

Department of the Navy  
Secretariat  
Information Technology  
Expenditure Approval  
Authority

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**Phase I - Implementation  
Guidance**

Version 1.1

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**DEPARTMENT OF THE NAVY  
CHIEF INFORMATION OFFICER**

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## Executive Summary

With the Defense budget facing significant cuts, finding cost saving efficiencies in information technology (IT) expenditures has become a priority. To address this challenge, in 2011 the Department of the Navy (DON) established centralized oversight of IT expenditures via three designated Information Technology Expenditure Approval Authorities (ITEAA) – one each for the Navy, Marine Corps and DON Secretariat. These authorities are responsible for approving all IT planning, programming, budgeting and expenditure actions for IT software, hardware or services at/above specified thresholds, with the objective of reducing costs without impacting mission effectiveness.

The Secretariat's ITEAA is the DON Chief Information Officer (DON CIO).<sup>1</sup> Policy requires that all IT procured in the Secretariat except normal IT supply consumable purchases (e.g. toner, print, cartridges, etc.) be approved in advance by the ITEAA or the DON Assistant for Administration (DON AA) for IT expenditures below the ITEAA threshold.<sup>2</sup> Both the ITEAA and DON AA are responsible for ensuring the DON is not paying for under-utilized, redundant or non-compliant IT equipment, software or services.<sup>3</sup>

To ease transition, these new policy requirements are being implemented in three phases. **Phase I** focuses on gathering fiscal year 2012 IT planned and actual expenditures. **Phase II** focuses on gathering fiscal year 2013 planned and actual IT expenditures and expands the ITEAA's involvement in IT Program Objective Memorandum (POM)/budget reviews through the entire Future Years Defense Program (FYDP). Additionally, during Phase II the previously manual processes and workflow is scheduled to be replaced with an automated system, the Navy Information Dominance Approval System (NAVIDAS). **Phase III** will build on the knowledge gained in Phases I and II. Over time, as processes become automated, decisions will be based on more complete information.

This document was developed to help Secretariat personnel involved with IT resource management understand and successfully execute **Phase I** Secretariat ITEAA implementation requirements. This intended audience includes: Command Information Officers (IOs)/Chief Information Officers (CIOs), Functional Area Managers (FAMs), program managers (PMs), budget/comptroller staffs and procurement personnel.

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<sup>1</sup> UNSECNAV memorandum "Department of Navy Secretariat Information Technology Expenditure Approval Authority (ITEAA)" of September 19, 2011.

<sup>2</sup> UNSECNAV memorandum, Subj: "Information Technology (IT) Efficiencies Impact to the IT Support throughout the Department of Navy (DON) Secretariat" of April 11, 2012.

<sup>3</sup> DoD CIO memorandum, February 17, 2012, Subj: Optimizing Use of Employee Information Technology (IT) Devices and other Information Technologies to Achieve Efficiencies.

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# Department of the Navy Secretariat Information Technology Expenditure Approval Authority Phase I - Implementation Guidance

## 1. Purpose

To drive down costs of DON Secretariat information technology (IT) and improve visibility, transparency and traceability of IT from budgeting through procurement, new DON policy requires pre-approval of IT expenditures by the ITEAA and/or the DON AA. This document provides the information necessary for those Command Information Officers (IOs), Comptrollers, program managers (PMs), procurement personnel, analysts, etc. who will play a role in generating, submitting, and reviewing requests submitted to the DON Secretariat ITEAA for review and approval. Specifically, this guidance identifies:

- Types of IT affected by new ITEAA policies
- Participants in the ITEAA process
- Review/approval thresholds and criteria
- Documentation submission requirements

Acronyms used in this guidance are provided in **Appendix A**.

## 2. Implementation Approach

To minimize disruptive change, the Secretariat's new ITEAA requirements will be implemented in phases. This approach leverages existing organizational structures, missions, tools, processes and systems to the maximum extent possible. It also strengthens existing roles and responsibilities of key stakeholders, enforces existing requirements, and emphasizes data accuracy. In some cases, the Secretariat's ITEAA process requires submission of additional information in order to achieve the Department's priorities and objectives. In the future, manual processes will become automated and there will be less variation across the Navy, Marine Corps and Secretariat's processes.

## 3. Scope/Applicability

This guidance addresses the Secretariat's ITEAA implementation requirements **for Phase I only**. It applies to all the Secretariat organizations that receive funding from the Secretariat Review Board (SRB) to procure IT (see **Appendix B**).

As used in this guidance, IT-related "services" refers to IT support related to the development, installation, maintenance, modification, procurement or lease of materiel or systems; IT-related training and education; consulting; on-site technical support or other IT-related contractor support. It includes software as a service (SaaS), platform as a service (PaaS) and infrastructure as service (IaaS).

IT is defined by the Clinger-Cohen Act of 1996 as:

*"Any equipment of 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 by the executive agency. For purposes of the preceding sentence, equipment is used by the executive agency directly or is used by a contractor under a contract with the executive agency which requires the use of such equipment, or requires the*

*use, to a significant extent, of such equipment in the performance or service or the furnishing of a product. It includes: computers, ancillary equipment, software, firmware and similar procedures, services (including support services) and related resources.”*

IT includes, but is not limited to, the following:

**Table 3-1: Types of ‘IT’ subject to ITEAA and DON AA review/approval**

<b>Hardware</b>	<ul style="list-style-type: none"> <li>– Computer workstations, desktops, tablets</li> <li>– Servers, computer processing units (CPUs), mainframes</li> <li>– Peripherals (e.g., displays, mouse, keyboard, speakers, web cams, smart card readers, multimedia switches, media converters, fax machines, etc.)</li> <li>– Storage devices</li> <li>– Laptops</li> <li>– Printers, copiers, scanners, bar code readers</li> <li>– Video teleconference equipment (including televisions and flat screens)</li> <li>– Power supplies and surge suppressors</li> <li>– Cabinets, chasses and equipment racks</li> <li>– IT services associated with hardware maintenance, repair, testing or capability delivery</li> </ul>
<b>Software</b>	<ul style="list-style-type: none"> <li>– Software applications (includes Commercial off-the-Shelf (COTS), customized COTS, and Government developed software. Types include: common applications, e.g., Microsoft Office, Adobe Reader, Symantec, etc.; software for databases, e.g., Oracle, DB2, SQL, etc.; and operating systems, e.g., Windows, LINUX, OS C VM Ware, etc.)</li> <li>– Portals and websites</li> <li>– Collaboration, knowledge and records management tools</li> <li>– IT services to support software development</li> </ul>
<b>Communications</b>	<ul style="list-style-type: none"> <li>– Personal digital assistants</li> <li>– Handheld internet access devices, tablets, etc.</li> <li>– Cell or smart phones and air cards</li> <li>– WIFI access points</li> <li>– Routers, switches</li> <li>– Firewalls, in-line network encryption, Intrusion Detection Systems</li> <li>– Information assurance/computer network defense devices</li> <li>– Telephones, telephone switches including voice and video over internet protocol</li> <li>– Telephony and call managers</li> <li>– Circuits</li> <li>– Power over Ethernet devices</li> <li>– IT communication related services</li> </ul>
<b>Other</b>	<ul style="list-style-type: none"> <li>– Training and education associated with IT assets</li> <li>– IT support services required to develop, install, maintain, modify, procure, lease IT, train, educate, consult and on-site technical support</li> <li>– IT investment planning, business case development, portfolio management, transition planning</li> <li>– IT compliance, policy and security</li> <li>– Architecture development</li> <li>– IT services not associated with hardware, software, communications</li> </ul>

