



# Procedure on IT Acquisition Strategies and Planning Under FITARA

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## **I. Purpose**

[01] To provide direction and guidance to all NOAA Program and Project Managers (PMs) and others involved in the acquisition process on obtaining review and approvals of Investment Review Determinations (IRD), Information Technology Investment Authorities (ITIA), formal acquisition plans (AP), and milestone acquisition plans (MAP).

[02] This procedure addresses obtaining a determination on whether the procurement contains any amount of information technology (IT) products and/or services. For acquisitions determined to be for or containing IT products and/or services, there are multiple levels of review and approval (depending on dollar threshold) for ITIAs, MAPs, and APs within NOAA and the Department of Commerce (DOC). This procedure specifies those requirements and assists PMs in factoring these required approvals into their procurement administrative lead times (PALT) and project milestones.

[03] This procedure does not apply to changes within the scope of an awarded task or stand-alone contract exercising already competed options, funding actions, and administrative actions.

## **II. Scope**

[01] This Procedure applies to all procurements in NOAA and provides a mechanism for the identification and processing of both IT and non-IT products and services.

[02] This Procedure does not apply to Grants and Interagency Agreements.

[03] This Procedure is acquisition-vehicle neutral.

## **III. Authorities and References**

[01] NOAA Policy on IT Acquisition Strategies and Planning under FITARA

[02] [DOC Acquisition Manual \(CAM\) 1307.1, Acquisition Planning](#)

[03] [NOAA Acquisition and Grants Office \(AGO\) Acquisition Instruction 16-01, NOAA Acquisition Review and Approval Process](#) (or subsequent update)

[04] [Acquisition Instruction 13-01, NOAA Acquisition Review Board Procedures \(June 2013\)](#)

[05] [DOC IT Review Program Charter](#)

[06] [NOAA Enterprise IT Services Catalog](#)

#### IV. Procedure

[01] NOAA has established a simplified process to satisfy FITARA’s requirements for acquisitions under \$10M that involve less than \$150K of IT. These acquisitions are covered by a “[blanket ITIA](#).”

[A] For acquisitions under \$150K, no MAP, AP, or IRD is required and the blanket ITIA shall serve as Assistant Chief Information Officer (ACIO) approval (for Line Offices (LOs)) or NOAA CIO approval (for Staff Offices (SOs)) of the acquisition strategy. The PM may reference the blanket ITIA number on the requisition and proceed with submitting the procurement to the Acquisition and Grants Office (AGO). If the lifecycle cost of the requirement is above the micro-purchase threshold and contains any amount of IT, the requisition must be routed for NOAALink Program Office (NPO) review.

[B] For acquisitions between \$150K and \$10M involving IT less than \$150K, an IRD is required and the number must be cited in the requisition and the MAP must be approved by the (A)CIO and the contracting officer (CO).

- Step 1: PM obtains IRD from IRMAC
- Step 2: PM routes requisition through NPO and submits requisition including draft MAP to AGO with blanket ITIA and IRD cited
- Step 3: PM/AGO finalize MAP and submit to (A)CIO and CO for approval

[02] Acquisitions between \$150K and \$10M, involving IT equal to or greater than \$150K and less than \$10M, must be covered by an ITIA issued by the cognizant (A)CIO and must have a MAP approved by the (A)CIO and the CO.

- Step 1: PM obtains IRD from IRMAC
- Step 2: PM coordinates with NPO to prepare the ITIA package for (A)CIO approval
- Step 3: PM routes requisition including draft MAP through NPO and submits both to AGO with IRD and ITIA cited
- Step 4: PM/AGO/NPO finalize MAP and submit to (A)CIO and CO for

approval

**[03]** Acquisitions valued at \$10M or greater, involving less than \$10M of IT, must be covered by an ITIA issued by the cognizant (A)CIO and must have an AP approved by the DOC CIO and either the Senior Bureau Procurement Official (SBPO) (for acquisitions under \$75M) or the DOC Senior Procurement Executive (SPE) (for acquisitions equal to or greater than \$75M).

