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810 Vermont Avenue, NW, Washington,D.C. 20420

2016

Annual Update to the:

2015 FITARA Implementation Plan and Self-Assessment

U.S. Department of Veterans Affairs

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# A Note on VA’s 2016 Update to the 2015 FITARA Implementation Plan and Self- Assessment

The Department of Veterans Affairs (VA) has made a tremendous amount of progress since its release of the *2015 FITARA Implementation Plan and Self-Assessment*. In establishing an Enterprise Program Management Office (EPMO) and Account Managers for Benefits, Corporate, and Health, the VA Assistant Secretary for Information and Technology and Chief Information Officer (CIO) has gained a comprehensive, sustainable perspective on the performance of VA’s $4.28BN budget and outcomes for our Nation’s Veterans. As a result, the self-assessment ratings of Sections G and H have been upgraded. Between December 2015 and April 2016, VA’s total FITARA compliance increased from 84.31% to 88.24%.

In this update, you will find updates to the *2015 FITARA Implementation Plan and Self-Assessment* listed in red font beneath and alongside the original 2015 submission. This transparent approach allows the reader to logically follow VA’s progress in this reporting period without having to go back and re-read the original submission to determine what has changed.

VA looks forward to providing its 2016 *FITARA Implementation Plan and Self-Assessment* by this December and sharing new capabilities that have been gained for Veterans as a result of the organization’s goal to become the premier agency for FITARA implementation in the U.S. Federal Government.

# Background

The *Federal Information Technology Acquisition Reform Act* was enacted by Congress on December 19, 2014 and provides Federal agencies with specific requirements related to:

 1. Agency Chief Information Officer (CIO) Authority Enhancements

2. Enhanced Transparency and Improved Risk Management in IT Investments

3. Portfolio Review

4. Federal Data Center Consolidation Initiative

5. Expansion of Training and Use of IT Cadres

6. Maximizing the Benefit of the Federal Strategic Sourcing Initiative

7. Government-wide Software Purchasing Program

Subsequent to the enactment of FITARA, Office of Management and Budget (OMB) Director, Shaun Donovan, signed OMB Memorandum, M-15-14: *Management and Oversight of Federal Information Technology*, on June 11, 2015. M-15-14 provides implementation guidance for FITARA and related information technology management practices. This memorandum includes details regarding the Common Baseline upon which Federal agencies are measured and evaluated.

# Introduction

In 2016, the Department of Veterans Affairs (VA) Office of Information and Technology (OI&T) will have an estimated 7,615 full-time employees and requested budget of $4.13BN that will be utilized to fulfill VA’s mission: To fulfill President Lincoln's promise "To care for him who shall have borne the battle, and for his widow, and his orphan" by serving and honoring the men and women who are America's veterans.[[1]](#footnote-1)

VA values FITARA as the policy and framework that enhances CIO authority and accountability for assuring that IT resources are properly aligned with VA’s mission and related programs. The themes of accountability and integration of procurement activities for outcomes-based solutions are consistent throughout FITARA, the Secretary of VA’s MyVA Transformational Plan, and the VA CIO’s Enterprise Strategy. The strict adherence to these plans and commitment of VA’s leadership will enable a successful transformation to a world-class organization that will best meet the needs of our nation’s Veterans. FITARA is well-aligned and complementary with OI&T’s mission to collaborate with our business partners to create the best experience for all Veterans.

Update: The President’s 2017 Budget for VA OI&T is $4.28BN.

# Self-Assessment

A self-assessment on the topics of Budget Formulation and Planning; Acquisition and Execution; and Organization and Workforce was conducted by the Immediate Office of the Assistant Secretary for Information and Technology in an effort to understand OI&T’s current state as it relates to FITARA and develop a plan moving forward.

## Overall Ratings Defined

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

 2: Partially Addressed – Agency is working to develop a plan describing the changes it will make to ensure that all baseline FITARA responsibilities are in place by December 31, 2015.

3: Fully Implemented – Agency has developed and implemented its plan to ensure that all common baseline FITARA responsibilities are in place.

## **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.”

#### Visibility of IT Resources

A1. *CIO Role/Responsibility:* Visibility of IT resource plans/decisions to CIO.

A2. *CXO Role/Responsibility:* Visibility of IT resource plans/decisions in budget materials.

##### Section A - VA OI&T Self-Assessment Rating: 2

### The VA Information Technology Budget Formulation and Planning Process



In VA’s current structure, IT portfolio recommendations are made to the IT Leadership Board (ITLB), which is chaired by the Assistant Secretary for Information and Technology, Chief Information Officer (VA CIO), and the IT Planning, Programming, Budgeting and Execution (IT PPBE) Board. The IT PPBE Board is chaired by the IT Chief Financial Officer (CFO), a direct report to the VA CIO, and includes senior representatives of all pillars of the VA CIO’s organization as well as senior leaders of all VA administrations and staff offices, including VA’s Chief Acquisition Officer. This body weighs program requirements from all stakeholders and balances them against enterprise concerns as defined by the VA Strategic Plan and the Information Resources Management (IRM) Strategic Plan to create VA’s overall IT budget – and any change recommendations to it during the course of the year.

IT PPBE Board recommendations include: 1) prioritization of all IT funding requests, including what should and should not be funded during the year; 2) execution of the IT appropriation; 3) decisions as to whether something may be funded outside of the IT appropriation; 4) scenarios for pass back; and 5) prioritization of unfunded requests.