The following types of IT are currently excluded from ITEAA review/approval but may be included at a future date:

- Weapons systems (Platform IT)
- IT consumables, e.g. toner, print cartridges, etc.
- IT government and military labor.
- Navy and Marine Corps Intranet (NMCI) Continuity of Services Contract (CoSC)/Next Generation (NGEN) support. *(NOTE: These costs are centrally funded by Budget Submitting Office (BSO) 00012, DON AA FMD.)*

## 4. Background

In July 19, 2011, DON CIO directed the Deputy DON CIO (DDCIO) Navy and DDCIO Marine Corps to each designate a single ITEAA responsible for approving all resource planning, programming and/or budgeting actions to acquire or procure any IT software, hardware or service with a projected lifecycle cost or purchase cost of one million dollars or more.<sup>4</sup> Several months later, the Under Secretary designated the DON CIO to act as the ITEAA for the DON Secretariat, with a minimum approval threshold of one hundred thousand dollars,<sup>5</sup> and the DON AA for anything under one hundred thousand dollars.<sup>6</sup>

The primary systems that help the DON meet its IT-related management and budget reporting requirements include:

- **Program Budget Information System for Information Technology (PBIS-IT).** Formerly the Naval Information Technology Exhibits/Standard Reporting (NITE/STAR), this is a DON/FMB owned system within the PBIS family-of-systems that captures, consolidates, maintains and provides reporting and distribution capability for DON IT POM and budget resources.
- **Department of Defense Information Technology Portfolio Repository – Department of Navy (DITPR-DON).** This is the DON's IT registry. It is a module within a DON owned system (Department of Navy Application and Database Management System (DADMS)).
- **Secretariat Automated Resource Management System (SARMIS).** This is the budget and execution system used in the Secretariat to produce budget and execution materials.

## 5. Roles and Responsibilities

The following personnel/organizations participate in implementing this new policy:

- **Secretariat ITEAA:** DON CIO is the ITEAA for the DON Secretariat and is the DON's senior principle advisor to the Secretary on Information Management /IT and Information Resource Management (IRM) matters; provides oversight of strategic planning, capital planning and investment management for all information and IT management functions in the DON.
- **The Office of the DON Assistant for Administration, Financial Management Division (DON AA (FMD)):** Acts as the BSO for the offices that comprise the DON Secretariat, (BSO N00012); establishes the financial controls for the Secretariat organizations; verifies that controls are met and not exceeded; publishes SRB guidance; and aggregates and reviews all materials submitted to the SRB chair.
- **DON AA IT Division (ITD):** Provides centralized IT services for the Secretariat; has approval authority for all Secretariat IT procurements that do not meet the ITEAA approval threshold. (*See Section 7 for specific criteria.*)
- **Secretariat Organizations' Budget Personnel:** Execute the planning, programming, budget and execution process in their organizations; ensure data is accurate, complete and compliant with ITEAA, FMB and BSO guidance and budget controls.
- **Secretariat Organizations Procurement/Acquisition Personnel:** Execute procurements authorized by the organizational comptroller and, for IT, those previously approved by the ITEAA or DON AA(ITD) (as

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<sup>4</sup> DON CIO Memorandum, of July 19, 2011, Subj: Department of Navy (DON) Information Technology Expenditure Approval Authorities (ITEAA)

<sup>5</sup> UNSECNAV memorandum of September 19, 2011; Subj: Department of Navy (DON) Secretariat Information Technology Authority (ITEAA)

<sup>6</sup> UNSECNAV memorandum, Subj: "Information Technology (IT) Efficiencies Impact to the IT Support throughout the Department of Navy (DON) Secretariat" of April 11, 2012.

applicable) ensuring compliance with acquisition regulation and policies. (See **Section 7** for IT procurement-related policy considerations.)

- **Comptroller Staffs:** Ensure that all planned IT expenditures are pre-approved by the ITEAA or DON AA(ITD) before actual obligations or expenditure are incurred. They record actual IT obligations and expenditures in an Expenditure Log and organizational accounting systems, ensuring they are properly categorized in accordance with ASN(FMC) policies.<sup>7</sup>
- **Command IOs/CIOs:** Develop organizational IT requirements for POM submissions, budgets and spend plans; coordinate with organizational budget/comptroller personnel to provide details regarding IT costs (planned and actual) and other data required for OMB/Congressional reports, budget exhibits and ITEAA required documents; review/validate IT data in the budget and budget exhibits for accuracy, completeness and consistency with the DON's IT repository; ensure organizational compliance with IT policies; and manage IT to create efficiencies.
- **Functional Area Managers (FAMs).** Serve as IT portfolio managers for their designated functional areas; provide investment recommendations to various decision authorities including the ITEAAs; as functional experts, they assess capability gaps and duplications and review performance of on-going IT investments; and manage their inventory in DADMS and DITPR-DON updating them to document which applications and systems are approved for use and supported.
- **DON CIO ITEAA Process Execution Lead:** Assists the ITEAA and is the DON CIO's overall lead for the ITEAA process; reviews ITEAA documentation and staffs submissions with DON CIO Subject Matter Experts (SMEs); aggregates subject matter expert input and makes approval recommendations to the ITEAA for his final decision; develops ITEAA-related guidance; helps identify data discrepancies; and works with appropriate stakeholders to improve data quality.
- **DON CIO Subject Matter Experts (SMEs):** Review Secretariat ITEAA-related submissions and provide their recommendations and training as required in their areas of expertise such as: data center consolidation, enterprise licensing, portal consolidation, communications infrastructure migration, etc.

## 6. Review and Approval Threshold Criteria

ITEAA approval does not provide resources; it means the requesting organization has satisfied ITEAA approval criteria and has permission to obligate or expend funds it already has or will receive in the future to procure IT software, hardware or services.

Per policy, all Secretariat IT must be reviewed and approved by the appropriate authority (ITEAA/DON CIO or DON AA/ITD) prior to execution of acquisitions/procurements. The ITEAA reviews/approves "IT initiatives" that cost \$100,000 or more,<sup>8</sup> and the DON AA approves those below the ITEAA threshold, with some exceptions.<sup>9</sup>

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<sup>7</sup> In an ASN(FM&C) memorandum dated 29 Sep 2011, Subject "Fiscal Year 2012 Guidance for Financial Recording of IT Obligations and Expenditures in STARS" established six IT expenditure categories to create a mechanism to compare IT budgets to actual IT spending. A seventh category was added later.