**[A]** For acquisitions between \$10M and \$50M:

- Step 1: PM obtains IRD from IRMAC
- Step 2: PM coordinates with NPO to prepare the ITIA package for (A)CIO approval
- Step 3: PM routes requisition including draft AP through NPO and submits both to AGO with ITIA and IRD cited
- Step 4: PM/CO/NPO finalize AP
- Step 5: AP is submitted through AGO POD to SBPO for clearance
- Step 6: Following clearance by the SBPO, AGO POD provides AP to GPD for submission to the DOC CIO for approval
- Step 7: GPD requests an email from the ACIO indicating that they have reviewed the AP and recommend that it be submitted to the DOC CIO (For further information regarding the DOC CIO review and approval process please see the DOC IT Review Program Charter)
- Step 8: Following NOAA CIO concurrence, GPD submits the AP with NOAA CIO routing slip to the DOC CIO
- Step 9: DOC CIO approves the AP and returns it for SBPO approval

**[B]** For acquisitions between \$50M and \$75M:

- Step 1: PM obtains IRD from IRMAC
- Step 2: PM coordinates with NPO to prepare the ITIA package for (A)CIO approval
- Step 3: PM routes requisition including draft AP through NPO and submits both to AGO with ITIA and IRD cited
- Step 4: PM/CO/NPO finalize AP
- Step 5: PM/CO submit AP to AGO POD for review
- Step 6: AGO POD schedules a NOAA ARB and distributes AP to ARB members and OAM
- Step 7: GPD requests an email from the ACIO indicating they have reviewed the AP and recommend that it be submitted to the DOC

- CIO
- Step 8: Following a successful NOAA ARB, GPD submits AP with NOAA CIO routing slip to DOC CIO
  - Step 9: DOC CIO signs AP and returns it for SBPO approval

**[C]** For acquisitions valued at \$75M or greater:

- Step 1: PM obtains IRD from IRMAC
- Step 2: PM coordinates with NPO to prepare the ITIA package for (A)CIO approval
- Step 3: PM routes requisition including draft AP through NPO and submits both to AGO with ITIA and IRD cited
- Step 4: PM/CO/NPO finalize AP
- Step 5: PM/CO submit AP to AGO POD for review
- Step 6: AGO POD schedules a NOAA ARB and distributes AP to ARB members
- Step 7: GPD requests an email from the ACIO indicating they have reviewed the AP and recommend that it be submitted to the DOC CIO
- Step 8: Following a successful NOAA ARB, GPD submits AP with NOAA CIO routing slip to DOC CIO
- Step 19: DOC CIO signs and returns AP
- Step 10: AGO POD submits the AP to OAM and requests that a DOC ARB be scheduled
- Step 11: DOC ARB is conducted
- Step 12: SPE signs AP
- Step 13: OAM returns AP and Acquisition Approval Memo

**[04]** Acquisitions with a life-cycle cost of \$10M or greater, involving IT of \$10M or greater require clearance of the ITIA by the NOAA Program Management Council (PMC) and approval by the DOC CIO via the CITRB (only necessary if a new ITIA is required).

**[A]** For acquisitions between \$10M and \$50M, the following steps apply for ITIA and AP approval:

- Step 1: PM obtains IRD from IRMAC
- Step 2: PM works with the (A)CIO and NPO on the ITIA request package
- Step 3: (A)CIO requests that GPD schedule a PMC review of the ITIA request presentation

