



## DOJ Policy Statement

### INFORMATION TECHNOLOGY INVESTMENT OVERSIGHT

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- PURPOSE:** Establishes policy and assigns responsibilities for enterprise information technology (IT) investment oversight as referenced in DOJ Order 0903, and defines the responsibilities for the following roles: the DOJ IT Investment Oversight Manager (OM), the component IT Investment Oversight Manager and the component IT Program/Project Manager
- SCOPE:** All Department components
- ORIGINATOR:** Justice Management Division, Office of the Chief Information Officer
- CATEGORY:** (I) Administrative, (II) Information Technology
- AUTHORITY:** The Federal Information Technology Acquisition Reform Act of 2014; Data Act of 2014; OMB Circular A-11, "Preparation, Submission and Execution of the Budget"; OMB Circular A-130, "Management of Federal Information Resources"; and Presidential Directive "Revisions to the Federal Acquisition Certification for Program and Project Managers (FAC-P/PM)," December 16, 2013; and DOJ Memo 2016-03 "Major Information Technology Investment Risk Management and TechStat Reporting;" DOJ Order 0903 – Information Technology Management.
- CANCELLATION:** DOJ 2880.1C, Chapter 2, Section 4 – "IT Performance Management"; Section 5 – "IT Investment Management"; and Section 6 – "IT Program and Project Management."
- DISTRIBUTION:** Electronically distributed to those referenced in the "SCOPE" section and posted to the DOJ directives electronic repository (SharePoint)
- APPROVED BY:**   
Joseph F. Klimavicz  
Deputy Assistant Attorney General  
Chief Information Officer
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## ACTION LOG

All DOJ directives are reviewed, at minimum, every 5 years and revisions are made as necessary. The action log records dates of approval, recertification, and cancellation, as well as major and minor revisions to this directive. A brief summary of all revisions will be noted. In the event this directive is cancelled, superseded, or supersedes another directive, that will also be noted in the action log.

Action	Authorized by	Date	Summary
<b>Initial Document Approval</b>	Joseph F. Klimavicz, Deputy Assistant Attorney General, Chief Information Officer	May 5, 2016	Establishes policy and assigns responsibilities for information technology investment oversight as referenced in DOJ Order 0903

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## DEFINITIONS

Term	Definition
<b>Artifact</b>	Project documentation that includes items such as test plans, images, data files, and executable modules.
<b>Capital Planning and Investment Control</b>	An integrated process within an agency for planning, budgeting, procuring, and managing the agency’s portfolio of capital assets to achieve the agency’s strategic goals and objectives with the lowest overall cost and least risk.
<b>Component Chief Information Officer</b>	The person within the component accountable for information technology (IT) management. In components that do not have a designated component Chief Information Officer (CIO) position, this role may apply to IT directors who are responsible for IT management within the component. Components that rely entirely on the Justice Management Division (JMD) for IT management and services are not required to have an individual in this role.
<b>Corporate View</b>	Captures the state of information technology (IT) at a given point in time. It contains statistics and trends for enterprise information resources that support strategic decision-making.
<b>Earned Value Management</b>	A management process used to plan and control project activity. Earned Value Management (EVM) integrates the project work scope, schedule, and cost to establish a performance measurement baseline. As work is completed, credit is accrued according to the value of the work established in the baseline. Comparing the Budgeted Cost for Work Performed or Earned Value (EV) to the Budgeted Cost for Work Scheduled or Planned Value derived from the baseline and the Actual Cost of Work Performed or Actual Costs accrued through the status period will yield the schedule and cost variances. Timely evaluation of significant cost and schedule variances enable the project or program manager and other stakeholders to focus on problem areas and mitigate potential risk to achieving project goals. Metrics based on past performance are used to statistically estimate future performance. Statistical projections can be used to test the project’s Estimate to Complete thereby quantifying cost risk to project budgets or funding. Weak performing areas are identified allowing the project manager to focus valuable resources on correcting critical problems. EVM provides objective metrics to the project stakeholders allowing them to take proactive action.
<b>Enterprise</b>	Synonymous with “Department-wide.”

