## CHAPTER 18
## INFORMATION TECHNOLOGY RESOURCES AND NATIONAL SECURITY SYSTEMS

CHAPTER 18

INFORMATION TECHNOLOGY
&
NATIONAL SECURITY SYSTEMS


**01801     GENERAL**

**180101     PURPOSE**

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

2.    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.  All DoD appropriation accounts and funds are encompassed with the exception of non-appropriated funds (NAF) *and Corps of Engineers civil works appropriations*.

 3.    All Defense Components that have any resource obligations supporting Information Technology (IT)/National Security Systems (NSS) in any fiscal year will report Information Technology/National Security System data to prepare the *DoD Components (Army, Navy/MC, AF, and Defense Wide  inputs to OMB Circular A-11 (53 and 300 exhibits, E-Government reviews, governance documents required by OMB Circular A-130, "Management of Federal Information Resources," budget analyses, special data calls and Congressional displays*.

4.    Military Departments will prepare separate executive overviews and performance reporting, as will DISA, DLA, DFAS, DHRA, OSD, *TRANSCOM* and WHS.  Other Defense Agencies and Activities will provide information that will be incorporated into a comprehensive Defense Wide overview.

5.    *OASD ($C^3I$) Deputy 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.*

**180102     Submission Requirements**

General guidance for submission requirements is presented in Chapter 1 and in the Program/Budget guidance memos.  This chapter covers specific distribution instructions for the Information Technology and National Security systems and programs, *which are only produced and distributed electronically*.  All applicable automated data base updates/formats will be submitted for both the OSD Program and Budget Review Submission and the congressional justification submission referred to in DoD as the President's Budget (PB) Request.  After OMB data base is updated and OMB has approved the information for release, will the OASD ($C^3I$) further distribute information, *as appropriate*, to Congressional committees, GAO and IG activities.  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. *Joint Military Intelligence and Tactical Intelligence and Related Activities (JMIP/TIARA) programs may be submitted via Chapter 16 requirements with prior notification to OASD ($C^3I$).* The Intelligence Community Management Staff submits national Foreign Intelligence Programs via separate mechanisms.

Certification 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 certifies that the submission are complete; accurately aligned with primary budget, program and/or acquisition materials; and are consistent*

*with Clinger-Cohen, Paperwork Reduction and other applicable Acts and requirements.  This certification must be provided within 3 working days of the due date of the electronic submission for the program/budget submission in September, and within 5 working days of the final submission for the President's Budget Request submission.*

*OMB requires additional governance information to accompany the IT/NSS budget.  The Department of Defense CIO will determine how these requirements will be met, and provide that information by separate notification to the DoD CIO council.  This information will be posted on the CIO portal and the ITMA web page.*

**180103    PREPARATION OF MATERIAL**

This section covers material reporting requirements for the IT/NS systems that will be submitted to the Office of the Assistant Secretary of Defense (Command, Control, Communications, and Intelligence). The Director, Information Assurance, OASD ($C^3I$) and the National Security Agency (NSA), prepare a single Defense Information System Security Program (ISSP) Congressional Justification Book supporting the overall Information Assurance efforts of DoD.   The DIAP staff ensures this additional IA information using the IT/NSS data submissions.

**180104    References**

1.    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 while 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.  ISSP justification guidance is provided via an annual guidance letter.  *The DoD CIO will provide an augmenting guidance letter on or about June 30, 2002, listing the initiatives that require Exhibit 300 to meet A-11, Section 53 and E-Government requirements.*

2.    DoD Directive 5000.1, "Defense Acquisition," and DoD Regulation 5000.2-R, "Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs" discuss acquisition and program management requirements to help prepare the *Capital Asset Plan and Business Case format for acquisition programs..*

3.    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.  *Chapter 18 is the official implementation guidance for the A-11 submission requirements for IT/NSS and E-Gov reporting.*

4.    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.  Chapter 18 and supplemental guidance also incorporates other requirements developed as a result of OMB, DoD, and congressional direction.

