:

- Budget formulation and planning: Director of the Bureau of Budget and Planning (BP)
- Budget execution: Comptroller and Assistant Secretary for the Bureau of the Comptroller, Global Financial Services (CGFS)
- Acquisitions: Assistant Secretary for the Bureau of Administrations (A) and Chief Acquisition Officer (CAO); specifically the offices of the Procurement Executive (A/OPE) and Logistics Management (A/LM)
- Organization and workforce: Director General for Human Resources (DGHR)Implementation Planning by Common Baseline Element

Implementation Planning by Common Baseline Element

OMB guidance provides agencies a FITARA Self-Assessment Template, which identifies the “Action Plan,” by each Common Baseline element. The DOS implementation plan follows this approach and identifies purpose, primary goal, milestones, and the status of each milestone.

Planning and Budgeting

A1, A2: The CIO and Director of BP shall define the level of detail for describing IT resources separately from other resources throughout planning, programming, and budgeting. These descriptions serve as primary input into IT capital planning and investment control documents submitted with the budget. The CIO and Director of BP agree on the level of detail required for describing IT resources during planning, programming and budgeting, and how to communicate consistently. The Department will continue to leverage an enterprise system, iMatrix, to collect budget information on IT investments, programs, and projects.

Purpose	
A1. Visibility of IT resource plans/decisions to CIO. A2. Visibility of IT resource plans/decisions in budget materials.	
Primary Goal	
Identify IT resource categories for increased visibility and review. Implement its application across budget processes.	
Milestones/Deliverables*	Complete/Due
<ul style="list-style-type: none"> Agree upon categories of resources for review. 	Completed Q4/2015
<ul style="list-style-type: none"> Review FY 2017 budget request. 	Completed Q4/2015
<ul style="list-style-type: none"> Certify definitions and agree to CIO evaluation of budget requests for IT resources. 	Completed Q4/2015
<ul style="list-style-type: none"> Identify changes to strengthen guidance to bureaus for requesting resources to include FITARA requirements for CIO oversight of IT resources. 	12/31/2015

Currently, the Director of BP performs and manages the budget formulation and planning for DOS, including IT resources. IRM and BP developed a process to ensure that the CIO is involved in budget formulation at the Department. IRM partners with BP to review IT budget resources throughout the funding lifecycle. This includes activities such as reviewing budget justifications, passback, appeals, operating plans, and Congressional notifications.

For example, during the first phase of FITARA implementation, the Director of BP collaborated and reviewed requested budgets in those areas regardless of budget account (i.e., IT Central Fund) for alignment priorities, efficiencies, and performance. The CIO and BP have agreed upon the alignment of investments and budgets.

Through the E-Gov PB, the CIO, Director of BP, the Procurement Executive, and the Comptroller participate in budget development governance, guiding and performing oversight of enterprise and Federal requirements and initiatives.

B1 and B2: The pre-budget development process involves the CIO, Director of BP, and respective senior leaders across the Department through the E-Gov Program Board and Advisory Board. DOS policies are documented in the Foreign Affairs Manual (FAM) and specific processes are documented in the Foreign Affairs Handbook (FAH). Through the E-Gov PB, the CIO, Director of BP, CAO,

and Comptroller will continue to participate in budget development governance, guiding and performing oversight of enterprise and Federal requirements and initiatives. The E-Gov Program Management Office (PMO) will evaluate changes to 5 FAM 110 to strengthen relationships among the CIO, CAO, Comptroller, and Director of BP in IT budget formulation, budget execution, and acquisition activities.

Purpose	
B1 and B2. CIO role in pre-budget submission for programs that include IT and overall portfolio.	
Primary Goal	
Evaluate IT resource requirements as part of a portfolio of IT initiatives to give executive leaders a full understanding of how IT budgets support DOS strategies and goals.	
Milestones/Deliverables	Complete/Due
<ul style="list-style-type: none"> Strengthen existing budget development processes by formalizing processes and applying lessons learned from FY 2017 budget submission. 	12/31/2015
<ul style="list-style-type: none"> Review, assess, and if necessary, recommend changes to policy 5 FAM 110 http://www.state.gov/documents/organization/85678.pdf on the roles and responsibilities of the M, CIO, and E-Gov PB in the management of IT resources and to strengthen the role of the CIO, CAO* and Director of BP in planning an overall portfolio of IT resources. 	12/31/2015

*CAO is included in the E-Gov PB 2014 Charter, FAM policies have not been updated to reflect the change.

