Office of the Procurement Executive / Office of Acquisition Management and Financial Assistance (OAMFA)

**Commerce Business Environment (CBE)
Information Technology (IT) Governance Plan
For Acquisition Systems**

March 2006

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1.0 Executive Summary

1.1 Introduction

The Department of Commerce (DoC) recognizes the need to improve the process to select, control and evaluate IT business solutions supporting the Acquisition Community. The Office of Acquisition Management and Financial Assistance (OAMFA) has established an Information Technology (IT) governance plan to enable the life cycle management of information technology within the Department of Commerce's (DOC's) Commerce Business Environment (CBE) which supports the Acquisition Community. The plan is the common governance framework to support acquisition system decisions for all Department of Commerce Bureaus. Decision makers use this plan as the framework to select, control, and evaluate IT investments for the Acquisition Community. It also identifies roles and responsibilities within the governance framework. It is the responsibility for all members of the Acquisition Community to understand the IT governance plan with respect to information technology. This plan aligns with the Department of Commerce IT Governance Plan.

1.2 Summary of CBE IT Governance Plan

1. The governance plan addresses five decision areas critical to OAMFA information technology management.

    a. IT Principles
    b. IT architecture
    c. IT infrastructure (governed through Standard Operating Procedures (SOP))
    d. Business application needs
    e. IT investment prioritization

2. Four decision bodies (see Figure 1) make decisions for CBE IT investments.

Figure 1 - Decision Rights Framework

Governance Mechanism (Decision Bodies)	Responsibility
Acquisition Council	• DOC-wide decision making for acquisition systems • Manages configuration control through the AC Configuration Control Board (CCB)
Commerce Business Systems (CBS) Executive Steering Committee	• DOC-wide decision making for administrative systems linked to enterprise financial systems • Manages configuration control through the CBS Configuration Control Board (CCB)
Bureau CIO	• Bureau level decision making for information technology investments
OCIO ITRB (CITRB)	• DOC-wide information technology investments exceeding $25 million

The roles and responsibilities of the decision bodies are described in section 5.0.

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3. The decisions will be made using the CBE IT governance process (see Figure 2)

Figure 2 CBE Governance Process

Business Owner (BO)
Prepares Change Request
Form (CRF) Baseline

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The plan also provides information on the following:
- Roles and Responsibilities
- Security
- Recommended Training
- Change Request Form
- Criteria
- Systems Managers and Business Owners
- Glossary

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2.0 Introduction

The IT Governance plan serves to support the Office of Acquisition Management and Financial Assistance (OAMFA) and OAMFA divisions in the execution of their business strategies. The plan establishes the framework for decision-making and decision rights and accountability. The plan serves to facilitate improved communications among Business Owners, system managers, and stakeholders and standardizes the manner in which OAMFA conducts IT business. In addition, the governance plan supports the Commerce Business Environment (CBE) by helping to ensure that OAMFA is considering all of its systems as well as the Integrated Acquisition Environment's (IAE) systems and all grants-related systems in its decision-making processes.

IT governance is intended to direct and control the investment of an organization's IT resources in a manner that balances risks and returns and meets the organization's overall business objectives. Effective IT governance requires consistent and coordinated approaches to IT decision-making through a set of policies, processes, plans, procedures, and decision-making structures.

2.1 CBE IT Governance Principles

Information Technology (IT) governance principles, for the acquisition community, are determined by the acquisition council. The acquisition council, which meets on a monthly basis, is responsible for setting IT governance policy. This includes the following:

- Active design and regular review
- Involvement of Senior Management
- Clarifying exception handling
- Assignment of roles and responsibilities
- Alignment of incentive mechanisms to enable effective governance
- Provide outreach, education and training to support governance
- Alignment to agency IT policy

2.2 CBE IT Architecture

The CBE IT Architecture will align to the DOC IT Architecture. The Acquisition Council has overall responsibility on all architecture decisions. The Chief Architect, is delegated the responsibility to manage the CBE IT Architecture, supports the Acquisition Council. The CBE Chief Architect resides in the Commerce Acquisition Systems Division (CASD).

The architect has a responsibility for ensuring the completeness of the architecture. This is in terms of adequately addressing all the pertinent stakeholder concerns; as well as the integrity of the architecture, in terms of connecting all the various views to each other, satisfactorily reconciling any differences among stakeholders, and showing the trade-offs made in so doing (as between security and performance, for example). It is the responsibility of the architect to mature the architecture in

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alignment with the DOC architecture. The architect is responsible to develop the architecture only to the point at which it is fit for purpose, and not a paper exercise.

2.3   CBE IT Infrastructure

The OAMFA Standard Operating Procedures (SOP) directive governs OAMFA's IT Infrastructure. This includes the following: Computers, printers, hand held devices, network services, scanners, and servers/mainframes. The SOP is managed from the Procurement Executive's office.

2.4   Business Applications

This governance document provides oversight for all Acquisition Community Business applications. This includes all enterprise-level business applications. Local applications, running on a personal computer, may be purchased providing the following:

- They do not interface (i.e. require developing Application Program Interface's (APIs)) with enterprise wide applications.
- They meet the thresholds prescribed for investment decision making (see section 2.5)

2.5   IT Investment Prioritization

This governance document provides oversight for all business applications meeting the criteria specified in section 2.4 (business applications).

