CHAPTER 18
INFORMATION TECHNOLOGY RESOURCES AND NATIONAL SECURITY SYSTEMS

CHAPTER 18

INFORMATION TECHNOLOGY
&
NATIONAL SECURITY SYSTEMS

1801 GENERAL

180101   Purpose

A.   This chapter provides instructions applicable to supporting budgetary material and congressional justification for Information Technology (IT) and National Security *S*ystems (NSS) and programs as well as discussing requirements for Electronic Government (E-Gov) assessments.

B.   These instructions apply to the Office of the Secretary of Defense (OSD), the Military Departments (including their National Guard and reserve components), the Joint Staff, Unified Commands, the Inspector General DoD, the Defense Agencies, the DoD Field Activities, the Joint Service Schools, the Defense Health Program, and the Court of Military Appeals.

180102   Submission Requirements

A.   General guidance for submission requirements is presented in Chapter 1 *of the Financial Management Regulation (FMR)* and in the *OSD* Program/Budget guidance memos. This chapter covers specific *submission and* distribution instructions for the IT, and NSS resources. All applicable automated database updates*/*formats will be submitted for both the OSD Program/Budget Estimates Submission and the *C*ongressional justification submission referred to in DoD as the President's Budget (PB) *r*equest. *Only* after *the Office of Management and Budget (*OMB) database is updated and OMB has approved the information for release, OASD Networks and Information Integration (*NII*) *will* further distribute information, as appropriate, to Congressional committees, GAO and IG activities.

B.   *These instructions require that* all Defense Components that have any resource obligations supporting IT/NSS in any fiscal year *of the FYDP* will report IT/NSS data *in preparation for* the DoD *Component's* (Army, Navy/MC, AF, and Defense Wide*)* inputs to OMB Circular A-11 (*Exhibit* 53 and *Exhibit* 300*),* E-Government reviews, governance documents *as* required by OMB Circular A-130, "Management of Federal Information Resources," budget analyses, special data calls and Congressional displays. All DoD appropriation accounts and funds are encompassed with the exception of non-appropriated funds (NAF) and Corps of Engineers civil works appropriations.

C.   Chapter 18 covers IT/NSS submissions, incorporating Command & Control (C^2), Communications and related programs, Combat ID, Information Assurance (including Information Systems Security), meteorological and navigation systems/programs as well as E-Gov submissions.

D.   The following IT resources are generally exempted from IT reporting:

1   Acquired by a Federal Contractor which are incidental to the performance of a Federal Contract;

2.   Programs, *p*rojects, and activities embedded in non-C2/Comm *or* weapon system*s* or embedded in Service force structure and, therefore, not readily identifiable in the budget. Final definition resides with OASD(NII) to determine the reporting of C3 activities. C2 and Communications systems will be recorded in the NII Resource DataBase.

3.   Highly sensitive and special access programs whose resources are specifically exempted from budget reporting by the ASD(NII) and other OSD authorities. In general, these resources are reviewed through separate budget processes.

4.   Joint Military Intelligence *Program* and Tactical Intelligence and Related Activities (JMIP/TIARA) programs may be submitted via Chapter 16 requirements with prior notification to OASD (*NII*). The Intelligence Community Management Staff submits national Foreign Intelligence Programs via separate mechanisms.

5.   For President's Budget and Congressional Justification *m*aterials: Intelligence IT resources funded via *the National Foreign Intelligence Program (*NFIP*)* and special access programs continue to be exempted from IT/NSS Congressional Justification materials.

E.   *Instruction contained herein also requires that all Defense Components* prepare separate executive overviews and performance reporting.

F.   OASD *(NII)* Deputy Chief Information Officer (CIO) will designate initiatives that will be reported on DoD Capital Asset Plan and Business Case exhibits to meet A-11, Exhibit 300 requirements for business case justifications to be reported to OMB and appropriately extracted for Congressional reporting requirements. Capital Asset Plan and Business Case reporting is not limited to acquisition or development and modernization programs. A-11, Section 300 specifically discusses the broad requirements for legacy and sustainment initiative reporting as well as Electronic Government and Financial initiatives.

