

2019 NSF FITARA Implementation Plan

Category	Element	Initial Element Rating August 2015	Annual Element Rating April 2016	Annual Element Rating May 2017	Annual Element Rating May 2018	Current Element Rating May 2019	Relevant Evidence Supporting Implementation of Element	Supporting Artifacts	Obstacles/Risks/Challenges by Category
Budget Formulation (A-D)	A1 Visibility of IT resource plans/decisions to CIO	3	3	3	3	3	The CIO and CFO work jointly to determine the level of detail in which IT resources are described distinctly from other resources along with other senior agency executives as part of NSF's IT governance bodies.	<ul style="list-style-type: none"> * Budget Development Process * Budget Development Timeline * IT Resource Statements * CPIC Policy * CIO Authorities Policy 	
	B1 CIO role in pre-budget submission for programs that include IT and overall portfolio	2	3	3	3	3	<ul style="list-style-type: none"> * NSF's Senior Management Advisory Round Table (SMaRT), chaired by Deputy Director/Chief Operating Officer, is a primary forum for discussion of strategic issues that affect NSF and NSF-wide initiatives. The CFO and CIO are both members of the group. * The Capital Planning and Investment Control (CPIC) Working Group, chaired by the CIO, is chartered as a permanent governance body whose purpose is the management of the agency's IT portfolio. * CFO leads the coordination of NSF's budget across the foundation. CIO approves the IT portion of the NSF budget 	<ul style="list-style-type: none"> * IT Resource Statements * CPIC Policy * CIO Authorities Policy * Budget Development Process * Budget Development Timeline 	
	C1 CIO role in planning program management	3	3	3	3	3	<ul style="list-style-type: none"> * The Capital Planning and Investment Control (CPIC) Working Group is chartered as a permanent governance body whose purpose is to manage the NSF IT investment portfolio and EA. The CPIC Working Group facilitates compliance between Federal laws, regulations, directives, and guidance to derive IT priorities. * The Continuous Improvement Program (CIP) gate reviews are checkpoints at which a Division Information Systems (DIS) project manager ensures that project deliverables and/or products are reviewed by subject matter experts and selected stakeholders. The purpose of these reviews is to identify whether these deliverables meet customer requirements and the DIS policies and standards. The participants in the process include the CIO and business sponsors of the initiatives * The IT Dashboard review process provides a defined process for reviewing and updating the performance metrics, schedule, cost and evaluating the risk for major IT investments with the CIO. 	<ul style="list-style-type: none"> * Continuous Improvement Program (CIP) Gate Reviews * DIS SDLC Framework * DIS ILC Framework * CPIC Policy * CIO Authorities Policy 	

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	D1 CIO reviews and approves major IT investment portion of budget request	3	3	3	3	3	<p>* Annual IT Budget Request - the CIO completes a detailed review and approval of the annual IT budget request first as the chair of NSF's IT governance bodies when the governance bodies submit the IT request to the NSF Director for review and later independently before the final IT budget request is submitted to OMB. Evidence for these reviews are included in the IT Budget Development Process Timeline provided.</p> <p>* Budget submission documents have been modified to add a section called IT Resource Statements. It will include statements that affirm that the CIO has reviewed and approves the major IT investments portion of this budget request; the CFO and CIO jointly affirm that the CIO had a significant role in reviewing planned IT support for major program objectives and significant increases and decreases in IT resources; and the IT Portfolio (formerly Exhibit 53) includes all appropriate estimates of all IT resources in the budget request</p>	<ul style="list-style-type: none"> * Budget Development Process * Budget Development Timeline * CIO Authorities Policy * IT Resources Statement 	
Budget Execution (E-H, J, L)	E1 Ongoing CIO engagement with program managers	3	3	3	3	3	<p>* The CIO conducts weekly meetings with the head of NSF's Division of Information Systems, the agency Enterprise Architect, and Service Area Leads from NSF's IT programs. The purpose of these meetings is to discuss strategic objectives and to evaluate the status of IT resources and investments.</p> <p>* The IT Dashboard review process provides a defined process for reviewing and updating the performance metrics, schedule, cost and evaluating risk of major IT investments with the CIO.</p> <p>* The Continuous Improvement Program gate reviews are checkpoints at which a project manager ensures that project deliverables/products are reviewed by subject matter experts and selected stakeholders. The participants in the process include the CIO and business sponsors.</p> <p>* NSF follows a standard process for the assessment of new IT Investment ideas called the Project Initiation Process. This process is supported by documented processes, templates, and weekly meetings with the CIO.</p>	<ul style="list-style-type: none"> * IT Business Case Form * NSF Funding Process * Proposed IT Investment Form 	