C1 and C2: The CIO is required to have a role in planning program management for IT. At the Department, the CIO reviews IT investment requests across the enterprise, and provides guidance to IT program managers through the CPIC and Managing State Projects programs. The CIO establishes and communicates IT priorities through a Department IT Strategic Plan, and directs programmatic changes through investment planning and control process reviews in collaboration with the Director of BP. At DOS, the CIO also provides infrastructure and operational services globally, and has the authority and purview for those respective planning program management functions. The CIO has visibility into the planning for major investments during the budget review and initial baseline processes. The Department implemented a pre-select process to ensure the CIO has early participation in the planning of IT initiatives to provide feedback and guidance.

Purpose	
C1. CIO role in planning program management. C2. CIO role in program management.	
Primary Goal	
Fulfill IT resource requirements for meeting the Department's priorities and goals within different budget scenarios.	
Milestones/Deliverables	Complete/Due
<ul style="list-style-type: none"> Refine Pre-Select implementation process in the context of pre-funding improvements. 	12/31/2015
<ul style="list-style-type: none"> Provide guidance to IT program managers on how the Capital Planning and Investment Control program aligns with the standard program and project methodology, Managing State Project (MSP) to ensure alignment with the Department's goals, objectives, and priorities. 	12/31/2015

D1 and D2: The CIO and Director of BP will review, approve, and certify the major IT investment portion of the budget request. The Department met its OMB Circular A-11 requirements that the CIO review and certify of the major IT investment portion of the budget request. The FY 2017 budget submission included a statement from the CFO and CIO affirming that the CIO had a significant role in reviewing planned IT support for major program objectives, significant increases and decreases in IT resources, and a statement from the CIO and CFO that the IT Portfolio includes appropriate estimates of all IT resources. Additionally, the Department uses the iMATRIX budget module to link IT budget with investments and ensure budget officers certify funding for IT investments.

Purpose	
D1. CIO reviews and approves major IT investment portion of budget request. D2. CIO and CFO Certify IT Portfolio.	
Primary Goal	
CIO in collaboration with the Director of BP completes the certification of IT major investment budget requests are part of submission processes.	
Milestones/Deliverables	Complete/Due
<ul style="list-style-type: none"> CIO certified FY 2017 major IT investment budget requests. 	Completed Q4/2015
<ul style="list-style-type: none"> CIO reviewed budget requests that involved significant spending in IT. 	Completed Q4/2015
<ul style="list-style-type: none"> Update IT program managers training materials to include cost estimation best practices. 	Completed Q4/2015

Acquisition and Execution

E1 and E2: It is required that the CIO has ongoing engagement with program managers to verify fulfillment of agency goals and performance metrics. Current Departmental governance processes include yearly validation of major investment performance and mission alignment as part of the budgeting process. The Department also has a robust baselining process as part of the CPIC investment control process. The Pre-Select process ensures that IT investments align with Department strategies and priorities. Once approved, the Department continues to monitor investment performance through the investment review process. The baseline change request (BCR) process represents an additional layer of oversight and approval and provides analysis and a framework to ensure projects are adhering to Department policies. The CIO and the Director of BP review and approve BCRs for each major IT investment.

Purpose	
E1 and E2. Ongoing CIO engagement with program managers.	
Primary Goal	
Apply existing E-Gov processes, such as investment reviews, to non-major and major investments. Implement standard assessments to confirm DOS programs continue to perform and to meet DOS priorities.	
Milestones/Deliverables	Complete/Due
<ul style="list-style-type: none"> Expand Investment Reviews to non-major investments. 	12/31/2015
<ul style="list-style-type: none"> Communicate expanded reviews, and schedule initial non-major investment review(s). 	12/31/2015

F1 and F2: The CIO, Comptroller, and the CAO agree on the level of detail for visibility of planned IT resource expenditures. The CIO currently requests ad hoc reports as necessary. IRM, BP, A/OPE, A/LM, and CGFS will focus on the identification of IT systems that are linked to expenditures, ensure proper policies are in place to support CIO visibility into expenditures, and verify account code structures in the 4 FAH 1, *Account Structure and Classification Codes Handbook*. <http://www.state.gov/documents/organization/89467.pdf>. This is the foundation for end-to-end visibility into planned IT resource expenditures. Additionally, to ensure consistent and strong management controls apply to IT resources, the CIO serves on the Department's Management Control Steering Committee (MCSC). IRM is also a part of the Senior Assessment Team, which oversees the implementation of Appendix A of OMB Circular A-123, and reports to the MCSC.