<b>Term</b>	<b>Definition</b>
<b>FAC-P/PM Certification Requirements</b>	<p>The FAC P/PM certifications are offered at three levels: entry level, mid-level (Journeyman), and senior level (Expert), with specific education, training, and experience requirements for each level. The certification requirements for DOJ P/PMs are based on the type of investment (major vs. non-major) and the estimated total cost of the investment that they will manage. Refer to Appendix B for Certification Level Requirements.</p> <p>P/PMs must meet experience and training requirements and complete 80 hours of continuous learning every 2 years to maintain certification</p>
<b>IT Investment</b>	<p>The expenditure for IT resources required to accomplish mission objectives. An IT investment may include a project or projects for the development, modernization, enhancement, or maintenance of a single IT asset or group of IT assets with related functionality and the subsequent operation of those assets in a production environment.</p>
<b>Major IT Investment</b>	<p>An IT investment that requires special management attention because of its; (1) importance to the mission or function of the government; (2) significant program or policy implications; (3) high executive visibility; (4) high development, operating, or maintenance costs; (5) unusual funding mechanism; or (6) designation as major by the DOJ CIO as described in the capital planning and investment control process.</p>
<b>IT Program</b>	<p>A group of related projects from an IT perspective that includes the operations and maintenance of related IT assets.</p>
<b>Oversight Manager</b>	<p>Oversees the activities of an IT management function, but may not manage the day-to-day activities of the function. The DOJ Oversight Manager (OM) oversees activities enterprise-wide, across components. The component OM oversees activities within the component. The DOJ and component OMs work together to develop standards and procedures (S&amp;Ps) for the function and monitor the performance of the function and compliance with the S&amp;Ps.</p>
<b>TechStat Session (or TechStat)</b>	<p>A face-to-face, evidence-based accountability review of a major IT investment conducted by the Department Investment Review Council (DIRC). TechStat sessions are a tool used for identifying or anticipating critical problems in an investment, turning around underperforming investments, pausing or re-scoping projects to reduce risk, or terminating investments, if appropriate.</p>

<b>Term</b>	<b>Definition</b>
<b>TechStat Session Scheduling Requirements</b>	The Office of Budget and Management (OMB) requires that a TechStat session be scheduled for major IT investments that are identified as underperforming for 3 consecutive months. TechStat sessions are performed by the DIRC, and scheduled by the DOJ CIO. OMB requires that the session be scheduled before the investment reaches 4 consecutive months of underperformance, and requires notification of the session 2 weeks in advance. The DOJ CIO has the discretion to schedule the TechStat session sooner, as deemed appropriate.
<b>TechStat Session Review Requirements</b>	A TechStat session must identify the root causes of the high risk(s), the extent to which the risk(s) can be addressed, and the probability of future program success.
<b>Underperforming Major IT Investment</b>	A major IT investment for a development, modernization, or enhancement project with a greater than 10% variance from meeting its schedule, cost, or performance targets.

## ACRONYMS

<b>Acronym</b>	<b>Meaning</b>
<b>ANSI/EIA</b>	American National Standards Institute/Electronic Industries Alliance
<b>CIO</b>	Chief Information Officer
<b>DIRB</b>	Department Investment Review Board
<b>DIRC</b>	Department Investment Review Council
<b>DOJ</b>	Department of Justice
<b>EV</b>	Earned Value
<b>EVM</b>	Earned Value Management
<b>EVMS</b>	Earned Value Management System
<b>FAC-P/PM</b>	Federal Acquisition Certification for Program and Project Management
<b>IT</b>	Information Technology
<b>OM</b>	Oversight Manager
<b>OMB</b>	Office of Management and Budget
<b>P/PMs</b>	Program/Project Managers
<b>S&amp;Ps</b>	Standards and Procedures
<b>SDLC</b>	System Development Life Cycle

## I. Policy

It is the policy of the Department of Justice (DOJ or Department) that:

- Enterprise information technology (IT) investment management practices comply with the Department’s IT standards, procedures, guidance, and budget formulation and execution policies.
- Components manage taxpayer funds to achieve expected return on investment to support strategic goals.