Business applications at DOC Agencies may be purchased locally provided the following:

- They are less than $25,000 in total life cycle ownership costs

Business applications at DOC Headquarters (Office of the Secretary) can be purchased locally with the approval of CASD provided the following:

- They are less than $25,000 in total life cycle ownership costs

The complete governance process applies for the following:

- For all purchased systems that are considered enterprise-wide investments with total life cycle ownership costs exceeding $25,000
- For all purchased systems that have life cycle costs greater than $25 million

The complete governance process includes the following:

- Submission and approval of Acquisition Council
- Submission and approval by Commerce Business Systems Executive Board

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- Submission and approval by Bureau ITRB
- Submission and approval by Department of Commerce ITRB (CITRB)

For all purchased systems with total life cycle ownership costs exceeding $25,000 and less than $25 million dollars (i.e. and not enterprise-wide) the following process/requirements apply:

- Submission and approval of Acquisition Council
- Submission and approval by Commerce Business Systems Executive Board
- Submission and approval by Bureau ITRB

In any scenario, if the proposed investment equals or exceeds $100 thousand an OS business case will need to be developed to support the submission request.

3.0 CBE IT Governance Process

CBE's IT governance process facilitates the decision making process for the implementation and management of information system investments in the Office of Acquisition Management and Financial Assistance. Effective IT governance warrants contributions from affected stakeholders and seeks to eliminate Business Owners and System Managers operating in silos.

The department's systems are owned by a variety of different groups.   Major system changes, are not to be done in isolation. The department's approach to IT governance is to promote collaboration using a standardized and repeatable process.   The process is one where stakeholders will work together to identify, review, and decide on information system investments. These processes will be described further in subsequent sections.

A key point is that the CBE IT governance plan establishes a common framework for supporting Department of Commerce-wide Acquisition community.

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┌─────────────────────┐      ┌─────────────────────┐                                              ◇───────────────◇
│ Business Owner (BO) │─────▶│ BO meets with Change│                                             ╱   CBS          ╲
│ Prepares Change     │      │ Control Board (CCB) │                                            ╱   Provides       ╲
│ Request Form (CRF)  │      │                     │                                            ╲   decision on    ╱
│ Baseline            │      │                     │                                             ╲  go/no-go      ╱
└─────────────────────┘      └─────────────────────┘                                              ◇───────────────◇
                                       │                                                                  │
                                       ▼                                                                  ▼
                             ┌─────────────────────┐                                         ┌─────────────────────┐
                             │ BO meets with       │                                         │ Bureau CIO:         │
                             │ Commerce            │                                         │ CFO/All ASA         │
                             │ Acquisition         │                                         │ Directors–          │
                             │ Solutions Division  │                                         │ Assistant Secretary │
                             │ (CASD) Director,    │                                         │ for Administration  │
                             │ Acquisition         │                                         │ (final approval for │
                             │ Enterprise          │                                         │ investments         │
                             │ Architect,          │                                         │ <$25 million        │
                             │ Acquisition         │                                         └─────────────────────┘
                             │ specialist and      │                                                    │
                             │ System Manager (SM) │                                                    ▼
                             │ to review CRF       │                                          ◇───────────────◇
                             └─────────────────────┘                                         ╱  OS ITRB         ╲
                                       │                                                    ╱   Provides         ╲
                                       ▼                                                    ╲   decision on      ╱
                             ┌─────────────────────┐                                         ╲  go/no-go        ╱
                             │ BO needs to have    │                                          ◇───────────────◇
                             │ CASD Director to    │                                                    │
                             │ sign off on         │                                                    ▼
                             │ completion of CRF   │                                         ┌─────────────────────┐
                             └─────────────────────┘                                         │ CITRB:              │
                                       │                                                     │ CIO and Bureau CIOs │
                                       ▼                                                     │ For investments     │
                             ┌─────────────────────┐                                         │ >$25 million or if  │
                             │ BO contacts the AC  │                                         │ it is an enterprise │
                             │ to schedule a       │                                         │ wide system         │
                             │ meeting to present  │                                         └─────────────────────┘
                             │ the new system/     │                                                    │
                             │ system change       │                                                    ▼
                             └─────────────────────┘                                          ◇───────────────◇
                                       │                                                     ╱   CITRB          ╲
       ┌─────────────────┐             ▼                                                    ╱   Provides         ╲
       │                 │   ┌─────────────────────┐                                        ╲   decision on      ╱
       │ AC meets Monthly│   │ BO provides CRF to  │                                         ╲  go/no-go        ╱
       │                 │   │ AC at least 1 week  │                                          ◇───────────────◇
       │                 │   │ prior to scheduled  │
       │                 │   │ date                │
       └─────────────────┘   └─────────────────────┘
                                       │
                                       ▼
                             ┌─────────────────────┐
                             │ BO give             │
                             │ presentation to AC  │
                             │ for approval/       │
                             │ disapproval of the  │
                             │ system change/      │
                             │ investement         │
                             └─────────────────────┘
                                       │
       ┌─────────────────┐             ▼
       │ If No, AC returns│   ◇───────────────◇
       │ CRF package with │◀──╱  AC Provides    ╲
       │ recommendations  │   ╲  decision on     ╱
       │                  │   ╲  go/no-go       ╱
       └─────────────────┘    ◇───────────────◇
                                       │
       ┌─────────────────┐             ▼
       │ CBS:            │   ┌─────────────────────┐
       │ Deputy CFO      │   │ CASD schedules      │
       │ Bureau CFOs     │   │ meeting with the    │
       │ IT CIO          │   │ Commerce Business   │
       │ OAMFA Director  │   │ System (CBS)        │
       └─────────────────┘   │ Executive Steering  │
                             │ Committee (if       │
                             │ related to          │
                             │ financial system)   │
                             │ or Bureau ITRB      │
                             └─────────────────────┘
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4.0 Governance Framework Decision Boards