The ITLB defines the overall VA IT vision and all overarching policy and guidance. It reviews and validates portfolio recommendations from the IT PPBE Board, adjudicating any issues that cannot be resolved by the IT PPBE Board. Upon approval by the ITLB, the IT budget is submitted to the VA Executive Board, the Department’s most senior management decision-making forum. The VAEB reviews, discusses, and, through the decisions of the Secretary of Veterans Affairs, provides direction on departmental policy, strategic direction, resource allocation, and performance in key areas. The VAEB is chaired by the Secretary of Veterans Affairs and its membership includes VA’s Deputy Secretary; Chief of Staff; Under Secretary for Health; Under Secretary for Benefits; Under Secretary for Memorial Affairs; Assistant Secretaries; General Counsel; and the Chairman of the Board of Veterans’ Appeals. The VA CIO, as the Assistant Secretary for Information and Technology, is a member of the VAEB. The totality of the IT budget is weighed throughout the IT PPBE, ITLB, and VAEB.

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In VA’s current state, not all IT-related activity is funded through the IT appropriation. For example medical devices that connect to VA networks have never been part of the IT appropriation. As the scope of what is IT-related has increased in the years since the IT appropriation was established, the range of items not covered by the IT appropriation has increased. Typically, things in this category are physical devices. Development of information systems software solutions have always come under the jurisdiction of VA CIO. The VA CIO has recognized that anything connecting to VA networks must:

* Be approved to operate on VA networks, aligning to the VA information environment rules and standards to ensure interoperability of capabilities and information interoperability across the enterprise.
* Be compliant with all VA information security policy, rules and standards.
* Leverage enterprise purchasing agreements to ensure the best value for all commodity-type items.

VA CIO is revising existing policy regarding how all IT-related activities are acquired. The new policy is projected be completed by April 30th, 2016 and will ensure that all IT-related purchases will require CIO approval. IT-related purchases will require CIO approval regardless of funding source and are subject to all VA CIO-defined processes. All IT acquisitions will be fully compliant with all CIO-defined information technology policy, rules, and standards. Supporting processes will be developed and implemented by April 30th, 2016.

By April 30th, 2016, OI&T will also transition to two new functional capabilities: 1) an Enterprise Program Management Office (EPMO) that will be responsible for the overall IT design, engineering and portfolio management processes within VA, subsuming the role of the IT PPBE Board, and 2) senior account manager functions aligned to each administration that will essentially serve in as lead portfolio manager capacity for the administration. Account managers will have a dotted-line reporting relationship to their respective undersecretary and be responsible for the overall vision of information management (IM)/IT capabilities supporting the administrations, the assessment of all administration-specific business requirements and their translation into IT requirements, and the advocacy of all administration-specific requirements in the budget prioritization and formulation process.

All IT requirements will be submitted to the EPMO by the account managers. The EPMO will maintain the “end state” vision of VA’s information environment as defined by a series of product portfolios, and in working with the VA IT CFO and other stakeholders from the administrations and staff offices (including the CAO), will make programmatic / budget recommendations to the VA CIO as chair of the ITLB. Through its design and engineering functions, the EPMO will help VA achieve tighter integration of overall information capabilities serving Veterans and achieve a better balance between IT infrastructure needs and the mission-focused application environment that leverages it.

The *VA Directive on Acquisition and Management of VA Information Technology Resources*, or IT/Non-IT Policy, has been created and is going through its final round of concurrence before implementation. This policy will clearly define IT resources as it applies to the VA environment and delineate between OI&T and VHA/NCA/Corporate responsibility for funding.

OI&T has established the EPMO and appointed the Benefits, Corporate, and Health Account Managers. IT projects and programs are being migrated to EPMO’s Veteran-focused Integration Process (VIP) and the organization is expected to be fully implemented by September 30th, 2016. EPMO is working on closing out old policies and governance/control boards and will develop an OI&T acquisition and vendor management strategy to better support portfolio management. The Account Management Customer Relationship Management (CRM) infrastructure is pending and will be reflected in VA’s *2016 FITARA Implementation Plan and Self-Assessment*.

OI&T’s EPMO and Account Managers will interface with PPBE as follows:

During **Planning** - VIP supports planning by accepting requests through the VIP Request/intake process (VIPR), and the Account Managers and Portfolio Managers work with the program offices to develop Epics.

During **Programming** - The EPMO's intake accepts project requests (VIP) from the customers and prioritizes them through alternatives analysis to support Programming.

During **Budgeting** – EPMO’s Project and Program managers (PMs) will support Budget Operating Plan (BOP) development.

During **Execution** – EPMO’s PMs execute project and program.

A detailed summary with significant accomplishments for EPMO, Account Managers, and their related functions is expected to be announced in VA’s *2016 FITARA Implementation Plan and Self-Assessment*.

#### CIO role in Pre-Budget Submission

B1. *CIO Role/Responsibility:* CIO role in pre-budget submission for programs that include IT and overall portfolio.

B2. *CXO Role/Responsibility:* CIO role in pre-budget submission for programs that include IT and overall portfolio.

##### Section B - VA OI&T Self-Assessment Rating: 2

The pre-budget submission process involves the PPBE, chaired by the CFO; the ITLB, chaired by the CIO; and the VAEB, chaired by the SecVA. As noted in Section A, VA is undergoing a transformation which includes standing up an EPMO, which will replace the PPBE and better serve the ITLB and VAEB in the pre-budget submission process.