- Step 4: GPD schedules PMC review, provides PM with review date, and submits the ITIA request package to the NOAA CIO for review
- Step 5: PM presents to PMC
- Step 6: Upon PMC approval of the ITIA package, GPD routes ITIA package to the DOC CIO and requests that the CITRB be scheduled
- Step 7: CITRB is conducted
- Step 8: DOC ITIA is granted and returned to GPD
- Step 9: PM routes requisition including draft AP through NPO and submits both to AGO with ITIA and IRD cited
- Step 10: PM/CO/NPO finalize AP
- Step 11: AP is submitted through AGO POD to SBPO for clearance
- Step 12: Following clearance by the SBPO, AGO POD provides AP to GPD for submission to the DOC CIO for approval
- Step 13: GPD requests an email from the ACIO indicating that they have reviewed the AP and recommend that it be submitted to the DOC CIO
- Step 14: Following NOAA CIO concurrence, GPD submits AP with NOAA CIO routing slip to the DOC CIO
- Step 15: DOC CIO approves AP and returns it for SBPO approval

**[B]** For acquisitions valued between \$50M and \$75M the below steps apply if the PMC Pre-CITRB review and NOAA ARB are not combined:

- Step 1: PM obtains IRD from IRMAC
- Step 2: PM works with the (A)CIO and NPO on the ITIA request package
- Step 3: (A)CIO requests that GPD schedule a PMC review of the ITIA request presentation
- Step 4: GPD schedules PMC review
- Step 5: PM presents to PMC
- Step 6: Upon PMC approval of the ITIA package, GPD routes ITIA package to the DOC CIO and requests that the CITRB be scheduled
- Step 7: CITRB is conducted
- Step 8: DOC ITIA is granted and returned to GPD
- Step 9: PM routes requisition including draft AP through NPO and submits both to AGO with ITIA and IRD cited
- Step 10: PM/CO/NPO finalize AP
- Step 11: PM/CO submit AP to AGO POD for review

- Step 12: AGO POD schedules a NOAA ARB and distributes AP to ARB members and OAM
- Step 13: GPD requests an email from the ACIO indicating they have reviewed the AP and recommend that it be submitted to the DOC CIO
- Step 14: Following a successful NOAA ARB, GPD submits AP with NOAA CIO routing slip to DOC CIO
- Step 15: DOC CIO signs AP and returns it to SBPO for approval

**[C]** For acquisitions valued between \$50M and \$75M the below steps apply if PMC Pre-CITRB review and NOAA ARB are combined:

- Step 1: PM obtains IRD from IRMAC
- Step 2: PM works with the (A)CIO and NPO on the draft AP and ITIA request package
- Step 3: PM routes requisition including draft AP through NPO and submits both to AGO with IRD cited
- Step 4: PM submits ITIA request package to (A)CIO referencing IRD number
- Step 5: PM/CO/NPO finalize AP and CO submits to AGO POD for review and distribution to GPD and OAM
- Step 6: (A)CIO reviews ITIA request package, submits ITIA package to GPD with an email indicating that they have reviewed the AP and recommend that it be submitted to the DOC CIO, and requests that GPD schedule a combined NOAA ARB/PMC Pre-CITRB review
- Step 7: GPD schedules and distributes materials for PMC Pre-CITRB/NOAA ARB and invites DOC CIO or designee to attend
- Step 8: PM and CO present to PMC Pre-CITRB/NOAA ARB
- Step 9: Upon PMC Pre-CITRB/NOAA ARB approval of the ITIA package and AP, GPD routes ITIA package and AP with NOAA CIO cover slip to DOC CIO and requests CITRB be scheduled
- Step 10: DOC CITRB is conducted
- Step 11: DOC ITIA is granted and DOC CIO signs AP and returns it to SPBO for approval

**[D]** For acquisitions valued at \$75M or greater, the below steps apply (AP and ITIA approval shall be combined for all approvals):