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

**180105    Definitions**

Chapter 1 provides policies and definitions regarding the application of expenses and investment criteria for budgetary purposes.  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 Clinger-Cohen Act also defines National Security Systems (NSS).

The DoD Chief Information Officer (CIO) uses the terms 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 practice*s*.  *Ongoing discussions of a Federal Enterprise Architecture Business Reference Model are being completed, at that time the GIG concepts and the C4ISR architecture may be modified to incorporate Federal Architecture requirements as well as the Financial Management Improvement Architecture 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.  All applications shall be planned, designed, and implemented to use common GIG assets.  Commercial Off-the-Shelf applications shall be in compliance with the GIG Architecture.  Based on the GIG construct, communications and computing infrastructure capabilities will be separated from the applications and the information assurance and related technical activities in the presentation of systems, programs and initiatives throughout the acquisition process and in the development/presentation of the IT/NSS exhibits:

1. **Budget Initiative Number (BIN)- see Initiative Number.**

2. **Communications and Computing Infrastructure (C&CI).** Reportable category of C&CI provides the information processing (computing) and transport services (communications) and infrastructure management service*s* used by functional applications. These DoD common services are communications applications such as voice, data transfer (including electronic commerce and business interfaces), video teleconferencing, and messaging. Within the C&CI category, there is a further division by operational areas and designated special interest programs.

3. **Communications.** Communications capabilities elements include fixed plant, sustaining base infrastructure in the US and selected overseas locations; long haul transmissions via Defense-owned or leased terrestrial facilities; deployable transmissions via satellite or other radio systems; and mobile, tactical transmission systems that allow war fighters to exchange information while on the move wherever they might be located.

4. **Command and Control (C$^2$).** The facilities, systems, 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; time-sharing services; centralized office automation; records management services; or network management support. Staff associated with the operations here 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's or replacement systems becoming operational. 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 which includes 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 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 an 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 a Mixed system and secondary financial system. This is an information system that supports both financial and non-financial functions such as logistics, acquisition,*

*personnel.  Provides key information required by financial processes.  For feeder systems, all components must report a 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 collect, process, maintain, transmit, report data about financial events or supporting financial planning or budgeting activities.  Systems may also accumulate or report cost information and support the preparation of financial transactions or financial statements.  Systems track financial events and provide financial information significant to the financial management of the agency.  *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 exemptions to this reporting especially for legacy systems.  Financial Management systems are reported as 100% financial.*

11. **Global/Functional Area Applications  (G/FAA).**  Also referred to as Global Applications.  Reportable category of 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. They rely upon the network, Computing and Communication 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 systems 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.  Within the Functional Application category, there is a further division into Functional Areas that equate to principal staff functions and activities.

12. **Information Assurance (IA).**  *Regardless of OMB Section 53 guidance in A-11 (2002) DoD categorizes  this is a major reportable category of the GIG/IT/DII.*  Efforts include all efforts that protect and defend information and information systems by ensuring their availability, integrity, authentication, confidentiality, and non-repudiation.  These efforts include providing 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.  *For all  system initiatives,* Components must report the percentage of resources supporting IA activities for the budget year.

13. **Information System (IS).**  A combination of elements that will function together to produce the capabilities required to fulfill a mission need, including functional user, computer hardware and computer software, data and/or telecommunications links, personnel, procedures that are designed, built, operated, and maintained to perform the functions such as collecting, recording, processing, storing, retrieving, transmitting, and displaying information.  To execute information systems, the component must support both the software applications, the supporting communications and computing infrastructure and the necessary architectures and information security activities.

14. **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 Clinger-Cohen Act of 1996, P.L.104-106.  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 procedures, services, and related resources whether performed by in-house, by contractor, by 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 reporting.