In 2016, the establishment of the EPMO and its senior account managers will provide the ITLB and VAEB with the information needed to gauge if a project or program is achieving its desired results on-time, on-budget, and at a level of quality that meets or exceeds the needs of our nation’s Veterans. During the pre-budget process, the ITLB and VAEB will be able to proactively terminate obsolete or unsuccessful programs or projects ahead of the budget submission, thereby reducing costs and shifting resources areas that are underserviced.

OI&T has established the EPMO and appointed the Benefits, Corporate, and Health Account Managers. IT projects and programs are being migrated to EPMO’s Veteran-focused Integration Process (VIP) and the organization is expected to be fully implemented by September 30th, 2016. The Account Management Customer Relationship Management (CRM) infrastructure is pending and will be reflected in VA’s *2016 FITARA Implementation Plan and Self-Assessment*.

#### 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.

C2. *CXO Role/Responsibility:* CIO role in program management.

##### Section C - VA OI&T Self-Assessment Rating: 3

The CIO is a direct report to the Secretary Department of Veterans Affairs (SECVA). In addition, the CIO sits on the VA Executive Board. The CIO is the executive-in-charge of all decisions associated with the execution of the IT appropriation and advises the Secretary regarding execution of that appropriation.

The Enterprise Architecture (EA) team within OI&T Architecture, Strategy and Design (ASD), are directly and actively involved in the development of the VA Strategic Plan. ASD/EA strategic planners in the Office of Enterprise Architecture (EA) directly participate in the agency’s four year strategic planning process led by VA’s Office of Policy to ensure that the VA Strategic Plan leverages the opportunities inherent in information capabilities to the maximum extent possible, while representing the CIO’s resourcing interests, priorities, and concerns. This engagement involves performing environmental scans, identifying significant global trends, analyzing trends to assess their potential long term significance (10 to 20 years in the future), defining possible futures, assessing the impacts, and identifying gaps and strategic options. Subject matter experts from across OI&T are brought into the process as needed. Once the strategic plan is drafted, it goes through a rigorous review and is approved by the VA Executive Board which is chaired by the Secretary of Veterans Affairs and all VA senior leaders, including the CIO.

The Information Resources Management (IRM) Strategic Plan, which is developed by the VA CIO, leverages the VA Strategic Plan as the foundation. It is an enabler of the VA Strategic Plan. The relationship between the IRM and VA strategic plans is explained in the introduction of the IRM Strategic Plan. The development of the IRM Strategic Plan is led by the OI&T enterprise architecture team, and reflects the CIO’s strategic framework, guiding principles, priorities, and other critical elements. It explains how IT resources will be managed to provide optimal outcomes consistent with the VA Strategic Plan. Input is gathered and integrated from across OI&T to create the plan, and the final draft is staffed with the entire OI&T leadership and ultimately approved for release by the CIO. The IRM Strategic Plan and associated VA Enterprise Roadmap reflect the plan of activity that is approved through VA’s PPBE processes.

#### CIO role in budget request

D1. *CIO Role/Responsibility:* CIO reviews and approves major IT investment portion of budget request.

D2. *CXO Role/Responsibility:* CIO and CFO Certify IT Portfolio.

##### Section D - VA OI&T Self-Assessment Rating: 2

The CIO manages a centralized IT account and submits a budget request that encapsulates all IT requirements to the Office of Management and Budget (OMB). IT CFO and VA Chief Acquisition Officer (CAO) participate throughout the budget process as described in the response to Section B. A Joint Affirmation Statement for the FY17 IT budget was submitted on October 15th, 2015.

As noted in Section A, through the VA information technology budget formulation and planning process the CIO reviews and approves investments as the Chair of the ITLB. The CIO reviews business case justifications presented by the PPBE for information technology investments that are featured in the VA’s IT Budget.

OI&T’s EPMO and Account Managers will interface with PPBE as follows:

During **Planning** - VIP supports planning by accepting requests through the VIP Request/intake process (VIPR), and the Account Managers and Portfolio Managers work with the program offices to develop Epics.

During **Programming** - The EPMO's intake accepts project requests (VIP) from the customers and prioritizes them through alternatives analysis to support Programming.

During **Budgeting** – EPMO’s Project and Program managers (PMs) will support Budget Operating Plan (BOP) development.

During **Execution** – EPMO’s PMs execute project and program.

VIP is a Lean-Agile framework that serves the interest of Veterans and encompasses the portfolio, program, and project levels. The VIP framework is mandated for any efforts that touch VA’s network or spend money from VA’s Congressional IT Appropriation.

A detailed summary with significant accomplishments for EPMO, Account Managers, and their related functions is expected to be announced in VA’s *2016 FITARA Implementation Plan and Self-Assessment*.

## **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.”

#### Ongoing CIO Engagement with Program Managers

E1. *CIO Role/Responsibility:* Ongoing CIO engagement with program managers.

E2. *CXO Role/Responsibility:* Ongoing CIO engagement with program managers.

##### Section E - VA OI&T Self-Assessment Rating: 2

VA has established and executes the delivery of IT capabilities under a project and program management framework called the Project Management Accountability System (PMAS). PMAS mandates that the CIO and other senior leadership regularly engage with project and program managers to ensure the appropriate level of resources are assigned to each project/program executing the agency’s strategic objectives. No project, which is a subset of a program, is allowed to start work if it does not have the appropriate level of resources or an involved business customer. Through this framework, VA ensures business objectives are met and customer value is consistently delivered.