4.1 Governance Framework Decision Boards

IT governance is comprised of four review boards.   The four review boards include the following:

Governance Mechanism (Decision Bodies)	Responsibility
Acquisition Council	• DOC-wide decision making for acquisition systems • Manages configuration control through the AC Configuration Control Board (CCB)
Commerce Business Systems (CBS) Executive Steering Committee	• DOC-wide decision making for administrative systems linked to enterprise financial systems • Manages configuration control through the CBS Configuration Control Board (CCB)
Bureau CIO	• Bureau level decision making for information technology investments
OCIO ITRB (CITRB)	• DOC-wide information technology investments exceeding $25 million and/or enterprise-wide information technology investments

The roles and responsibilities of the decision bodies are described in section 5.0. The first Decision Board is the Acquisition Council. The Council is responsible for developing the strategy and direction for acquisition.   The Acquisition Council is chaired by the Director of OAMFA.

4.1.1 Change Request Process

The Acquisition council will hear change request presentations on systems used within the Commerce Business Environment (CBE) for new systems or modifications to existing systems. The existing enterprise systems and roles and responsibilities are listed in this document in section 5. The Acquisition Council (AC) will evaluate whether change requests meet the strategic and operational goals of the Department's acquisition strategy and enterprise architecture, fit within budget constraints and make functional sense for the requesting system (review investment criteria in section 9.0). The Acquisition Council will evaluate change requests to existing Department acquisition systems and will have the authority to make final decisions for the acquisition organization. A majority vote is required for a change request to be passed and the OAMFA Director will be the deciding vote in the event of a tie.

Business Owners are responsible for fielding requests for change from their team members and determining which ones pass the threshold criteria (defined later). The Business Owners are responsible for submitting a change request to the Acquisition Council's Configuration Control Board (ACCCB) for initial review at least 10 business days before the Acquisition Council meets. Business Owners submit their requests by filling out the form found under Section 8.0: Change Request Form.

The ACCCB will discuss the change request with the Business Owner. Once a decision has been made, the change request form will be updated with either an 'Accepted' or 'Rejected' check and date

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stamp. This update will occur electronically and versions of the change request document will be provided to the Commerce Acquisition Systems Directorate (CASD) and be maintained on the shared public 'g' drive by the CASD team

The CASD Director, along with a system manager (for existing systems), and a representative from the CAS organization (contracts officer or specialist) will meet to discuss the change request. The group will collaborate to discuss potential changes prior to review by the Acquisition Council.

The CASD Director will evaluate change requests and hear presentations from Business Owners to make final decisions on the completeness of the form. Once a decision has been made, the change request form will be updated with either an 'Accepted' or 'Rejected' check and date stamp. This update will occur electronically and versions of the change request document will be maintained on the shared public 'g' drive by the CASD team

The Business Owner is responsible for making the appropriate changes to the request as discussed by the group and submit this to the CASD Director for signature that the form is complete and ready for review by the Acquisition Council. Upon receiving approval from the CASD Director, the Business Owner will submit the request to the Acquisition Council, and provide a copy to the contracting specialist or officer who attended the submission review meeting at least five business days prior to the Acquisition Council meeting.

The Acquisition Council will review requests for existing and new programs on a monthly basis. The Acquisition Council will evaluate whether the program-funding request is the correct investment decision for enterprise use.

If an investment is not linked to the financial system, it can be forwarded directly to the Bureau ITRB for review. The Acquisition Council will forward approved investments linked to the financial system to the Commerce Business Systems Executive Steering Committee for approval. The CASD Director (or assigned system manager) will be the point of contact to the Acquisition Community for managing the investment reviews with the CBS. They will work with the Business Owner, OAMFA Architect, and OAMFA Contracts specialists as required to support the review process with the CBS. If the investments are not approved by the CBS they will be returned to CASD, at which time a determination will be made whether to continue pursuing the investment or terminating the request.

If an investment is approved by the CBS, or if an investment is approved by the Acquisition Council and not linked to the financial system, the request will move into the Information Technology decision-making chain. Upon receiving notification of approval, the CASD Director (or assigned system manager) will forward the request to the appropriate Bureau Information Technology Review Board. The Bureau ITRB will evaluate the request and either return to CASD for clarification or if the investment is rejected. If the investments are not approved by the Bureau ITRB they will be returned to CASD, at which time a determination will be made whether to continue pursuing the investment or terminating the request.

If an investment is approved by the Bureau ITRB, and it is less than $25 million, then the Business Owner may proceed according to the CITRB approved plan. If the investment is greater than $25 million, it will be forwarded to the Department of Commerce ITRB (CITRB) for approval, clarification, or rejection. If the request is approved then the initiative may proceed according to the plan/modified plan approved by the CITRB.

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4.1.2 Funding IT Systems

The Business Owner is responsible for securing funding needed to accomplish new systems development or changes to existing systems, including changes required that might affect other OAMFA systems needed to accomplish changes in the Division-owned system. To be clear, if the Business Owner for System A requests a change, and that change requires changes to System B, the Business Owner for System A is required to provide the necessary funding to change System A and System B.

