



BTA
BUSINESS TRANSFORMATION AGENCY

DoD IT Business Systems Investment Review Process

Investment Certification and Annual Review Process User Guidance

July 12, 2006

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Introduction

Background

To meet the threats and challenges of the twenty first century, the Department of Defense (DoD) must be as agile, flexible and adaptable as the forces it fields in battle around the world. Our nation's highly flexible and adaptable fighting force requires an equally flexible, high-performance and responsive business and financial support infrastructure, capable of adapting to ever-changing conditions.

The DoD Investment Review process plays a vital role in delivering the flexibility and responsiveness required across the Department's warfighting operations. This process ensures that all business systems activities within the Office of the Secretary of Defense (OSD) and Component organizations:

- (1) Act in support of the joint warfighting capability by applying innovations and best practices from leading companies as well as from our joint forces;
- (2) Receive better information for strategic decisions to DoD leadership by providing access to actionable management information by way of the continued migration to a networked information (net-centric) environment; and,
- (3) Reduce the cost of business operations by providing timely, reliable and accurate financial information to drive a cost-conscious decision-making process.

The DoD established Investment Review Boards (IRBs) under the authority of 10 United States Code (U.S.C.) 2222 as added by Section 332 of the Ronald W. Reagan National Defense Authorization Act for Fiscal Year 2005 (FY05 NDAA), Public Law 108-767. IRBs perform their functions consistent with Subtitle III of Title 40 U.S.C. (formerly the Clinger-Cohen Act), Office of Management and Budget Circular A-130 (Management of Federal Information Resources), and other applicable laws, rules and regulations.

Purpose / Audience

This supplemental guidance provides a single, consistent process for Component engagement with OSD for the Investment Review Process. It complements the Investment Review Process Overview and Concept of Operations for Investment Review Boards (now referred to as IRB CONOPS), which describes the responsibilities of all organizations and individuals that have significant roles in the DoD Business System Investment Review Process. The BEA Compliance Guidance, a companion document, provides guidance on determining a system's compliance with the DoD Business Enterprise Architecture (BEA).

This document is presented as user guidance on preparing Defense Business System certification submissions to the Defense Business System IRBs and the Defense Business Systems Management Committee (DBSMC), as defined in the IRB CONOPS, for the review, certification, and approval as well as annual review of funding for defense business systems. The users of this document will be Component personnel fitting one of the following profiles:

- **Pre-Certification Authority (PCA)** – Each Component has designated a PCA (typically within its Chief Information Officer (CIO) organization) who holds Information Technology (IT) portfolio responsibility for the organization. The PCA is responsible for the internal Component evaluations of all systems as described in the IRB CONOPS. This evaluation includes verification that a given system is in compliance with the DoD BEA



and is included in the Component and/or Enterprise Transition Plan (ETP). For systems to be presented to IRBs for review, the PCA must assert via letter that the system is in compliance with the conditions of obligation of funds as specified in the FY05 NDAA.

- **Program Managers (PMs)** – PMs are the ultimate subject matter experts for their respective systems. They are responsible for maintaining all information related to the business system requiring approval and certification of DoD funds and/or annual review as specified in FY05 NDAA.

Upon reading this documentation, Components should understand:

- The purpose of the IRB processes;
- Whether a system must participate in these processes, and to what degree;
- A general overview of the overall processes and their specific role in them;
- The audit trail created by the Certification and Annual Review processes; and,
- The documentation they must prepare in order to successfully navigate the process and have their system modernization funding approved.

Tiered accountability is critical to the Department's success in modernizing business operations. Through the DBSMC / IRB processes and the establishment of enterprise-wide systems and capabilities, the Department is defining a set of consistent standards and practices that will enable full interoperability for the future. Each Component is responsible and accountable for maintaining systems, processes and architecture in compliance with these standards. Component PCAs and PMs play an enormously important role in ensuring that the Department's business transformation efforts are a success. Their diligence in managing an effective internal investment review process and in building and maintaining capabilities that are compliant with the DoD BEA and ETP will drive the delivery of future business capabilities across the Department.