15. **Initiative Number (IN).**  (Also referred to as the Resource Identification Number for IT Initiatives or Budget Initiative Number (BIN).  A four to eight digit initiative number is assigned to initiatives, programs and systems

that are reported in the IT budget.  To register a new initiative or program not previously reported in the IT exhibits and not yet assigned a number, components access the on line registration capability of the Information Technology Budget application.  *All Financial and Financial Feeder systems identified by the Financial Management Improvement Architecture Initiative must be separately registered and defined by August 22, 2002*.  Initiative numbers are associated with the name, functional area/C&CI category; system grouping; and other pertinent management information.  The current and archived lists of IN's is maintained at on the ITMA web page.

16.  **Life-Cycle Cost (LCC).**  The 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 lease, operations, support and, where applicable, disposal.  *It encompasses direct and indirect initial costs plus any periodic or continuing costs of sustainment.  Includes* contract and in-house costs, all cost categories and all related appropriations/funds.  The costs may be broken down into useable increments describing the costs associated with delivering a certain capability or segment of an IT activity.

17.  **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.  Large infrastructure investments (e.g. major purchases of personal computers or local area network improvements) should be considered major.  All systems, programs, acquisitions and initiatives designated major by the DoD CIO will be reported and an Exhibit 300 (Capital Asset Plan and Business Case).  Regardless of actual investment by an individual submitting activity, all funding for major category IT activities will be reported by all Components in the major category in the IT exhibit.  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.  *All E-government initiatives and financial systems are categorized as major initiatives by OMB, however, the DoD CIO will confirm the need to submit an Exhibit 300 by guidance issued to the DoD CIO council and posted on the ITMA web page.*

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

19.  **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; involves cryptologic activities related to national security; involves command and control of military forces; involves equipment that is an integral part of a weapon or weapons system; or is critical to the direct fulfillment of military or intelligence missions (but does not include a system that is to be used for routine administrative and business applications (including payroll, finance, logistics, and personnel management applications).

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

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

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

23.  **Other Category.**  *(Also or "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 by the applicable GIG/IT/DII Reporting Structure-- functional/mission area (see Section 180106*).*

24.  **Program Cost (also referred to as Initiative Cost).**  The total of all expenditures, in any appropriation and fund, directly related to the IS, program, or initiative definition, design, development, and deployment, and 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 documents.

25. *Related Technical Activities (RTAs).*  Related Technical Activities service the 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 spectrum management, development of architectures, facilitation of interoperability, and technical integration activities.  RTAs could be considered as "overhead" services that are necessary to the GIG/DII.  See Section 180106 for GIG/IT/DII Structure Table.  Within the RTA category there is a further division into limited Program Areas.

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

27. **Technical Activities.**  Program Area of Related Technical activities.  This refers to activities that deal with testing, engineering, architectures and inter-operability.

**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, significant, and other categories.  The Information Technology Management Application 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 those areas and registered in the Master Initiative (BIN) List maintained by OASD($C^3I$).  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<br>2.  Command and Control<br>3.  Economic Security<br>4.  Environmental Security<br>5.  Finance*<br>6.  Health<br>7.  Information Management<br>8.  Information Operations/ Warfare<br>9.  Intelligence<br>10. Logistics<br>11. Military Personnel & Readiness<br>12.  NBC Defense Programs<br>13. Other<br>14. Policy<br>15. Procurement/ Contract Administration<br>16. Reserve Affairs<br>17. Science and Technology<br>18. Security Activities (non IA)<br>19. Space<br>20. Systems Acquisition Management<br>21. Test and Evaluation<br>22. Transportation<br>23. Weapons Systems<br>*Mixed systems will be categorized as secondary Financial Systems | 1.    User Productivity Tools<br>   (a)  Common Access Card/ Smart Card (except PKI)<br>   (b)  Electronic Business/ Electronic Commerce<br><br>2.  Communications Infrastructure<br>(End User, Telephone Services, LAN, CAN, OAN, MAN, WAN)<br><br>3.  Computing Infrastructure<br>(End User; Local Servers, Regional/Global Computing, Development Environments)<br><br>4.  Information Distribution Services (Seat Management, etc)<br>5.  Computing and Network Management Services | 1.   Spectrum Management<br><br>2.   Data Administration<br><br>3.   Technical Activities<br>   (e.g.  Testing Engineering Architectures)<br><br>4.   Planning-Business Process Reengineering and Pre Milestone 0 Activities<br><br>5.   Advanced Research and Development Activities (eg Next Generation Internet) | (ISSP and PKI)<br>1.   Defense the Networks & Infrastructure<br>2.   Defense the Enclave Boundary<br>3.   Defend the Computing Environment<br>4.   Supporting Infrastructures<br>5.   System Security Methodology<br>6.   Security Management<br>7.   Defensive Information Operations<br>8.   Training<br>9.   Management and Operations (general)<br>10.  IA for the Tactical Environment |

