



To enhance mission performance, TSA is committed to promoting a culture founded on its values of Integrity, Innovation and Team Spirit.

1. **PURPOSE:** This directive provides TSA policy and procedures for the Information Technology Acquisition Review (ITAR) Process.
2. **SCOPE:** This directive applies to all TSA employees and contractors.
3. **AUTHORITIES:**
 - A. [DHS Directive 102.01, Acquisition Management Directive](#)
 - B. [DHS MD 0007.1, Information Technology Integration and Management](#)
 - C. [DHS MD 760.1, Purchase Card Program](#)
 - D. [TSA MD 200.3, Headquarters Facilities Management](#)
 - E. [TSA MD 300.8, Acquisitions Program Planning, Review and Reporting](#)
4. **DEFINITIONS:**
 - A. **Acquisition:** The conceptualization, initiation, design, development, test, contracting, production, deployment, logistics support, modification, and disposal of systems, supplies, or services (including construction) to satisfy DHS needs. Acquisitions result from investment decisions, respond to approved requirements, align to strategic direction, and are guided by approved baselines. Acquisition does not include establishment of Agency needs (requirements determination) or financial management.
 - B. **Acquisition Decision Memorandum (ADM):** An official document used to approve a procurement which contains the investment name, background, evaluation history, purpose, and dollar value of the proposed information technology (IT) procurement. Generated once all reviewer groups have assigned an evaluation rating to a procurement request (PR) package, the ADM accompanies the PR package to the TSA Chief Information Officer (CIO) for review and approval. As the final approval tracking document, the ADM is archived and serves as the official record of TSA CIO procurement approval.
 - C. **Acquisition Review Decision (ARD):** An official document used at the DHS Office of the Chief Information Officer to approve a procurement totaling \$2.5 million or more, which contains the investment name, background, evaluation history, purpose and dollar value of the proposed IT procurement. Generated by the DHS ITAR Team once all DHS IT acquisition reviewer groups have assigned an evaluation rating to an IT procurement request (PR) package, the ADR accompanies the PR package to the DHS CIO for review and approval. As the final

approval tracking document for PRs submitted to DHS for approval, the ARD is archived and serves as the official record of the DHS CIO procurement approval.

- D. Consumable Information Technology: IT products generally used as consumable administrative office supplies (e.g., media, toner, ink).
- E. Direct Costs: Costs that can be specifically identified with a particular project.
- F. Information Technology (IT): Any equipment or interconnected system(s) or subsystem(s) of equipment, used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by an agency. Equipment can be used either directly by TSA or indirectly by a contractor performing work for the Agency that requires the use of such equipment or requires the use, to a significant extent, of such equipment in the performance of a service or the furnishing of a product. The term IT includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. The term IT does not include any equipment that is acquired by a contractor incidental to a contract or any equipment that contains imbedded IT that is used as an integral part of the product, but the principal function of which is not the acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. For example, heating, ventilation, and air conditioning equipment, such as thermostats or temperature control devices, and medical equipment for which IT is integral to operation, are not IT.
- G. ITAR TSAITBUY Team: The team responsible for coordinating the ITAR process for all IT Acquisitions across TSA.
- H. ITAR TSAITBUY Review Group: TSA designated group of personnel assigned to evaluate specific and discrete elements of the PR package.
- I. Originator: Any TSA employee or group that initiates a PR.
- J. Other Direct Costs (ODC): The remaining costs that are directly related to the project such as materials and supplies. ODCs must be described in detail to adequately describe and support the amount of costs in the procurement.
- K. PR Package: A standard set of documents, assembled by an individual(s) who is requesting TSA's procurement of an item(s)/asset(s) that provide decision makers information necessary to inform their decision to allow or deny the procurement of said item or asset.

5. RESPONSIBILITIES:

- A. Assistant Administrators (AAs) or equivalents are responsible for:
 - (1) Determining the need and technical content of their proposed IT PRs; and
 - (2) Ensuring review and completeness of their office's IT PRs.
- B. Office of Acquisition (ACQ) is responsible for processing ITAR TSAITBUY-approved IT PRs.

C. Office of Information Technology (OIT), ITAR TSAITBUY Team is responsible for:

- (1) Establishing and managing procedures for submitting, reviewing and approving IT PR packages in alignment with DHS guidance;
- (2) Providing technical advice and assistance to TSA offices regarding the creation, design, submission and management of IT PR packages;
- (3) Serving as DHS liaison on TSA IT PR packages;
- (4) Coordinating IT PR packages with technical offices as determined appropriate;
- (5) Managing IT PR package materials, training content and related communications;
- (6) Publishing IT PR notices through the appropriate TSA medium;
- (7) Monitoring AA offices' review of IT PR packages;
- (8) Ensuring that IT PR packages comply with TSA records management guidelines; and
- (9) Making the final determination on whether an IT asset is considered consumable or non-consumable.

