



Title:	BUDGET FORMULATION PHASE – IT CAPITAL PLANNING GUIDANCE		
NOAA IT Standard Number (NISN):	3.014	Current Version Date:	February 18, 2010
Effective Date:	February 19, 2010	Expiration Date:	n/a
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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 BY12 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 investment summary (required by DOC), 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.* The NOAA/OCIO Office will prepare DOC one-pagers for those IT Initiatives being funded by NOAA.

**BY12 IT DOCUMENTATION DUE MARCH 5, 2010**

1. The 2-page PCS
2. The IT Quad Chart
3. A well-prepared Exhibit 300.

GUIDANCE**Step 1. Plan for the BY12 IT Schedule**

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

- | | |
|------------------|-------------------------------------------------------------|
| A. March 5, 2010 | BY12 documentation due to NOAA OCIO. |
| B. March 8-9 | Determinations made for adjustments requiring NITRB review. |
| C. March 15-16 | NITRB Review Process. |
| D. March 19, | NITRB recommendations and NOAA CIO Ranking due to NBO. |
| E. March 26, | NBO Finalizes FY12 Funding Decisions. |
| F. May 5, | BY12 Exhibit-300s final updates in eCPIC. |
| G. May 17, | NOAA FY12 Secretarial Budget due to DOC. |
| H. June - July | DOC Budget Reviews conducted |

Step 2. 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 Exhibit 300?
- Line Office CIO Office contacts should notify the NOAA CIO office if you are aware of any cross-line office initiatives so that the NOAA CIO is aware and can support your efforts.

Step 3. NITRB will review the IT Quad Charts for all IT investments

- NOAA OCIO will review the 2-page program change summaries, the IT quad chart, and the exhibits 300 to determine NITRB requirements.
Project Managers of those selected initiatives will be notified of the NITRB presentation format and review schedule.

Step 4. Develop BY12 Exhibits 300

- Project Managers must update existing Exhibit 300s, or develop new 300s, in the eCPIC system for all BY2012 IT Budget Initiatives by March 5, 2010. FINAL adjustments to eCPIC must be made by May 5, 2010.
- 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 NOAA/OCIO preparing the DOC One-Pagers for the Line Office project managers, and the “pre-Secretarial Budget Submission” presentation requirements are for:

1. The 2-page PCS
2. The IT Quad Chart
3. A well-prepared Exhibit 300.

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 IT Quad Chart (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?