G.   *Statement of Compliance* Requirement: The IT/NSS submissions are electronic transmissions, however, both the CIO and the CFO of the component must sign a joint or coordinated transmittal memo that *states* that the submission*s* are complete; accurately aligned with primary budget, program and/or acquisition materials; and are consistent with Clinger-Cohen, *OMB Circular A-11 and documented exceptions to the Circular, DoD CIO budget guidance memorandum*, Paperwork Reduction and other applicable Acts and requirements. *Statement may be based on the Program Manager's statement of compliance. Statement should also include explanations for investments that do not conform to DoD CIO budget guidance memorandum.* This *statement of compliance* must be provided within *10 calendar* days of the due date of the electronic submission for the program/budget submission in September, and within *10 calendar* days *after the FYDP has locked for* the final submission for the President's Budget Request submission. *Submissions provided by the due date for entry into the Information Technology Management Application (ITMA) will be treated and distributed as "preliminary". Additional fine-tuning of DoD and component overall budgets due to clean up actions and/or late breaking modifications can potentially alter the preliminary submissions. Coordination and reconciliation with other budget exhibits must take place before final submission. To the greatest extent possible resource changes within the component budget, should net to zero between the preliminary and final submissions. Final submission requirements will be addressed within the NII IT Budget Guidance memo.*

H.   *If* OMB requires additional governance information to accompany the IT/NSS budget*, the* DoD CIO will determine how these requirements will be met, and provide that information by separate notification to the DoD CIO *C*ouncil.

I.   *Appointment of qualified project managers for projects/programs listed in the Capital Investment Reports (CIRs) continues to be of high-level interest. Components are charged to provide complete identification and documentation to comply with Project Manager reporting requirements that may be requested in the budget submission guidance.*

180103   Preparation of Material

A.   This section covers material reporting requirements for IT/NS*S* resources that will be submitted to the *OASD (NII).* The Director, Information Assurance, OASD (*NII*) and the National Security Agency (NSA), prepare a single Defense Information System Security Program (ISSP) Congressional Justification Book supporting *DoD's* overall Information Assurance efforts. The DIAP staff ensures *that* this additional IA information *includes* the IT/NSS data submissions.

B.   The DoD CIO will provide an augmenting guidance letter *annually* on or about June 30th *of the reporting year. The guidance will include changes in submission requirements and special areas of emphasis, a* listing *of* the initiatives that require *an* Exhibit 300 *or CIR* to meet A-11, Section 53, E-Government*, and Congressional Requirements (Selected Capital Investment Reports (SCIRs) and FY2003 DoD Authorization Act Section 351).*

C.   *All IT/NSS resources must be managed in accordance with appropriations guidance and applicable expense and investment criteria.*

D.   All resources will be reported within initiatives. Initiatives can be systems, programs, projects, organizations, activities or family of systems. Each component will manage their initiatives through the Information Technology Management Application (ITMA). *Initiatives are registered with key categories of data, GIG breakouts and other categorization requirements.* To register a new initiative not previously reported in the IT exhibits and not yet assigned an initiative number, *C*omponents access the on line registration capability of the ITMA*. An* Initiative *N*umber *is* associated with the *initiative's* name, functional area/C&CI category; system grouping; and other pertinent management information. The current and archived lists of initiatives are maintained on the ITMA web page.

E.   *Financial Management and Financial Feeder systems*

     1.   OMB requires reporting of financial systems that obligate/cost more than $.500M in any fiscal year and further designates them a major system for purposes of related reporting requirements, such as the Exhibit 300. However, DoD has asked for *and received an exemption to this requirement. The budget reporting guidance document will provide the latest information on the exact nature of the exemption and will clarify which systems will be reported.*

     2.   Financial Management systems are reported as 100% financial in ITMA. Financial feeder systems must report a percentage estimate of how much of their initiative is financially focused. These percentages are captured in the ITMA per initiative. These percentages should be a close approximation of information provided in the Exhibit 52.