♦ *Information Assurance Activities are subdivided into Defense in Depth Categories and activities.  Initiatives reported in this category will be considered 100% IA in percentage IA reported.  All other systems report less than 100% in their  percentage information assurance.*
♦ 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 budget estimates for the Information Technology and National Security Systems and Program resources to the OASD(C³I)/OSD and for the 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 will be consistent with and tracked to other primary appropriation justification and FYDP submissions**.**  Supplemental guidance may be issued for other data requirements directed by the DoD Chief Information Officer (CIO), congressional or Office of Management and Budget (OMB) A-11 guidance.   Timelines for updates will be provided through the Information Technology Budget Web page and as designated in the program and budget call memo.  Technical requirements and templates are recorded at the Web page or through the application.

**180202  Submission Requirements**

A.    The following exhibits, for which specified formats and detailed submission formats are provided in Section 180402, are required.  Automated submission is required.

| | |
|---|---|
| IT/NSS OV | Executive summary of component's IT/NSS Investment Portfolio Assessment (streamlined submissions for smaller agencies/field activities |
| *Initiative Level Data* | *Provide information or updates to baseline through the Information Technology Management Application (ITMA) at following levels of detail:* |
| *(Supports Ex 53)* | ***Component; Initiative***; *GIG Category; Mission Area;* ***Type; Appropriation/Fund (Treasure Code); Budget Activity/Line Item; OSD Program Element Code; PY, CY, BY, BY2, 3, 4, 5, and 6***. *(bolded items are entered or interfaced with the ITMA system.) Percentage financial and percentage IA must be reported as applicable in the application.* |
| *DoD-300* | *Capital Asset Plan and Business Case (IT) for major initiatives.* |

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

C.    IT/NSS OV, Information Technology Investment Portfolio Assessment Overview is prepared by the Military Departments and  Activities *listed in 180101 (4)* Remaining components will provide input that will be incorporated into an integrated Defense Wide overview. *Simplified,* specific requirements are discussed in Section 180402. The overview will provide high level justification of the component's IT/NSS Investment portfolio and priorities. Information provided must be consistent with overall budget justification materials prepared by the Component.   An Information Assurance section is required and must be consistent with information reported in IA justification materials, and must be consistent with ISSP justification and financial reporting.

D.    Initiative level information.  Collects Information Technology/National Security System Resources by component and initiative.  Initiatives are registered with key categories of data, GIG breakouts and other categorization requirements, and resource information is collected by budget line item */program element/* appropriation/fund source and submitted electronically using the IT Budget automation.  OMB may require object class information at a later date.  Other required software guidance is contained in ITMA and is discussed in program/budget call memorandum.

E.    Capital Asset Plan and Business Case requirements, the Exhibit 300, are discussed in OMB's A-11 Section 300, Planning, Budgeting, Acquisition, and Management of Capital Assets.  DoD CIO will publish a list of initiatives that require detailed Exhibit 300 as well as the DoD format (to be posted on ITMA on or about June 30) for this reporting as discussed in the program/budget call memorandum.   This format is generally updated annually with new requirements, particularly for E-Government activities.  OMB reserves the right to request additional information related to IT business case through Federal CIO Council direction.