Purpose	
F1 and F2. Visibility of IT planned expenditure reporting to CIO.	
Primary Goal	
Create an efficient means for acquiring detailed planned IT resource expenditures.	
Milestones/Deliverables	Complete/Due
<ul style="list-style-type: none"> Identify expenditure reporting requirements leveraging IT related accounting codes. 	12/31/2015
<ul style="list-style-type: none"> Update Department's IT portfolio management system, iMatrix, to broaden information collected on planned expenditures. 	12/31/2015

G1: It is required that the CIO defines IT processes and policies including capital planning, project management, enterprise architecture, and reporting processes for IT resources across the entire enterprise and validates incremental development is used.

The Department has a published framework for managing projects, *Managing State Projects* (5 FAH 5 - 210), <http://www.state.gov/documents/organization/89241.pdf> linked to CPIC, enterprise architecture, and project management, that is part of DOS policy manuals and handbooks. DOS trains program managers in this framework, with specialized training in capital planning and reporting and project management topics.

For the FY 2017 budget submission process, the CIO certified that all major IT investments that have development, modernization, and enhancements (DME) activities were leveraging modular development. In addition, major IT investment project managers receive training annually on how to incorporate incremental and modular development methodologies in their work breakdown structures for projects.

The Department's education institution, the Foreign Service Institute, also offers IT skill and management training specific to the implementation of processes and policies in the DOS environment and/or identifies other agencies or sources of training. The FSI supports specialized training and can include discussions of incremental development and FITARA guidelines in the standard Tradecraft courses. The Department requires contracting officers and program managers to

be FAC/C and FAC-P/PM certified respectively. In addition, the DOS offers annual training of program managers for major investment management. The training supports the implementation of IT policies and processes the CIO oversees, including preferences for incremental development. The CIO is responsible for IT policies and processes, and has an organization to vet and facilitate policy adoption across bureaus.

Purpose	
G1. CIO defines IT processes and policies.	
Primary Goal	
Enhance current policies and processes to include new federal guidelines; communicate and train to ensure implementation of these policies.	
Milestones/Deliverables	Complete/Due
<ul style="list-style-type: none"> Update initial project request and baseline change request forms to require validation of incremental development. 	Complete Q4/2015
<ul style="list-style-type: none"> Clarify whether there are gaps in existing policy, such as 5 FAH-5 http://www.state.gov/documents/organization/89243.pdf and other chapters in the Information Systems Handbook, required to meet FITARA guidelines. 	12/31/2015

H1 and H2: It is required that the CIO has a role in program governance boards that oversee IT resources directly or indirectly. The Department’s E-Gov Program and Advisory Boards govern enterprise investment and program management activities. Other governance boards were identified and published at: www.state.gov/digitalstrategy. The CIO also leads technical governance boards, which provide a more technical oversight and governance for IT initiatives, and offers input into the E-Gov Program Board to help drive business decisions. For example, the IT Configuration Control Board (ITCCB) manages changes to the Department’s infrastructure, and is focused on ensuring any changes does not impact the availability, reliability, integrity, security, inoperability, and performance of the Department’s enterprise infrastructure. The ITCCB augments and operationalize the E-Gov governance structure, ensuring that the high-level goals and objectives are carried out during operational execution of IT. Additionally, when newer technologies are introduced to the enterprise, the CIO ensures that governance is accounted for during implementation. For example, when the Cloud Computing policy was published, the CIO specified the introduction of a new Cloud Computing Governance Board as a subgroup of the E-Gov Program Board to ensure operational recommendations are in alignment with high-level priorities, goals, and objectives.

Purpose	
H1. CIO role on program governance boards H2. Participate with CIO on governance boards as appropriate.	
Primary Goal	
Expand the scope of enterprise governance, ensuring current guidance and frameworks are applied for IT reporting across DOS.	
Milestones/Deliverables	Complete/Due
<ul style="list-style-type: none"> Identify IT-focused governance boards. 	Completed Q4/2015

I1 and I2: It is required that the CIO has shared acquisition and procurement responsibilities with respective senior leaders. The CIO reviews cost estimates and ensures the use of incremental development. The CAO and CIO ensure specialists certified for IT acquisition are assigned to procurements for IT resources, and confirms use of federal acquisition initiatives. A/LM and IRM ensure acquisition specialists, both contracting officers and government technical monitors, acquire and maintain appropriate certifications before their assignments, as documented in the Procurement Information Bulletins (PIBs) and the FAM. These certifications are augmented by DOS training for those specializing in program planning; Statement of Work (SOW) or Statement of Objectives (SOO) preparation; independent government cost estimates; and capital planning, and reporting. The Department guidelines require FAC-P/PM certification for individuals assigned to be program managers for major IT investments.