The CIO signs the PMAS Guide and as such, it is VA policy. A major component of PMAS is Milestone (MS) Reviews. MS Reviews occur at defined times along a project’s development cycle. A project cannot proceed to the next phase of development if it has not completed the activities associated with its existing phase. MS Review boards are chaired by senior leaders and ensure on-going IT investments are appropriately delivering customer value and meeting the business objectives of programs.

Given the number of projects in process at any given time, PMAS reviews and resourcing decisions happen almost on a daily basis. Per PMAS Guide 5.0, section 4.7.3, issues with IT performance are normally addressed during the TechStats that are conducted for every miss by all PMAS projects. During the TechStat, the project is reviewed on a holistic view and the health of the project is evaluated in order to determine whether it can proceed or must be stopped. TechStats are led by the IT CFO with results presented to the VA CIO. Per Section 3.1.5 and 3.4.1 of PMAS Guide 5.0, the CIO can stop any project at any time and it will be classified as a Closed-Stopped Project. Metrics related to all IT development programs managed through PMAS are reported on a monthly basis in the CIO’s Operational Performance Review (OPR).

IT-related capabilities purchases outside of the IT appropriation typically fall into the category of devices and related services, rather than solution development. In those unusual instances where development projects outside of OI&T are identified, they are brought into the PMAS governance process. Currently under PMAS we are unable to track if there are any independent VHA, VBA, and NCA IT projects that are not processed through OI&T. As discussed in Section A, given VA concerns over any IT-related activity that is not funded through the IT appropriation, policy is being revised to ensure that all IT-related activities are subject to the rules, policies, standards and processes defined by the VA CIO.

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VA’s current PMAS process and is undergoing a substantial reengineering. PMAS was VA’s initial effort to facilitate on-time delivery of usable IT functionality to VA customers. It succeeded in improving on-time delivery of capability from about 30% to 84%.

PMAS’s successor, the Veteran-focused Integration Process (VIP) will be the follow-on framework for IT development at VA. It will unify and streamline IT delivery oversight and deliver IT products more efficiently, securely and predictably. Importantly, the VIP will reduce required documentation by two-thirds, decrease the number of gates from five to two, and reduce the overall cycle time from six to three months. The details of this process are currently being finalized. Its introduction is scheduled for the beginning of 2016.

The CIO holds weekly Project Tracking Review sessions that includes a review of the submissions by program managers on overall program and project health. During FY16, PMAS is transitioning to VIP. As of April 19th, 2016 there are 12 projects accessible in VIP. The majority of projects are expected to be transitioned to VIP by the end of the fiscal year. A complete update on EPMO and the VIP transition will included in VA’s *2016 FITARA Implementation Plan and Self-Assessment*.

The *VA Directive on Acquisition and Management of VA Information Technology Resources*, or IT/Non-IT Policy, has been created and is going through its final round of concurrence before implementation. This policy will clearly define IT resources as it applies to the VA environment and delineate between OI&T and VHA/NCA/Corporate responsibility for funding.

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

F1. *CIO Role/Responsibility:* Visibility of IT planned expenditure reporting to CIO.

F2. *CXO Role/Responsibility:* Visibility of IT planned expenditure reporting to CIO.

##### Section F - VA OI&T Self-Assessment Rating: 2

VA has a central IT appropriation with participation from the CIO, IT CFO, the CAO and all VA administrations and staff offices throughout as described in Section B. The CIO and IT CFO manage budget requirements through a formal Planning, Programming, Budgeting, and Execution (PPBE) governance process which also involves the CAO who is a standing voting member in the decision-making process. All VA components are involved in the PPBE process. Results of PPBE actions are reported to the VA IT Leadership Board, which is comprised of the VA Under Secretaries and similar level executives.

The EPMO will enhance the CIO’s visibility into overall project health as it relates to the time, budget, and quality performance as well as alignment to Veteran-centric outcomes. Administration specific (VHA, VBA, and NCA) Program Managers will facilitate collaboration, performance measurements, and open lines of communication for the CIO and the administrations. The EPMO will ensure an optimal level of accountability, value, and customer service.

All three account managers have been appointed and routinely engage in collaborative discussions with their respective business lines. The Account Managers have bi-weekly meetings with the CIO to discuss portfolio performance. IT projects and programs are being migrated to VIP and the EPMO organization is expected to be fully implemented by September 30th, 2016. The Account Management Customer Relationship Management (CRM) infrastructure is pending and will be reflected in VA’s *2016 FITARA Implementation Plan and Self-Assessment*.

#### Visibility of IT Planned Expenditure Reporting to CIO

 G1. *CIO Role/Responsibility:* CIO defines IT processes and policies.

##### Section G - VA OI&T Self-Assessment Rating: ~~2~~ 3

VA executes all its project delivery through PMAS. The policy document which governs the rules and application of PMAS at VA is called the PMAS Guide. The PMAS Guide defines the development processes, milestones, review gates, and the overall policies for all VA IT project management. The CIO signs the PMAS Guide and as such it is VA policy. A critical element of PMAS demands that projects execute their delivery of IT capabilities in increments of time not to exceed six months. Through PMAS, the VA CIO defines IT processes and policies and ensures that information technology investments are adequately implementing incremental development.

The CIO defines all information technology (IT) and information management (IM) policy for VA. PMAS is the specific policy that defines the software development process. Other policies cover the full range of IT and IM concerns. In the development process all projects are required to conform to all policies, rules, standards and other related guidance of the Department. These are made accessible through VA OI&T’s Enterprise Architecture team.