5.0 Roles and Responsibilities

There are a number of customers and stakeholders involved in the CBE IT governance plan and it is important that each group understands how it fits in the governance approach. It is expected that, the performance of each job description will be supported across the DOC Acquisition and Grants Community. Listed below are the roles and responsibilities for the main players in CBE's IT governance approach:

5.1 OAMFA Procurement Executive

The Procurement Executive (PE) of OAMFA has significant responsibility and accountability in the Department's Acquisition System IT governance process. The PE has the following responsibilities:

- Chairperson of the Acquisition Council
- Commerce Business System (CBS) Executive Board Member
- Determine strategic goals for OAMFA
- Communicate strategic and operational plans for fiscal year
- Ensure technology alignment with stakeholder needs
- Determine funding allocation for new and existing systems

5.2 CASD Director

The Commerce Acquisition Solutions Director reports to the PE. The CASD Director has significant responsibility and accountability in the OAM IT governance process. The CASD Director has the following responsibilities:

- Assist Business Owners in submitting their funding requests for new and modified systems
- Instructs board participants to fill out the proposed OAMFA System Scoring Sheet and to provide Acquisition Council and other governing boards

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- Communicate decisions of OAM IT governing boards to affected customers and stakeholders
- Establish meetings for Business Owners with governing boards
- Present recommendations to governing boards on whether to retire or maintain legacy systems
- Determine which bureau representatives should be invited to board meetings and invite those representatives
- Approve or deny new CBE software and hardware requests under $500

5.3 Business Owner

The Business Owners are Program Managers or the Commerce Business Environment (CBE) users group who have the business need for a new system or modifications to existing systems.
As such, the Business Owner is expected to maintain risks/issues and detailed project plans on the system.

The Business Owner is responsible to request/assemble a functional and technical team that must address the following within each project plan:

- Define the functional requirements by completing a functional requirements document. In addition, understand and document the dependencies of the system. Conduct a thorough analysis of how a proposed change will affect other systems. If this investment replaces a legacy system, discuss the transition plan. Address any former Board findings, corrective actions, and recommendations. Field requests for change from their team members.

- Complete the CBE Systems Change Request Form/Activity Requests. Include any necessary documentation and is responsible for requesting necessary funding needed to implement the submitted internal or external change. Complete a business case if investment is greater than or equal to $100 thousand (using the OS Business Case Template), for new system requests

- Responsible for assigning roles and responsibilities (i.e. Program Manager, Functional Expert, Technical Expert, and CBS Technical Advisory Committee (TAC) member).

- The Business Owner is responsible for the day to day operations of the system (i.e. owns the data and ensures the integrity of the data).

- Develop presentations for requests for new systems including briefing slides, project manager and contracting officer resumes, and either change request form or an Exhibit 300 Capital Plan and Business Case five days in advance of the board meeting.
- Make the case that the proposed use of IT dollars is aligned with the CBE, supports mission requirements, complies with architecture goals, minimizes investment risk, and demonstrates a positive return on the investment.

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- Ensure that contracts for their systems include a task to provide Earned Value Management. Describe the role of the earned value management system (EVMS) used in managing the IT investment.

- Address the role of IT security procedures and funds allocated to security.   Maintain copy of documentation and associated IT security processes required throughout the system life cycle stored by the CASD organization.

- Determine training needs, request training, and request funding for training.   Follow direction of Procurement Executive for Business Owner training and take required courses (i.e. Project Management)

- Communicate changes to the system customer stakeholders.

5.4 System Manager

A System Manager is the source for technical support to Business Owners and their Functional Managers.   Systems Managers assist Business Owners throughout the life cycle of systems and the project life cycles (e.g. for new systems or system changes). They also manage contractor support from an IT perspective.

- Certified Project Managers for CBE systems.
- Certified Contracting Officer Representatives
- Manage and control integrity and interoperability of systems to ensure that data is available and useful.
- As need arises, work closely with the Business Owner and communicate the need for changes to CBE systems.
- Take required training classes.
- Analyze impacts to all affected systems for change requests.
- Maintain updated documentation and associated IT security processes required throughout the system life cycle. Please refer to the **NIST SP 800-26 System Self-Assessment Checklist, Guidance for Developing Plans of Action and Milestones** and other documents found at http://www.osec.doc.gov/cio/oipr/ITSec for additional information related to system IT Security requirements.

5.5 Acquisition Council

The Department of Commerce Acquisition Council is the principal forum for the Department's senior acquisition officials to partner, to exchange information about operational issues, initiate and pursue acquisition reform initiatives, and make decisions about CBE IT investments (see council charter dated November 2005 for details on Council operations). Meetings are typically held from approximately 9:30 a.m. to 12:30 a.m. and hosted by OAMFA monthly.

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5.5.1 Acquisition Council Configuration Control Board (ACCCB)

The Acquisition Council Configuration Control Board (ACCCB) is responsible for fielding initial requests for additions, changes or modifications to the Department of Commerce's Acquisition Architecture. The ACCCB meets on the 1st Thursday of every month to discuss changes to the information technology applications used by the acquisition organizations.

5.6 Bureau Chief Information Officer

The Bureau Chief Information Officer (CIO) advises the Bureau on critical IT matters, ensuring that proposed investments contribute to the Bureau's strategic vision and mission requirements, employ sound IT investment methodologies that comply with Bureau and Departmental systems architectures, and provide the highest return on the investment or acceptable project risk. This includes recommendations for approval or disapproval of funding for new or base investments as part of the Bureau's budget review process. Systems selected for review meet one or more of the following criteria: systems meriting special attention due to their sensitivity, mission criticality, or risk potential; Department-wide systems; systems where resources are shared between operating units and/or the Department. The Bureau CIO has final approval for systems with life cycle costs less than $25 million. For systems with life cycle costs greater than $25 million, as well as enterprise-wide systems, the Bureau CIO will not have final authority, but must provide to CITRB for final approval.