<sup>8</sup> UNSECNAV memo of September 19, 2011, Subject: Department of Navy (DON) Secretariat Information Technology Expenditure Approval Authority (ITEAA)

<sup>9</sup> UNSECNAV memo of April 11, 2012, Subject: Information Technology Support Throughout the Department of Navy (DON) Headquarters

The term “initiative” as it is used in this guidance relates to how IT is organized and represented in the Secretariat’s IT budget. Each IT initiative represents a combination of IT-related costs that are expected to produce capabilities required to fulfill a specific mission need. “IT initiatives”<sup>10</sup> may be:

- **Systems** (e.g., Navy ERP),
- **Programs** (e.g., Financial Improvement and Audit Readiness),
- **Projects** (e.g., website, IT-related research), or
- **Organizational support.** (e.g., telephone services, operations support, desktop equipment purchases, contractor support and maintenance, etc.).

To track IT in the **OSD** budget, each IT “initiative” is assigned an OSD designated Budget Initiative Number (BIN). To track IT in the **DON** IT budget, each initiative is also assigned an Automated Information System (AIS) number and may/may not have an extension (EXT). The BIN and AIS.EXT identification numbers provide traceability and link initiatives to other information (e.g., description, budget, mission area, BSO, etc.) in various authoritative data sources. (See **Appendix C** for a list of all AIS.EXTs used in the DON Secretariat as of April 2012.)

In the DON, each initiative is also segregated into categories of costs (e.g., hardware and software purchases, leases, services, labor, various types of services, etc.) using “line numbers.” The line numbers provide insight into how budget funds will be spent. See **Appendix D** for a list of line numbers and line number categories, which were updated in April 2012.

As noted previously, in the DON Secretariat, all IT expenditures must be pre-approved by either the ITEAA or DON AA before execution. The DON AA has been and will continue to centrally manage all the Secretariat’s NMCI CoSC costs, even though the contract cost is above the DON AA approval threshold. The Secretariat ITEAA will approve all planned IT expenditures for systems funded by the SRB and designated as Mission Essential (ME) and Mission Critical (MC), even when they don’t meet the ITEAA threshold. The approval authority for Mission Support systems<sup>11</sup> will be based on the IT initiative’s expected cost. New requirements not previously approved and previously approved expenditures for initiatives that will exceed the approved amount by 5% or more, must be resubmitted for approval using the change request process.

**Table 6.1** below summarizes which authority gives the final approval based on the nature of the expenditure.

**Table 6.1 – ITEAA and DON AA Review/Approval Threshold Criteria.**

Secretariat ITEAA approval required for:	DON AA approval required for:
<ul style="list-style-type: none"> <li>• New or existing IT initiatives (per BIN/AIS.EXT) for Hardware, Software, Services of <u>\$100K or more during execution year.</u></li> <li>• Mission critical and mission essential <sup>12</sup> programs of any value</li> </ul>	<ul style="list-style-type: none"> <li>• NGEN/NMCI CoSC costs</li> <li>• New or existing IT initiatives (per BIN/AIS.EXT) for Hardware, Software, Services <u>less than \$100K during execution year.</u> Includes electronic equipment (e.g. plasma screens,</li> </ul>

<sup>10</sup> “Initiative Type” is a data element in the PBIS-IT AIS table.

<sup>11</sup> Mission Support - Neither Mission Critical nor Mission Essential

<sup>12</sup> Mission Critical - A system that meets the definitions of information system and national security system in the Clinger-Cohen Act, the loss of which would cause the stoppage of warfighter operations or direct mission support of warfighter operations.

Secretariat ITEAA approval required for:	DON AA approval required for:
<ul style="list-style-type: none"> <li>Change requests for IT expenditures previously approved by the ITEAA but actual costs (per BIN/AIS.EXT) <u>exceed the approved amount by 5% or more</u></li> </ul> <p><b>Excluded:</b></p> <ul style="list-style-type: none"> <li>Government and military IT related labor</li> <li>NGEN/NMCI CoSC Costs</li> </ul>	<p>televisions, projectors, etc.)</p> <ul style="list-style-type: none"> <li>Change requests for IT planned expenditures under ITEAA threshold but actual costs (per BIN/AIS.EXT) <u>exceed the DON AA approved amount by 5% or more</u></li> </ul> <p><b>Excluded:</b></p> <ul style="list-style-type: none"> <li>IT supplies (e.g., toner, print cartridges, etc.)</li> <li>Mission critical and mission essential<sup>13</sup> programs of any value</li> </ul>

During **Phase I**, the ITEAA’s focus is on execution year costs only, and the threshold pertains to the total planned cost of an IT initiative during FY12, minus costs for government and military labor. However, for budget and POM reviews, which will be added in **Phase II**, the approval threshold pertains to the total planned cost of an IT initiative across the Future Years Defense Program, which includes the prior year, current year and six budget years.<sup>14</sup>

**During Phase I - The ITEAA approval threshold of \$100,000 is based on the TOTAL FY12 planned cost of the IT initiative at the AIS.EXT level across all line numbers, minus costs for government and military labor.**

Figure 6.1 below shows how the ITEAA or DON AA approval threshold for execution year expenditures is determined using notional data.

AIS Notional Name in IT Budget	BIN	AIS No.	EXT No.	LINE_NO	FY12	FY12 AIS Total minus labor costs	
IT System	1100	13	123	5 H/W MAINT PAYMENT	\$1,200	<b>\$2,550</b>	← ITEAA approves
				9 S/W SUPP SVCS PAYMENT	\$800		
				13 OTHER COSTS COMMERCIAL	\$0		
				15 OTHER IN-HOUSE COSTS	\$550		
				50 COTS Software Purchases	\$1,350		
52 COTS Software Support	\$0						
Federal Telecommunications Service	1822	FTS	456P1	10 COMMUNICATION SVCS CMCL	\$90	<b>\$90</b>	← DON AA approves
IT Operations Support	2400	13	xyz	5 H/W MAINT PAYMENT	\$20	<b>\$124</b>	← ITEAA approves
				14 OTH COST IN-HOUSE LABOR	\$425		
				15 OTHER IN-HOUSE COSTS	\$104		

**Figure 6.1 – IT Initiative Budget and ITEAA/DON AA threshold Calculation (all data is notional).**

Mission Essential - A system that meets the definition of information system in the Clinger-Cohen Act, that the acquiring Component Head or designee determines is basic and necessary for the accomplishment of the organizational mission. (Note: The designation of mission essential shall be made by a Component Head, a Combatant Commander, or their designee. A financial management IT system shall be considered a mission-essential IT system as defined by the USD(C).) A "Mission-Essential Information Technology System" has the same meaning as a Mission-Essential Information System.

