



# INFORMATION DIRECTIVE INTERIM POLICY

Interim Application Review Policy		
Directive No.: CIO 2126.0	CIO Approval: 4-30-2018	Transmittal No.: 18-004

*Issued by the EPA Chief Information Officer,  
Pursuant to Delegation 1-19, dated 07/07/2005*

## Interim Application Review Policy

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### 1. PURPOSE

To establish and implement a process for reviewing proposed information technology (IT) applications to:

- Promote efficient development of Agency applications
- Promote the re-use and collaborative development of software applications and services across the Agency
- Increase the use of shared services

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### 2. SCOPE

This policy applies to new application development or acquisition efforts that meet the criteria maintained on the Application Governance SharePoint Site<sup>1</sup>, including number of users, purpose and application type. This interim policy does not address the current inventory of EPA applications or applications subject to the review by the Mobile Access Review Committee<sup>2</sup>.

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### 3. AUDIENCE

The audience for this policy includes, but is not limited to, EPA Senior Information Officials (SIOs), Senior IT Leaders (SITLs), system owners, project managers, application developers and program managers who oversee or approve the development or purchase of applications.

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### 4. BACKGROUND

In December 2014, Congress passed the Federal Information Technology Acquisition Reform Act (FITARA) to provide greater authority to Federal Chief Information Officers (CIOs) for managing IT in their agencies. This law was intended to centralize accountability for IT management and improve effectiveness and cost management for federal IT.

As part of its FITARA implementation plan submitted to the Office of Management and Budget (OMB)<sup>3</sup>, EPA identified "Avoiding development of duplicative systems" as one of its FITARA objectives. The implementation plan also identified a cadre of Senior IT

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<sup>1</sup> The Application Governance SharePoint site is available at [https://usepa.sharepoint.com/sites/oei\\_Work/ODSTA/AppGov/SitePages/Home.aspx](https://usepa.sharepoint.com/sites/oei_Work/ODSTA/AppGov/SitePages/Home.aspx).

<sup>2</sup> See <https://www.epa.gov/webguide/mobile-access-review-committee>.

<sup>3</sup> EPA's FITARA implementation plan is available at EPA's Digital Strategy site, <https://www.epa.gov/digitalstrategy>.



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Leaders from the programs and regions to develop and implement strategies for meeting FITARA objectives.

In January 2018, the SITLs identified a need for a governance strategy to assess proposed IT applications at EPA to ensure they do not duplicate existing applications, that they leverage existing shared services and to foster collaborative development efforts. The SITLs formed a team to recommend approaches to the CIO. This interim policy directive provides the authorities for implementing a governance strategy.

## 5. AUTHORITY

The information directive is issued by the EPA Chief Information Officer, pursuant to Delegation 1-19, dated 07/07/2005.

Additional legal foundations for the policy include:

- Clinger-Cohen Act of 1996, Public Law 104-106
- Digital Government Strategy: "Digital Government: Building a 21<sup>st</sup> Century Platform to Better Serve the American People," May 23, 2012
- E-Government Act of 2002, Public Law 107-347
- Federal Information Technology Acquisition Reform Act, December 2014 (National Defense Authorization Act for Fiscal Year 2015, Title VIII, Subtitle D)

## 6. POLICY

This policy establishes a framework to govern the development or purchase of new IT applications at EPA. Specifically, it requires that offices proposing to develop or deploy in-scope applications submit them for review by the SITLs and the Office of Environmental Information (OEI). If the reviewers find that a proposed application development does not align with the goals stated in the Application Governance Process, SITLs and/or OEI shall work with the office that proposed the application to assess whether alternative approaches can be identified that are aligned with the goals. If there are no issues, or if the proposing office, SITLs and OEI resolve identified issues, development can proceed. If discussions among those parties do not resolve issues that have been raised, then the proposal is referred to the CIO for review and a decision on whether development should proceed. While evaluating a proposed project, the CIO will consider both technical issues and business needs. If an office disagrees with the CIO's decision, an office may elevate the issue to the Deputy Administrator, who will work with the CIO to determine how to proceed. The Application Governance Process SharePoint site provides additional information on the implementation of this policy. The results of reviews of proposed applications will be available online. This information will be available to the Deputy Administrator to use as part of his/her normal oversight role of Agency activities.

Note: This process is separate from the FITARA acquisition process, as application development may not necessarily involve a new purchase. If a procurement action is



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needed to support application development, the CIO will expect that this process will have completed before the acquisition is submitted for CIO approval.

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## 7. ROLES AND RESPONSIBILITIES

### Deputy Administrator

- When a concern about a CIO decision is raised to this level, work with the CIO to determine how to proceed with a proposed application.

### Chief Information Officer (CIO)

- Establish the policy and the supporting procedures to promote effective approaches to developing, procuring and deploying new Agency applications.
- Establish through this policy the authority of the SITLs to review and resolve or escalate issues on their development.
- In consultation with the office proposing to develop an application, SITLs and other parties whom the SITLs may engage as needed, resolve go/no-go decisions for applications.
- Assign responsibility for maintaining and enhancing the workflow tool to support the Application Governance Process.
- Lead OEI's participation in implementing this policy.

### Senior Information Officials (SIO)

- Ensure compliance with this policy within their offices.
- Support their SITLs in implementing this policy.
- Provide feedback and input on the implementation of this policy.

### Senior IT Leaders (SITL)

- Within own organization:
  - Implement internal policies or procedures to review proposed applications.
  - Review proposed applications and either deny the proposal internally or forward the proposal to the larger SITL group for broader review.
  - For proposals that are escalated to the larger SITL group, convey final decisions to the applicant
- As part of larger SITL group:
  - Review proposed applications and discuss in compliance with the procedures as documented at the Application Governance SharePoint Site.
  - Escalate proposals with unresolved issues to the CIO for resolution.
  - Provide feedback and input on the implementation of this policy.

### Information Management Officers (IMO)

- Support SIOs in ensuring compliance with this policy.



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## System Owners / Project Managers

- Ensure proposals are submitted as described in this policy and at the Application Governance SharePoint Site.
- Work with the reviewers and others to explain the proposed applications and, as necessary, consider alternate approaches.

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## 8. RELATED INFORMATION

Application Governance SharePoint Site  
[https://usepa.sharepoint.com/sites/oei\\_Work/ODSTA/AppGov/SitePages/Process%20Overview.aspx](https://usepa.sharepoint.com/sites/oei_Work/ODSTA/AppGov/SitePages/Process%20Overview.aspx)

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## 9. DEFINITIONS

**Application:** The information resources (usually software) used to satisfy a specific set of user requirements (OMB Circular No. A-130, Appendix III). In particular, an application usually refers to the software component of a system.

Abbreviations including acronyms are summarized in *Appendix: Acronyms & Abbreviations*.

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## 10. WAIVERS

N/A

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## 11. MATERIAL SUPERSEDED

N/A

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## 12. CONTACTS

For further information about this policy, please contact the Office of Environmental Information, Office of Customer Advocacy, Policy & Portfolio Management, Director of Portfolio Management Division.



**Steven Fine**  
*Principal Deputy Assistant Administrator for Environmental Information  
and Deputy Chief Information Officer  
U.S. Environmental Protection Agency*



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## APPENDIX: ACRONYMS & ABBREVIATIONS

CIO	Chief Information Officer
FITARA	Federal Information Technology Acquisition Reform Act
IMO	Information Management Officer
IT	Information Technology
OEI	Office of Environmental Information
OMB	Office of Management and Budget
SIO	Senior Information Official
SITL	Senior IT Leader