The VA CIO has strengthened the organization’s commitment to consolidated, thoroughly vetted processes and policies that are formally approved by the CIO before being signed into effect. An example of this commitment is the recently approved *Up to Two IT Device Policy*, in addition to the organizational changes to include the establishment of EPMO and the Account Manager roles.

#### CIO Role on Program Governance Boards

H1. *CIO Role/Responsibility:* CIO role on program governance boards.

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

##### Section H - VA OI&T Self-Assessment Rating: ~~2~~ 3

The VA CIO chairs the ITLB, which ratifies the IT Budget as recommended by the IT PPBE Board and submits it to the VA Executive Board, chaired by the SecVA, for final approval. All VA Under Secretaries and all VA staff offices participate in the ITLB; thus, all VA administrations and staff offices are represented.

Some IT-related activities are funded outside the IT appropriation. This represents a potential gap in CIO oversight. To address this gap, a policy is being revised and coordinated with the Administrations to clearly define anything that attaches to and communicates with VA networks regardless of how funded as “officially” IT and subject to all policies, rules, standards and processes defined by the VA CIO. This policy will be finalized in the first quarter of 2016, with associated control mechanisms to follow in order to ensure compliance.

The VA CIO is actively engaged with various program governance boards. In addition to the CIO’s participation in throughout the budget review cycle, the CIO holds weekly Project Tracking Review sessions; bi-weekly Account Managers Meetings; and regularly convenes other governance boards, as necessary. The CIO is a member of the SECVA’s MyVA Leadership Board, the overall governance for the strategic programs in the VA.

The *VA Directive on Acquisition and Management of VA Information Technology Resources*, or IT/Non-IT Policy, has been created and is going through its final round of concurrence before implementation. This policy will clearly define IT resources and delineate between OI&T and VHA/NCA/Corporate responsibility for funding.

#### Shared acquisition and procurement responsibilities

I1. *CIO Role/Responsibility*: Shared acquisition and procurement responsibilities.

I2. *CXO Role/Responsibility*: Shared acquisition and procurement responsibilities.

##### Section I - VA OI&T Self-Assessment Rating: 3

The *Product Development (PD) PMAS Implementation in Contracting Policy and Guidelines* document established guidelines for ensuring that acquisition strategies and plans for IT development projects comply with PMAS and support incremental development.

VA recognizes the overly rigorous nature of the existing PMAS process and is subjecting it to a substantial reengineering. PMAS was VA’s initial effort to facilitate on-time delivery of usable IT functionality to VA customers. It succeeded in improving on-time delivery of capability from about 30% to 84%.

The Veteran-focused Integration Process (VIP) will be the follow-on framework for IT development at VA. VIP will unify and streamline IT delivery oversight and deliver IT products more efficiently, securely, and predictably. Importantly, the VIP will reduce required documentation by two-thirds, decrease the number of gates from five to two and reduce the overall cycle time from six to three months. The details of this process are currently being finalized. Its introduction is scheduled for the beginning of 2016.

Product Development (PD) tracks certifications of all Program and Project Managers. The level of certification is based on policy written in OMB policy for the Federal Acquisition Institute.

During FY16, PMAS is transitioning to VIP. As of April 19th, 2016 there are 12 projects included in VIP. The majority of projects are expected to be transitioned to VIP by the end of the fiscal year. VA’s Associate Director of Acquisitions facilitates the processes the needs of VIP with EPMO’s Acquisitions Director.

EPMO tracks the certifications for Program and Project Managers that were aligned to EPMO from PD and is working towards a comprehensive tracking of all EPMO PMs who will be realigned from other OI&T organizations. An update on EPMO’s certification tracking will be provided in the 2016 *Implementation Plan and Self-Assessment*.

#### 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.

##### Section J - VA OI&T Self-Assessment Rating: 3

Under PMAS, every project which fails to deliver on its committed delivery date requires a TechStat. Through TechStats, the VA CIO is able to monitor and evaluate the performance of information technology programs of the agency in order to determine whether a project should continue, or be modified or terminated. This allows VA to determine why the project did not execute and what can be done to ensure the project is positioned for successful execution in the future. At a TechStat, senior leaders determine whether a project should be paused, modified or terminated.

OI&T notifies OMB at least two weeks in advance of convening a TechStat. The VA CIO signs all TechStat decision memos documenting the actions/decisions at each TechStat. Results of the TechStat are reported to OMB through the Integrated Data Collection (IDC).

The Governance Committee for Project Tracking Review convenes weekly with the CIO and conducts a comprehensive project health overview. This overview takes into consideration each project’s budget, timeline, and risk to ensure that proper mitigation steps are taken; and that TechStats are convened, as necessary.

#### CIO Review and Approval of Acquisitions

K1. *CIO Role/Responsibility*: CIO review and approval of acquisition strategy and acquisition plan.

K2. *CXO Role/Responsibility*: CAO is responsible for ensuring contract actions that contain IT are consistent with CIO-approved acquisition strategies and plans.

##### Section K - VA OI&T Self-Assessment Rating: 3

The VA CIO mandated that all IT products/services, as well as any non-IT products that connect to a VA network operated and maintained by OI&T, or that will or have the potential to store sensitive data, must be entered and approved in the VA ITARS (Information Technology Acquisition Request System). ITARS provides technical and administrative support for the automated review and disposition of all VA IT related procurements. The process was created to ensure all IT related acquisition requests meet all governmental/federal acquisition guidelines and protection of all Veteran data is maintained. The ITARS system is a web based tool that will allow several levels of acquisition review and disposition to be completed quickly and accurately. The system is designed to provide all levels of functionality and authority to support the reporting, editing, certification, and disposition of all VA IT related requests.