<sup>13</sup> Mission Support - Neither Mission Critical nor Mission Essential

<sup>14</sup> The FYDP covers 6 budget years (BY1 through BY6) plus current year (CY) and prior year (PY), e.g. FY11-FY18.

## 7. IT Policy Considerations and ITEAA Review Criteria

Organizational Command IOs, and procurement and comptroller staff are expected to monitor IT planning and actual expenditures to ensure they comply with DON IT policy guidance and are in accordance with the spend plans approved by the ITEAA and DON AA, ITD. Additionally, holders of government purchase cards (GPCs) are required to ensure that all planned purchases are routed to the ITD Director prior to purchase **AND ensure that the following conditions are met**: the GPC is not used to pay for IT products or services that can otherwise be purchased using an approved Enterprise Software Initiative (ESI)/bulk purchase agreement; the planned GPC transaction is in compliance with DON directives; and it does not unnecessarily duplicate IT-related systems, assets and services available from other authorized sources.

Prior to submitting requests for ITEAA approval, organizations must ensure that all software applications have been registered in the DADMS with a completed questionnaire, and all systems have been registered in DITPR-DON. Both applications and systems must be approved by the respective FAMs before the ITEAA makes an approval decision.

When performing their reviews and making their approval determinations, the ITEAA and DON AA will be assessing the financial viability: Is it funded? Is the cost too high? Are there less expensive alternatives? Is it really necessary? Additionally, they will assess the technical feasibility: Is it compliant with IT policies and the DON Enterprise Architecture? Is it secure? Are there better technical solution alternatives?

The IT-related policies below shall be followed when organizations develop IT POMs, budgets, and spend plans. This same criteria will be considered by the ITEAA and DON AA when making their approval recommendations. In cases when policies are NOT followed, disapproval is likely:

- **DON Enterprise License Agreements:** Pertains to commercial off-the-Shelf (COTS) software, hardware and related services. Organizations have been directed by DON CIO, Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RDA)) and ASN(FM&C)<sup>15</sup> to utilize DON enterprise license agreements (ELAs) where available to achieve maximum cost savings. Specifically, "Effective immediately, where a DON ELA exists, any software products, hardware, and related services offered by that ELA must be procured using that ELA, including those procured by government purchase cards." ELAs optimize costs savings by leveraging the full purchasing capacity of the Department. Most ELAs will focus on software products but some will include software related services and hardware components. Per DON CIO Policy, all products licensed from Microsoft shall be supported by, and include, software assurance (SA) on an ongoing basis to provide essential operational security. Waivers to policies must have DON CIO approval. It is expected that waivers will be granted sparingly. Additional information regarding DON ELAs can be found at <http://www.doncio.navy.mil> and its associated DON ELA Information controlled access website, also provided at the DON CIO website. POC: Mr. Don Reiter, (703) 695-1972, donald.reiter@navy.mil.
- **DoD Enterprise Software Initiative (ESI):** Pertains to Commercial-off-the-Shelf (COTS) software, other than software covered by DON ELAs, which is already compliant with DoD ESI, must comply with Defense Federal Acquisition Regulation Supplement (DFARS 208.74) and DFARS and Procedures, Guidance, and Information (PGI) 208.7403. Requiring or buying officials who deem it necessary to request a waiver to DoD ESI must submit a waiver request as prescribed by Navy

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<sup>15</sup> ASN(RDA) and ASN(FMC) memorandum dated 22 February 2012, Subj: "Mandatory Use of Department of the Navy Enterprise Licensing Agreements."

Marine Corps Acquisition Supplement (NMCARS) Subpart 5208.7403. POC: Mr. Bruce Whiteman (703) 695-1269, david.whiteman.ctr@navy.mil; or Mr. Floyd Groce, (703) 695-1917, floyd.groce@navy.mil.

- **Systems and networks**: No systems shall be acquired or funded that do not comply with the DON Enterprise Architecture. All systems and networks are to be registered in DITPR-DON/DADMS and comply with the Federal Information Security Management Act (FISMA) requirements which requires: certification and accreditation (C&A); all-hands Information Assurance awareness training; specialized training for users with privileged network functions; oversight of system and network protection (including system and network intrusion metrics); annual security plan and contingency plan testing, and annual security reviews. Any DON system reported as delinquent for annual testing, Privacy Impact Assessments, or Certification and Accreditation (Authority to Operate or Interim Authority to Operate) may be assessed as non-compliant. Consequences may include denial of authorization to operate or restrictions on use of modernization funds to only those actions necessary to reach FISMA compliance until compliance is achieved. POC is Ms. Jennifer Ellett, (703) 695-2910, jennifer.ellett@navy.mil.
- **Circuit Infrastructure Management**: No FY 2012 Navy funds (includes NWCF costs and capital budget authority) may be expended upon DISN or non-DISN circuits to support legacy or excepted networks that are non-compliant with all applicable Information Assurance, DADMS/DITPR-DON registration, FISMA and portal management policies. Commands will be required to provide documentation of compliance to support provisioning requests. POC is Mr. Mark Lutes, (757) 444-0100, [mark.lutes@navy.mil](mailto:mark.lutes@navy.mil).
- **Electromagnetic Spectrum Supportability**: No funds may be obligated for a spectrum-dependent system unless a Spectrum Supportability Risk Assessment, conducted per DODI 4650.1, has determined that spectrum sufficient for system operation will be available throughout its life cycle.<sup>16</sup> POC: Mr. Tom Kidd, (703) 695-1978, [thomas.kidd@navy.mil](mailto:thomas.kidd@navy.mil).
- **IBM, Oracle and Cisco Products**: Shall be procured using vendor enterprise agreements when they exist (expected in the 2012 timeframe).
- **Server and Data Storage Acquisition**: Per a DON CIO memorandum, Subj: *Department of the Navy (DON) Data Center Consolidation (DCC) Policy and Guidance*, dated 20 July 2011, a moratorium has been placed on DON investment in increased data storage capacity (to include individual program of record resources) without first determining that existing DON data center capacity is insufficient to meet the capacity in an existing DON owned Space and Naval Warfare Systems Command, Navy Marine Corps Intranet, or Marine Corps enterprise or regional data center. If an organization or program feels it must use an unauthorized data center source, that requirement must be justified in a business case and submitted to DON CIO for approval. POC: Mr. Dan DelGrosso, (703) 695-2900, [dan.delgrosso@navy.mil](mailto:dan.delgrosso@navy.mil).
- **Portals**: The DON is working to consolidate the Department's portals and web services into an integrated and centrally governed environment in order to enhance an effective security posture and to ensure mission effectiveness, cost savings, interoperability and ease of use. In order to support this effort, new portal development is strongly discouraged. However, if considered essential, the requirement must be fully justified and approved. As DON portals are consolidated,

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<sup>16</sup> OMB Circular A-11, Part 2, Sec. 33, Para. 33.4 (viewable at: [www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars)) directs that the National Telecommunications and Information Administration, Department of Commerce certify that the necessary radio frequency can be made available before estimates are submitted for development or procurement of major radio spectrum-dependent communications-electronics systems (including all systems employing space satellite techniques).

recovered resources are to be used in funding the centralized portals. Oversight for this portal consolidation effort is provided by the DON CIO POC: Ms. Molly Johnson, (703) 697-0060, [molly.johnson@navy.mil](mailto:molly.johnson@navy.mil).