     3.   All Financial Management systems that include more than 1 million dollars in modernization funding (RDT&E, Procurement or O&M) in any one-year of the FYDP must be its own separate initiative. Financial Feeder systems that include more than 1 million dollars in modernization funding (RDT&E, Procurement or O&M) in any one year of the FYDP on the financial portion of their systems must be its own initiative.

F.   *Family of Systems. Initiatives can be a family of systems if all the systems are within the same Business Modernization Management Program or Mission Area Domains; managed under the same construct and are financed under the same resource construct (program/project/organization). In addition, a family of systems can only include 1 system, which includes more than 1 million dollars in modernization funding (RDT&E, Procurement or O&M). It can include other systems, which directly integrate into the primary system's mission area and do not break the $1M threshold.*

G.   For all system initiatives, Components must report the percentage of resources supporting Information Assurance (IA) activities for the budget year. For Information Assurance Activities (IAA) initiatives, this value is reported as 100% IA and Components shall provide justification to NSA, to be included in the IA/ISSP Congressional Justification Book per IA/ISSP Guidance.

H.   All initiatives designated major by the DoD CIO require a exhibit 300 (CIR and SCIR). Regardless of actual investment by an individual submitting activity, all funding for major category IT activities will be reported in the IT exhibit *as major.* Components that serve as the executive or principal funding agent in the major systems and initiatives/acquisitions will report all sections of the Exhibit 300. ***OMB categorizes a*ll E-government initiatives as major initiatives*.   However,* the DoD CIO will designate which *E-government initiatives will require CIRs and SCIRs in* guidance issued to the DoD CIO council.**

180104   References

     A.   Chapter 1 provides general funding and appropriation policies, including expense and investment guidance. That chapter also discusses general preparation instructions and distribution requirements. Chapter 3 provides guidance on Operation and Maintenance appropriation*s*; Chapter 4 addresses requirements for Procurement *appropriations;* Chapter 5 addresses RDT&E; Chapter 6 provides specific policies related to Military Construction appropriations; and Chapter 9 provides specific policies related to the Defense Working Capital Fund (DWCF). Chapter 16 discusses requirements for NFIP, TIARA, and JMIP justification materials. *IA/*ISSP justification guidance is provided via an annual guidance letter.

     B.   DoD Directive 5000.1, "Defense Acquisition," and *the DoD Acquisition Guidebook* discuss acquisition and program management requirements to help prepare the Capital Asset Plan and Business Case format for acquisition programs.

     C.   Office of Management and Budget (OMB) Circular No. A-11, "Preparation and Submission of Budget Estimates"- Section 53, Information Technology and E-Government and Section 300, Planning, Budgeting, Acquisition and Management of Capital Assets- provide the general Federal reporting requirements for IT/NSS resources.

     D.   The Paperwork Reduction Act of 1995 and the Public Law 104-106 (Clinger-Cohen Act of 1996) should be referenced for supporting definitions regarding IT/NSS.

     E.   OMB A-130, "Management of Federal Information Resources" provides guidance on governance requirements including the Documented Capital Planning and Investment Control (CPIC) process*,* Agency Enterprise Architecture *and the* Information Resource Management Plan (IRM)*.*

180105   Definitions

1.   **Budget Initiative Number (BIN).** See Initiative Number.

2.   **Communications and Computing Infrastructure (C&CI).** *The* C&CI *reporting category includes* the information processing (computing)*,* transport (communications) and infrastructure management service*s* used *in DoD* such as voice, data transfer (including electronic commerce and business interfaces), video teleconferencing, and messaging. The C&CI category *is subdivided into* operational areas and designated special interest programs.