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	F1 Visibility of IT planned expenditure reporting to CIO	3	3	3	3	3	<ul style="list-style-type: none"> * The CIO conducts weekly meetings with the head of NSF's DIS, the agency Enterprise Architect, and other representatives from NSF's IT programs. The purpose of these meetings is to discuss strategic objectives and to evaluate the status of IT resources, including level of planned expenditure, and investments * The CIO conducts monthly meetings with the DIS budget team to review its fiscal year execution vs plan. This meeting provides insight into DIS's labor and acquisition fiscal year estimate at complete (EAC), in addition to its expenditures to date. * The IT Dashboard review process provides a defined process for reviewing and updating the performance metrics, schedule, cost and evaluating risk for major IT investments. This process includes a monthly review of investments with the CIO and results in updates to the Federal IT Dashboard 	q	
	G1 CIO defines IT processes and policies	3	3	3	3	3	<ul style="list-style-type: none"> * NSF has developed rigorous processes for selecting and managing IT investments. Processes ensure that IT investments align with NSF's mission and support business needs while minimizing risk and maximizing return on investment. * The NSF Enterprise Architecture Modernization Roadmap describes the approach and Information Technology initiatives that NSF will employ to achieve its target Enterprise Architecture. The primary purpose of this document is to provide a priority-driven plan to help identify the Enterprise Architecture investments that will be included in NSF's Fiscal Year IT budget. * The Continuous Improvement Program gate reviews are checkpoints at which a project manager ensures that project deliverables/products are reviewed by subject matter experts and selected stakeholders. The participants in the process include the CIO and business sponsors. 	<ul style="list-style-type: none"> * Improvement Program (CIP) Gate Reviews * DIS SDLC Framework * DIS ILC Framework * CIO Authorities Policy 	
	H1 CIO role on program governance boards	2	3	3	3	3	<ul style="list-style-type: none"> * NSF's Senior Management Round Table (SMaRT), chaired by Deputy Director/COO, is a primary forum for discussion of strategic issues that affect NSF and NSF-wide initiatives. The CFO and CIO are both members of the group. * The Capital Planning and Investment Control (CPIC) Working Group, chaired by the CIO, is chartered as a permanent governance body whose purpose is the management of the agency's IT portfolio. 	<ul style="list-style-type: none"> * NSF's Senior Management Round Table (SMaRT) * CPIC Policy 	

