## Section 3: Acquisition

| Functional Area | Attributes | Traits | Level 1 Basic Capabilities Characteristics | Level 2 Evolving Maturity Characteristics | Level 3 Demonstrated Maturity Characteristics |
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| | *Functional Area Description:* FITARA aims to streamline the acquisitions process and eliminate wasteful buying practices. This will require changes from the current model of purchasing currently used in many agencies, to include more rapid delivery of capabilities to support the shortening IT lifecycle; more centralized buying to take advantage of shared services, leverage the government's buying power and reap the benefits of category management; better integration with program staff to ensure acquisitions meet program objectives; and better collaboration among stakeholders to ensure that acquired capabilities meet business and mission needs. For clarification of the distinction between acquisition and program management – program management is the set of activities to deliver a new or upgraded set of capabilities to ultimately support mission or business needs of the agency, and a program may involve a series of related, ongoing projects. As part of a program, there may be one or more acquisitions (buying of labor or IT services, or hardware and software, in this context synonymous with "procurement") to support the overall delivery of the program.<br><br>*Note:* Yellow highlights identify linkages to the M-15-14 Attachment A: Common Baseline for IT Management and CIO Assignment Plan elements. | | | | |
| **ACQUISITION** *AGILE ACQUISITIONS – THE CORNERSTONE FOR SPEED IN DELIVERY* | **Horizontal integration:** Are there clear and measurable success criteria for acquisitions that all stakeholders agree to? Are there incentives for various stakeholders to collaborate? Is there proper level of involvement from all appropriate stakeholders for an acquisition, including representatives from CAO, CFO, the mission and business organization, General Counsel and other oversight, and suppliers? | Objectives and performance measures are synchronized across functions that participate in the acquisition process | There is a collaborative working environment among the acquisition team, including representatives of the program, CAO, CIO, and CFO | All members of an acquisition team are incentivized based upon program success and their performance is to some degree measured on meeting the program success criteria. Incentives are aligned to quality outcomes and results. Program and procurement rewards are aligned with strategic objectives | Acquisition personnel are treated as part of the program staff when acquisitions support a specific program. All members of an acquisition team are incentivized based upon well-defined outcome-based program success criteria and their performance is substantially measured on meeting the success criteria. |
| | | All functions participating in the acquisition process are appropriately engaged in the process | CIO, CAO, CFO, and program leaders work together informally. Stakeholders, oversight and programs, as well as vendors/suppliers, collaborate when crafting solutions and innovating | ==K1, K2 CIO review and approval of acquisition strategy and acquisition plan.== CIO, CAO, CFO, and program teams meet regularly to review acquisition status and issues in accordance with their defined roles in the process. Oversight acts as a business advisor built into program business operations. Communications with suppliers are open, ongoing | CIO, CAO, CFO and program leaders consider themselves to be strategic partners and prioritize attendance at meetings or reviews required in order to clear roadblocks in the process. Deep, extensive engagement with suppliers and markets; public/private partnerships are common |
| | | All participating stakeholders have necessary training to support software | Some stakeholder positions are defined and training for identified roles are in | All stakeholder positions needed for software procurement and management are defined but training is not | All stakeholder positions needed for software procurement and management are defined and training is standardized |

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| | | procurement and management across the agency | the nascent stages of development/roll out | standardized across the agency. Available training is mandatory and made available to those in software procurement and management roles across the agency | across the agency. Training is not only mandatory but reported upon for compliance purposes on a regular basis |
| | **Vertical Integration through Category and Supplier Management Strategies:** How well developed is the organization's Category Management and Strategic Sourcing capability?  Do they go beyond simple contract consolidation and move into system consolidation and total cost of ownership (TCO) reduction?  Do they provide IT infrastructure consolidation that provides a common platform that enables more rapid deployment of new capability? | The agency culture recognizes and embraces the use of Category Management and Strategic Sourcing approaches to leverage buying power, simplify the IT infrastructure, and enable more rapid acquisition of new capabilities | There is some use of Strategic Sourcing vehicles across the agency.  Procurement strategies at the program level have some alignment with an overall enterprise strategy | ==I2. Shared acquisition and procurement responsibilities.== ==Strategic Sourcing vehicles are used across the agency, with an effort to consolidate some contracting of commodity IT infrastructure and services.  Sourcing is guided by a consistent supplier selection process that is informed by enterprise strategy and priorities.  The agency actively participates in interagency Category and Commodity Teams to assemble cross-agency agreements. Automation limits human intervention in commodity and simple buys and/or maximizes strategic sourcing and compliance with rules and socioeconomic requirements== | There is extensive use of Strategic Sourcing vehicles and enterprise sourcing concepts across the agency, including extensive consolidation of commodity IT infrastructure and services and incremental or modular contracting.  The agency volunteers internal staff to lead Government-wide sourcing and category management efforts.  Agency accesses products on-demand and onsite using technology |
| | | Appropriate flexibility exists to balance program-level needs with enterprise buying strategies | There is flexibility built into Strategic Sourcing to ensure the appropriate contract vehicle is used and to limit roadblocks | There are processes in place to request and approve waivers if it is determined that a specific Strategic Sourcing vehicle is not appropriate | Within Strategic Sourcing contracts and category strategies, the flexibility exists to customize sourcing strategies to fit individual program needs |
| | | Continuous process improvement is utilized to refine and enhance the effectiveness of enterprise buying strategies | Once awarded, contracts and/or strategies are occasionally revisited | The agency conducts annual Strategic Sourcing reviews to identify roadblocks and opportunities to develop action plans for continual improvement.  The agency participates in government-wide category management | The agency routinely conducts alternatives assessments to identify and sunset obsolete or low-value purchases.  For its size, the agency is able to obtain best-in-class pricing for products and services, especially by using existing category sourcing vehicles.  The |

