

SUBJECT: MINOR CHANGE TO DOE O 200.1A, *Information Technology Management*

1. **EXPLANATION OF CHANGES.** To incorporate changes to DOE’s information technology (IT) management as directed by the Secretary and Deputy Secretary in the attached Memorandum, *Information Technology Management Reforms*, October 21, 2016 (FITARA Memorandum).

2. **LOCATIONS OF CHANGES:**

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| 2 | Objectives 1 | This Order supports, and is consistent with, DOE P 413.1, <i>Program and Project Management Policy for the Planning, Programming, Budgeting, and Acquisition of Capital Assets</i> , supports the statutory and regulatory requirements provided in the Clinger-Cohen Act, the E-Government Act, the Government Performance Results Act, the Government Paperwork Elimination Act, and Departmental Directives that address effective information technology management of Federal information and information systems, and delineates Departmental requirements and responsibilities to address the following information technology (IT) management areas: | This Order supports, and is consistent with, DOE P 413.1, <i>Program and Project Management Policy for the Planning, Programming, Budgeting, and Acquisition of Capital Assets</i> , supports the statutory and regulatory requirements provided in the <i>Federal Information Technology Acquisition Reform Act</i> (FITARA), the Clinger-Cohen Act, the E-Government Act, the Government Performance Results Act, the Government Paperwork Elimination Act, and Departmental Directives that address effective information technology management of Federal information and information systems, and delineates Departmental requirements and responsibilities to address the following information technology (IT) management areas: |

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| 2 | Information Technology Strategic Planning 1.a.(1) | Conduct strategic planning activities, consistent with performance-based and results-based management and in accordance with the Clinger-Cohen Act Sections 5113 and 5123; | Conduct strategic planning activities, consistent with performance-based and results-based management and in accordance with the Clinger-Cohen Act Sections 5113 and 5123, and FITARA; |
| 2 | Capital Planning and Investment Control 1.a.(2) | Develop, implement, and maintain a Capital Planning and Investment Control process in compliance with DOE P 413.1, Office of Management and Budget (OMB) Circular A-11 Sections 53 and 300, OMB Circular A-130, <i>Management of Federal Information Resources</i> , Parts 8 and 9, and Clinger-Cohen Act Sections 5112 and 5122; | Develop, implement, and maintain a Capital Planning and Investment Control process in compliance with DOE P 413.1, Office of Management and Budget (OMB) Circular A-11 Sections 53 and 300, OMB Circular A-130, <i>Management of Federal Information Resources</i> , Parts 8 and 9, and Clinger-Cohen Act Sections 5112 and 5122, and FITARA; |
| 2 | Enterprise Architecture 1.a.(3) | Maintain an Enterprise Architecture for the life-cycle management of information, information resources, and related IT investments in compliance with OMB Circular A-11 Sections 53 and 300, OMB Circular A-130 Parts 8 and 9; specifically to: | Maintain an Enterprise Architecture for the life-cycle management of information, information resources, and related IT investments in compliance with OMB Circular A-11 Sections 53 and 300, OMB Circular A-130 Parts 8 and 9, and FITARA; specifically to: |
| 3 | Hardware and Software Acquisition 1.a.(4) | Ensure that DOE's acquisition, use, and management of IT hardware and software meet program and mission goals as well as promote sound resource management and a more cost-effective government, in accordance with Federal Acquisition Regulation Part 39, Acquisition of Information Technology, and DOE O 413.3A, Program and Project Management for the acquisition | Ensure that DOE's acquisition, use, and management of IT hardware and software meet program and mission goals as well as promote sound resource management and a more cost-effective government, in accordance with Federal Acquisition Regulation Part 39, Acquisition of Information Technology, FITARA, and DOE O 413.3A, Program and Project Management for the |

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| 5 | Requirements 4 | <p>of Capital Assets; specifically to:</p> <p>Information Technology will be managed consistent with all statutory, regulatory, OMB and Departmental requirements, including the E-Government Act, FISMA, the Government Performance Results Act, the Government Paperwork Elimination Act, and the strategic and operational plans of the Department. Integrated IT management will be administered by the Office of the Chief Information Officer (OCIO) and supported by various working groups fulfilling the following requirements.</p> | <p>Acquisition of Capital Assets; specifically to:</p> <p>Information Technology will be managed consistent with all statutory, regulatory, OMB and Departmental requirements, including the E-Government Act and FISMA, FITARA, the Government Performance Results Act, the Government Paperwork Elimination Act, and the strategic and operational plans of the Department. Integrated IT management will be administered by the Office of the Chief Information Officer (OCIO) and supported by various working groups fulfilling the following requirements.</p> |
| 8 | Budget, Planning, and Portfolio Management 5a.(1)(b) | Added | <p>1 Reviews and approves Departmental IT budget requests.</p> <p>2 Program offices will provide their IT budget requests to the CIO for review and comment (<i>see</i> 40 U.S.C. § 11315 (c)(2)). Program offices will address CIO comments and, to the extent possible, resolve differences with the appropriate Under Secretary before submission of the program office budget to the CFO by the established deadline. With the submission of its budget request to the CFO, each program office, other than NNSA, will confirm that its IT budget request has been reviewed and approved by the CIO.</p> |