- Step 1: PM obtains IRD from IRMAC
- Step 2: PM works with the (A)CIO and NPO on draft AP and ITIA request package
- Step 3: PM routes requisition including draft AP through NPO and submits both to AGO with IRD cited
- Step 4: PM submits ITIA request package to (A)CIO referencing IRD number
- Step 5: PM/CO/NPO finalize AP and CO submits to AGO POD for review and distribution to GPD
- Step 6: (A)CIO reviews ITIA request package, submits ITIA package to GPD with an email indicating that they have reviewed the AP and recommend that it be submitted to the DOC CIO, and requests that GPD schedule a combined NOAA ARB/PMC Pre-CITRB review
- Step 7: GPD schedules and distributes materials for PMC Pre-CITRB/NOAA ARB
- Step 8: PM and CO present to PMC Pre-CITRB/NOAA ARB
- Step 9: Upon successful NOAA ARB/PMC Pre-CITRB review, SBPO signs AP
- Step 10: GPD routes ITIA package and AP to DOC CIO with NOAA CIO cover slip and requests a combined DOC ARB/CITRB be scheduled. AGO POD routes AP and all supporting documents to OAM
- Step 11: DOC ARB/CITRB is conducted
- Step 12: DOC CIO grants ITIA, DOC CIO and SPE signs AP
- Step 13: DOC CIO returns ITIA and OAM returns AP and Acquisition Approval Memo

**[05]** Non-IT (i.e. contains no IT) acquisitions valued at \$10M or greater:

**[A]** Where the resultant IRD states the acquisition is non-IT (i.e. includes or contains no IT), the PM shall include the IRD number with submission of the requisition to the CO.

**[B]** For acquisitions with a total life-cycle cost between \$10M and \$50M, in order to obtain DOC CIO signature on the AP, the following steps apply:

- Step 1: After review and clearance is received from the SBPO, AGO POD submits AP to GPD. GPD works with the ACIO to obtain a routing slip and IRD showing that the acquisition is non-IT
- Step 2: Following concurrence by NOAA CIO, GPD submits the AP and



- routing slip to the DOC CIO
- Step 3: Upon approval or disapproval, the DOC CIO returns the plan

**[C]** For acquisitions with a total life-cycle cost between \$50M and \$75M, in order to obtain DOC CIO signature on the AP, the following steps apply:

- Step 1: Following successful NOAA ARB, AGO POD submits AP to GPD. GPD works with the ACIO to obtain a routing slip and IRD showing that the acquisition is non-IT
- Step 2: Following concurrence by NOAA CIO, GPD submits the AP and routing slip to the DOC CIO
- Step 3: Upon approval or disapproval, the DOC CIO returns the plan

**[D]** For acquisitions with a total life-cycle cost of \$75M or greater, in order to obtain DOC CIO signature on the AP, the following steps apply:

- Step 1: Following successful NOAA ARB, AGO POD submits the AP to GPD. GPD works with the ACIO to obtain a routing slip and IRD showing that the acquisition is non-IT
- Step 2: Following concurrence by NOAA CIO, GPD submits the AP and routing slip to the DOC CIO
- Step 3: Upon approval or disapproval, the DOC CIO returns the plan
- Step 4: AGO POD submits AP to OAM and requests that a DOC ARB be scheduled
- Step 5: DOC ARB is conducted
- Step 6: SPE signs AP
- Step 7: OAM returns AP and Acquisition Approval Memo

## **V. Responsibilities**

### **[01] Program and Project Managers**

**[A]** Contact and coordinate with the POC for their respective IRMAC in order to obtain an IRD for *all* acquisitions equal to or greater than \$150K (whether or not the PM believes the procurement of IT is included).

**[B]** Complete a Forecasting and Advance Acquisition Planning System (FAAPS) entry for actions expected to exceed \$150K (see Appendix 1).

[C] Make an initial determination as to whether the action includes the procurement of IT (as defined in the *Policy on IT Acquisition Strategies and Planning under FITARA*) or is considered non-IT.

[D] Prepare an estimate for the anticipated procurement's total life-cycle cost which, where applicable, clearly delineates the separate dollar amounts expected to be applied toward IT vs. non-IT products and services.

[E] Where the resultant IRD states the acquisition includes the procurement of IT, the PM will continue to follow this procedure, as applicable to the total life-cycle cost of the procurement. The PM will include the IRD number with the requisition routed through NPO and submitted to AGO.

[02] The LO/SO (A)CIO/IRMAC will:

[A] Review *all* planned acquisitions greater than \$150K submitted for review and produce an IRD for each request.