- **Telecommunications:** Under the DoD's Unified Capabilities (UC) mandate,<sup>17</sup> organizations have been directed to neither build requirements nor purchase time-division multiplex (TDM) voice-switching equipment. Any future voice equipments must be capable of providing Voice over Internet Protocol (VoIP) services. All requests for waivers must be approved by the DON CIO. The waiver packet must include: a detailed justification; an impact statement describing the predicted outcome of not receiving a waiver; a Bill of Materials; the location where the equipment will be installed; and an approved requirements document. POC: Mr. Dan DelGrosso, (703) 695-2900, [dan.delgrosso@navy.mil](mailto:dan.delgrosso@navy.mil).
- **Cell phones:** Commercial Mobile Devices (e.g., cell phones/smartphones, BlackBerrys, air cards, tablets, etc.) and their services shall be purchased, assigned and managed in accordance with applicable ASN(RDA) and DON CIO Policies.<sup>18</sup> POC: Mr. Dan DelGrosso, (703) 695-2900, [dan.delgrosso@navy.mil](mailto:dan.delgrosso@navy.mil).

## 8. Documentation Requirements

The FY12 mid-year launch of the ITEAA process in the Secretariat requires a modified approach. Documents submitted to the ITEAA shall be forwarded under a cover memorandum signed by the Organization's Commander, CIO or Comptroller. Examples of cover memorandums are provided at **Appendices D through F**. These memorandums may be reworded/tailored as needed. *NOTE: the ITEAA may request additional information not addressed in this guidance.* Templates will be provided by the office of the ITEAA.

**Table 8.1 – Documents Generated by Secretariat Organizations and Submitted to the ITEAA**

Document Type	Date Due	Cover memo Format
FY12 IT Budget Summary FY12 Planned and Actual IT Expenditures	May 15, 2012	Appendix E
FY12 IT Spend Plan Change Request	As required	Appendix F
FY12 End of Fiscal Year (EOFY ) Actual IT Costs	Nov 15, 2012	Appendix G
Business Case Analysis	As required	Appendix E or F

- **FY12 IT Budget Summary** – Summarizes the organization's total FY12 budget for all "IT initiatives" (also referred to as AISs) within an organization and provides a brief description of the types of items that will be purchased. Will be used by the ITEAA and DONAA as a baseline to compare end-of-fiscal-year results, determine the appropriate approval authority and decide which organizations and SMEs need to provide input and recommendations.
- **FY12 Planned and Actual IT Expenditure Detail** – Documents planned and actual IT expenditures through the end of FY12.

<sup>17</sup> DODINST 8100.04, Department of Defense Unified Capabilities (UC), of December 9, 2010.

<sup>18</sup> ASN (RD&A) memorandum; Subj: "Department of the Navy Acquisition Policy on Mobile (Cellular) Phone and Data Equipment and Services" of 27 Mar 2005, and DON CIO memorandum, Subj; *Department of the Navy Policy for Issuance, Use and Management of Government-Provided Mobile (Cellular) Phone, Data Equipment and Services, and Calling Cards*, of 2 Sep 2005; and DON CIO memorandum, Subj: "Department of the Navy Policy on Mobile (Cellular) Service Cost Management", of 13 Mar 2012.

- **FY12 Spend Plan Change Requests** – Submitted as required to document new items not previously submitted to the ITEAA for approval or to request permission to modify previously approved items that are expected to exceed the approved amount at the AIS.EXT level by 5% or more. If a new AIS.EXT is required, it shall be requested through the BSO. Change requests must be submitted and approved by the ITEAA or DON AA prior to obligation or procurement. A change request is NOT required if the actual costs are expected to be less than the amount approved. After ITEAA/DON AA approval, PBIS-IT is to be updated within 10 working days (or if it cannot be updated, reasons must be provided with an estimated update date). Whenever possible, change request submissions should be **aggregated** vice submitted individually.
- **Business Case Analyses** – Required for new IT initiatives expected to cost \$1 million or more that were not previously in the budget; supplements the *Change Request*. Templates for business cases are available at: <http://www.doncio.navy.mil/contentview.aspx?ID=2210>
- **FY12 IT End-of-Fiscal Year Actual Costs** – PBIS-IT is updated with actual hardware and software purchase information (make, model, costs, etc.). Detail not captured in PBIS-IT is submitted separately in a spreadsheet to the ITEAA/DON AA.

If a submission or portion of the request is disapproved by DON AA, the disapproval may be escalated by the submitter to the ITEAA for review. If a submission is disapproved by the ITEAA, the submitter has 30 days to submit additional justification required by the ITEAA. If the ITEAA disapproves the request after receiving and reviewing additional information, the decision is final and no funds may budgeted or expended for that requirement during that year.

During execution year, each organization shall maintain a log of actual IT expenditures that contains actual costs and other purchase information including: manufacturer/make, model, version, quantity, contract number, contract line number, etc. This information will be used in the October/November timeframe to update PBIS-IT with actual FY12 IT expenditure information.

In December, after all actual data has posted to PBIS-IT, the ITEAA's staff will perform a **Spend Analysis** to identify any opportunities to achieve additional savings through improved sourcing, consolidation, etc. Recommendations will be implemented in Phases II or III.

## 9. Document Storage and Handling

The following document storage and handling guidelines apply:

- Submissions will be sent by email to: [Trish.vanbelle@navy.mil](mailto:Trish.vanbelle@navy.mil); [Donald.jean@navy.mil](mailto:Donald.jean@navy.mil); [Debra.knudsen@navy.mil](mailto:Debra.knudsen@navy.mil); [Andrew.adam@navy.mil](mailto:Andrew.adam@navy.mil). The subject line will be: ITEAA SUBMISSION: [Org acronym] [FY\_\_][Doc name]
- All cover memos will be signed and sent in PDF format. All attachments will be submitted in Excel and will use the following file naming convention:  
*Originating Org acronym\_ FYXX\_ [memo, SpendPlan, CR, EoFYRpt, BCA\_ [program acronym]]\_ YYYYMMDD*
- The ITEAA, DON AA and their SMEs will review all submissions concurrently (vice serially) and document their findings and recommendations on a single shared document. Decisions will be provided in writing or email back to the submitting office.
- To ensure that ITEAA and DON AA decisions are made based on full and correct information, organizations may be asked to provide additional information before an ITEAA or DON AA decision is made.