## II. Roles and Responsibilities

### A. DOJ IT Investment Oversight Manager and the Component IT Investment Oversight Manager

The DOJ IT Investment OM is the DOJ Chief Information Officer’s (CIO) designee responsible for overseeing enterprise IT investment management processes across the Department. The component IT Investment OM is the component CIO’s designee responsible for overseeing IT investment management practices within the component. They must:

DOJ IT Investment OM	Component IT Investment OM
<b>1. Selection and Funding Process.</b> Develop and implement an enterprise IT investment process for selecting and funding DOJ and component IT investments.	1. Adhere to the enterprise IT investment selection and funding process.
1.1. Integrate this investment process with the electronic Capital Planning and Investment Control (eCPIC) and IT budget formulation processes, in order to include OMB data collections and Federal IT Dashboard reporting.	
1.2. Ensure that the process requires DOJ CIO approval of budget requests prior to submission to OMB and for subsequent reprogramming of funds.	1.2. Submit component investment requests to the DOJ IT Investment OM for funding approval by the DOJ CIO, as required.
<b>2. DIRB and DIRC Support.</b> Provide administrative support to the Department Investment Review Board (DIRB) and the DIRC.	2. Provide component reports to the DIRB and the DIRC, as requested.

DOJ IT Investment OM	Component IT Investment OM
<p><b>3. Performance and TechStat.</b> Ensure that components: (1) implement DOJ policy for reporting on the performance of their major IT investments; (2) identify and conduct reviews of their underperforming major IT investments; (3) support TechStat sessions and report on the status of resulting actions.</p>	<p>3. Implement DOJ policy for managing all component IT investments, including: (1) reporting on the performance of component major IT investments; (2) identifying underperforming major IT investments and conducting component reviews of these investments; (3) supporting TechStat sessions as appropriate, and report on the status of resulting actions.</p>
<p>3.1. Develop guidance and procedures for IT investment management for: (1) evaluating investment baseline integrity, cost, schedule, performance, and risks, and; (2) identifying underperforming major IT investments and the remedial actions to follow.</p>	<p>3.1. Identify the component’s underperforming major IT investments and give them a “Red” rating on the Federal IT Dashboard to denote high risk.</p>
	<p>3.2. Coordinate component reviews of underperforming major IT investments, document outcomes and decisions, and monitor completion of corrective actions.</p>
<p>3.3. Monitor the performance of major IT investments that are reported to the Federal IT Dashboard to identify all underperforming major IT investments. Schedule and support TechStat sessions for the DIRC to review these investments, per TechStat Session Scheduling requirements. Monitor corrective actions resulting from TechStat sessions and report results to OMB as required.</p>	<p>3.3. Provide accurate reports for component’s underperforming major IT investments, in accordance with DOJ reporting procedures, to the DOJ IT Investment OM within 30 days after completion of the component investment review.</p>
<p>t</p>	<p>3.4. Assist the DOJ IT Investment OM with preparation and follow-through for DIRC TechStat reviews.</p>
<p><b>4. EVM.</b> Provide earned value management (EVM) system guidance and review the results of component audits of EVM processes, to ensure compliance with DOJ EVM system guidance and criteria.</p>	<p>4. Conduct audits of component investment management processes to ensure compliance with DOJ EVM System guidance and provide reports of audit results to the DOJ IT Investment OM, as specified in Department guidance.</p>