3.   **Communications.** Communications elements include fixed plant, sustaining base infrastructure in the US and selected overseas locations; long haul transmissions via Defense-owned or leased terrestrial facilities; transmissions via satellite or other radio systems; and mobile, tactical transmission systems.

4.   **Command and Control (C$_2$).** The facilities, systems, *and* manpower essential to a commander for planning, directing, coordinating and controlling operations of assigned forces. C$_2$ capabilities cover the joint/tactical operations echelon and down to front line tactical elements.

5.   **Computing Infrastructure.** Program Function/Area of Communications and Computing Infrastructure (C&CI). Automated information processing operations reported in this section generally perform one or more of the following functions: processing associated with agency-approved automated information systems; timesharing services; centralized office automation; records management services; or network management support. Staff associated with *these* operations includes computer operators, computer system programmers, telecommunications specialists, helpdesk personnel and administrative support personnel.

6.   **Current Services (CS).** At the Federal level, this is referred to as Steady State (SS). Current Services represents the cost of operations at a current capability and performance level of the application, infrastructure program and/or initiative when the budget is submitted. That is, what the cost would be if nothing changes

from the baseline other than fact-of-life reductions, termination or replacement. Current Services include: (1) Those personnel whose duties relate to the general management and operations of information technology, including certain overhead costs associated with PM offices; (2) maintenance of existing application, infrastructure program or initiative; (3) corrective software maintenance, *including* all efforts to diagnose and correct actual errors (i.e., processing or performance errors) in a system; (4) maintenance of existing voice and data communications capabilities; (5) replacement of broken IT equipment needed to continue operations at the current service level; and (6) all other related costs not identified as Development/Modernization.

7. **Data Administration.** Program Area of Related Technical Activities. Activities reported in this area include: Data sharing and data standardization. Component data administration programs are defined in the Data Administration Strategic Plans.

8. **Development/Modernization (Dev/Mod).** Also referred to as development/modernization/ enhancement. Any change or modification to an existing Information System (IS), program, and/or initiative that results in improved capability or performance of the baseline activity. Improved capability or performance achieved as a by-product of the replacement of broken IT equipment to continue an operation at the current service levels is not categorized as Development/Modernization. Development/Modernization includes: (1) program costs for new applications and infrastructure capabilities that are planned or under development; (2) any change or modification to existing applications and infrastructure capabilities which is intended to result in improved capability or performance of the activity. These changes include (a) all modifications to existing operational software (other than corrective software maintenance); and (b) expansion of existing capabilities to new users; (3) changes mandated by Congress or the Office of the Secretary of Defense; (4) personnel costs for Project Management

9. **Financial Feeder Systems**: Also referred to as Mixed system*, or* secondary financial system*s. These are* information system*s* that support both financial and non-financial functions such as logistics, acquisition, *and* personnel. *They provide* key information required by financial processes. For *a* feeder system, all *C*omponents must report *the* percentage of the system that supports financial requirements*.*

10. **Financial Management Systems***:* See also Financial Feeder Systems; Mixed Systems. Applications or portions of applications that are necessary to process or support financial management activities. These *systems* collect, process, maintain, transmit, *and/or* report data about financial events or supporting financial planning or budgeting activities. *These* systems may also accumulate or report cost information and support the preparation of financial transactions or financial statements *or* track financial events and provide information significant to the *Agency's* financial management.

11. **Global/Functional Area Applications (G/FAA).** Also referred to as Global Applications. *Global, or Functional Area Applications* are associated with all DoD mission areas—C2, Intelligence and combat support, combat service support areas, and the DoD business areas. Selected initiatives will be categorized as NSS. *Global applications* rely upon the network, *c*omputing and *c*ommunication management services including information processing, common services, and transport capabilities of the Communications and Computing Infrastructure. Related technical activities provide the architectures, standards, interoperability, and information assurance that these *applications* require to operate effectively as part of the Defense Information Infrastructure. Although an application/system may serve more than one function, it is generally classified according to its predominate function across the department. *Each* Functional Application category is *subdivided* into Functional Areas that equate to principal staff functions and activities.