For questions regarding this guidance or the Secretariat's ITEAA process, the DON CIO POC is: Ms. Trish Van Belle, (703)695-0951, [trish.vanbelle@navy.mil](mailto:trish.vanbelle@navy.mil).

## Appendix A - Acronyms

Acronym	Full Name
<b>AIS</b>	Automated Information System
<b>APPN</b>	Appropriation
<b>ASN(FMC)</b>	Assistant Secretary of the Navy for Financial Management and Comptroller
<b>ASN(RDA)</b>	Assistant Secretary of the Navy for Research, Development and Acquisition
<b>BES</b>	Budget Estimates Submission
<b>BIN</b>	Budget Initiative Number
<b>BLI</b>	Budget Line Item
<b>BMA</b>	Business Mission Area
<b>BSO</b>	Budget Submitting Office
<b>C&amp;A</b>	Certification and Accreditation
<b>CIO</b>	Chief Information Officer
<b>CoSC</b>	Continuity of Services Contract
<b>COTS</b>	Commercial off the Shelf
<b>DDCIO</b>	Department of Navy Deputy Chief Information Officer
<b>DITPR-DON</b>	Department of Defense Information Technology Portfolio Repository – Department of Navy
<b>DoD</b>	Department of Defense
<b>DON</b>	Department of the Navy
<b>DON/AA</b>	Department of Navy Assistant for Administration
<b>DON CIO</b>	Department of Navy Chief Information Officer
<b>EoFY</b>	End of Fiscal Year
<b>ELA</b>	Enterprise Licensing Agreement
<b>ESI</b>	Enterprise Software Initiative
<b>FY</b>	Fiscal Year
<b>FYDP</b>	Future Years Defense Program
<b>FISMA</b>	Federal Information Security Management Act
<b>FMR</b>	Financial Management Regulation
<b>FY</b>	Fiscal Year
<b>GPC</b>	Government Purchase Card
<b>IO</b>	Information Officer
<b>IRM</b>	Information Resources Management
<b>IT</b>	Information Technology
<b>ITEAA</b>	Information Technology Expenditure Approval Authority

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<b>Acronym</b>	<b>Full Name</b>
<b>MC</b>	Mission Critical
<b>ME</b>	Mission Essential
<b>MS</b>	Mission Support
<b>NGEN</b>	Next Generation
<b>NITE-STAR</b>	Naval Information Technology Exhibits/Standard Reporting
<b>OMB</b>	Office of Management and Budget
<b>OSD</b>	Office of the Secretary of Defense
<b>PBIS-IT</b>	Program Budget Information System for Information Technology
<b>PE</b>	Program Element
<b>PfM</b>	Portfolio Management
<b>PM</b>	Program Manager
<b>PPBE</b>	Planning, Programming, Budgeting and Execution
<b>POM</b>	Program Objective Memorandum
<b>SME</b>	Subject Matter Experts
<b>SRB</b>	Secretariat Review Board
<b>STARS</b>	Standard Accounting and Reporting System
<b>UIC</b>	Unit Identification Code

## Appendix B – DON Secretariat Organizations and Unit Identification Codes (UICs)

UIC	Acronym for File Names	ORGANIZATION NAME PER PBIS-IT
0012B	Cell	Cellphone Service Contracts
0012S	FTS	Federal Telecommunications Service
30320	NGEN	Info Networking Projects (e.g. Next Generation/Navy Marine Corps Intranet)
30346	BCNR	Board of Corrections Naval Records (BCNR)
30571	OGC	Office General Council (OGC)
31975	DON CIO	DON Chief Information Officer (CIO )
41421	ASN(FMC)	Assistant Secretary of the Navy for Financial Management & Comptroller (ASN(FMC))
42485	DONAA-ITD	Department of Navy Assistant for Administration, IT Department (DON/AA- ITD)
42608	NACC	Naval Acquisition Career Center
44966	DONAA	DON Assistant for Administration (DON/AA)
44690	OJAG	Navy Civilian Law Support Activity (NAVCIVLAWSUPACT)
47218	DUSN PPOI	Deputy Under Secretary of the Navy for Plans, Policy, Oversight and Integration
47326	NavyIG	Navy Inspector General (Navy IG)
47692	BRAC	Base Realignment and Closure (BRAC) Program Management Officer (PMO)
48142	ASN(RDA)	Assistant Secretary of the Navy for Research, Development & Acquisition (ASN (RDA))
4814B	ASN(RDAC)	Assistant Secretary of the Navy for Research, Development & Acquisition (ASN (RDA)) - CHENG
48143	ASN(I&E)	Assistant Secretary of the Navy for Installations and Environment
62695	NAVAUDSVC	Naval Audit Service (NAVAUDSVC)
63285	NCIS	Naval Criminal Investigative Service (NCIS )
63376	CHINFO-E	Chief Information Office (CHINFO) - External
66032	DASN Safety	Deputy Assistant Secretary of the Navy for Safety
66760	CHINFO-I	Chief Information Office (CHINFO) - Internal
66123	OLA	Office of Legislative Affairs (OLA)
68499	CORB	Navy Council of Review of Boards (CORB)
68864	NCCA	Naval Center for Cost Analysis (NCCA)
68876	NIPO-I	Navy International Programs Office (NIPO) - Internal
6887X	NIPO-E	Navy International Programs Office (NIPO) - External
69197	OCHR	Office of Civilian Human Resources (OCHR)
6919H	OCHR SRB	Office of Civilian Human Resources (OCHR)
69206	OCHR-H	Human Resource Service Centers (HRSCs)
OCHR-I	OCHR-I	Office of Civilian Human Resources Information Technology (OCHR-I)

**NOTE:** Secretariat organizations not listed above (e.g. DUSN Plans, Policy and Oversight; DUSN Deputy Chief Management Office; ASN for Energy, Installations and Environment; ASN for Manpower and Reserve Affairs; and Sexual Assault and Prevention & Response Office) are not currently resourced by the SRB to procure IT. If this situation changes, and any of these organizations plan to procure IT or engage government or contractor staff in IT related activities, they shall contact their BSOs to initiate PBIS-IT reporting.