Which Systems Require Certification Review and Annual Review

Certification

The FY05 NDAA states that funds may not be obligated for a defense business system modernization that will have a total cost in excess of \$1 million unless:

- (1) *the approval authority designated for the defense business system certifies to the Defense Business Systems Management Committee established by section 186 of this title that the defense business system modernization –*
 - is in compliance with the enterprise architecture developed under subsection (c);*
 - is necessary to achieve a critical national security capability or address a critical requirement in an area such as safety or security; or*
 - is necessary to prevent a significant adverse effect on a project that is needed to achieve an essential capability, taking into consideration the alternative solutions for preventing such adverse effect; and*
- (2) *the certification of the approval authority is approved by the Defense Business Systems Management Committee.” (Title 10 U.S.C section 2222 (a))*

Certification is required for any system development / modernization investment costing in excess of \$1 million in total DoD funds. Obligation of DoD funds for a business system modernization in excess of \$1 million which has not been certified and approved by the DBSMC is a violation of the Anti-Deficiency Act. The \$1 million threshold applies to the total lifecycle of the development / modernization investment



which may span multiple years. Certification Review focuses on determining whether to approve funding based on DoD business requirement and the system's alignment with the DoD BEA and overall portfolio of systems. It is also important to understand that this applies to all investments geared towards creating new business systems capabilities whether defined as development, modernization or enhancement. These terms are used interchangeably in this document. The FY05 NDAA requirements do not apply to maintenance and ongoing operational funding appropriated to specific systems.

Annual Review

In addition to system certification, the FY05 NDAA requires:

“Periodic review, but not less than annually, of every defense business system investment.” (Title 10 U.S.C. section 2222 (g)(2)(B))

Annual Review applies to all business systems, regardless of investment Tier, including systems for which there is no planned development or modernization spending. The FY 2005 NDAA does not prescribe any specific format for annual review; however, Components must structure internal investment review processes consistent with Clinger-Cohen Act (40 USC § 11312) capital planning and investment control requirements. It is anticipated that Components will incorporate the annual review requirement into their currently existing annual review activities such as portfolio management or annual budget preparation. At a minimum, as part of the annual reviews Components should make sure that systems are assessed against the DoD BEA, ensure systems are included in the Component or Enterprise Transition Plan as appropriate, and that all required information regarding each system has been updated in the Department's global business systems inventory. Components are required to submit a letter to the IRBs on a semi-annual basis, on a schedule consistent with the Enterprise Transition Plan update cycle, listing all business systems that have been reviewed. These internal Component reviews, coupled with notification of these reviews to the CA / IRB, meet the FY05 NDAA annual review requirement.

In addition to annual reviews conducted at the Component level, the IRBs will conduct annual reviews of all development / modernization activities that have previously been certified and are currently in process. Whereas Certification Review is focused on making a *go / no go* decision about a program's modernization, IRB Annual Review is focused more narrowly on whether the system is meeting its milestones in terms of cost, schedule and capability, and assessing progress towards meeting conditions placed on the initial Certification.

IRB Annual Reviews are conducted only for systems that were previously certified by an IRB. Component systems for which there is no development / modernization funding have nothing to certify and, therefore, have no IRB Annual Review requirement. This does not exempt them from annual review by the Component or from being requested by an IRB to present current status either individually or as part of a portfolio review. Requests for additional information are strictly at the discretion of the individual IRBs.

Investment Tiers

The rigor of the Certification and Annual Review processes is based on the system's acquisition category or the size of the financial investment. Investment Tiers have been designated as follows:

- Tier 1** Includes all MAIS programs (ACAT 1A, ACAT 1AM, or ACAT 1D)
- Tier 2** Includes all non-MAIS program investments \$10 million or above
- Tier 3** Includes all non-MAIS program investments greater than \$1 million and less than \$10 million



Tier 4 Includes all non-MAIS program investments less than or equal to \$1 million

The \$1 million threshold, and the determination of Tier, is based on the total cost of investment funds for the modernization from concept refinement phase, or pre-initiation phase, to deployment, excluding operations and support, i.e., sustainment phase. Depending on how the modernization is structured, it may be a one-year effort or a multi-year effort and may extend beyond the Future Year Defense Plan (FYDP). A certification approval will generally apply to that portion or phase of the modernization for which procurement and funding has been granted.

Components seeking Certification for system modernizations using FY06 funds must demonstrate system compliance with DoD BEA Version 3.0. For Certification for modernizations using FY07 funds, compliance with DoD BEA Version 3.1 will be required.