12. *Global Information Grid (GIG).* The GIG supports all DoD missions with information technology for national security systems, joint operations, Joint Task Force, Combined Task Force commands, and DoD Business operations that offer the most effective and efficient information handling capabilities available, consistent with National Military Strategy, operational requirements and best value enterprise level business practices. (Discussions of a Federal Enterprise Architecture Business *(FEA)* Reference Model are *in progress. Upon completion,* the GIG concepts and the *GIG* architecture may be modified to incorporate *FEA* requirements as well as the *Business* Management *Modernization Program (BMMP)* Architecture *also* under development.) The GIG is based on a common, or enterprise level, communications and computing

architecture to provide a full range of information services at all major security classifications.

13. **Information Assurance (IA). Regardless of OMB Section 53 guidance in A-11*,* DoD categorizes this** *as* **a major reportable category of the GIG/IT/DII.** *IA* include*s* all efforts that protect and defend information and information systems by ensuring their availability, integrity, authentication, confidentiality, and non-repudiation. *Also included are all provisions* for the restoration of information systems by incorporating protection, detection, and reaction capabilities. As such*,* IA is broader in scope than information systems security and reflects the realities of assuring the timely availability of accurate information and the reliable operation of DoD information systems in increasingly globally inter networked information environments.

14. *IT Resources.* The Office of Management and Budget Circular A-11 uses the term Information Technology (IT) Resource*s* to describe a category of resources covered by the Public Law 104-106 (Clinger-Cohen Act of 1996). *The term investment within the A-11 is very broad and includes IT/NSS resources in all life cycle phases (planning, acquisition or steady state).* The Clinger-Cohen Act also defines National Security Systems (NSS).

15. **Information System (IS).** *Set of information resources organized for the collection, storage, processing, maintenance, use, sharing, dissemination, disposition, display, or transmission of information. Includes automated information system (AIS) applications, enclaves, outsourced IT-based processes, and platform IT interconnections.* To execute information systems, the component must support the software applications, the supporting communications and computing infrastructure and the necessary architectures and information security activities.

16. **Information Technology Management Application (ITMA).** The electronic system used by OASD (NII) to collect information and generate reports mandated by OMB and Congress for IT expenditures. The ITMA is a database application to plan, coordinate, edit, publish, and disseminate Information Technology (IT) budget justification books required by the Office of Management and Budget (OMB) and Congress. The ITMA generates all forms, summaries, and pages used to complete the publishing of the IT/NSS Congressional Justification materials (the IT-1, overviews, Selected Capital Investment Reports required by Section 351) and OMB submissions, such as the exhibit 53 and the Capital Investment Reports (CIR/Exhibit 300s). The ITMA provides users the ability to gain access to critical information needed to monitor and analyze the IT budget submitted by the Services and Agencies.

17. **Information Technology Resources**. The Information Technology (IT) Resources that must be reported under this chapter are defined by OMB Circular A-11 and described by P.L.104-106 *(the* Clinger-Cohen Act of 1996*) and include NSS resources.* In particular, Information Technology means any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. It includes computers, ancillary equipment, software, firmware and similar services and related resources whether performed by in-house, contractor, other intra-agency or intergovernmental agency resources/personnel. Both system and non-system IT resources including base level units (communications, engineering, maintenance, and installation) and management staffs at all levels are included in IT resource reporting.

18. **Initiative Number (IN).** Also referred to as the Resource Identification Number for IT Initiatives or Budget Initiative Number (BIN). A four-to-eight digit *identification* number is assigned to initiatives, programs and systems that are reported in the IT budget.

19. **Life-Cycle Cost (LCC).** *LCC represents t*he total cost to the government for an IS, weapon system, program and/or initiative over its full life. It includes the cost of requirements analyses, design, development, training, acquisition and/or leas*ing*, operations, support and, where applicable, disposal. *LCC* encompasses direct and indirect initial costs plus any periodic or continuing sustainment costs, all contract and in-house costs, all cost categories and all related appropriations/funds. *LCC may be broken down to describe the cost of delivering a certain capability or useful segment of an IT initiative. LCC normally includes 10 years of sustainment*

funding following Full Operational Capability.