It is the responsibility of the Bureau CIO to make recommendations for continuation or termination of projects under development at key milestones or when they fail to meet performance, cost, or schedule criteria. The Bureau CIO's control and evaluation review process generates the final documentation for CITRB consideration.

5.7 Commerce Business System Executive Committee

The Commerce Business System (CBS) Executive Committee reviews and comments on documents, approving priorities of projects, making final decisions on software changes, and attending the monthly meetings for the Core Financial System. CBS is comprised of a standard Core Financial System (CFS), which is integrated with Department-wide functional systems for time reporting, payroll, data warehouse, and purchasing. CBS is also linked with those bureau-specific systems that capture financial transactions and/ or support general ledger improvements and standardization of administrative management processes across the Department. The CBS Executive Committee meets monthly.

5.8 CITRB

The Commerce IT Review Board (CITRB) advises the Secretary and Deputy Secretary on critical IT matters, ensuring that proposed investments contribute to the Secretary's strategic vision and mission requirements, employ sound IT investment methodologies that comply with Departmental systems architectures, and provide the highest return on the investment or acceptable project risk. This includes recommendations for approval or disapproval of funding for new or base investments as part of the Department's budget review process. Systems selected for review meet one or more of the following criteria: systems meriting special attention due to their sensitivity, mission criticality, or risk potential;

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Department-wide systems; systems where resources are shared between operating units and/or the Department; and systems with life cycle costs over $25 million.

The CITRB is chaired by the CIO and is composed of the Chief Financial Officer, the Director of the Office of Budget, the Director for Acquisition Management, the Director for Financial Management, the Director for Human Resources, the Deputy CIO, and CIOs from the National Oceanic and Atmospheric Administration, Census Bureau, National Institute of Standards and Technology, and International Trade Administration, and, on rotating basis, two other operating unit CIOs. Currently, the National Telecommunications and Information Administration and the Bureau of Economic Analysis are represented.

As part of its charter, the CITRB makes recommendations for continuation or termination of projects under development at key milestones or when they fail to meet performance, cost, or schedule criteria. The CITRB now meets monthly to assess key projects in control reviews. The CITRB control and evaluation review process assumes that operating unit processes for the control and evaluation of major IT investments will generate the principal documentation for CITRB consideration.

6.0 Security

The present environment shows a continually increasing trend in hostile activity directed at government systems. This reinforces the need for continued emphasis on applying strong Information Technology security practices to OAMFA systems, both internal and public facing. Information is the business of government. The OAMFA mission and operating environment and the systems that support them primarily involve the collection, transformation or distribution of information.

It is the responsibility of each federal manager to understand the processes used to secure information and the systems they use to support their programs. IT security is an integral part of how they manage their programs. The IT Governance Plan assists OAMFA program managers in learning and applying IT security practices and procedures as part of their normal business processes.

The IT Governance Plan will help facilitate IT security documentation and processes. CASD will work with the program office system stakeholders (Business Owners and system managers) to ensure OAMFA systems meet all Federal and Commerce IT security requirements and guidelines. In doing so, CASD will help OAMFA operate IT systems safely and provide the Procurement Executive with the assurance needed to authorize OAMFA systems to operate.

In addition to the recommended training described in the section above, each stakeholder in OAMFA systems could benefit from reviewing the following IT security-related documents:

- Computer Security Act of 1987 (and Summary) - In this Act (Public Law 100-235), the Congress declares that improving the security and privacy of sensitive information in Federal computer systems was in the public interest, and created a means for establishing minimum acceptable security practices for such systems.

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- Clinger-Cohen Act (Information Technology Management Reform Act of 1996) - This Act (Public law 104-106, Division E) defines reforms in information technology acquisition management within the Federal Government.
- Federal Information Security Management Act (FISMA, enacted December 2002) - This Act (Title III of the E-Government Act of 2002) provides a comprehensive framework for ensuring the effectiveness of information security controls over information resources that support Federal operations and assets.
- Circular A-130, Management of Federal Information Resources - This Circular establishes policy for the management of Federal information resources in accordance with the Computer Security Act of 1987 .
- Circular A-130, Appendix III, Security of Federal Automated Information Resources - This Appendix establishes a minimum set of controls to be included in Federal automated information security programs. It also assigns Federal agency responsibilities for the security of automated information and incorporates requirements of the Computer Security Act of 1987 and responsibilities assigned in applicable national security directives.

From this baseline, each stakeholder can build an improved understanding of threats and vulnerabilities to information systems and the technology and procedures needed to keep them secure. In doing so, they fulfill their obligation to OAMFA and the public to prudently manage and operate OAMFA systems by maintaining the confidentiality, integrity and availability of the information these systems contain.

7.0 Recommended Training

The CIO office also provides a list of recommended training courses for a Business Owner. These courses can be found in Appendix G: CIO Recommended Training for Business Owners. It is important to note that the CIO office does not require Business Owners to take all of the courses marked with an 'X' in Appendix G. Instead, the CIO office has stated that OAMFA's Director will determine which courses are required for his Business Owners and system managers to take.