For purposes of Certification and Annual Review, the implications of investment Tiers are:

- All systems, regardless of Tier, are required to maintain current, up-to-date information regarding their systems and modernizations in the DoD IT Portfolio Repository (DITPR). Systems also must be incorporated in the Component's business enterprise architecture and transition plan, which are required to be assessed against the DoD BEA and be consistent with the ETP.
- Certifications are performed by DoD IRBs for Tier 1, 2, and 3 systems. Components are responsible for performing investment reviews of Tier 4 systems.
- Components must review annually *all* of their business systems, regardless of Tier, including systems that are in sustainment. Components are required to provide a report listing all systems they have certified or reviewed internally to the appropriate IRB on a semi-annual basis, on a schedule consistent with the ETP update cycle. The Component reviews, coupled with the notification of these reviews to the CA / IRB, meet the FY05 NDAA annual review requirement.
- IRBs will conduct Annual Reviews only for those systems that had been previously certified by the IRB with funds approved by the DBSMC.
- The Certification and Annual Review processes differ very little between Tiers 1, 2 and 3. Tier 1 reviews leverage the Defense Acquisition and JCIDS processes to meet their certifications requirements; thus, additional documentation related to these processes is typically required. For Tiers 2 and 3 there is essentially no difference, from a Component's perspective, in the core documentation required for IRB certifications. It should be expected, however, that the degree of scrutiny applied by the IRBs, including the amount of additional questions a program may be asked to prepare answers to, will vary in proportion to the size of the investment. Given the size of their investment, Tier 1 and 2 systems should be prepared to provide additional system information as requested by the IRB. Tier 1 and 2 systems are also more likely to be required to make special presentations to the IRB regarding their business requirements.
- IRBs reserve the right to designate any program a *PSA Interest* program, regardless of the size of its modernization investment. PSA Interest programs require IRB certification; however, there is no requirement for DBSMC approval of the certification.



The Role of DITPR

The Defense Information Technology Portfolio Repository (DITPR) serves as the Department's authoritative inventory of IT systems. By DoD CIO Directive, all Components are required to enter and maintain current information about all of their IT systems in DITPR. All IT business systems are required to be registered in the DITPR. Information collected within DITPR covers four basic areas in regards to business systems:

- **System Overview Information:** Name, acronym, points of contact, etc.
- **Compliance Information:** Information required to comply with other federal reporting regulations
- **Architecture:** A basic architectural profile is maintained
- **Certification:** Information required for the Investment Certification and Annual Review processes

Maintaining complete and up-to-date information in DITPR will greatly benefit Component PMs and PCAs when uploading documentation to the IRB Portal. For the Certification and Annual Review processes, keeping information in DITPR current, will enable the automatic generation of standard reports, and eliminate the need for manually generated templates and dashboards. DITPR will also be used to complete a variety of other federal reporting requirements, several of which are listed below: (Note: this is not a complete list.)

- Federal Information Systems Management Act (FISMA)
- Federal eGovernment Initiative (eGov) (E-Authentication and Privacy Impact Assessments)
- Mission Critical / Mission Essential Systems Inventory (10 USC 2223(a)(5))
- Interoperability (CJCSI 6210.01D)

The IRBs and DoD CIO will be paying close attention to the completeness of data in DITPR in order to ensure a high level of data quality that is uploaded to the IRB Portal. Detailed guidance for how to use DITPR, including an explanation of each data field, can be found on the DITPR website (<https://www.dadms.navy.mil/>).

Components are required to enter overview and compliance information for all systems registered in DITPR. Components also are required to enter architecture and certification information for those systems seeking IRB / DBSMC certification approval and other systems as directed by the IRBs.

Though not required, Components should consider instituting the practice of entering architecture and certification information for systems not seeking certification. This will support Component-level investment certification efforts.



The Certification Process Flow

The Certification process as illustrated in Figure 1 is a straightforward workflow. It begins at the Component level with the identification of a business solution that needs funding and moves through evaluation and pre-certification at the Component level, followed by DoD IRB review and recommendation for certification, and then DBSMC certification approval.

Process Roles

A detailed explanation of the responsibilities of each of the parties in the IRB / DBSMC certification review process can be found in the IRB CONOPS. The following narrative provides a brief description of the role of each of the five key players. Role delineation within individual Components may vary somewhat due to Component specific practices. For example, a Component-level functional organization may perform the Program Manager role described below. Ultimately, overall Component responsibilities remain the same.

The Program Manager (PM)

PMs are the focal point for providing information about their respective systems. As such, PMs are responsible for ensuring that all required data are valid, current and show an accurate picture of the state of the system represented. The information they provide, which may eventually be uploaded on the IRB Portal, enables their Component organizations, as well as the DoD IRBs and DBSMC, to make informed decisions regarding systems and initiatives development / modernization investments.