20. **Major Category.** A system or initiative requiring special management attention because of its importance to an agency mission; its high development, operating, or maintenance costs; or its significant role in the administration of agency programs, finances, property or other resources. *A system or initiative that has been categorized as "Major" can include resources that are associated with the planning, acquisition and /or sustainment life cycle phases.* Large infrastructure investments (e.g. major purchases of personal computers or local area network improvements) should be considered major *initiatives. Includes programs labeled as ACAT 1A under DoD 5000 series documents.*

21. **Mixed System:** See Financial Feeder System.

22. **National Security Systems (NSS).** Any telecommunications or information system operated by the United States Government, the function, operation, or use of which--involves intelligence activities*,* cryptologic activities related to national security*, or* command and control of military forces*,* equipment that is an integral part of a weapon or weapons system*,* or is critical to the direct fulfillment of military or intelligence missions*. NSS* **does not** include a system that is to be used for routine administrative and business applications (including payroll, finance, logistics, and personnel management applications).

23. **Steady State (SS).** See definition for Current Services.

24. **Obligations/Cost.** For IT budget reporting *purposes*, obligations are the amount an agency has committed to spend on information technology in a given fiscal year. For the DWCF, *insert* cost wherever "obligations" is used in this guidance.

25. **Office Automation (also referred to as "Desktop Processing").** Facilities that support file servers or desktop computers, and *are used for* administrative processing (i.e. word processing, spreadsheets, etc) rather than application processing, should be reported as Office Automation (listed as a separate function).

26. **Other Category (also** *referred to as* **"All Other").** For those "Development/Modernization" and/or "Current Services" costs/obligations as well as initiatives not designated in the major categories. "Other" category initiatives are aligned *with* the applicable GIG/IT/DII Reporting Structure-- functional/mission area (see Section 180106*).*

27. **Program Cost (also referred to as Initiative Cost).** The total of all expenditures, in *all* appropriation*s* and fund*s*, directly related to the IS, program, or initiative'*s* definition, design, development, and deployment*;* incurred from the beginning of the "Concept Exploration" phase through deployment at each separate site. For incremental and evolutionary program strategies, program cost includes all funded increments. Program cost is further discussed in DoD 5000 *series* documents.

28. **Related Technical Activities (RTAs).** Related Technical Activities service global/functional applications, C&CI and IA. While these activities do not directly provide functional applications, data processing, or connectivity, they are required to ensure that the infrastructure functions as an integrated whole and meets DoD mission requirements. RTAs include *such things as* spectrum management, development of architectures, facilitation of interoperability, and technical integration activities. RTAs could be considered as *necessary* "overhead" *for* the GIG/DII. See Section 180106 for *the* GIG/IT/DII Structure Table. The RTA category is *subdivided* into limited Program Areas.

29. **Special Interest Communications Programs.** Program Area of the IT/DII Communications and Computing Infrastructure (C&CI) division. Electronic Commerce/Electronic Data Interchange *and* Distance Learning Systems *are special interest programs that should be reported in this area.* The resource category "Other" may not be used *with Special Interest Communications.*

30. **Technical Activities.** Program Area of Related Technical *A*ctivities. This refers to activities that deal with testing, engineering, architectures and inter-operability. *Technical Activities are those involved* with testing,

engineering, architectures and interoperability.

180106   Reporting Structure

All information technology resources will be associated with at least one Information Technology/Defense Information Infrastructure (IT/DII) Reporting categories. Initiatives are also reported by appropriation details and by *"major"* and *"other"* categories. The ITMA records these business rules. Initiatives that cross more than one functional area, C&CI, RTA, or IA area may need to be broken down by area and registered in the Master BIN List maintained by OASD (*NII*). For the most part, the reporting area is based on the preponderance of the mission concept.