The OAMFA Director requires that OAMFA Business Owners and system managers take the following courses, which are free Computer Based Training (CBT) courses offered by the CIO office. These courses can be found at http://e-learning.commerce.gov:

1. IT Security Awareness
2. Certification and Authority
3. Risk Management
4. Securing an Automated Information System

This list will be reviewed periodically by the OAMFA Information System Security Officer (ISSO). If there are mandated changes these will be updated in this document.

In addition to these three required courses above, the OAMFA Director strongly recommends that OAMFA Business Owners and system managers take courses on the following topics:
- IT Project Management Certification Program

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- o Managing IT Projects (DOC HR)
  - o Project Leadership, Management and Communication
  - o Scheduling and Cost Control
  - o IT Risk Management
  - o Quality for Project Managers
  - o Financial Management from Project Managers
  - o Contracting for Project Managers
- Performance Management
- Contracting Officers Representative (COR)
- Security Education and Training

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8.0 Change Request Form (also Activity Request)

<table>
<tr><td colspan="5" align="center">Department Acquisition Systems Change Request Form</td></tr>
<tr><td colspan="5" align="center">INFORMATION TO BE PROVIDED BY CASD DIRECTOR</td></tr>
<tr><td colspan="2">1. CR#:</td><td colspan="2">2. Date Request Logged:</td><td>3. Acquisition Council Review Date:</td></tr>
<tr><td colspan="3">4. CR Status: ____ Open ____ Closed</td><td colspan="2">5. Date Status was revised:</td></tr>
<tr><td colspan="5" align="center">INFORMATION TO BE PROVIDED BY BUSINESS OWNER</td></tr>
<tr><td colspan="2">6. Name</td><td>7. Team:</td><td colspan="2">8. Date Created:</td></tr>
<tr><td>9. Priority

____ Routine
____ Urgent
____ Mandated
____ EMERGENCY</td><td>10. Severity:

____ Low
____ Medium
____ High
____ Critical</td><td colspan="3">11. Change Type:
____ System Setup ____ System Release
____ COTS
____ Hardware
____ OS
____ Software
____ Document</td></tr>
<tr><td colspan="5">12. System:</td></tr>
<tr><td colspan="5">13. Description of Proposed Change:

</td></tr>
<tr><td colspan="5">14. Benefit and/or Justification:

</td></tr>
<tr><td colspan="5">15. Impact if Not Approved:

</td></tr>
<tr><td colspan="3">16. Level of Effort/Time Estimate:</td><td>17. Projected Start Date:</td><td>18. Projected End Date:</td></tr>
<tr><td colspan="5">19. Funding

</td></tr>
<tr><td colspan="5" align="center">ACQUISITION COUNCIL CHANGE CONTROL BOARD (CCB) RECOMMENDATION</td></tr>
<tr><td colspan="5">20. Disposition: ____Approved ____Conditionally Approved ____Disapproved ____Withdrawn</td></tr>
<tr><td colspan="5">21. AC CCB Comments:

</td></tr>
<tr><td>22. Target Release:</td><td colspan="2">23. Release/Implementation Date:</td><td colspan="2">24. Approved Priority:
____Routine ____ Urgent ____Mandated ____EMERGENCY</td></tr>
<tr><td colspan="5">25. Authorizing Signature</td></tr>
<tr><td colspan="4"></td><td>Date:</td></tr>
</table>

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Instructions for Change Request Form

A. Basic Form Instructions

You are to fill in this form based upon the guidance found in the text/descriptions below for each section of the form. In addition, we have attached the OCIO business case justification criteria, in section 9.0, as an additional source of information (all these points should be addressed in larger acquisitions/investments, but are not mandatory in smaller investments that do not go to the CITRB). If additional space is needed, it is appropriate to enter "See Attachment" and attach additional pages.

Blocks 1- 5 are completed by the **CASD Director (or CASD Director delegated CASD staff) only**.

1. **CR#:** This is the Unique Identification Number for each Change Request (CR). The CASD Team maintains the database(s) (either manual or electronic) for assignment.

2. **Date Request Logged:** This is the date that the CASD Team logs the CR into the CR database system. It is NOT the creation or origination date.

3. **Acquisition Council Review Date:** The CASD Director enters the target date of the Acquisition Council meeting that will address this CR.

4. **CR Status:** The CASD Team "Opens" the CR when the CASD Director receives the CR. It remains open until all actions required by the CR Life Cycle are completed.

5. **Date Status was revised:** The CASD Team member enters the date on which the CR was opened and changes the date when the CR is closed.

Blocks 6-19 are initiated by the **Business Owner**. Subsequent reviewers of the CR should add additional information as needed.

6. **Name:** Enter the full name of the originator.

7. **Team:** Enter your Team. (NOT the group(s) affected)

8. **Date Created:** Enter date CR was originated.

Together, blocks 9 and 10 provide the Acquisition Council with a quick indicator of a problem's level of danger and time-sensitivity. The Priority block (block 9) indicates the originator's recommended speed of CR handling and how soon the change needs to be implemented. The Severity block (block 10) indicates the originator's assessment of the impact the problem or enhancement is likely to have on the system or system utility. EMERGENCY does not automatically indicate that a problem is critical; neither does Critical necessarily imply that emergency handling is needed. (For example, in 1990 the Y2K problem was recognized as critical, but it wasn't an emergency because there was 10 years to fix the problem. By mid-1999 the issue was considered an emergency.) The Acquisition Council will determine the final priority and severity in blocks at the bottom of the form.