## Appendix C – Secretariat IT Initiatives (per NITE/STAR or PBIS-IT AIS Table)

(NOTE: subject to change)

AIS_EXT	AIS_Acronym	AIS_Title
005 NORM	NORM	Normalization of Environmental Data System
009 60M08	IA	Information Assurance
013 121M2	IM - NAVAUD	Naval Audit Service Information Management System
013 12CKM	CKMS	Congressional Knowledge Management System
013 12CLI	DONOGCCC	DON OGC Client Information
013 12COR	S/CORB	Council Of Review Boards System
013 12CQO	CQ	Congressional Quarterly Online
013 12FAM	NMCI FAM	Functional Area Management
013 12FAP	FMO SYSTEMS	FMO Applicaitons Website, ASN (FM&C) Fin
013 12FHT	FHTNC	Fleet Home Town News Center
013 12FMC	INFORMATION	Information Management
013 12FPW	FMO PUBLIC	FMO Public Website, ASN (FM&C) Financial
013 12FSS	FSSD	FSSD Publications Management System Website
013 12ITS	IT SUPPORT	IT Support
013 12NGT	NIGHTS	Naval Inspector General Hotline System
013 12NIG	NAVIG WEBSI	Navy Inspector General Website
013 12ONL	OGCONLINE	OGC Online
013 12OSC	OSCAM	Operating And Support Cost Analysis Model
013 12POR	PORTAL	Secretary of the Navy Portal
013 12PWS	OGC-PW	OGC Public Websites
013 12RDA	RD&A WEB	RD&A Dashboard and Information Website
013 12SAD	SADBU	Digital Small and Disadvantaged Business
013 12WEB	HQ WEB	Headquarters Web Server
013 BCNR1	BCNR_TS	Bcncr Tracking System
013 BRAC	BRACMIS	BRAC Management Information System
013 CIO2	DONCIOEASI	DON CIO EASI Support
013 CIO3	DONCIOOPS	DONCIO Operations Support
013 CIOD	CIODADMS	DON CIO DADMS
013 CIOW	DONCIOWEB	DON CIO Public Website
013 COMMS	NCIS COMMS	NCIS Communications
013 CRENT	NCIS CRENT	NCIS Core Enterprise
013 DACM	DACM MIS	DACM MIS
013 DITPR	DITPR	DOD Information Technology Portfolio Rep
013 IPO04	Disclosure	Disclosure Portal
013 IPO10	New DND2	New DoN Disclosure Database
013 IPO14	NIPO WEB	Navy IPO Public Website
013 JAG10	CFMS	Claims and FOIA Management System
013 JAG11	JSS	JAG Services System
013 JAG12	KM	Knowledge Management
013 JAG5	JAGPERS	Judge Advocate General Personnel System
013 JAG7	IM	Information Management

AIS_EXT	AIS_Acronym	AIS_Title
013 JAG8	CMTIS	Case Management Tracking Information System
013 JAG9	IA	Information Assurance
013 NCIS2	NCIS OPS	Naval Criminal Investigative Service Operations
013 NCIS4	DONCJIS	Department of the Navy Criminal Justice
013 NCIS5	LInX	Law Enforcement Information Exchange
013 NCIS6	ERMAS	Electronic Records Management and Analysis
013 OPTI	OPTI	Office of Process, Technology, and Innovation
A01	NNESUPPORT	Naval Enterprise Network Support (NMCI/NGEN/NNE)
A20	WEB	WEB DEVELOPMENT AND MAINTENANCE
BCO 121M3	BCO OPTI	Base Communications Office
BCO 122M1	BCO CHINFO	BASE COMMUNICATIONS OFFCIE
BCO 123N1	BCO DONCIO	Base Communications Office
BCO 125M1	BCO JAG	Base Communications Office
E23	CELL	CELLPHONE SERVICE CONTRACTS
F00	FMMP	FMMP Financial Systems
F00 R0001	SARMIS	Secretariat Automated Resource Managemen
F33	PBIS	Program Budget Information System
F52	FASTDATA	Fund Administration And Standardization
F70	VAMOSC	Visibility and Management of Operating and Support Costs (VAMOSC)
F70 GGTM	GGTM	Gartner Group TCO Manager
F70 SLIM	SLIM SUITE	Slim Suite
FF0	FINFEESYS	FINANCIAL FEEDER SYSTEMS
FF0 R0002	HR SYSTEMS	HR Systems
FTS 120P1	FTS	FTS 2001
FTS 121M1	FTS DONAA	FTS 2001
FTS 122M1	FTS CHINFO	FTS 2001
FTS 123M1	FTS	FTS 2001
HR1	HRAS	HR OPS (HRAS)
HR2	HRRS	HUMAN RES RPT(HRRS)
HR4	PORTAL	HR PORTAL(PORTAL)
L42 ITS05	EQUIP	Hardware and Software
NET 12001	Navy Law Ne	AAUSN_N63285_NAVY_LAW_NETWORK_U
NET 12002	NCISHQ_S	AAUSN_N63285_NCISHQ_S
NGN	NGEN	Next Generation Enterprise Network
OTH 19001	OTH	Other Voice, Video, and Data Services
P20	DCPDSS	Defense Civilian Personnel Data System (DCPDS)
PDA BASIC	PDA	Personal Digital Assistant - Basic
X99	NMCI	Navy Marine Corps Intranet (NMCI)
Z53	IA G4	Protect Defense Industrial Base (DIB)

## Appendix D – Line Numbers

**NOTE: “New” categories will be used in PBIS-IT starting with PB14**

<b>No.</b>	<b>Category Name</b>
1	DESKTOP AND PERIPHERAL HARDWARE LEASES <b>(REVISED)</b>
2	COMMUNICATIONS/NETWORK EQUIPMENT LEASES <b>(NEW)</b>
3	SERVER HARDWARE LEASES <b>(NEW)</b>
4	HARDWARE MAINTENANCE – IN-HOUSE LABOR ONLY
5	HARDWARE MAINTENANCE - INTRA-GOVERNMENTAL PAYMENTS
7	SOFTWARE - COMMERCIALY DEVELOPED
8	SOFTWARE - CUSTOM IN-HOUSE LABOR ONLY
9	SOFTWARE - INTRA-GOVERNMENTAL PAYMENTS
10	NETWORK AND COMMUNICATIONS SERVICES - COMMERCIALY ACQUIRED
11	NETWORK AND COMMUNICATIONS SERVICES - IN-HOUSE LABOR ONLY
12	NETWORK AND COMMUNICATIONS PAYMENTS - INTRA-GOVERNMENTAL
13	ALL OTHER COSTS-COMMERCIALY ACQUIRED
14	ALL OTHER COSTS - IN-HOUSE LABOR ONLY
15	ALL OTHER COSTS - IN-HOUSE (NON-LABOR) ONLY
16	ALL OTHER COSTS - INTRA-GOVERNMENTAL PAYMENTS
17	MILITARY WORKYEARS
18	CIVILIAN WORKYEARS
19	CONTRACTOR WORKYEARS <b>(NEW)</b>
20	Government Furnished Equipment (GFE) NMCI- Related
22	NAVY MARINE CORPS INTRANET (NMCI) SERVICES
23	NMCI REIMBURSEMENTS
24	NMCI GOVERNMENT FURNISHED FACILITIES (GFF)
25	NMCI LOCAL GOVERNMENT MANAGEMENT ORGANIZATION (GMO)
26	DIRECTOR REPORTING PROGRAM MANAGER (DRPM) NMCI
27	NMCI DEFENSE INFORMATION SYSTEMS NETWORK (DISN) SURCHARGE
28	NMCI NON-SEAT CONTRACT LINE ITEMS (CLINS)
29	NMCI INCENTIVES
30	NMCI UNPRICED CLINS
31	NMCI PERSONAL DIGITAL ASSISTANTS (PDAs)/CELLPHONES
40*	DESKTOP HARDWARE PURCHASES
41*	COMMUNICATIONS/NETWORK EQUIPMENT
42*	SERVER HARDWARE PURCHASES
43*	PERIPHERAL HARDWARE
44	DESKTOP MAINTENANCE SERVICES-COMMERCIALY ACQUIRED
45	COMMUNICATIONS/NETWORK EQUIPMENT MAINTENANCE SERVICES-COMMERCIALY ACQUIRED
46	SERVER MAINTENANCE SERVICES-COMMERCIALY ACQUIRED
47	PERIPHERAL MAINTENANCE SERVICES-COMMERCIALY ACQUIRED
50*	COMMERCIAL-OFF-THE-SHELF (COTS) SOFTWARE PURCHASES
51*	COTS SOFTWARE LEASES
52*	COTS SOFTWARE SUPPORT-COMMERCIALY ACQUIRED
53	COTS SOFTWARE CUSTOMIZATION <b>(NEW)</b>
54	IT FACILITIES COSTS <b>(NEW)</b>
55	20-31)