[B] Document and lead a process in which respective PMs submit information for each acquisition for evaluation.

[C] Provide PMs with guidance on the minimum data required to enable IRMAC review.

[D] Provide the relevant PM an IRD with a trackable number that states whether the acquisition is determined to be non-IT or it includes the procurement of IT.

[E] For acquisitions including the procurement of IT the IRD will also state the ITIA disposition by:

1. Verifying an existing ITIA, or
2. Stating that a new ITIA is required and referring the PM to the appropriate ITIA review and approval process based on total cost of the IT included in the acquisition.

[F] Maintain an inventory of IRDs using the [OCIO numbering convention and database](#)

## VI. Management and Ownership

The NOAA OCIO GPD will manage this Procedure and serve as its steward.

## **VII. Intended Audience**

This Procedure applies to any NOAA employee who requisitions any type of IT products and services, as set forth in the DOC IT Portfolio Management Strategy and FITARA.

## **VIII. Implementation Date**

The Procedure is effective TBD.

## **IX. Grandfather Exemption and Waiver Option**

None.

## **X. Performance Objectives and Measurements**

None.

## **XI. Definitions**

Refer to Appendix 1.

## **XII. Approval**

This procedure was approved by the NOAA CIO and will be effective immediately for implementation of all FY19 (and onward) acquisitions. After six months of full implementation beginning October 1, 2018, it will be renewed by the CIO Council.

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Zachary Goldstein, Chief Information Officer

## **XIII. Appendices**

[1] Definitions

[2] List of Acronyms

## Appendix 1- Definitions

### **[01] Formal Acquisition Plan:**

A formal acquisition plan identifies all significant technical, cost, and business issues of a requirement and provides specific solutions to address any critical issues in the proposed acquisition. The AP also identifies the applicable NOAA (or DOC) ITIA. See [CAM 1307.1](#) for more information on AP requirements.

### **[02] Commerce Information Technology Review Board:**

CITRB is part of the department's Investment Review Process and is focused on new or re-competed acquisitions required to support major investments and non-major investments with life cycle costs at or above \$10M. The DOC CIO determines those initiatives that will be reviewed by the Board. The CITRB ensures reviewed IT investments have an acceptable IT acquisition strategy, a viable technical approach, a risk plan, and an acceptable business case. A CITRB provides approval or disapproval by the DOC CIO of requests for ITIAs and APs. A formal memo with the ITIA decision will be issued at the completion of the review. In lieu of a CITRB, the DOC CIO may convene with bureaus to determine the specific review process for acquisitions below \$100M based on acquisition complexity, risk, priority, and technology.

### **[03] Forecasting and Advance Acquisition Planning System:**

The web-based system used to submit advance acquisition planning forecast data via Department of Commerce at <https://faaps.commerce.gov>. A FAAPS submission is required for *all* planned actions expected to be greater than \$150K (total life-cycle cost).

### **[04] Information Technology:**

Any services or equipment, or interconnected system(s) or subsystem(s) of equipment, that are used in the automatic acquisition, storage, analysis, evaluation, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the agency; where such services or equipment are 'used by an agency' if used by the agency directly or if used by a contractor under a contract with the agency that requires either use of the services or equipment or requires use of the services or equipment to a significant extent in the performance of a service or the furnishing of a product.\*

The term "information technology" includes computers, ancillary equipment (including

imaging peripherals, input, output, and storage devices necessary for security and surveillance), peripheral equipment designed to be controlled by the central processing unit of a computer, software, firmware and similar procedures, services (including provisioned services such as cloud computing and support services that support any point of the lifecycle of the equipment or service), and related resources.

The term “information technology” does not include any equipment that is acquired by a contractor incidental to a contract that does not require use of the equipment.

\*IT may be embedded in the platform or environment being acquired (for example: aircraft, ships, facilities, sensors, and instrumentation).