9. **Priority:** Place an "X" on the appropriate blank to indicate the recommended speed of CR handling and how soon the change needs to be implemented.

   a. **Routine** – Indicates that the change can be implemented when resources are available or with the next release (unless the release is very near in the future).

   b. **Urgent** – Indicates that the problem can be tolerated for a short time, but should be corrected as soon as possible to prevent loss of system capability or user job-

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performance. (If a system shutdown is immediately imminent or users suddenly lose a needed capability, see EMERGENCY.)

c. **Mandated** – A CR that addresses a modification directed by or proposed to comply with orders, directives, or instructions from higher authority.

d. **EMERGENCY** – Indicates the need to immediately correct an error that has caused or will cause a complete or severe loss of a high priority capability or system functionality, and no workaround is available. (Examples: 1) An application that shuts down the computer and causes an irrecoverable corruption of the database; 2) Sudden destruction/loss of a server hard drive.)

10. **Severity:** Place an "X" on the appropriate blank to indicate the degree of impact the problem or enhancement is likely to have on the system or system utility.

a. **Low** – Identifies an identified error that causes no serious operational problem or an identified system enhancement that would improve system utility.

b. **Medium** – Identifies an error that causes or can cause problems in operations or loss of server usability. A workaround or alternative is available (and the problem can be tolerated for a short time), but a permanent solution should be implemented; identifies an enhancement that would significantly improve system utility.

c. **High** – Indicates an error that causes or can cause a loss of service or loss of server usability to a large number of users or a mission-critical system; indicates an enhancement that would greatly prevent such losses or provide a major leap in system performance.

d. **Critical** – Indicates a problem that will or can crash the system or cause the complete loss of system capabilities.

11. **Change Type:** Place an X on the appropriate blank.

a. **System Setup** – The CR addresses the standard configuration of a unit or set of similar units. For example, a standard user desktop configuration, arrangement of Instances and partitions, standard server setup, etc.)

b. **COTS** *(Commercial Off-the-Shelf)* – The CR addresses software the development of which is not under the direct control of the Business Owner; provided by a vendor or outside agency.

c. **Hardware** – The CR addresses a hardware component(s) that comprise the system. Also may address the connectivity of the components.

d. **OS** *(Operating System)* – The CR addresses the computer operating system (Examples: AIX, LINUX, OS390, Windows, etc.)

e. **Software** – The CR addresses software the development of which is under the direct control of the Business Owner; may apply directly to the software or to the software package (combination of source code, documentation, manuals, etc.).

f. **Document** – The CR addresses a specific document.

g. **System Release** – The CR addresses a request to release a new version of a system.

12. **System:** Enter the name or acronym for the system primarily addressed by the CR.

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Blocks 13, 14, and 15 are used to inform the Acquisition Council of the requested change, why it should be implemented, and what is likely to happen if it is not implemented. The amount of information in each box is dependent upon the nature of the change.

13. **Description of Proposed Change:** Provide a detailed description of what would be changed about the system if the request is approved.

    a. **Project Management Structure**: Provide description of how the investment will be managed.

    b. **Enterprise Architecture Definition:** Provide description of how the investment applies to all levels of the enterprise architecture (e.g. performance, business, service, data, and technical) and strategic goals of department/agency

    c. **Security:** Provide description of how the investment impacts system security

    d. **Risk Management :** Provide description of project risks and risk mitigation strategy

14. **Benefit and/or Justification:** In terms of system/user capability or performance, state the advantages to be gained if this change is approved, the stakeholders who are affected, or how the change will solve the problem. Explain why this change request should be approved. Discuss any alternatives considered. Also, explain how the change request supports the Commerce Business Environment and how you would measure success.

15. **Impact if Not Approved:** State the negative impact(s) on the system or on users if this change is not approved. If quantitative impacts are expected those would carry significant "weight" in the evaluation process.

16. **Level of Effort/Time Estimate:** Enter estimates of resources, time, and materials required to complete change.

17. **Projected Start Date:** Enter the estimated/recommended date for beginning work on the change.

18. **Projected End Date:** Enter the estimated/recommended date by which this change can be completed and implemented.

19. **Funding:** Describe what the total cost of the requested change is (for the immediate system and affected systems) and who will pay for the change.

Blocks 20 – 25 are completed at/by the Acquisition Council.

20. **Disposition:** Enter an "X" in the appropriate blank. If other than approved, state the reason in Block 21.

21. **AC Comments:** Enter comments in this field as necessary. State the reason(s) for any dispositions other than "Approved." All comments become a permanent part of the CR record.

22. **Target Release:** The AC will decide which Version/Release this change should be implemented in and enter the appropriate information.

23. **Release/Implementation Date:** If the change is to be implemented in a forthcoming release, enter the scheduled date of that release. If change is for "immediate" implementation, enter the date by which implementation is to be completed.

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24. Approved Priority: Enter an "X" in the correct blank. (The AC will determine the actual Priority for the change.)

Authorizing Signatures: A blank has been provided for the CASD Director's signature, certifying the AC decision.

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9.0 Business Case Criteria

1. Basis for Investment

- Benefits, tangible and non-tangible, including risk-adjusted return-on-investment and benefit-cost analysis.
- Consideration of all viable alternatives.
- Support of OAMFA's missions, goals, and information quality standards, including outcome-oriented performance measures to assess the value of the investment.
- High rating from the operating unit's internal evaluation process.