Acquisition Management and Oversight serves as the focal point for management, oversight and the facilitation of the OI&T procurement process. As liaison with the Office of Acquisition and Logistics Technology Acquisition Center for Acquisition Innovation and OI&T program offices; they facilitate the timely execution of acquisition packages including Time & Material contracts, coordination/approval of Determination & Findings, and interpretation/development of acquisition policies and procedures. Additionally they provide the OI&T Senior Executive Leadership Team (ELT) visibility through weekly Procurement Action Status Reporting and Lessons Learned reporting.

All IT products/services, as well as any non-IT products that connect to a VA network operated and maintained by OI&T, or that will or have the potential to store sensitive data, must be entered and approved in the VA IT Acquisition Request System (ITARS). The CIO is the final approval authority in the ITARS process and has access and visibility to all information in ITARS. Policy is being revised to ensure that all IT-related acquisitions, regardless of how (and by whom) funded will be subject to the policies, rules, standards and processes defined by the VA CIO. This policy will be introduced in the first quarter of 2016.

The *VA Directive on Acquisition and Management of VA Information Technology Resources*, or IT/Non-IT Policy, has been created and is going through its final round of concurrence before implementation. This policy will clearly define IT resources and delineate between OI&T and VHA/NCA/Corporate responsibility for funding.

#### CIO Approval of Reprogramming

L1. *CIO Role/Responsibility*: CIO approval of reprogramming.

L2. *CXO Role/Responsibility*: CIO approval of reprogramming.

##### Section L - VA OI&T Self-Assessment Rating: 3

The VA has fully implemented a plan that ensures all common baseline responsibilities are in place to meet the Federal Information Technology Acquisition Reform Act (FITARA).  The VA CIO has established a governance process that ensures CIO involvement in the approval of any movement of funds for Information Technology (IT) resources that requires Congressional notification or approval.  The CIO serves as the Chair of the ITLB, which includes the Under Secretaries for VHA, VBA, and NCA; and corporate staff, and is actively involved in all aspects of the approval process.  The CIO also instituted an internal IT PPBE Board to advise on the planning, programming, budgeting and execution functions associated with effective management and control.  IT investment review process provides a framework for effective investment decision-making, enabling VA's senior leadership to guide investments to maximize the impact to the Veteran.

The VA IT reprogramming process includes identification of need by the requiring business line; assessment by the OI&T servicing office, IT CFO, CIO, OI&T budget, Office of Congressional and Legislative Affairs, VA Office of Management, Deputy Secretary; and review and approval by the SecVA.  Externally, reprogramming is reviewed by OMB and is formally requested of Congressional oversight committees. When approved, reprogramming is reflected in the OMB Apportionment and, if needed, the annual budget operating plan is updated, and OI&T servicing offices are instructed to proceed. Transfers, which are unusual for the VA IT budget, are approved by the same parties.

## **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.”

#### CIO Approves New Bureau CIOs

M1. *CIO Role/Responsibility*: CIO approves bureau CIOs.

##### Section M - VA OI&T Self-Assessment Rating: 3

As the CIO, Assistant Secretary (AS) for Information and Technology is responsible for the vision, management, operation, and execution of VA OI&T and its resources, delivering adaptable, secure and cost effective technology services to the Department. The AS serves as the principal advisor to the SECVA on all matters relating to information and technology management in the Department as delineated in PL No. 104-106, the Clinger-Cohen Act, the Paperwork Reduction Act, Chapter 35 of Title 44 USC; and any other associated legislated or regulatory media. The Department of Veterans Affairs does not have additional bureau CIOs for any of the VA’s separate administrations (VHA, VBA or NCA).

VA does not have bureau CIOs; thus, the CIO provides all information technology support to all administration and staff offices throughout VA. OI&T is the only organization within VA that is authorized to have IT personnel. The CIO has overall authority for all recruitment and hiring actions for all OI&T personnel through normal delegated hiring authority to subordinate Deputy Chief Information Officers (DCIO) and Deputy Assistance Secretaries (DAS). All IT support is provided to all administrations and staff offices by a centralized OI&T organization.

While VA does not have bureau CIOs, OI&T is currently in the process of establishing account management positions within OI&T which will serve in a lead portfolio manager capacity for each administration. They will have a dotted-line direct reporting relationship to their respective Under Secretary and be responsible the overall vision for IM/IT capabilities supporting the administration, the assessment of all administration-specific business requirements and their translation into IT requirements, and the advocacy of all administration-specific requirements in the budget prioritization and formulation process. All IT personnel supporting each administration will remain OI&T employees. This structure will be stood up by April 30th, 2016.

All IT Account Managers for the Benefits, Corporate, and Health portfolios were appointed by the CIO as of April 18th, 2016. The Account Management Customer Relationship Management (CRM) infrastructure is pending and will be reflected in VA’s *2016 FITARA Implementation Plan and Self-Assessment*.

#### CIO Role in Ongoing Bureau CIOs’ Evaluations

N1. *CIO Role/Responsibility*: CIO role in ongoing bureau CIOs’ evaluations.

N2. *CXO Role/Responsibility*: CIO role in ongoing bureau CIOs’ evaluations.

