

IT INVESTMENT MANAGEMENT - SELECT PHASE (1.0)
 BUSINESS CASE DEVELOPMENT STAGE (1.3)
 BUSINESS CASE DEVELOPMENT EXEMPTION PROCESS (1.3.EX)

Number	Phase/Stage/Task	Process Description
(1.3.6. EX .1)	Project Proponent determines the nature of the emergency IT investment	<p><i>Purpose: In very rare instances, an exemption from developing a Business Case for an IT investment may be appropriate. This may include a catastrophic mission-critical system or infrastructure repair, upgrade, or replacement resulting from a natural disaster, or mandated expenditure by court order or Congressional directive that must be in place within a very short period of time. The Project Proponent determines, with the Sponsors/Owners guidance, if an emergency waiver may be appropriate. A natural disaster or mandated IT expenditure necessitates that the Business Case Stage be waived to expedite the IT Investment Management Process.</i></p>
		<p>Deliverables:</p>
		<p>Time Frames: <i>Driven by the nature and extent of the emergency to directive.</i></p>
		<p>Who's Involved: <i>Project Proponent assigned by the System Owner.</i></p>
(1.3.6. EX .2)	Project Proponent determines investment is an application	<p><i>Purpose: Depending on the nature of the emergency waiver request, the Project Proponent needs to determine if the investment will be for a "application" or "infrastructure" replacement.</i></p>
		<p>Deliverables:</p>
		<p>Time Frames:</p>
		<p>Who's Involved: <i>Project Proponent</i></p>

Number	Phase/Stage/Task	Process Description
(1.3.6.EX .2.1)	Project Proponent Reviews the IT Clearinghouse	Purpose: <i>The Project Proponent reviews the IT Clearinghouse to determine if an existing application/system may be able to meet the immediate/temporary requirements of the system for which the emergency waiver is being developed.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>Project Proponent</i>
(1.3.6. EX .2.2)	Project Proponent determines no existing application will work	Purpose: <i>The Project Proponent and the application/system or IT component owner decide to proceed with an Business Case Exemption Request.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>Project Proponent, System or IT Component Owner</i>
(1.3.6. EX .3)	Project Proponent determines investment is an infrastructure component	Purpose: <i>Depending on the nature of the emergency waiver request, the Project Proponent needs to determine if the investment will be for a "application" or "infrastructure" replacement.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>Project Proponent, System or IT Component Owner</i>
(1.3.6.EX .3.1)	Project Proponent Reviews the TRM	Purpose: <i>The Project Proponent reviews the TRM to determine if an existing technical infrastructure component may be able to meet the immediate or temporary requirements of the technical component for which the emergency waiver is being developed</i>
		Deliverables:
		Time Frames:

Number	Phase/Stage/Task	Process Description
		Who's Involved: <i>Project Proponent, System or IT Component Owner</i>
(1.3.6. EX .3.2)	Project Proponent determines no existing infrastructure component will work	Purpose: <i>The Project Proponent and the IT component owner decide to proceed with an Business Case Development Exemption Request.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>Project Proponent, IT Component Owner</i>
(1.3.6. EX .4)	Project Proponent with Project Sponsor concurrence determines a Business Case Exemption may be appropriate	Purpose: <i>This step ensures that the system or IT component owner is in agreement with the Project Proponent that a Business Case Exemption Request is the best strategy for meeting the nature of the emergency.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>Project Proponent and System / Component Owner</i>
(1.3.6 EX .5)	Project Proponent reviews / conducts Project Screening Analysis (1.1.6) to determine IT Investment Board oversight responsibilities	Purpose: <i>This step ensures that the proposed Business Case Exemption Request is directed to the appropriate level ITIB.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>Project Proponent</i>

Number	Phase/Stage/Task	Process Description
(1.3.6. EX. 6)	Project Proponent determines that the National ITIB is the appropriate oversight board	Purpose: <i>Based on the criteria for project screening (1.1.6) the Project Proponent determines that the National ITIB is the appropriate oversight board.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>Project Proponent</i>
(1.3.6. EX .7)	Project Proponent Prepares a Business Case Exemption Request Memorandum	Purpose: <i>The Business Case Exemption Request Memorandum (prepared by the Project Proponent and signed by the System/IT Component Owner) provides supporting justification as to why the Business Case waiver is being requested. Within the memorandum, the nature or circumstances of the emergency are addressed, the scope of the new or proposed investment is described, a initial project schedule is included, a budget/spending plan is prepared and the coordination efforts with IMG, TRM and BC-660 are briefly addressed. This memorandum will be used to support the request and will be reviewed by the SCO, IMG, TRB, BC-660, CIO and ITIB.</i> <i>Templates for the Business Case Exemption Request Memorandums are available.</i>
		Deliverables: <i>Business Case Exemption Request Memorandums</i>
		Time Frames:
		Who's Involved: <i>Project Proponent, Sponsor</i>
(1.3.6. EX .8)	Project Proponent submits Business Case Exemption Request Memorandum to the SCO	Purpose: <i>The purpose of submitting the Business Case Exemption Request Memorandum to the SCO is so the SCO can the necessary investment coordination and performs its ITIB executive secretariate duties.</i>
		Deliverables:

Number	Phase/Stage/Task	Process Description
		<p>Time Frames:</p> <p>Who's Involved: <i>Project Proponent</i></p>
(1.3.6. EX .9)	SCO distributes to IMG, TRB and Contracting asking for review and comments	<p>Purpose: <i>The SCO reviews the submission for completeness and distributes copies of the Exemption Waiver Request Memorandum to IMG, TRB, and to the NBC (BC-660). The purpose is to solicit comments from these organizational groups on the impact of the proposed project/investment.</i></p> <p>Deliverables: <i>Electronic copies distributed and posted to the SCO website.</i></p> <p>Time Frames:</p> <p>Who's Involved: <i>SCO</i></p>
(1.3.6. EX .10 IMG)	IMG reviews the Request for impact to IT Portfolio, develops IT Portfolio adjustment alternatives, and sends to SCO	<p>Purpose: <i>The IMG reviews the Business Case Exemption Request Memorandum to determine potential funding issues and conflicts as well as describing the impacts to the total IT Portfolio. The IMG will also develop IT Portfolio adjustment alternatives or strategy (at a detailed level) should the ITIB approve the exemption. IMG sends their comments to the SCO for consolidation.</i></p> <p>Deliverables:</p> <p>Time Frames:</p> <p>Who's Involved: <i>IMG</i></p>

Number	Phase/Stage/Task	Process Description
(1.3.6. EX .10 TRB)	TRB reviews for impact to Bureau Architecture. Develops findings and recommendations and sends to SCO	Purpose: <i>The TRB reviews the Emergency Waiver Request Memorandum to determine potential impacts to the technical architecture. The TRB analyzes the impacts to the BEA (positive and negative), develops findings and recommendations. TRB sends comments to the SCO for consolidation.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>TRB</i>
(1.3.6. EX .10 CO)	NBC (BC-660) reviews for possible contracting issues develops findings and recommendation and sends to SCO	Purpose: <i>The NBC (BC-660) reviews the Emergency Waiver Request Memorandum to determine potential contracting issues and conflicts as well as procurement consolidation opportunities. The BC-660 will also include recommendations on contracting strategy should the ITIB approve the project. BC-660 sends comments to the SCO for consolidation.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>BC-660</i>
(1.3.6. EX .11)	SCO consolidates comments from TRB, IMG and BC-660 and develops Findings and Recommendations	Purpose: <i>Consolidation of comments and preparation of finding and recommendations by the SCO allows for the information to be analyzed, reviewed, and coordinated so that consolidated findings and recommendations can be developed and presented to the CIO and ITIB.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>SCO</i>

Number	Phase/Stage/Task	Process Description
(1.3.6. EX .12)	SCO submits Business Case Exemption Request Memorandum with consolidated Findings and Recommendations to the CIO	Purpose: <i>The CIO needs to determine if the Business Case Exemption Request Memorandum and SCO findings and recommendations contain the information necessary for the ITIB to make a decision.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>SCO</i>
(1.3.6. EX .13)	CIO reviews Business Case Exemption Request Memorandum and SCO's Findings and Recommendations	Purpose: <i>The CIO reviews the Business Case Exemption Request Memorandum and SCO findings and recommendations to determine if it contains the information necessary for the ITIB to make a decision.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>CIO</i>
(1.3.6.EX.14)	CIO confirms that Business Case Exemption is appropriate	Purpose: <i>The CIO either approves or rejects the request of a Business Case Exemption. If it is approved it is forwarded to the ITIB. If it is rejected it is returned to the System or IT Component owner and Project Proponent.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>CIO</i>