2. Project Management

- A description of how the investment will be managed.
- Project plans that cover the full life cycle of the project, including the transition from legacy systems.
- Performance measures to assess the management of the investments, including measures of cost, schedule, and performance. A system to monitor these measures and report on deviations.
- The experience of the operating unit with investments of this size, scope, and complexity.

3. Risk Management

- Net risks and a description of how they will be mitigated, addressing the technical solution and use of a modular approach.
- A description of how the acquisition strategy will manage procurement risks and address accessibility.
- A description of potential impact on other OAMFA and Departmental systems.
- Support of the operating unit's information quality standards.
- Use of commercial-off-the-shelf products.

4. IT Security

- A description of how the investment is compliant with the Department of Commerce and operating unit's IT Security Program.
- The baseline IT security management, operational, and technical controls necessary to protect the investment, and the supporting risk and benefit-cost criteria for selection of the controls.
- A description of potential impact on other OAMFA and Departmental systems.
- The status of continuity of operations planning, documentation, and testing.
- A description of Critical Infrastructure Protection applicability to the project and the relative priority of the investment to the Department's mission.

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5. Architectural Compliance

- Demonstration of how the project is compliant with the operating unit's and Commerce's IT architecture and technical reference model and the Office of Management and Budget's Federal Enterprise Architecture.
- Integration of this investment with others at Commerce and Government-wide to promote efficiency, connectivity, and economies of scale.
- A description of potential impact on other OAMFA and Departmental systems.
- Use of commercial-off-the-shelf products.
- Support for the operating unit's information quality standards, including reproducibility.
- Steps taken to address accessibility.
- Actions taken to implement the Government Paperwork Elimination Act, if applicable.

6. Administration/Departmental Goals and Initiatives

- Support for Administration, Office of Management and Budget, Secretarial, and/or Departmental initiatives, including e-government.

7. Financial

- Total Funding Required, Describe who would provide funding, Return on Investment, Net Present Value, Cost/Benefit ratio

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10.0 Business Owners and System Managers

System	Description	Business Owner	System Manager	System Dependencies
Interactive Business Opportunities Page	COMMITS customer interface	Mike Anastasio	Kevin Crowley	
Balanced Scorecard (BSC)	OAMFA/DOC Performance Management System - includes data acquisition portal (DAP) survey tool	Leslie Andrecs	Yancy Stern	EARS, FPDS-NG, WAD
Competitive Sourcing Data Base	Competitive sourcing data base	Chris Makris	Unassigned	
Workforce Assessment Data (WAD) Base	Track training requirements for DOC COTRs and 1102s	Leslie Andrecs	Yancy Stern	
Enterprise Acquisition Reporting System (EARS)	Reporting system on acquisition data	Leslie Andrecs	Yancy Stern	FPDS-NG, BSC, WAD, Consolidated Reporting System (CBS is Owner)
Commerce Standard Acquisition Reporting System	Commerce Standard Acquisition Reporting System (CSTARS)	Tom Cochran	Crystal Davis	
OAMFA Web Pages	OAMFA Web Pages	Mary Mazingo	Kevin Crowley	
Grants Balanced Scorecard	Grants integration into OAMFA BSC	Rick Franetzki	Greg Coss	
eGrants.gov	Access to the eGrants.gov system	Rick Franetzki	Greg Coss	

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11.0 Glossary

- *CASD*: Commerce Acquisition Systems Division
- *Commerce Business Environment (CBE):* The Commerce Business Environment (CBE) is proposed to be the enterprise-wide tool that the Department's acquisition professionals will use to provide the highest level of customer service for acquiring products and services. CBE is a one-stop-stop solution to address DoC's core functional requirements while leveraging external sources such as IAE. This solution focuses on implementing several components of CACI's new web-enabled product, ComprizonSuite. These components address DoC's most essential acquisition needs. This approach includes the implementation of limited portal functionality capable of coordinating and presenting information from CASD systems, after implementation of the ComprizonSuite, This also provides DoC with a solid foundation that has the potential for future growth.
- *CSTARS (Commerce STandard Acquisition Reporting System)*: The U.S. Department of Commerce (DOC) Office of Acquisition Management and Financial Assistance (OAMFA) implemented an enterprise-wide, commercial off-the-shelf (COTS) procurement system—CSTARS--Commerce STandard Acquisition Reporting System. The system is designed to provide the full range of procurement functionality needed by the contract office staff and management to fulfill their requirements in a most efficient manner.
- *Earned Value Management*: Earned value is a management technique that relates resource planning to schedules and to technical cost and schedule requirements. All work is planned, budgeted, and scheduled in time-phased "planned value" increments constituting a cost and schedule measurement baseline. There are two major objectives of an earned value system: to encourage contractors to use effective internal cost and schedule management control systems; and to permit the customer to be able to rely on timely data produced by those systems for determining product-oriented contract status. The benefits to project management of the earned value approach come from the disciplined planning conducted and the availability of metrics which show real variances from plan in order to generate necessary corrective actions.
- *IAE*: Integrated Acquisition Environment - IAE is a government-wide effort, under the management of GSA, to unify and simplify cross-government and government/vendor acquisitions.
- *IATO:* Interim Approval to Operate - interim approval to operate means the CIO provides the DAA with preliminary system scan results that show no major vulnerabilities. For short term, in lieu of the full system test and evaluation the DAA can authorize the Business Owner to operate the system temporarily while the security work is being completed.
- *OAMFA*: Office of Acquisition Management and Financial Assistance

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