##### Section N - VA OI&T Self-Assessment Rating: 3

The AS for OI&T serves as the CIO for VA. The AS for OI&T is a presidential political appointee, requiring Senate confirmation. The AS for OI&T and CIO is subject to performance management requirements listed in VA Handbook 5027. The VA does not have additional bureau CIOs for any of the VA’s separate administrations (VHA, VBA or NCA), therefore the CIO has no responsibilities for evaluations pertaining to any bureau CIOs.

OI&T is a centralized organization providing support to all administrations and staff offices; this is executed through OI&T Deputy Chief Information Officers (DCIOs) and Deputy Assistant Secretaries (DAS). As all IT personnel supporting the Administrations are OI&T personnel, performance reviews for all are ultimately done by OI&T.

OI&T is currently in the process of standing up Account Manager functions within each Administration. These Account Managers will have a direct dotted-line reporting relationship to their respective Under Secretary. As they will be OI&T employees reporting directly to the VA CIO, the primary input into their annual performance reviews will come from the VA CIO. This structure will be stood up by April 30th, 2016.

The VA CIO conducts the performance evaluations of all OI&T executive leadership team members. All IT Account Managers for the Benefits, Corporate, and Health portfolios were appointed as of April 18th, 2016.

#### Bureau IT Leadership Directory

O1. *CIO Role/Responsibility*: Bureau IT Leadership Directory.

O2. *CXO Role/Responsibility*: Bureau IT Leadership Directory.

##### Section O - VA OI&T Self-Assessment Rating: 3

The AS for IT serves as the CIO for the VA. The position is a presidential political appointee, requiring Senate confirmation. The CIO serves at the Executive Level (EX). VA does not have additional bureau CIOs for any of the VA’s separate administrations (VHA, VBA or NCA), therefore the position of AS for IT and CIO is the only individual listed in the VA IT Leadership Directory.

The following is an updated listing of the current CIO and the OI&T Executive Leadership Team:

### CIO and OI&T Executive Leadership Team

**Name**: LaVerne H. Council

**Title**: Assistant Secretary for Information and Technology; and Chief Information Officer

**Employment Type**: Executive Level (EX)

**Name**: Ronald Thompson

**Title**: Principal Deputy Assistant Secretary; and Deputy Chief Information Officer; and interim Chief Information Security Officer (CISO)

**Employment Type**: Senior Executive Service (SES)

**Name**: Marina Martin

**Title**: VA Chief Technology Officer

**Employment Type**: Senior Executive Service (SES)

**Name**: Martha Orr

**Title**: Deputy Chief Information Officer, Privacy and Risk

**Employment Type**: Senior Executive Service (SES)

**Name**: John Oswalt

**Title**: Executive Director, Privacy

**Employment Type**: Senior Executive Service (SES)

**Name**: Brian Burns

**Title**: Deputy Director, VA/DoD Interagency Program Officer

**Employment Type**: Senior Executive Service (SES)

**Name**: Susan McHugh-Polley

**Title**: Deputy Assistant Secretary, Service Delivery & Engineering

**Employment Type**: Senior Executive Service (SES)

**Name**: Charles Baumgardner

**Title**: Executive Director, Enterprise Systems Engineering

**Employment Type**: Senior Executive Service (SES)

**Name**: Dr. Paul Tibbits

**Title**: Deputy Chief Information Officer, Architecture, Strategy, and Design

**Employment Type**: Senior Executive Service (SES)

**Name**: Lloyd Thrower

**Title**: Chief Architect

**Employment Type**: Senior Level (SL)

**Name**: Richard Chandler

**Title**: Chief Financial Officer, IT Resource Management

**Employment Type**: Senior Executive Service (SES)

**Name**: Ricci Mulligan

**Title**: Executive Director, Budget and Finance (IT)

**Employment Type**: Senior Executive Service (SES)

**Name**: Jim Trinka

**Title**: Chief Learning Officer

**Employment Type**: Senior Executive Service (SES)

**Name**: Jackie Patillo

**Title**: Deputy Chief Information Officer, Account Manager for Corporate

**Employment Type**: Senior Executive Service (SES)

**Name**: Dr. Alan Constantian

**Title**: Deputy Chief Information Officer, Account Manager for Health

**Employment Type**: Senior Executive Service (SES)

**Name**: Sean Kelley

**Title**: Deputy Chief Information Officer, Account Manager for Benefits

**Employment Type**: Senior Executive Service (SES)

**Name**: Daniel Galik

**Title**: Executive Director, Security Operations

**Employment Type**: Senior Executive Service (SES)

**Name**: Tina Burnette

**Title**: Executive Director, Field Security Service

**Employment Type**: Senior Executive Service (SES)

**Name**: Rob C. Thomas II

**Title**: Deputy Assistant Secretary, Enterprise Program Management Office

**Employment Type**: Senior Executive Service (SES)

**Name**: Nicole Mayerhauser

**Title**: Executive Director, Enterprise Program Management Office

**Employment Type**: Senior Executive Service (SES)

**Name**: Steven Schliesman

**Title**: Executive Director, IT Project Management, Enterprise Program Management Office

**Employment Type**: Senior Executive Service (SES)

#### IT Workforce

**P1. *CIO Role/Responsibility*: IT Workforce.**

**P2.** ***CXO Role/Responsibility*: IT Workforce.**

##### Section P - VA OI&T Self-Assessment Rating: 2

OI&T is refreshing the current Strategic Human Capital Plan which will ensure all baseline FITARA responsibilities are in place by December 31, 2015.