The PM's role in the investment review process is primarily to prepare the necessary documentation describing the program. This involves maintaining system information in DITPR along with initiating / updating those DITPR fields regarding the specific modernization certification request. The PM performs the economic viability review of the modernization and prepares any other plans or analyses required by the Component PCA or the IRB. The PM should always be prepared to answer questions posed by the PCA or IRB regarding any aspect of their program. The PM may be required to accompany the PCA for presentations to the appropriate DoD IRB regarding their program. Unless authorized by the PCA, PMs will conduct all communication regarding their certification submission through the PCA's office.

The Pre-Certification Authority (PCA)

The PCA serves as the primary authority within the Component responsible for internal certification and review of business systems development / modernization funding requests, as well as the development and maintenance of the Component-level systems architecture and transition plan. The PCA identifies IT systems with total modernization funding that exceed \$1 million, and serves as the Component authority for determining when to submit these systems to the appropriate DoD IRB for certification. When a system's package is uploaded to the IRB Portal for review and certification, the PCA validates that all information provided has been reviewed and determined to be accurate. The PCA also asserts that any documentation necessary to substantiate information submitted to the IRB is readily available for review upon request.

Each Component's designated PCA is responsible for completing an internal Certification process. The PCA will assure, at a minimum, that when a system investment successfully completes the Certification process it has been assessed against the DoD BEA and is included in the Component or Enterprise Transition Plan and validates that all required system information is loaded into DITPR and uploaded on