Number	Phase/Stage/Task	Process Description
(1..6.EX.15)	CIO directs the SCO to forward the Business Case Exemption Request Memorandum and SCO Findings and Recommendations to the ITB	Purpose: <i>The ITIB members need to have the same information as the CIO, to review the request to determine if they will approve or reject the Business Case Exemption Request.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>CIO</i>
(1.3.6.EX.16)	CIO calls an emergency meeting of the ITIB (email, teleconference, special meeting)	Purpose: <i>The ITIB must meet in some official format (email, teleconference, or special meeting) to consider the Business Case Exemption Request Memorandum and related funding issues.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>CIO</i>
(13.6.EX.17)	ITIB analyzes the Findings and Recommendation (impact on IT Portfolio)	Purpose: <i>ITIB members analyze the information with findings and recommendations provided. This could be at a normally scheduled meeting, an emergency meeting, or a telephone/video conference. From this information they will base their decision on whether or not to exempt the investment from the requirement to develop a business case.</i> <i>Approving the project will have an impact on the IT Portfolio, either by modifying or terminating existing projects/systems in the IT Portfolio or requesting that the IT CAF is increased.</i>
		Deliverables:
		Time Frames:

Number	Phase/Stage/Task	Process Description
		Who's Involved: <i>ITIB</i>
(1.3.6.EX.18)	ITIB approves Business Case Exemption Request	Purpose: <i>ITIB members either approve or reject the request for a Business Case Exemption Request.</i>
		Deliverables: <i>A formal Record of Decision document.</i>
		Time Frames: <i>1day</i>
		Who's Involved: <i>ITIB, CIO and SCO</i>
(13.6.EX.19)	ITIB decides on how best to adjust the IT Portfolio	Purpose: <i>The ITIB needs to document their analysis and decision on which projects to continue, modify or terminate within the existing IT Portfolio based on the approve of the proposed project. This should include detailed funding decisions so that IMG and WO-880 can adjust the budget and IT Portfolio accordingly.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>ITIB, SCO and IMG.</i>
(1.3.6 EX .20)	ITIB decides to adjust IT Portfolio within existing IT Spending Cap	Purpose: <i>Based on the nature and the alternatives presented the ITIB decides to fund (from within the existing IT Spending Cap) the project/investment by adjusting the IT Portfolio.</i>
		Deliverables: <i>Decision Memorandum</i>
		Timeframes: <i>Within 10 days after the meeting</i>
		Who's Involved: <i>ITIB, CIO, IMG, WO-880 and SCO</i>
(1.3.6 EX .21)	ITIB decides to asks BST to increase the IT Spending Cap	Purpose: <i>Based on the nature and the alternatives presented the ITIB decides to request funding from the BST.</i>
		Deliverables:
		Timeframes: <i>Within 10 days after the meeting</i>

Number	Phase/Stage/Task	Process Description
		Who's Involved: <i>ITIB, BST, FC, CIO, CIOC IMG, WO-880 and SCO</i>
(13.6.EX.22)	SCO Prepares a Record of Decision	Purpose: <i>To document the Record of Decision. This creates an audit trail so that oversight agencies and internal evaluations on the ITIB process can be independently verified or validated.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>SCO</i>
(1.3.6 EX .23)	CIO as Chair of the ITIB signs the Record(s) of Decision	Purpose: <i>This step is necessary to create a formal audit trail.</i>
		Deliverables:
		Timeframes:
		Who's Involved: <i>CIO</i>
(13.6.EX.24)	SCO sends Decision Memorandum to IMG who adjusts the IT Portfolio (with WO-880) assistance	Purpose: <i>This is the formal notification to directing the IMG to adjust the IT Portfolio.</i>
		Deliverables: <i>Record of Decision</i>
		Time Frames:
		Who's Involved: <i>SCO, IMG</i>
(13.6.EX.25)	SCO sends Decision Memorandum to Project Proponent/Sponsor with stipulations to follow IMP	Purpose: <i>This is the formal notification to the Project Sponsor that the ITIB has approved the Business Case Emergency Waiver. It would include project stipulations as identified by the SCO and approved by the ITIB.</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>SCO</i>

Number	Phase/Stage/Task	Process Description
(13.6.EX.26)	Project Proponent enters project into IT Clearinghouse and/or coordinates with the TRB to update the TRM	Purpose: <i>Once approved by the ITIB the Project Proponent is directed to enter the project into the IT Clearinghouse. Entering the project into the IT Clearinghouse which serves as a form of communications when others review the clearinghouse that there is a similar project/system already in existence or development..</i>
		Deliverables:
		Time Frames:
		Who's Involved: <i>Project Proponent/ Project Manager</i>
(13.6.EX.27)	Project Proponent/Manager enters IMP Process at 1.4 Acquisition Plan Development Stage	Purpose: The Project Proponent or Project Manager re-enters the IT Investment Management Process.
		Deliverables:
		Time Frames:
		Who's Involved: <i>Project Proponent or Project Manager</i>