DOJ IT Investment OM	Component IT Investment OM
<p><b>5. SDLC.</b> Develop and implement an enterprise system development life cycle (SDLC) framework that is extensible (can be built upon), and contains standard high-level processes. Include gate reviews (reviews that require approval before moving forward) for managing enterprise projects from planning to development, implementation, and eventual disposal. Develop minimum review criteria for gate reviews, promote the creation of standard artifacts, and employ agile and incremental development principles. Work with the following IT managers to insert into the SDLC appropriate gate reviews (including each review’s specific standards and templates for artifacts): the DOJ Enterprise Architecture OM, the DOJ Acquisition Manager, the DOJ Information OM, the DOJ Information Security Officer, and the DOJ Section 508 Coordinator. Review component processes for compliance with the framework.</p>	<p>5. Implement the enterprise SDLC in the component, and optionally expand it to meet component needs. Submit the component SDLC to the DOJ IT Investment OM for review and approval prior to implementation.</p>
<p><b>6. P/M Certification.</b> Manage P/PM certifications.</p>	<p>6. Manage P/PM certifications.</p>
<p>6.1. Develop enterprise standards and procedures for certification of P/PMs in accordance with OMB standards for Federal Acquisition Certification for Program and Project Management (FAC-P/PM).</p>	<p>6.1. Monitor component P/PM FAC-PM certifications to ensure that certifications are at appropriate levels and current. Elevate concerns to the component CIO for action.</p>
<p>6.2. Monitor and ensure component compliance with requirements for P/PM certification.</p>	<p>6.2. Work with component Acquisition Career Managers to approve FAC-PM applications.</p>
<p><b>7. Acquisition Coordination.</b> Coordinate with the DOJ Acquisition OM to include project management oversight and reporting standards in contract language used with commercial vendors and in grant language used with state, local, and tribal governments, as appropriate.</p>	<p>7. Ensure that component contracts and grants contain project management oversight and reporting standard language.</p>
<p><b>8. Corporate View.</b> Develop periodic reporting requirements for capturing summary investment management reports from component CIOs. Collect statistics and analyze trends, and report to the DOJ IT Strategy OM, as required, to help build the corporate view.</p>	<p>8. Submit timely and accurate summary investment management reports to the DOJ IT Investment OM, as required.</p>
<p><b>9. Policy Compliance.</b> Stay abreast of new legislation and regulations. Develop policy and procedures and ensure enterprise compliance.</p>	<p>9. Ensure component compliance with DOJ IT investment management policy, standards, guidance, and instructions.</p>

**B. The Component Information Technology Program/Project Manager**

The component Information Technology Program/Project Manager (IT P/PM) is the component CIO's designee responsible for the management and outcome of the investment and must:

1. Adhere to the approved enterprise and component SDLC investment management processes, and produce required artifacts, such as those required by the Federal IT Dashboard, TechStat, DIRB, and DIRC reviews.
2. Obtain and maintain FAC-P/PM certification at the appropriate level.

## **Appendix A – Relevant Guidance, Procedures, Standards, and Instructions**

**The DOJ SDLC Guide** – This guide provides a structured approach to managing IT projects, beginning with establishing the justification for initiating a systems development or maintenance effort and concluding with system disposition. The primary audiences for this guide are those responsible for defining and delivering DOJ systems, including the systems developers, IT project managers, program and account analysts, system owners and users, and their respective staffs and support contractors.

**The DOJ IT Investment Baseline Management and EVM Guide** – This guide supports the DOJ IT Capital Planning Guide by providing detailed guidance for managing project baselines and earned value (EV) performance measurement at the Department. The guide presents the processes and procedures necessary to successfully develop, manage, and report project progress over the life cycle of investments under EVM requirements. It focuses on establishing and managing project baseline cost, schedule, and scope and measuring progress through EV techniques necessary to maintain compliance with the American National Standards Institute/Electronic Industries Alliance (ANSI/EIA)-748 EV standards.

**The DOJ IT Project Manager’s Guide** – This provides guidelines for IT project managers responsible for managing IT projects in the Department. It also provides direction for implementing project management principles to initiate and execute projects successfully. Specifically, this Guide focuses on managing project cost, schedule, scope, risk, staffing, and communications, as well as working with stakeholders. The Guide aligns with the DOJ SDLC Guidance Document (January 2003 version) and includes a minimum list of artifacts generally required for all projects.

**Department of Justice Project Management Center of Excellence** – This center contains a variety of information to assist DOJ IT project managers in performing their duties.

## Appendix B – Certification Level Requirements

Type of Investment	Total Estimated Cost of Investment	P/PM Certification Level Required
Major Investment	N/A	Senior level
Non-major Investment	greater than \$10M	Senior level
Non-major Investment	\$2M – \$10M	Mid- level
Non-major Investment	\$500K - \$2M	Entry Level
Non-major Investment	Under 500K	No certification required, entry level recommended