#### **[05] Information Technology Investment Authority (ITIA):**

The approval required at the appropriate level for all acquisitions which include or contain IT, as set forth in the NOAA Policy on IT Acquisition Strategies and Planning under FITARA. The ITIA must have an assigned ITIA number (this is not the same as an IRD number), which complies with the OCIO numbering convention.

An ITIA is the (A)CIO’s certification of a valid IT requirement and a recommendation for an acquisition strategy, which ensures that acquisitions that include IT:

- Align with one or more of:
  - DOC Strategic Plan;
  - NOAA Strategic Plan;
  - NOAA IRM Plan;
  - Line Office Strategic Plan;
  - Mission and program objectives;
- Align with DOC and NOAA Enterprise Architecture;
- Are led by appropriate Federal Acquisition Certifications (FACs), including specialized IT certifications as appropriate;
- Present opportunities to leverage acquisition initiatives such as shared services, category management, strategic sourcing, and incremental or modular contracting and use such approaches as appropriate;
- Contain appropriate IT related portions of statement of needs or statement of work;
- Manage project risks;
- Manage cybersecurity risks;
- Implement incremental development adequately; and
- Contain appropriate cost estimates.

**[06] Information Resource Management Advisory Committee:**

Chaired (or co-chaired) by a delegated (A)CIO, each LO/SO IRMAC (or equivalent LO-level board, committee, or council) provides: (A) a high level technical advisory function; (B) information exchange related to the implementation and execution of IT policy and related activities; (C) decision making related to IT procurements; and (D) enterprise and business-level planning. SO/LO IRMACs will incorporate the [NOAA IRM Strategic Plan](#), [NOAA Enterprise Network Services Strategic Plan](#), [NOAA Enterprise IT Services Catalog](#), [NOAA Geospatial Strategic Plan](#), [NOAA High Performance Computing Strategic Plan](#), [NOAA Cyber Security Roadmap](#), [EA Alignment Tool](#), [IT Security Checklist](#), and [Section 508 Standards Checklist](#), into their review of IT acquisitions. The IRMAC will provide advice and recommendations to the (A)CIO on ITIAs for reviewed IT acquisitions. The primary role of the IRMAC is to determine whether or not an acquisition involves IT and if so, the value of that IT.

**[07] Investment Review Determination:**

The IRMAC review will result in an indication as to whether the acquisition is determined to either be non-IT or include the procurement of IT products or services. The IRD, or equivalent, will serve as guidance to the CO or PM as to whether the procurement includes IT and whether a new ITIA is required or an existing ITIA is applicable. All IRDs, or equivalent, must have an assigned IRD number (this is not the same as an ITIA number) in accordance with [NOAA OCIO numbering convention](#).

**[08] [Milestone Acquisition Plan \(MAP\)](#):**

A MAP identifies acquisition objectives and outlines the actions, milestones, and documents (including the applicable NOAA ITIA) required to meet the acquisition.

## **Appendix 2: List of Acronyms**

**ACIO** - Assistant CIO

**(A)CIO** - Assistant CIO or NOAA CIO

**AGO** - Acquisition and Grants Office

**ARB** - Acquisition Review Board

**CIO** - Chief Information Officer

**CITRB** - Commerce Information Technology Review Board

**DOC** - Department of Commerce

**CO** - Contracting Officer

**FAAPS** - Forecasting and Acquisition Planning System

**FITARA** - Federal Information Technology Acquisition Reform Act

**GPD** - Governance and Portfolio Division (within NOAA CIO Office)

**IRMAC** - Information Resource Management Advisory Committee

**IRD** – Investment Review Determination

**IRF** - Investment Review Form

**IT** – Information Technology

**ITIA** - Information Technology Investment Authority (NOAA or DOC)

**ITR** - Information Technology Review (DOC)

**MAP** - Milestone Acquisition Plan

**PALT** - Procurement Administrative Lead Time

**PM** - Program Manager or Project Manager

**PMC** - Program Management Council (NOAA)

**SBPO** - Senior Bureau Procurement Official (NOAA)

**SPE** - Senior Procurement Executive (DOC)