F.    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.

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

- Acquired by a Federal Contractor which are incidental to the performance of a Federal Contract;
- *Programs, Projects, and activities embedded in non-C2/Comm weapon system or embedded in Service force structure <u>and, therefore, are not readily identifiable in the budget</u>.  Final definition resides with OASD(C<sup>3</sup>I) to determine the reporting of C<sup>3</sup> activities.  C2 and Communications systems will be recorded in the C3ISR Resource DataBase.*
- *Highly sensitive and special access programs and whose resources are specifically exempted from budget reporting by the ASD(C<sup>3</sup>I) and other OSD authorities.  In general, these resources are reviewed through the separate or Intelligence budget processes.*

## 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 an Exhibit 53 level data output for internal review only.

**1803     CONGRESSIONAL JUSTIFICATION/PRESENTATION**

**180301  Purpose**

          This section provides guidance for the organization of justification material for the Information Technology *and National Security systems and programs* submitted in support of the President's budget.  The Department will submit draft and final, consolidated set of outputs to OMB in the January timeframe and for Congress by the date set by Comptroller, usually 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 electronic outputs will be designed for selected initiatives and summaries based on congressional requirements.   Component requirements and review of these outputs will be discussed in the final budget call memorandum.  Components may be required to extract information from selected Exhibit 300s based on Congressional requirements for presentation in justification materials.   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:

          A.     *For President's Budget and Congressional Justification Materials: Intelligence IT resources funded via NFIP and special access programs continue to be exempted from IT/NSS Congressional Justification materials.*

          B.     Initial inputs are required to be reviewed and approved by OASD(C$^3$I)/DoD CIO, and should be appropriately coordinated with component Comptroller and other OSD principle staff  prior to submission.

**180304  Input for Summary Information Technology Justification Books**

          A.  General.  All exhibit data shall be submitted in automated form.  The OASD(C$^3$I) is responsible for providing the DoD Information Technology summary tables of the IT and NSS data in accordance with prior *congressional direction and Section 1804 of this Chapter.  The Information Technology Management Application will generate the OMB and Congressional President's Budget reporting package once the IT Overview and Exhibit 300 documents have been sent electronically to the OASD(C$^3$I) 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; 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, electronic formats will be used by the Defense Components to generate their submission.  The OASD(C$^3$I) will maintain (and make available to components and OSD staff) the electronically submitted IT/NSS Budget database.  Other specific guidance for the IT budget materials will be provided as required.*

          B.     Distribution of the final *appropriately released* justification material electronically and CD ROM will be made to Congress and the Office of Management and Budget (OMB).  Information will be available on the C$^3$I public web site.  CD ROM will be provided to the Government Accounting Office (GAO) and the DoD Inspector General.

- OASD(C$^3$I) will provide OMB data for review.  *Services and Agencies* will send the draft versions through final Security Review IAW Comptroller instructions and provide a copy of the appropriate release form to OASD(C$^3$I), ODASD(P&E) Director of Resource Management, as an attachment to the President's Budget Request transmittal form, due within 5 working days of final submission.

- OASD($C^3I$) will consolidate for review by the electronic submissions from the Defense Components to prepare integrated and individual portfolio overviews, summary information and graphics.   After OMB review, OASD($C^3I$) will  distribute to OMB, Congress (House National Security Appropriations Subcommittee (2 copies), Senate Defense Appropriations Subcommittee (2 copies), House National Security Committee (2 copies), Senate Armed Services Committee (2 copies).

- Once the justification books have been released by the OMB, the summary and detail data will be transmitted to Congress.  Any data made available to Congress will be available on the $C^3I$ web page 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  Purpose**

        Electronic formats and submission requirements are provided through the OASD($C^3$I) designated Information Technology Budget Web page *at* http://140.185.43.23/itmapp2/content/OpeningPage.asp to meet requirements presented in previous sections of this chapter.  Unless modified in a subsequent budget call, Components should use the formats on the ITMA Web page.  Components will not use embedded or linked spreadsheets in Exhibit 300 or Overview word documents, unless the source spreadsheets are provided along with the Word documents.  Each document should be a separate entity - the application will integrate the documents as required.