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| | | | <p>3 For NNSA, following the Under Secretary's submission of the NNSA IT/cyber budget to the CFO, the CIO will have an opportunity to review the NNSA budget. The CIO will coordinate any differences initially with the CFO and NNSA Under Secretary, and any unresolved issues will be presented to the Secretary and Deputy Secretary for final disposition.</p> <p>4 Departmental elements will ensure that any proposed reprogramming of funds from IT projects are reviewed and approved by the CIO and CFO before the Department submits the reprogramming request. For NNSA, the CIO will have an opportunity to review IT reprogramming requests before the CFO reviews and submits for the Department (see DOE Order 135.1).</p> |
| 9 | Capital Planning and Investment Control (CPIC) 5a.(1)(c)e | Added | Refines the CPIC process to ensure that appropriate estimates of all IT resources are included in the Department's annual budget request and appropriate performance data are collected. |
| 11 | Departmental Elements, including NNSA 5.b | Added | <p>(1) Obtain approval from the CIO prior to the appointment of any Federal employee with the duties of CIO.</p> <p>(2) Involve the CIO in the development of Technical Qualifications for selection and position descriptions for staff with the duties of a CIO.</p> <p>(3) Include the CIO or designee</p> |

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| | | | <p>on selection panels. (4) Obtain input from the CIO for the annual performance reviews of individuals that perform the duties of a CIO.</p> |
| 11 | <p>Chief Human Capital Officer 5.c</p> | Added | <p>c. Chief Human Capital Officer. Coordinates with the CIO to ensure that service centers are staffed with IT and cyber-knowledgeable HC professionals.</p> |
| 11 | <p>CIO, the Chief Acquisition Officer, and NNSA CIO 5.d</p> | Added | <p>(1) Develop a comprehensive IT acquisitions review process in accordance with these basic contours: (a) In order to provide guidance and gain insight into the IT portions of major capital asset projects, the CIO is seated on the Energy System Acquisition Advisory Board (ESAAB) as a full member. (b) Acquisitions not subject to review by the ESAAB will [continue to] follow their respective program office approval process, which will include the CIO or the CIO's designee as a full participant whenever executive-level approval is required, followed by a review through the Information Management Governance Board (IMGB). (c) For headquarters-managed projects and program offices without an IT project approval process, or at the election of the CIO based on a risk assessment, an Investment Review Board (IRB), under the auspices of the IMGB, will be convened to provide formal</p> |

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| | | | review and approval of IT projects. With respect to NNSA projects, the CIO may solicit an advisory review from the IRB. |
| 12 | Chief Financial Officer 5.e | (1) In conjunction with the CIO, ensures that IT investments meet Government Performance and Results Act performance goals and comply with the Clinger-Cohen Act through appropriate planning and budgeting of resources. | (1) In conjunction with the CIO, ensures that IT investments meet Government Performance and Results Act performance goals and comply with the Clinger-Cohen Act and FITARA through appropriate planning and budgeting of resources. |
| 12 | Chief Financial Officer 5.e.(10) | Added | Establishes the process for the CIO to review and approve Departmental IT budget requests, and incorporates the process into the Internal Review Budget process. |
| 12 | Chief Financial Officer 5.e.(11) | Added | In conjunction with the CIO, works with program offices to identify appropriate investments for reporting as major IT business cases. |
| 13 | DOE Under-secretaries, including NNSA Administrator 5.f.9 | Added | Add the CIO to Performance Evaluation and Measurement Plan and Annual Lab Planning or equivalent processes, as appropriate. |
| 16 | Heads of Departmental Elements (other than Under Secretaries and the NNSA Administrator) 5.g.9 | Added | Add the CIO to Performance Evaluation and Measurement Plan and Annual Lab Planning or equivalent processes, as appropriate. |
| 18 | Information Management Governance | Information Technology Council (ITC) | Information Management Governance Council (IMGB) |

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| | Board (IMGB) 5.i | | |
| 21 | Contact 9 | Questions concerning this Order should be directed to the Office of the Chief Information Officer, Office of the Associate CIO for IT Planning, Architecture, and E-Government, at 202-586-0166. | Questions concerning this Order should be directed to the Office of the Chief Information Officer, Deputy CIO for Enterprise Policy, Portfolio Management & Governance at 202-586-0166. |
| Appendix A | References A-3 | Added | FITARA, Title VIII, Subtitle D of the National Defense Authorization Act for Fiscal Year 2015, Pub. L. No. 113-291. |
| Appendix B | Definitions B-3 | Information Technology Council | Information Management Governance Council |