In addition to applying the guidelines, Department personnel are required to keep their training certifications up to date in the Federal Acquisition Institute (FAI) system. Additional training requirements are reviewed with the Department's Foreign Service Institute for implementation as part of DOS certifications.

The Department, under the leadership of the CIO, manages the Global IT Modernization Program (GITM) that offers a centralized contract vehicle for the purchase of IT hardware and software worldwide. This program serves as a model for streamlining acquisition and simplifying joint acquisition and IT procurement decisions.

Purpose	
I1 and I2. Shared acquisition and procurement responsibilities.	
Primary Goal	
Augment current training on cost estimation and other priority topics to support improved planning, budgeting, and acquisition.	
Milestones/Deliverables	Complete/Due
<ul style="list-style-type: none"> • Draft update to FAC-P/PM instructions. 	12/31/2015
<ul style="list-style-type: none"> • Improve the linkage between the acquisition lifecycle and CPIC processes. 	12/31/2015
<ul style="list-style-type: none"> • Assess acquisition strategies for IT procurements, to support strategic sourcing and category management initiatives through centralized acquisition vehicles. 	12/31/2015

J1: It is required that the CIO evaluate the performance of IT investments and may recommend the modification, pause, or termination of any acquisition, investment, or activity.

The CIO currently evaluates performance of IT investments as part of the investment review process, and will continue to review any acquisition, investment, or activity based on size, risk, strategic importance, and value to the DOS as illustrated in Appendix B. The CIO reports on issues and required remediation and provides this information both internally and to the IT Dashboard.

K1 and K2: It is required that the CIO approves acquisition strategies and plans for IT resources from the perspective of IT best practices. The CAO is responsible for ensuring contract actions or modifications are consistent with CIO approved acquisition strategies and plans.

The CIO currently reviews acquisition strategies and plans for major investments as part of the E-Gov Program Board. IRM and the Procurement Executive have partnered to update the Department's acquisition checklist and policies concerning IT procurements. It is required that all bureaus use 5 FAM 910 as guidance for appropriately identifying all IT procurements. DOS policy requires checklists to accompany the procurement packages to ensure FITARA requirements.

Purpose	
K1. CIO review and approval of acquisition strategy and acquisition plan. K2. CAO is responsible for ensuring contract actions that contain IT are consistent with CIO approved acquisition strategies and plans. Similar process for contract modifications.	
Primary Goal	
Create a process for review and approval by the CIO of acquisition strategies and plans.	
Milestones/Deliverables	Complete/Due
<ul style="list-style-type: none"> Validate that the current IT acquisition checklist in 5 FAM 915 http://www.state.gov/documents/organization/85781.pdf to ensure FITARA requirements are being met. 	12/31/2015

DOS policy delegates acquisition approval based on a risk-based assessment. First, DOS segments acquisitions by standard cost thresholds described in the Department Foreign Affairs Manual (FAM), 5 FAM 916. As part of the FITARA implementation, the Department has clarified the responsibilities at different thresholds and has enhanced the assignment process to include a risk-based analysis of IT acquisitions. 5 FAM 910 now includes a refined IT acquisition checklist that will be required as part of procurement efforts and can be used to identify potentially risky acquisitions that will also require CIO approval.

The Chief Acquisition Officer and Chief Information Officer are both co-chairs on the Department’s premiere IT governance body, the E-Gov Program Board, where they meet quarterly to discuss IT management issues. Additionally, Acquisitions leadership, the Chief Information Officer, and IT leadership meet frequently to discuss planned acquisitions. The Department also makes use of IT acquisition cadres who can quickly and carefully assess the risks of procurements and provide information to the CIO through regular reports. The Department has added a strategic sourcing and licensing management function for enterprise software that complements the Global Information Technology Modernization program for desktops. These efforts ensure that acquisitions are transparent, consistent, and have appropriate approvals.

IT, Acquisition, and Comptroller leadership are working together to document requirements for future capabilities that will further improve tracking of IT acquisitions and provide capabilities for appropriate routing and approvals of IT related acquisitions.

L1 and L2: It is required that the CIO approves all reprogramming of IT resources requiring Congressional notification. The CIO and Director of BP are committed to adding CIO approval for reprogramming requests requiring Congressional Notification. The CIO is on the clearance list for the Department’s Congressional Notifications and operational budgets. Future Congressional Notification guidance requires the identification of IT resources.