**180402  Exhibits in Support the Information Technology Budget Submission**

All other formats are maintained on ITMA application

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(Name of DoD Component)
**Information Technology Portfolio Assessment and Overview**
(Appropriate Submission Heading)

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1.  <u>Purpose</u>.  Provide a justification of each Component's Information Technology/National Security Systems resources.

2.  <u>Submission</u>.  An Information Technology Portfolio Assessment Overview (IT PAO)  is required from all Defense Components who have any IT/NSS obligations/costs in any single PY, CY, BY-1, and/or BY-2 for information technology activities.  The information will be submitted electronically as indicated in technical guidance on the C$^3$I web page.  Hard copy and electronic data views will be ***landscape oriented***.  Submission Heading will follow the terminology required in the budget call memorandum.  Additional reporting and formatting requirements will be identified in the call memorandum, as necessary.

3.  <u>Entries</u>.  IT PAO- also referred to as the IT OV or overview.  This entry provides a narrative of the component's information technology investment portfolio.  *Electronic formats and  previous submissions are available on the Information Technology Budget Web at <u>http://140.185.43.23/itmapp2/content/OpeningPage.asp</u> .  The MILDEPS and selected Defense components listed in Section 180101 (2) will provide standalone overviews. Military Department and selected Defense Agencies and Activities (DISA, DLA, DFAS, DHRA, OSD, TRANSCOM and WHS) will submit separate overviews, Other agencies and activities will submit abbreviated overview information (bolded items below) that will be included in an overall Defense Wide discussion.  Components will provide justification of the IT/NSS investment portfolio to link to the DoD IT strategic plan; **status of actual major accomplishments from the prior PB submission and projected accomplishments for PY, CY and BY 1 supporting your Component's mission**; and address the significant priorities of the portfolio.  **A comparison of last PB resources by appropriation/fund  to current  of IT resources is required in table format and a discussion of changes, the total difference and a brief explanatory audit trail of the differences (e.g. transfers to and from the component, major changes in funding, congressional reductions, system increases, decreases, or terminations) within and between Fiscal Years.**  Major Components  will including any terminations, major initiative slippages, new starts, consolidations, and functional transfers and any additions or changes in initiatives since the last PB submission. Components will summarize increases, decreases in current resources (by appropriation/fund) from the prior baseline budget submitted to Congress and justify the changes without references to internal documents or unique terminology.  All acronyms must be spelled out at least once the first time used.* **A similar section should be included for other than appropriated fund resources (Defense Working Capital Fund, other industrial funds, or resources from other Federal Agencies)**.*.  If the component has not provided complete program/budget tracking information within the electronic application, an detailed appendix of the information can be provided by Excel spreadsheet.*

*Backup Program Budget Detail – Detailed Crosswalk of Resources to Appropriation Justification Books.  Using correct headers; for each separately reported initiative (major and non major), provide a cross reference by appropriation to the appropriate justification book.*

| Initiative Name | $ by FY | FY200x Approp/Fund | FYDP Codes | FY200x Appropriation/Fund | Budget Book Cross Reference |
|---|---|---|---|---|---|
| | | *(separate line for each funding line of the initiative)-* | | *Use title of appropriation/ treasury code* | *O&M Appns (includes DHP):  O-1 Detail (Budget Activity/Sub Activity Group) and Program Element*<br>*Procurement Appns:  P-1 Detail (Budget Activity/Line Item/Project Code)*<br>*RDT&E Appns:  R-2 Detail (PE/BA)*<br>*WC Funds:  Business Area/Elements of Detail*<br>*MILCON and Family Housing:  Line Item/Project Code*<br>*Other Appns:  As required in appropriate chapter of FMR.* |