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| | | | | strategy formulation in IT and takes advantage of government-wide initiatives to standardize on common hardware and software to the greatest extent | agency employs cloud-based sourcing software to provide end users a display of IT products already on government-wide or agency contracts for direct purchase and to capture real-time transactional spend and pricing data |
| | Right Information: Do acquisition teams have the have the means to obtain the right information to be able to make properly informed decisions? Are there quality control mechanisms to help ensure that the information is correct? Is evidence-based decision making properly integrated with the governance process? Are there transparency and information accountability? Are metrics actively used to measure effectiveness of the acquisition process? | Quality information is available for making decisions during the acquisition process | Acquisitions generally rely on the right types of information and metrics, but in many cases there are gaps in the quality of the underlying data and analysis to support decision making | Acquisitions generally rely on the right types of information and metrics, but in some cases there are gaps in the quality of the underlying data and analysis to support decision making.  Available information supports decisions with near-perfect department acquisition data down to SAT and purchase card levels and complies with regulations and socioeconomic goals | Demonstrated capability to provide all acquisitions information and analysis required to support informed decision making using reliable underlying data. Shares data seamlessly between buyers and suppliers; innovates jointly; determines/obtains new data needed to forecast acquisition priorities |
| | | Quality Assurance Surveillance Plans are used to ensure information integrity | There is a basic Quality Assurance Surveillance Plan | There is a Quality Assurance Surveillance Plan established to ensure the correctness of information used to support the acquisition process | There is a comprehensive Quality Assurance Surveillance Plan established to ensure the correctness of information used to support the acquisition process |
| | | Acquisition outcomes and program effectiveness are tracked and measured | Program staff and acquisition personnel have ad hoc standards for tracking program metrics and inconsistent collection of data.  Acquisition outcome and effectiveness tracking is nascent | Program staff and acquisition personnel have defined standards for tracking program and acquisition metrics and there is an initiative to implement tools for consistent collection of data. Data quality improvement is in progress through analysis and training.  Acquisition outcome and effectiveness tracking is being implemented.  Unit and individual performance is linked to | Program staff and acquisition personnel provide consistent and complete reporting on acquisition status, risks, issues, and recommendations via dashboards because standards and tools for reporting are fully defined and implemented. Acquisition outcome and effectiveness tracking are part of the process with data accurately reflecting the true status of the investments. Acquisition process metrics are tracked and used to make improvements. Performance evaluation is |

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| | | | | agency goals and objectives | linked to outcomes/results for citizens and the country |
| | | Data concerning planned and actual spending is available, accurate, and actionable | Some visibility exists to planned expenditures involving IT resources, but there is little availability of key purchase/spending data at both at an agency level across multiple categories, commodities, and services | F1. Visibility of IT planned expenditure reporting to CIO. Planned expenditures involving IT resources are reported in accordance with CIO, CFO, and CAO policy, and there is availability of some key purchase data at an agency level across multiple categories, commodities, and services | Key planned and actual purchase data is available in detail at both a government-wide and agency level across multiple categories, commodities and services. Dashboards provide real time view of portfolio program, and acquisition status, allow for drill-downs for specifics, and are tailors for specific stakeholder needs |
| | | Data is used to identify opportunities to improve leverage and pricing | There is ad hoc opportunity analyses to identify opportunities to improve leverage and pricing | There is ad hoc opportunity analyses to identify opportunities to improve leverage and pricing | The agency routinely conducts opportunity analyses to identify opportunities to improve leverage and pricing |
| | | Approval authorities are delegated to the appropriate level within the agency | Either no formal delegation authority exists, or most decisions require approval at senior levels within the agency | K1. CIO review and approval of acquisition strategy and plan. The agency has a governance process to delegate at least some decision making to the lowest level possible, based on program and acquisition size, complexity, and risk | The agency has a culture and governance process to delegate decision making to the lowest level possible, based on program and acquisition size, complexity, and risk. Acquisition personnel and contractors are each incentivized to value speed in delivery without sacrificing risk, quality, or cost. |
| | Right Timing: Best practice for IT programs is to field smaller and more incremental releases of functionality to lower risk and get end user feedback to ensure the program is providing value to the customer. Are the agency's leadership, | Approval processes are streamlined and/or can be fast-tracked to ensure that programs meet business and delivery deadlines | Agency policies and direction favor use of Strategic Sourcing contracts to accelerate contracting timelines but otherwise are not designed to speed acquisition processes | K1. CIO review and approval of acquisition strategy and plan. Approval processes and documents for acquisitions are integrated and developed with the intent to shorten time but not sacrifice completeness or quality. Small, low cost, low risk programs can navigate fast track acquisition processes in weeks | Programs leverage portfolio strategies, contracts, and architectures to accelerate deliveries. There is an acquisition prioritization process to enable the fast-tracking of time critical acquisitions. Policies and tools keep approval review process flowing and rapidly address disconnects or objections. CAO ensures that IT contract actions and inter-agency agreements that include IT are reviewed and approved by the CIO |

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| | processes, and culture enabling acquisitions to be completed to meet these short timelines? Is decision making streamlined to minimize delays? | Incremental development is integral into all acquisition strategies and plans (as applicable) | Traditional or waterfall development is the standard approach used for all acquisition strategies and plans (as applicable) | Some Acquisition strategies use incremental development; however, it is not a standard practice | Incremental development is the standard approach used for all acquisition strategies and plans (as applicable) |