Global Information Grid (GIG)
and
Information Technology/Defense Information Infrastructure (IT/DII) Reporting Structure

A. Global/Functional Area Applications Area	B. Communications and Computing Infrastructure (C&CI)	C. Related Technical Activities (RTA's)	D. Information Assurance Activities
1. Civilian Personnel 2. Command and Control 3. Economic Security 4. Environmental Security 5. Finance* 6. Health 7. Information Management 8. Information Operations/ Warfare 9. Intelligence 10. Logistics 11. Military Personnel & Readiness 12. NBC Defense Programs 13. Other 14. Policy 15. Procurement/ Contract Administration 16. Reserve Affairs 17. Science and Technology 18. Security Activities (non IA) 19. Space 20. Systems Acquisition Management 21. Test and Evaluation 22. Transportation 23. Weapons Systems *Mixed systems will be categorized	1. User Productivity Tools (a) Common Access Card/ Smart Card (except PKI) (b) Electronic Business/ Electronic Commerce 2. Communications Infrastructure (End User, Telephone Services, LAN, CAN, OAN, MAN, WAN) 3. Computing Infrastructure (End User; Local Servers, Regional/ Global Computing, Development Environments) 4. Information Distribution Services (Seat Management, etc) 5. Computing and Network Management Services	1. Spectrum Management 2. Data Administration 3. Technical Activities (e.g. Testing Engineering Architectures) 4. Planning-Business Process Reengineering and Pre Milestone 0 Activities 5. Advanced Research and Development Activities (e.g. Next Generation Internet)	(ISSP and *other IA*) *1. Protect Information* *2. Defend Systems & Networks* *3. Provide Integrated IA Situational Awareness/IA Command & Control (C2)* *4. Transform & Enable IA Capabilities* *5. Create an IA Empowered Workforce* *6. General Support/Other*

• Numbered or Lettered levels indicate the minimum reporting level.

1802   PROGRAM AND BUDGET ESTIMATES SUBMISSION

180201 Purpose

This section provides guidance for preparation and submission of *Information Technology and National Security Systems and Program resources* budget estimates to the OASD (*NII*)/OSD, and for preliminary updates to Office of Management and Budget resource exhibits in September in preparation for the OMB passback and IT budget hearings. Resources reported in the IT/NSS submission *must* be consistent with other primary appropriation justification and FYDP submissions. Supplemental guidance may be issued for other data requirements directed by the DoD CIO, *Congress* or *OMB*. Timelines for updates will be provided *as information becomes available* and *will be* designated in the program and budget call memo. Technical requirements and templates are provided *on* the Web page or through ITMA.

180202 Submission Requirements

A.   The following *information is required.* Unless modified in a subsequent budget call, Components *will* use the formats on the ITMA Web page (http://itma.itis.osd.mil/) and provide an automated submission.

1. **Initiative Data;** *Update, delete, and modify initiative data to accurately represent the current environment for the initiative. This includes GIG Category, Mission Area and other initiative definition requirements.*

2. **Update Resource Data per Initiative:** *Collects resources by Component, Appropriation/Fund (Treasury Code); Budget Activity/Line Item; OSD Program Element Code; PY, CY, BY, BY+2, +3, +4, +5, and+6.*

3. **DoD-300**: *Capital Asset Plan and Business Case (IT) for major initiatives. Also known as the Exhibit 300 (or CIR), as discussed in OMB's A-11 Section 300, Planning, Budgeting, Acquisition, and Management of Capital Assets.*

B.   Distribution of the OSD budget estimates material will be available electronically through the ITMA site.

C.   Additional reporting requirements will be identified in the call memorandum, as necessary. Additional management and supporting data may be designated by the Chief Information Officer (CIO) to support detailed justification requirements.