Purpose	
L1 and L2. CIO approval of reprogramming.	
Primary Goal	
Include CIO in approval workflow for reprogramming requests requiring Congressional notification.	
Milestones/Deliverables	Complete/Due
<ul style="list-style-type: none"> BP and CIO agreed to a re-programming clearance process. 	Complete Q4/2015
<ul style="list-style-type: none"> Create documentation clarifying re-programming and approval timing. 	12/31/2015

Organization and Workforce

M1: It is required that the CIO approves new bureau CIOs. There is only one CIO at the Department of State, who is also the head of IRM. The level of the position is equivalent to that of an Assistant Secretary. All Deputy CIOs (DCIO) report to the CIO. The CIO participates in all DCIO selections. The CIO manages enterprise IT infrastructure services and operations for the Department. Executive Directors across the Department provide overall direction to administrative and management activities for their respective bureau and overseas posts including utilization of personnel and financial resources. Because of this role, the CIO regularly engages with the Bureau Executive Directors (BEDS) and Regional Executive Directors (REDS) to provide strategic direction on IT initiatives, policies, priorities, and objectives. IRM is part of the HR selection process, such as panel reviews of applications and interviews, across the Department for IT leadership positions. IRM is working with HR to evolve our IT competency requirements and workforce planning to improve the consistency in IT leadership recruitment and hiring.

Purpose	
MI. CIO approves bureau CIOs.	
Primary Goal	
Include CIO in discussions about IT leader requirements and position descriptions, as well as selected selection processes.	
Milestones/Deliverables	Complete/Due
<ul style="list-style-type: none"> Develop standard presentation for new DCIOs and Executive Directors on FITARA requirements. 	12/31/2015
<ul style="list-style-type: none"> Identify processes for CIO involvement in selection of new senior leaders across the Department with significant IT management responsibilities based on standard parameters similar to those of a bureau-equivalent CIO. 	12/31/2015

N1 and N2: It is required that HR and the CIO establish a DOS critical element for all bureau CIO performance. The CIO shall provide input into the ratings of key bureau IT Managers during the performance review processes.

Purpose	
NI and N2. CIO role in ongoing bureau CIOs' evaluations.	
Primary Goal	
Define and implement a critical element to be included in executive IT leadership performance plans and ratings.	
Milestones/Deliverables	Complete/Due
<ul style="list-style-type: none"> Define initial critical element for senior leaders identified in the Bureau IT Leadership Directory on www.state.gov/digitalstrategy. 	12/31/2015
<ul style="list-style-type: none"> Identify processes for CIO input on critical elements for senior leaders identified in the Bureau IT Leadership Directory. 	12/31/2015

O1 and O2: HR and CIO will publish an IT Leadership Directory. The initial Leadership Directory was published on the Department of State website in .html and as a JavaScript Object Notation (JSON) file, and will publish updates as needed.

Purpose	
O1 and O2. Bureau IT Leadership Directory.	
Primary Goal	
Maintain a directory of DOS IT leadership.	
Milestones/Deliverables	Complete/Due
<ul style="list-style-type: none"> DOS published initial Bureau IT Leadership Directory. 	Complete Q4/2015
<ul style="list-style-type: none"> Establish a process for updating the Bureau IT Leadership Directory. 	12/31/2015

P1 and P2: It is required that HR and the CIO develop competency requirements for IT staff and develop a workforce planning process.

DOS currently uses a workforce plan built by HR that complies with the Office of Personnel Management (OPM) guidelines. OMB is sponsoring a new workgroup to assess current IT competency models. If the OMB identifies new requirements, DOS will perform a gap analysis to ensure alignment with current training and certifications.

The Department CIO leverages the School of Applied Information Technology (SAIT) at the National Foreign Affairs Training Center (NFATC) to provide IT Core training to IT professionals in the Foreign Service, Civil Service, and Locally Employed Staff (LES) worldwide. The School's focus is to prepare and to provide technical, tradecraft, and leadership development training. SAIT has established the Training Advisory Committee (TAC) to engage SAIT leaders and their sponsors and stakeholders. The major sponsors and stakeholders come from the Bureau of Information Resource Management (IRM). The TAC objective is to ensure that customer goals and objectives are met through SAIT-provided instruction. Committee members provide and share information and make recommendations to SAIT leadership, sponsors, and stakeholders. Committee recommendations are presented to the SAIT leadership, sponsors, and stakeholders who are concerned with the specific issues on courses development.