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	J1 CIO role in recommending modification, termination, or pause of IT projects or initiatives	3	3	3	3	3	<ul style="list-style-type: none"> * The Capital Planning and Investment Control (CPIC) Working Group is chartered as a permanent governance body whose purpose is to manage the NSF IT investment portfolio and EA. The CPIC Working Group facilitates compliance between Federal laws, regulations, directives, and guidance * The CIO conducts weekly meetings with the Director DIS, who is also the head of NSF's DIS, the agency Enterprise Architect, and other representatives from NSF's IT programs. The purpose of these meetings is to discuss strategic objectives and to evaluate the status of IT resources and investments. * The CIO monitors major investments monthly in preparation for IT Dashboard submissions and, per the CIO Authorities Policy, advises the head of the agency whether to continue, modify, or terminate any acquisition, investment, or activity that includes a significant IT component. 	<ul style="list-style-type: none"> * CPIC Policy * CIO Authorities Policy 	
	L1 CIO approval of reprogramming	3	3	3	3	3	<ul style="list-style-type: none"> * The Capital Planning and Investment Control (CPIC) Working Group is chartered as a permanent governance body whose purpose is to manage the NSF IT investment portfolio and EA. The CPIC Working Group facilitates compliance between Federal laws, regulations, directives, and guidance * Per the CPIC Authorities Policy, the CIO has a significant role in IT planning, programming, and budget decisions and the review and approval funding for IT reprogramming requests. Further implementation of processes and procedures are outlined in the CPIC policy. 	<ul style="list-style-type: none"> * CPIC Policy * CIO Authorities Policy 	
Acquisition (I,K)	I1 Shared acquisition and procurement responsibilities	2	3	3	3	3	<ul style="list-style-type: none"> * As of September 30, 2015, the following revisions were made to NSF acquisition documents: * NSF Abbreviated Acquisition Plan - a signatory was added to the approval section indicating that the CIO shall approve if the acquisition includes IT * NSF Formal Acquisition Plan - a signatory was added to the approval section indicating that the CIO shall approve if the acquisition includes IT * NSF's annual Advance Acquisition Plan, which catalogues planned agency acquisitions for each fiscal year, has been updated to identify all procurements that may include an IT component. This process will be used to facilitate status briefings to the CIO for all acquisition strategies and plans that include IT. 	<ul style="list-style-type: none"> * NSF Formal Acquisition Plan Guide * NSF Abbreviated Acquisition Plan * Program Acquisition Process * CIO Authorities Policy 	

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	K1 CIO review and approval of acquisition strategy and acquisition plan	2	3	3	3	3	<ul style="list-style-type: none"> * As of September 30, 2015, the following revisions were made to NSF acquisition documents: * NSF Abbreviated Acquisition Plan - a signatory was added to the approval section indicating that the CIO shall approve if the acquisition includes IT * NSF Formal Acquisition Plan - a signatory was added to the approval section indicating that the CIO shall approve if the acquisition includes IT * NSF's annual Advance Acquisition Plan, which catalogues planned agency acquisitions for each fiscal year, has been updated to identify all procurements that may include an IT component. This process will be used to facilitate status briefings to the CIO for all acquisition strategies and plans that include IT. 	<ul style="list-style-type: none"> * NSF Formal Acquisition Plan Guide * NSF Abbreviated Acquisition Plan * Program Acquisition Process * CIO Authorities Policy 	
Organization and Workforce (M-Q)	M1 CIO approves bureau CIOs	N/A	N/A	N/A	N/A				
	N1 CIO role in ongoing bureau CIOs' evaluations	N/A	N/A	N/A	N/A				
	O1 Bureau IT Leadership Directory	3	3	3	3	3	* Submission of public data sets	https://www.nsf.gov/digitalstrategy/	
	P1 IT Workforce	2	3	3	2	2	* CIO and CHCO organizations have collaborated to develop a framework to guide NSF's Strategic IT Workforce Planning; the framework is based on existing practices and plans as well as government-wide best practices from OPM, Gartner, the Federal CIO Council, and the Corporate Executive Board. NSF is currently developing an IT Workforce Plan utilizing the framework with input from the CIO, Division of Information Systems Management team and HR analysts. The milestones for the plan are detailed in the FITARA Milestones.	<ul style="list-style-type: none"> * Strategic IT Workforce Planning Framework * FITARA Common Baseline Milestones 	
	Q1 CIO reports to agency head (or deputy/COO)	3	3	3	3	3	<ul style="list-style-type: none"> * NSF Org Chart * OIRM Org Chart 	<ul style="list-style-type: none"> * NSF Org Chart * NSF OIRM Org Chart 	