180203 Arrangement of Backup Exhibits

The ITMA will provide an option to assemble information in the sequence shown in Section 180202, as applicable. Components will be able to generate Exhibit 53 level data output*s* for internal review only.

1803   CONGRESSIONAL JUSTIFICATION/PRESENTATION

180301 Purpose

This section provides guidance for the organization of justification material on IT and NSS resources submitted in support of the President's Budget. The Department will submit draft and final, consolidated outputs to OMB in the January timeframe and for Congress by the date set by the Comptroller, usually in the last week of February.

180302 Justification Book Preparation

Justification information will be output from the ITMA system, reflecting OMB requirements for Exhibits 53 and 300 reporting. Special outputs will be designed for selected initiatives and summaries based on *C*ongressional requirements. Component requirements and review of these outputs will be discussed in the final budget call memorandum. Congressional justification materials will be extracted or derived from materials developed for OMB updates.

180303 Submission Requirements

Submission requirements are as specified in Section 180202*,* except as noted below:

- ***IT/NSS Overview****: Information Technology Investment Portfolio Assessment Overview is an Executive summary of a Component's IT/NSS Investments providing high-level justification of the portfolio selections and priorities. Information provided must be consistent with the Component's overall budget justification materials. An Information Assurance section is required and must be consistent with information reported in IA justification materials, ISSP justification and financial reporting. Format will be provided via the ITMA web page or NII budget guidance.*

- ***SCIR.*** *Add/Update/Modify SCIR data within the ITMA for all initiatives designated by OSD NII as major.*

180304 Input for Summary Information Technology Justification Books

A. <u>General</u>. All exhibit data shall be submitted in automated form and be consolidated in the ITMA (http://itma.itis.osd.mil/). The OASD (*NII*) is responsible for providing the DoD Information Technology summary tables of the IT and NSS data in accordance with prior congressional direction. The ITMA will generate the OMB and Congressional President's Budget reporting package*s* once the *Component* IT Overview and Exhibit 300 documents have been *submitted* to the OASD (*NII*) Director of Resource Management and/or posted to the ITMA web page*.* The ITMA will generate correct identification information, a cover page, a table of contents, overview and appendices; *the* IT Index, report, annex and appendix and the Exhibit 300 or Congressional extract reports. These will generate a single, integrated submission in Microsoft Word format that can be used for internal coordination. To accomplish this requirement, the Defense Components will populate the ITMA to generate their submission. The OASD (*NII*) will maintain (and make available to components and OSD staff) the electronically submitted IT/NSS Budget database. Other specific guidance for IT budget materials will be provided as required.

B.   Distribution of the final appropriately released justification material *will be made* electronically and *by* CD ROM to Congress and the OMB. *Releasable* Information will be available *through* public web site*(s)*. CD ROM will be provided to the Government Accounting Office (GAO) and the DoD Inspector General.

- OASD (*NII*) will provide OMB data for review.

- *Components* will send *their* draft versions through final Security Review IAW Comptroller instructions and provide *copies* of the appropriate release form to OASD (*NII*), ODASD(P&E)*, the* Director of Resource Management, and as an attachment to the President's Budget Request transmittal form, due

within 5 working days of final submission.

- OASD (*NII*) will consolidate electronic submissions from the Defense Components *and* prepare integrated and individual portfolio overviews, summary information and graphics. *The justification books will be forwarded to OMB for review and approval to release.*

- Once OMB *has released the justification books*, the summary and detail data will be transmitted to *the Congress (House Defense Appropriations Subcommittee, Senate Defense Appropriations Subcommittee, House Armed Services Committee, and Senate Armed Services Committee).* Any data made available to Congress will be available on the *public* web page*(s)* and via CD ROM distribution made in accordance with the format, table and media guidance (Justification Material Supporting the President's Budget Request) in Volume 2, Chapter 1.

1804   INFORMATION TECHNOLOGY PROGRAM SUBMISSION FORMATS

180401 Format Location

The required input formats are located on the ITMA Web page (http://itma.itis.osd.mil/).