Foreign Service IT professionals are required to have a certain level of qualifying experience and/or education prior to hire. As such, the IT Core training provided to newly hired Foreign Service Specialists tends to be specific to the Department of State enterprise and but may include standard modules from official curriculum provided by companies such as Microsoft and CompTIA. The training does not strictly follow a certification path because of pre-hire education and certification requirements. Training is provided for telephone and radio systems used overseas

as well as management and other tools or processes specific to the Department of State.

For employees, whether Foreign Service/Civil Service/Locally Employed (LE) Staff, stand-alone IT core courses are available. These are Department of State specific but also include certification track training. SAIT also provides other IT security courses, such as Certified Information Systems Security Professional (CISSP) and Security+ certification.

To ensure operational effectiveness, SAIT has investigated and prototyped distance learning which has been successful in hard to reach environments. For those classes that cannot be taught online, SAIT also sends instructors to regional training centers and utilizes adjunct faculty already onsite to reduce travel and per diem costs.

SAIT promotes and utilizes training that develops the IT workforce from a non-technical perspective as well. IT tradecraft courses are taught at the entry level, mid-level (GS-12, GS-13, FS-03, FS-02), and senior-level (GS-14, GS-15, FS-02, FS-01). Tradecraft courses provide students a better understanding of the Bureau of Information Resource Management, its function and mission in the Department of State, and management skills to improve students' ability to work effectively within our complex organization. As the employee grows and moves to the next level, management and supervisory skills and best practices become more of a focus.

Employees who show a potential to become senior leaders in this organization can apply for the Executive Development Program (EDP). This long-term training program provides eligible bidders with the opportunity to gain broad information resources management skills and familiarity with the Department's IT goals and major programs. As a follow-on assignment after completing the year of academic training, it is expected that participants will bid on a high-profile IRM domestic assignment where their newly gained knowledge and skills can be applied immediately. This program also includes training from the National Defense University. To encourage the IT workforce to stay current on technological skills and certifications, the Department of State sponsors an IT Skills Incentive Program (SIP) for Civil Service and Foreign Service employees serving in IT specific skill codes and positions. SAIT is responsible for the management of the SIP program. In addition to workforce training provided by SAIT, senior representation from HR

will be added to the Department’s E-Gov Program and Advisory Boards to ensure alignment.

Purpose	
Pl. and P2. IT Workforce.	
Primary Goal	
To ensure organizations are appropriately staffed and IT personnel are hired with appropriate skills and knowledge to perform effectively.	
Milestones/Deliverables	Complete/Due
<ul style="list-style-type: none"> DOS will participate in OMB sponsored workgroup to enhance current competency requirements across the federal government. 	12/31/2015
<ul style="list-style-type: none"> Add HR to the E-Gov Advisory and Program Board to ensure proper alignment. 	12/31/2015
<ul style="list-style-type: none"> Assess process for IT workforce planning to improve alignment with FITARA and mission requirements. 	12/31/2015

Q1: It is required that the CIO report to agency head (or deputy/Chief Operating Officer)

The Department already fulfills this requirement. As described in 1 FAM 271, the CIO fulfills the responsibilities of the Chief Information Officer pursuant to section 5125 of the Clinger-Cohen Act (40 U.S.C. 1425), Chapter 35 of 44 U.S.C., the Electronic Government Act of 2002 (Public Law 107-347), and other applicable law, regulations, and directives. Pursuant to 44 U.S.C. 3506(a) (2) (A), in carrying out CIO statutory responsibilities, the CIO reports directly to the Secretary of State.

The CIO also serves as the principal adviser to the Secretary of State, the Under Secretary for Management, and other senior officials on matters pertaining to developing, implementing, and as necessary, revising policies, plans, and programs. The CIO facilitates and strengthens the cost-effective, efficient, and timely application of information systems, knowledge management, and technology resources to comply with applicable requirements and achieve strategic Department missions. Furthermore, the CIO, when performing his or her responsibilities, exercises functional authority on behalf of the Under Secretary for Management.

Next Steps

As the Department implements FITARA, it will require the support of OMB to provide lessons learned and best practices for FITARA adoption and implementation across the government, specifically the development of competency requirements; identification and clarification of roles and responsibilities for IT leaders; and identification of government-wide shared services, strategic sourcing and developments in category management. This document will be refined incrementally as DOS' implementation efforts mature. DOS shall conduct an annual review and update the DOS self-assessment beginning in April 2016 as outlined in M-15-14 to reflect any changes and lessons learned.

