

**2018 NSF FITARA Implementation Plan**

Category	Element	Initial Element Rating August 2015	Annual Element Rating April 2016	Annual Element Rating May 2017	Current Element Rating May 2018	Relevant Evidence Supporting Implementation of Element	Supporting Artifacts	Obstacles/Risks/Challenges by Category
<b>Budget Formulation (A-D)</b>	<b>A1 Visibility of IT resource plans/decisions to CIO</b>	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. Members of Executive ITRB include: COO, CIO, CFO, SPE, CHCO and CTO. This partnership is evidenced by the ITRB Charter, as well as the IT Budget Development Process Timeline. (from ITRB and CPIC meetings), executive overview of 300s and 53s, Budget Submission chart	* ITRB Charter * Budget Submission Chart * Coordination Chart_ Ex 53 and 300 Development BY17 * IT Resource Statements	
	<b>B1 CIO role in pre-budget submission for programs that include IT and overall portfolio</b>	2	3	3	3	* NSF's Senior Management 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 Executive Information Technology Resources Board (ITRB), chaired by the CIO, is chartered as a permanent governance body whose purpose is the management of the agency's IT portfolio. The CFO is also a member of the ITRB. * CFO leads the coordination of NSF's budget across the foundation. CIO approves the IT portion of the NSF budget	* ITRB Charter * Budget Submission Chart * Coordination Chart_ Ex 53 and 300 Development BY17 * IT Resource Statements	
	<b>C1 CIO role in planning program management</b>	3	3	3	3	* The Executive Information Technology Resources Board (ITRB) is chartered as a permanent governance body whose purpose is to manage the NSF IT investment portfolio and EA. The Executive ITRB facilitates compliance between Federal laws, regulations, directives, and guidance * 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. This process includes a monthly review of investments with the CIO which results in updates to the Federal IT Dashboard	* ITRB Charter Continuous Improvement Program (CIP) Gate Reviews * DIS SDLC Framework * DIS ILC Framework	
	<b>D1 CIO reviews and approves major IT investment portion of budget request</b>	3	3	3	3	* Executive ITRB Budget Development Timeline document (July 15 ITRB Slide_FINAL) * 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. * 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	* July 15 ITRB Slide_FINAL * NSF FY17 Budget Development Process	

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Budget Execution (E-H, J, L)	E1 Ongoing CIO engagement with program managers	3	3	3	3	<p>* The CIO conducts weekly meetings with the Deputy CIO, who is also the head of NSF's Division of Information Systems, the agency Enterprise Architect, and other representatives (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. The process includes a monthly review with the CIO and results in updates to the Federal IT Dashboard</p> <p>* 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.</p> <p>* NSF follows a standard process for the assessment of new IT Investment ideas. This process is known as the Project Initiation Process and is supported by documented processes, templates, and weekly meetings. Advocates of new IT investment ideas use a standard IT Investment Justification Form to provide the key information about this investment idea and submit this form to the Division of Information Systems (DIS) for review and assessment. The DIS Project Initiation Team meets weekly to discuss new initiatives. The team includes the NSF CIO and DIS Service Area Leads (Applications, Infrastructure, EA and PMO).</p>	<p>* IT Business Case Form</p> <p>* NSF Funding Process</p> <p>* Proposed IT Investment Form</p>	
	F1 Visibility of IT planned expenditure reporting to CIO	3	3	3	3	<p>* The CIO conducts weekly meetings with the Deputy CIO, 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, including level of planned expenditure, 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 for major IT investments. This process includes a monthly review of investments with the CIO and results in updates to the Federal IT Dashboard</p>	<p>* NSF Formal Acquisition Plan Guide</p> <p>* NSF Abbreviated Acquisition Plan</p>	
	G1 CIO defines IT processes and policies	3	3	3	3	<p>* 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.</p> <p>* 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.</p> <p>* 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.</p> <p>* 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.</p>	<p>Improvement Program (CIP) Gate Reviews</p> <p>* DIS SDLC Framework</p> <p>* DIS ILC Framework</p>	
	H1 CIO role on program governance boards	2	3	3	3	<p>* 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.</p> <p>* The Executive ITRB, chaired by the CIO, is chartered as a permanent governance body whose purpose is the management of the agency's IT portfolio. The CFO is also a member of the ITRB.</p>	<p>* NSF's Senior Management Round Table (SMaRT)</p> <p>* ITRB Charter</p>	

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	J1 CIO role in recommending modification, termination, or pause of IT projects or initiatives	3	3	3	3	<ul style="list-style-type: none"> <li>* The Executive ITRB is chartered as a permanent governance body whose purpose is to manage the NSF IT investment portfolio and Enterprise Architecture. The ITRB facilitates compliance with Federal laws, regulations, directives and</li> <li>* 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.</li> <li>* The CIO monitors major investments monthly in preparation for IT Dashboard submissions.</li> </ul>	* ITRB Charter	
	L1 CIO approval of reprogramming	3	3	3	3	<ul style="list-style-type: none"> <li>* The Executive ITRB is chartered as a permanent governance body whose purpose is to manage the NSF IT investment portfolio and Enterprise Architecture. The ITRB facilitates compliance with Federal laws, regulations, directives and guidance</li> <li>* Agency Annual Operating Plan</li> </ul>	* ITRB Charter	
Acquisition (I,K)	I1 Shared acquisition and procurement responsibilities	2	3	3	3	<ul style="list-style-type: none"> <li>* As of September 30, 2015, the following revisions were made to NSF acquisition documents:                             <ul style="list-style-type: none"> <li>o NSF Abbreviated Acquisition Plan - a signatory was added to the approval section indicating that the CIO shall approve if the acquisition includes IT</li> <li>o NSF Formal Acquisition Plan - a signatory was added to the approval section indicating that the CIO shall approve if the acquisition includes IT</li> </ul> </li> <li>* 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.</li> </ul>	<ul style="list-style-type: none"> <li>* NSF Formal Acquisition Plan Guide</li> <li>* NSF Abbreviated Acquisition Plan</li> <li>* Program Acquisition Process</li> </ul>	
	K1 CIO review and approval of acquisition strategy and acquisition plan	2	3	3	3	<ul style="list-style-type: none"> <li>* As of September 30, 2015, the following revisions were made to NSF acquisition documents:                             <ul style="list-style-type: none"> <li>o NSF Abbreviated Acquisition Plan - a signatory was added to the approval section indicating that the CIO shall approve if the acquisition includes IT</li> <li>o NSF Formal Acquisition Plan - a signatory was added to the approval section indicating that the CIO shall approve if the acquisition includes IT</li> </ul> </li> <li>* 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.</li> </ul>	<ul style="list-style-type: none"> <li>* NSF Formal Acquisition Plan Guide</li> <li>* NSF Abbreviated Acquisition Plan</li> <li>* Program Acquisition Process</li> </ul>	
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	* Submission of public data sets	<a href="https://www.nsf.gov/digitalstrateg">https://www.nsf.gov/digitalstrateg</a>	
	P1 IT Workforce	2	3	3	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	* Strategic IT Workforce Planning Framework	
	Q1 CIO reports to agency head (or deputy/COO)	3	3	3	3	<ul style="list-style-type: none"> <li>* NSF Org Chart</li> <li>* OIRM Org Chart</li> </ul>	<ul style="list-style-type: none"> <li>* NSF Org Chart</li> <li>* NSF OIRM Org Chart</li> </ul>	