D. Originators are responsible for:

- (1) Completing applicable IT PR training;
- (2) Providing OIT with a draft copy of the IT PR packages and supporting documents for review and approval if preparation assistance is required;
- (3) Coordinating the submission of completed IT PR packages and supporting documentation;
- (4) Completing any necessary PR package remediation as communicated by ITAR TSAITBUY coordinators;
- (5) Notifying OIT when IT PR revisions, re-issuances or cancellations are necessary based on organizational or policy changes;
- (6) Cancelling funds certified PRs as necessary; and
- (7) Notifying the ITAR TSAITBUY of cancelled PRs.

6. **POLICY:** ITAR TSAITBUY provides an efficient and cost effective method of collecting IT PR package information for processing, and providing overall management for IT PRs by identifying OIT as the focal point for the review, revision/modification, coordination, approval and publishing/posting of IT PRs.

- A. Originators shall not purchase IT applications, hardware, or software as ODCs.
- B. Originators shall submit requests through the ITAR TSAITBUY, regardless of dollar amount.
- C. IT PR package content must demonstrate adherence to legal and statutory authorities such as the Privacy Act and the Paperwork Reduction Act, as well as TSA enterprise architecture, information security and internal control standards.
- D. Each IT PR package should be supported by the necessary documentation.
- E. Titling and issuance of IT PR packages is limited to packages managed via the IT PR Package management process and intended for TSA-wide notice, publication and/or compliance.

7. PROCEDURES:

- A. The Originator determines if the acquisition can or cannot be procured using a Purchase Card; i.e., if it is a consumable good below \$3,000. If yes, proceed to the predefined Purchase Card process as identified in DHS MD 760.1. If not, proceed to Section 7B herein. All IT acquisitions procured using a Purchase Card must be reported to the ITAR TSAITBUY team.
- B. The Originator determines that the acquisition contains a non-consumable IT component and requests the AA's, or designee's, approval to submit the PR to OIT.
- C. If the AA, or designee, approves submission of the PR, the Originator begins the OIT ITAR process by submitting a complete PR package with all supporting documentation to ITAR TSAITBUY team. Supporting documentation includes SOWs/SOOs/PWSs/Bills of Material, IGCEs, Market Research, PR Factsheets, Funds Certified PRs, and Acquisition IT Checklists. These documents are required by the TSA Office of Acquisition (OA) identified in its ProcessQuik process, which is referenced by the URL link included in Section I of this MD below. If the AA, or designee, disapproves submission of the PR, no PR package is prepared, and any further processing for acquisition is stopped.
- D. The ITAR TSAITBUY team reviews the PR package for completeness in areas such as enterprise architecture, information security, infrastructure, facilities/resources management, records management, and Section 508.
- E. If the PR package is incomplete (e.g., contains missing fields or is missing essential documentary artifacts), the package is returned to the Originator with comments indicating what may be missing, and the review period does not begin until the Originator resubmits the PR package with the missing fields and/or documentation.
- F. If the PR package is complete, the ITAR TSAITBUY team sends the completed PR packages to the appropriate ITAR TSAITBUY review groups to help ensure that the package complies with TSA acquisitions guidelines. If a PR package is deemed noncompliant by one or more ITAR TSAITBUY review groups, the ITAR TSAITBUY team notifies the Originator of the issues, with remediation instructions. The Originator then makes appropriate changes to the PR package supporting documentation to bring it into compliance with IT acquisition guidelines, and resubmits changes to ITAR TSAITBUY team for continued review.

- G. After the ITAR TSAITBUY review groups have reviewed and approved PR packages, any PR packages totaling \$2.5 million and higher will then be submitted to the DHS ITAR team for review with subsequent approval by the DHS Office of the Chief Information Officer. PR packages totaling less than \$2.5 million are reviewed by the ITAR TSAITBUY review team with subsequent approval by the OIT CIO.
- H. Following final CIO-level review, the ITAR TSAITBUY team notifies the Originator, through issuance of an ADM (for PR packages under \$2.5 million) or an ARD (for PR packages \$2.5 million or more), of one of three final determinations below:
 - (1) Approved – Request meets all requirements for the review area. The ITAR TSAITBUY team forwards copies of the ADM/ARD and the contents of the PR package to the Office of Acquisitions for continued processing.
 - (2) Conditional Approval – Conditions must be satisfied before the request meets all requirements for a review area. Conditions are levied with deadlines that are based either on dates or on specific events. The Originator is responsible for ensuring that the conditions are met within the prescribed timeframe. Confirmation shall be submitted to OIT through the ITAR TSAITBUY Team.
 - (3) Disapproved – Request does not meet critical requirements for the review area. Requests cannot go forward. Once the issues are resolved, the request can go forward.
- I. Reference [TSAITBUY](#) or at [ProcessQuik](#) for instructions on preparing and submitting IT PR packages.

8. APPROVAL AND EFFECTIVE DATE: This policy is approved and effective the date of signature unless otherwise specified.

APPROVAL

Signed

January 6, 2012

Dr. Emma Garrison-Alexander
Assistant Administrator
Chief Information Officer
Office of Information Technology

Date

EFFECTIVE

Date

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