Title:	BUDGET FORMULATION PHASE – IT CAPITAL PLANNING GUIDANCE		
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PURPOSE AND SCOPE

The purpose of this guidance is to provide an overview and schedule outlining the IT investment process, through submission of the Secretarial Budget. This guidance introduces:

- The BY 2011 Budget Formulation phase of Planning, Programming, Budgeting, and Execution System (PPBES)
- NITRB reviews
- Exhibit 300 development

 As new information is known, this guidance and other related files will be updated.

AUTHORITY

This standard from the NOAA OCIO, Office of Planning, Policy, and Analysis (OPPA), is mandated by Department of Commerce OCIO IT Policy as essential to establishing program management for IT Governance. Reference the DOC OCIO website for OCIO policy and CIO responsibilities.

INTENDED AUDIENCE

Assistant Administrators and Goal Team Leads should be aware of IT processes for NITRB and PPBES. In addition to NITRB and PPBES expertise, Program and Project Managers, project team members, and CIOs play lead roles in the Exhibit 300 processes.

DESCRIPTION

The NOAA Information Technology Review Board (NITRB) is required to review and serves as the approval authority for all IT Budget increases. No IT initiatives will be submitted to DOC by the NOAA Budget Office without successful NITRB review.

DEFINITIONS

One-Pager: An NITRB investment summary, one-page synopsis of specific IT information necessary to justify all program adjustments requesting new funding *or existing investments which increase IT spending more than 10% for a specific program.*

Budget Year (BY): Refers to a future, target year around which the current planning, budget formulation, and review processes are focused.

Fiscal Year (FY): A budget, accounting year that is based on an October through September cycle.

GUIDANCE

Step 1. **Plan for the BY 2011 IT Schedule**

Please factor these important milestone dates into your Line Office and Program Management schedules.

A. April 24, 2008   One-Pagers due to NOAA OCIO.
B. April 28, 2009   CIO Council will determine which program adjustments require formal NITRB review, and which will require DOC-IRB review.
C. May 6, 2009   NITRB Reviews (11:00 p.m. to 5:00 p.m.) SSMC3-Rm. 5836
D. May 7, 2009   NITRB Reviews (9:00 a.m. to 5:00 p.m.) SSMC3-Rm. 8836
E. May 8, 2009   NITRB Reviews, as needed, (9:00 a.m. to 5:00 p.m.) SSMC3-Rm. 8836
F. May 14, 2009   NITRB recommendations to NOAA Budget Office
G. June 12, 2009   BY11 Exhibit-300s updated in eCPIC
H. July 2009   Submission of all One-Pagers to DOC
I. July - August   DOC Budget Reviews conducted

Step 2. **Write a "One-Pager" – Justify your budget for the NITRB, due April 24, 2009**

- In coordination with the Line Office CIO, the Goal Team Leads and/or Program Managers must identify any changes to funding, such as program increases. If a specific program needs FY11 funding that is either new funding, or, for existing investments, an IT spending increase of over 10%, then prepare and submit to NOAA OCIO "One-Pagers" that explain proposed budget increases.
- The one-page submission must state: (be sure to follow the IT Component Breakdown in the BY2011 One-Pager).
  - The investment title
  - A concise description of the adjustment (*your program change narrative*)
  - A short description of the information technology components (*this step is critical*)
  - A short description of the capability gap that the adjustment is addressing
  - The requested funding amount *for the IT component* of the adjustment
  - Specific IT security information concerning certification and accreditation (C&A)
  - An overall description of the IT work and results
- Line Office CIO Office contacts must submit One-Pagers to Robert.Swisher@noaa.gov and Jerome.McNamara@noaa.gov by April 24, 2009.

Step 3. **Inter-Line Office IT budget initiatives : a management checklist**

- It is important for any cross-Line Office initiative to establish:
  1. Who has the lead?
  2. Who has responsibility for the Budget Narrative?
  3. Who has responsibility for the IT One-Pager?
  4. Who has responsibility for the Exhibit 300?
- Line Office CIO Office contacts should notify the NOAA CIO office if you are aware of any cross-line office initiatives (like NIDIS OAR/NESDIS in FY08) so that the NOAA CIO is aware and can support your efforts.

Step 4. **NITRB will review the "One-Pagers" for all IT investments**

- The CIO Council will determine by April 28, 2009 which IT increases require formal NITRB review and which will require Commerce investment review board (IRB) review based upon input provided in the One-Pagers.
- Project Managers of those selected initiatives will be notified of the NITRB presentation format and review schedule, but should not wait to begin presentation preparation if you expect a substantial increase.
- NITRB budget reviews will be conducted between May 6th and May 8th, 2009. This is a very tight schedule.

Step 5. **Develop BY11 Exhibits 300**

- Project Managers must update existing Exhibit 300s, or develop new 300s, in the eCPIC system for all BY2011 IT Budget Initiatives by June 12, 2009.
- NOAA CFO has said that they will not review BY11 budget adjustments for One-Pagers without a corresponding Exhibit 300.
- CIOs are responsible to review and certify the accuracy of their Line Office Exhibits 300.

FREQUENTLY ASKED QUESTIONS (FAQS)

Q: What has changed from Last Year?
A: New this year is the presentation format for NITRB and DOC Investment Review Board reviews.

Q: What are some tips in preparing for IT Budget Reviews?
A: **Preparation for the NOAA and Commerce Investment Review Boards**

1. Make sure slides agree with the One-Pagers (and your exhibit 300)
2. Concentrate on the budget increase and what will happen if you do not get this!
3. The NOAA architecture lays out where it is going, your project should do the same!

Questions you should expect and be prepared to address
1. What Exhibit 300 will this initiative be included in?
2. What resources will you need for the next 10 years?
3. How does this initiative fit within the scope of the NOAA IT Strategic Plan?
4. How will this initiative impact the current NOAA IT Portfolio?
5. What will you do if you do not get the funding?
   If limited funding is available, what will be your prioritization?
   What is your fall-back plan?
       Did you list these consequences in your argument?
6. Is this investment in line with your target architecture?
7. Have the risks been evaluated?
8. Will this initiative be coordinated with any consolidated enterprise solutions?