The OI&T Strategic Human Capital Plan, dated September 30, 2013, had an action plan associated with some of the requirements. Unfortunately, the action plan was not fully implemented. Additionally, the plan did not fully address an IT staff set of competency requirements which also include IT leadership positions.

Currently, OI&T follows a set of competency requirements for IT staff, including IT leadership positions. Our IT Workforce Development team maintains 24 competency models. Annually, all OI&T employees complete self-assessments against 14 Core competencies, which are the ‘soft skills’ that each employee is expected to have.

OI&T follows a set of competency requirements for IT staff and leadership positions including the following:

(a) OI&T leverages a current workforce planning process that can anticipate and respond to changing mission requirements. Based on human capital or human resource requirements the OI&T Human Capital Workforce Planning Group can immediately alert and employ to identify/analyze gaps, surpluses or any other concerns related to how OI&T sustains, manages and grows the workforce.

(b) As a result of the assessment the engaged supervisor formalizes an individual development within the Talent Management System (TMS). This process enables the organization to maintain workforce skills in a rapidly developing IT environment. If a competency gap is identified by the TMS, the system assigns courses designed to close that gap based on supervisory oversight and developmental counseling.

(c) OI&T’s ability to recruit and retain the IT talent needed to accomplish the mission requires additional emphasis. OI&T’s recruiting strategy is linked to our hiring actions which can be extremely slow. OI&T is supported by over 175 different Human Resources servicing organizations to execute hiring actions. This can be problematic because, ideally all HR hiring actions should be transparent, centralized and shared with all hiring managers. In contrast, we are making strides to increase workforce retention by developing action plans addressing various opportunities for improvement identified by the results of diverse employee surveys.

While OI&T does not have a position titled the Chief Human Capital Officer (CHCO) or Chief Administrative Officer (CAO), the proponent for this is the Executive Director, Quality, Performance and Oversight.

OI&T has established an OI&T Strategic Human Capital Plan Refresh Working Group to address our workforce requirements and lessons learned, as well as to incorporate all FITARA requirements. The Human Capital Planning Group was established in March 2015 and will complete the refresh plan for publication not later than April 30, 2016. The refresh document will further address a set of competency requirements specifically adding IT leadership positions. Most importantly, the Strategic Human Capital Plan Refresh will include an implementation strategy that ensures deliberate and recurring workforce planning in order to meet the December 31, 2015 deadline established by FITARA.

The OI&T Strategic Human Capital Plan Refresh Working Group has been put on an indefinite hold due to the efforts of OI&T’s Human Capital Management office and Chief Learning office. Below is an update on the status of OI&T’s Human Capital Plan and Chief Learning Office:

* OI&T’s Human Capital Management office is actively working on a comprehensive Human Capital Plan. This plan is expected to be completed by the December 31, 2016 and will cover succession, workforce planning, and OI&T’s transformation. The IT Account managers are actively engaged with VA leadership in building customer profiles for each portfolio. VA is working with Max.gov on the development of a knowledge management system.
* The OI&T Chief Learning Office (CLO) was established to provide innovative learning and career development solutions to OI&T. CLO has adopted the following learning strategies to ensure that OI&T staff is prepared to implement and sustain OI&T’s enterprise strategy:
* Ensure OI&T staff has tailored electronic individual development plans eIDPs.
	+ FY16 OI&T Compliance percentages as of 3/30/16:
		- Overall OI&T Compliance (step 1: self-assessment, step 2: supervisor review, and step 3: eIDP): 90%.
		- Step 3: eIDP, Compliance: 95%.
* Increase access to experiential learning.
	+ Developed 100 On-the-Job Training activities (OJTs) and loaded them into TMS to increase experiential learning.
	+ Developed courses with experiential learning (e.g., Project Management Mentoring forums, Information Security Officer forums, QPO/ITRM Supervisor Communication sessions), where participants complete an activity, OJT, or scenario and return to the session to discuss their findings.
* Develop role-specific career paths.
	+ Developed role-specific career path guides (includes ISO, Information Security, NSOC, CIO, IT Project Management, and Customer Support roles) with learning maps to include competency development areas and recommended training for each path; posted on the Information Technology Workforce Development (ITWD) Learning Center.
* Establish role-specific competency expectations, mapped to over 3,000 learning options in TMS.
	+ Developed targeted role specific emails communicating existing training for top competency skill gaps.
	+ Developed and posted Cybersecurity themes to the ITWD Learning Center for March and April 2016 and corresponding learning resources available in the TMS.
	+ Last year alone, ITWD mapped over 655 courses, such as new SkillSoft courses, ITWD-developed courses, and other relevant topics to the competency models.
	+ ITWD mapped over 130 new courses identified by SMEs as emerging technologies, such as intrusion detection, cybersecurity fundamentals, penetration testing, and Agile topics to support the new EPMO.
* Develop role specific training.
* Strategically source vendor training.

#### CIO Reports to Agency Head (or deputy/COO)

**Q1**. ***CIO Role/Responsibility*: CIO reports to agency head (or deputy/COO).**

##### Section Q - VA OI&T Self-Assessment Rating: 3

The Assistant Secretary/Chief Information Officer (CIO) serves as the principal advisor to the Secretary of the Department of Veterans Affairs (SecVA) on all matters relating to information and technology management in the Department. The CIO reports directly to the office of the SecVA through the Deputy Secretary of Veterans Affairs.

1. *2016 Department of Veterans Affairs – Budget in Brief* [↑](#footnote-ref-1)