**\*These items require detail level reporting in PBIS-IT.**

## Appendix E – IT Spend Plan and Actual Expenditures Approval Request

MEMORANDUM FOR DEPARTMENT OF THE NAVY ASSISTANT FOR  
ADMINISTRATION  
DEPARTMENT OF THE NAVY CHIEF INFORMATION  
OFFICER

SUBJECT: [Organization Name] Request for Approval of Information Technology  
Planned and Actual Expenditures for Fiscal Year XXXX

Reference: (a) UNSECNAV memo of 19 September 2011, Subj: Department of Navy  
(DON) Secretariat Information Technology Expenditure Approval  
Authority (ITEAA)  
(b) UNSECNAV memo of 11 April 2012, Subj: Information Technology (IT)  
Efficiencies Impact to the IT Support throughout the Department of Navy  
(DON) Headquarters  
(c) Secretariat ITEAA Implementation Guidance of April 25, 2012

Enclosure: (1) [Org Name] FY12 Budget and Expenditure Summary  
(2) [Org Name] FY12 Information Technology Spend Plan and Actual  
Expenditures

In accordance with references (a) through (c), request the Information Technology Expenditure Approval Authority (ITEAA) and the Department of Navy Assistant for Administration (DON AA) approve enclosures (1) and (2) as appropriate. Planned and actual information technology (IT) expenditures for Fiscal Year 2012 are summarized in *thousands* in the table below (government and military labor costs are excluded):

System Y/N	BIN	AIS.EXT	Acronym	Total Expended	Planned not yet expended	IT Budget minus labor

These planned and actual expenditures are fully resourced and consistent with our IT budget as recorded in the Naval Information Technology Exhibits/Standard Reporting (NITE/STAR). Software and hardware purchases were reviewed and approved by the

appropriate Functional Area Managers prior to procurement and have been recorded and uploaded the NITE/STAR COTS Hardware/Software Excel files.

Excluding purchases already made, no obligations or expenditures for IT will be made in FY12 until this request is approved. After approval, no purchases will be made that exceed the amount approved amount by 5% or more (at the AIS.EXT level) without an approved Change Request. As expenditures are made, actual costs will be recorded in a spend log and used to update NITE/STAR at the end of the fiscal year.

My point of contact is: [name, title, email, phone number]

[Name]

## Appendix F – IT Spend Plan Change Request

*(Used for unplanned/unbudgeted requirements and budgeted costs that exceed the approved amount at the AIS.Ext level by 5% or more )*

MEMORANDUM FOR DEPARTMENT OF THE NAVY ASSISTANT FOR  
ADMINISTRATION  
DEPARTMENT OF THE NAVY CHIEF INFORMATION  
OFFICER

SUBJECT: [Organization Name] FY12 Information Technology Spend Plan Change Request

Reference: (a) UNSECNAV memo of 19 September 2011, Subj: Department of Navy (DON) Secretariat Information Technology Expenditure Approval Authority (ITEAA)  
(b) UNSECNAV memo of April 11, 2012, Subj: Information Technology (IT) Efficiencies Impact to the IT Support throughout the Department of Navy (DON) Headquarters  
(c) Secretariat ITEAA Implementation Guidance of April 25, 2012

Enclosure: (1) FY12 Information Technology Spend Plan Change Request No. (OrgAcronym\_FY12\_0X.CR01)  
(2) Justification/Business Case for \_\_\_\_\_

Per references (a) through (c), request permission to modify our previously approved Fiscal Year 2012 information technology (IT) Spend Plan in the amount of \$\_\_\_\_. This amount excludes IT-related government and military labor. These changes are fully funded and within budget controls established by the Budget Submitting Office. The following IT initiatives are affected by this request:

[List all AIS.EXT, name and acronyms affected.]

Additional justification is provided for new initiatives at enclosure (2). Planned software and hardware expenditures have been reviewed and approved by the appropriate Functional Area Managers. Once approved, the Program Budget Information System for Information Technology (PBIS-IT) will be updated within ten working days.

My point of contact is: [name, title, email, phone number];

[Name]

Copy to:  
DON AA/FMD  
\_\_\_\_\_ FAM (If applicable)

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## Appendix G – IT Expenditures End of Fiscal Year Report

MEMORANDUM FOR DEPARTMENT OF THE NAVY CHIEF INFORMATION OFFICER

SUBJECT: [Organization Name] Information Technology Expenditures End-of -Year Report for Fiscal Year XXXX

Reference: (a) Secretariat ITEAA Implementation Guidance of April 25, 2012

Enclosure: (1) [Organization Name] End-of-Fiscal-Year XXXX Report of Actual IT Non-Hardware/Software IT Expenditures  
(2) Data Validation Status and Update

An end of fiscal year report of total IT expenditures is provided as required by reference (a). The total amount of planned information technology (IT) expenditures in Fiscal Year 2012 was \$\_\_\_\_; the final amount actually executed was \$\_\_\_\_. Per Office of Budget policy, all hardware and software expenditures have been recorded in the Program Budget Information System for Information Technology (PBIS-IT) as required. Non-hardware/software IT purchases is provided at enclosure (1).

Additionally, PBIS-IT data has been validated and reconciled with the Department or Navy's IT repository. Enclosure (2) explains actions taken and those pending with expected resolution dates.

My point of contact is: [name, title, email, phone number];

[Name]