Appendix A: Acronyms

Acronym	Definition
A	Bureau of Administration
A/LM	Logistics Management
A/OPE	Office of the Procurement Executive
ATO	Authority to Operate
BMP	Business Management & Planning
BP	Bureau of Budget and Planning
BY	Budget Year
CAO	Chief Acquisition Officer
CFO	Chief Financial Officer
CGFS	Comptroller, Global Financial Services
CHCO	Chief Human Capital Officer
CIO	Chief Information Officer
COO	Chief Operating Officer
CPIC	Capital Planning and Investment Council
CXO	Senior Agency Official such as CAO, CFO, CHCO, CIO, COO
CY	Current Year
DCIO	Deputy Chief Information Officer
DGHR	Director General of the Foreign Service and Director of Human Resources
DME	Development, Modernization, and Enhancement
DOS	Department of State
E-Gov	Office of E-Government and Information Technology
FAC-P/PM	Federal Acquisition Certification for Program and Project Managers
FAM	Foreign Affairs Manual
FAR	Federal Acquisition Regulations
FDCCI	Federal Data Center Consolidation Initiative
FISMA	Federal Information Security Management or Modernization Act
FITARA	Federal Information Technology Acquisition Reform
FO	Foreign Operations
FSI	Foreign Service Institute
FSSI	Federal Strategic Sourcing Initiative
FTE	Full Time Equivalent
FY	Fiscal Year
GAO	Government Accountability Office
GSA	General Services Administration
GS	Grade Schedule
HR	Human Resources
IA	Information Assurance
IDC	Integrated Data Collection
IGCE	Independent Government Cost Estimate
IRB	Investment Review Board
IRM	Bureau of Information Resource Management
IT	Information Technology
ITDB	Federal IT Dashboard

Acronym	Definition
NIST	National Institute for Standards and Technology
O&M	Operations and Maintenance
OFPP	Office of Federal Procurement Policy
OMB	Office of Management and Budget
OPS	Operations
RACI	Responsibility, Accountability, Consulting, Information Chart
SAIT	School of Applied Information Technology
SES	Senior Executive Service
SOO	Statement of Objectives
SOW	Statement of Work

Appendix B: Investment Review Process

The Investment Review Process provides the CIO and DOS senior management with detailed insight into the overall performance of the Department's major IT investments. The Investment Review combines policies from the Capital Planning and Investment Control process and the Department's program review, based on the Managing State Project (MSP) framework. Investments are evaluated on five functional areas to determine the level of risk associated with continued work and the value provided by the work provided. The functional areas reviewed include:

- **Past Performance** – an investment snapshot including: descriptive information of the investment, the purpose it serves and need it meets; an overview of financial data, including the cost and schedule variances; highlighting of the high rated risks; listing of top provided performance metrics; and accounting of the BCRs that have occurred, their impact and the reasoning behind them.
- **Adherence to the CIO Compliance Standards** – a review of the assets aligned with an investment and whether requirements are met in the areas such as Section 508, Public Key Infrastructure, IPv6, data integration and interoperability, mobile accessibility, information security, enterprise license agreements, and cloud computing.
- **E-Gov Requirements** – a review of the investment reporting information verifying accordance with OMB and DOS major investment reporting requirements.
- **Documentation of Completed Project Life Cycle Control Gates** – an assessment on if projects adhere to the Department of State's SDLC, MSP, life-cycle control gates by providing evidence of the most recent control gate and where gaps in compliance exist.
- **Use of Supporting Management Artifacts** – an assessment on investment's use of project management supporting artifacts to manage their projects through their life cycle and maintain operational artifacts throughout the operational phase.

After the initial review is completed, the CIO and BP Director host an Investment Review of the investment, including supporting projects, and provides an evaluation to the investment's Business sponsor / Bureau IT Executive Director and investment manager. Based on the results of the investment reviews, the CIO may recommend the modification, termination, or pausing of an IT investment.

Appendix C: Department of State Bureau IT Leadership Directory

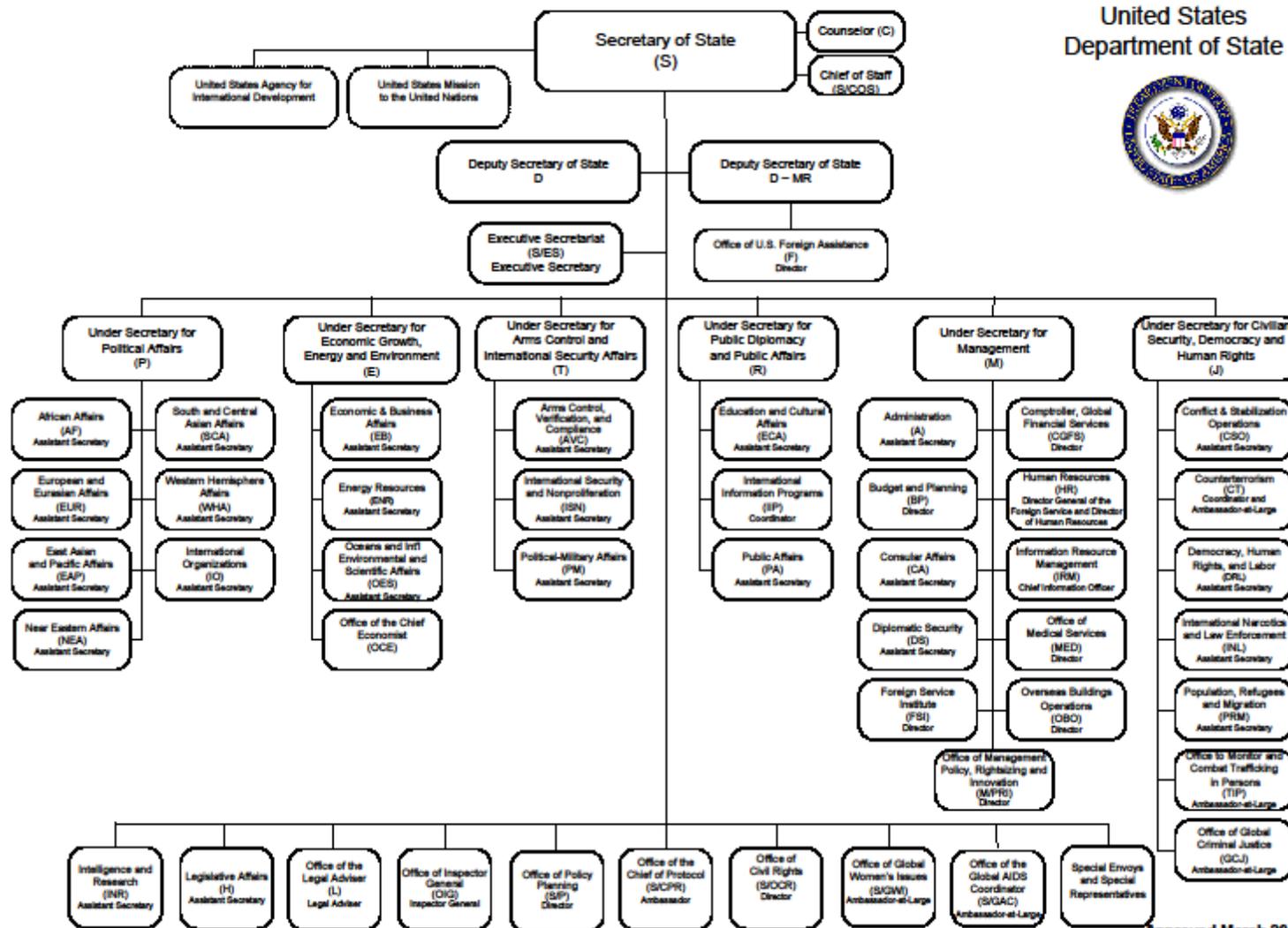
This Leadership Directory complies with Common Baseline O1 to prepare “a dataset identifying all bureau officials with title of CIO or duties of a CIO.”

Name	Bureau Designation	Employment Type SES, GS, Counselor, FS	Type of appointment	Other Responsibilities	Rating Official	Reviewing Official	Critical Lead?
Steven C. Taylor	IRM	Senior Foreign Service	Career	CIO	M	M	Yes
Frontis B. Wiggins	IRM	Senior Foreign Service	Career	PDCIO	CIO	CIO	Yes
Robert L. Adams	IRM	Senior Foreign Service	Career	DCIO	PDCIO	CIO	Yes
Glen H. Johnson	IRM	Senior Executive Service	Career	DCIO	PDCIO	CIO	Yes
William G. Lay	IRM	Senior Executive Service	Career	DCIO	PDCIO	CIO	Yes
Minh-Hai Tran-Lam	IRM	Senior Executive Service	Career	Acting DCIO	PDCIO	CIO	Yes

Appendix D: Organization Chart

<http://www.state.gov/r/pa/ei/rls/dos/99494.htm>

United States
Department of State



Approved March 2014

UNCLASSIFIED