IRB Process Flow

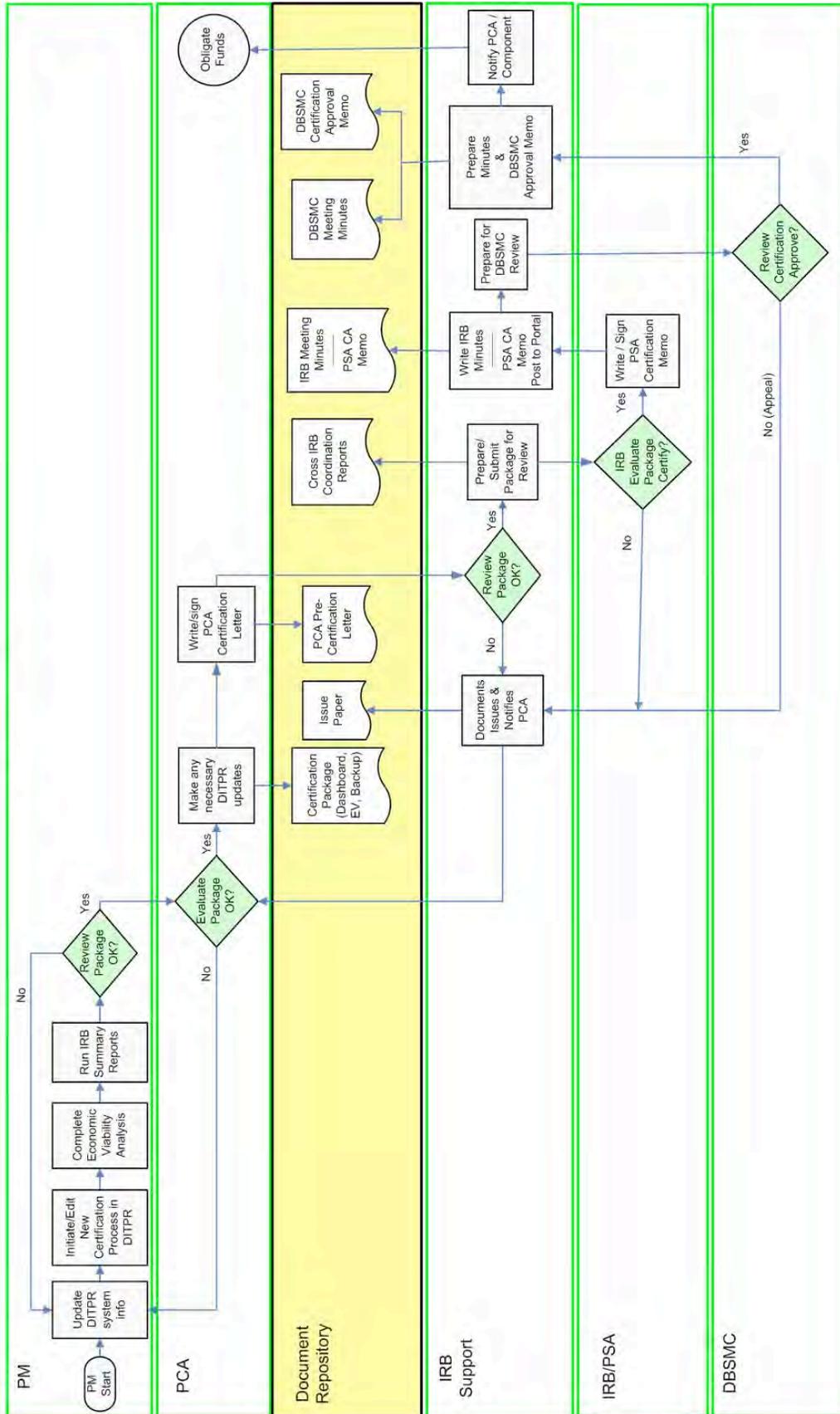


Figure 1



the IRB Portal. Information regarding how Components are to assess BEA compliance is found in the separate BEA Compliance Guidance. For those systems submitted to DoD IRBs for certification review, the PCA will prepare a standard certification package consisting of a PCA certification letter, IRB summary reports and an economic viability analysis and upload it to the IRB Portal. The PCA is considered the point of contact for any communication between the IRB and the system's PM.

PCAs are also responsible for providing the IRB with summary reports, on a regular basis, of all systems certifications and annual reviews performed internally. The PCA is also responsible for ensuring that certification and annual review files that are uploaded to the IRB Portal conform to the file naming conventions shown in Appendix G of this document.

The IRB Support Staff

The IRB Support Staff serves as the primary interface between the Components and the IRB Process. In support IRBs and the DBSMC the IRB Support Staff coordinates certification activities for all system modernizations that are being reviewed and ensures information required to make certification decisions and uploaded on the IRB Portal by Component PCAs is complete and accurate. The IRB Support Staff follows up on actions of both bodies by writing and uploading issue papers, meeting minutes, and other communications.

The IRB Support Staff is the Component's primary point of contact with the process. They assist by ensuring documentation is complete and serve as the communications point, informing Components of the progress of their package in the process, including any decisions reached.

DoD Investment Review Boards (IRBs)

The DoD IRBs meet on a scheduled basis to review each defense business system development / modernization funding request submitted by the Components seeking DBSMC certification approval. Components may be requested to provide a briefing during an IRB meeting. The IRB determines whether or not to recommend certification of a system development / modernization funding request. The IRB may place specific conditions on a system certification request. If certification with conditions is approved by the DBSMC, those conditions will be reviewed at the Annual Review, if not earlier.

Upon conclusion of an IRB certification review meeting, the IRB will prepare meeting minutes for the approval by the IRB Chairperson as well as a PSA Certification memo for the designated DoD Certification Authority (CA) to sign. This memo details all decisions made regarding system certifications and documents any conditions placed on certifications. The DoD CA will then forward the memo to the DBSMC for its approval of the systems investments listed. The IRB meeting minutes and PSA Certification memo are uploaded to the IRB Portal.

The Defense Business Systems Management Committee (DBSMC)

The DBSMC has final certification approval authority for all defense business system development / modernization investments. Investment certifications that are reviewed and recommended by individual IRBs are presented to the DBSMC for approval. If and when approval is granted, it will be so noted in the DBSMC meeting minutes, which are uploaded on the IRB Portal. Additionally, upon conclusion of a DBSMC meeting, an official memorandum is issued documenting the DBSMC's decisions. This memo is uploaded on the IRB Portal. In the event the DBSMC disapproves a certification recommendation, an issue note is prepared and uploaded on the IRB Portal for the Component PCA to resolve. It is up to the Component PCA to decide whether to resubmit the system once the relevant issues have been resolved.



Certification Documentation

It is important to note that the official record of data for the IRB Process is the documentation uploaded on the IRB Portal. During the Certification process, a variety of documentation is gathered about a specific program or system and its development / modernization investment. Much of this information is taken from DITPR and other repositories by the Components and uploaded to the IRB Portal. The IRB Support Staff also uploads informational material to the IRB Portal in support of IRBs and the DBSMC. Together, these documents provide an audit trail for the Certification process. Standard documentation includes:

- The Certification Dashboard (DITPR Report)
- System Regulatory Compliance Report (DITPR Report)
- Economic Viability Analysis
- Component Pre-Certification Letter
- Issue Papers
- Cross IRB Coordination Reports
- PSA Certification Memo
- IRB and DBSMC Meeting Minutes
- DBSMC Memo
- Other Documents requested by the PCA, IRBs or DBSMC

As depicted in Figure 1, all of these documents will be uploaded on the IRB Portal. Details for how to access and utilize the IRB Portal may be found in Appendix F. Components are required to follow a very specific naming protocol for all files uploaded on the IRB Portal. The required naming conventions are detailed in Appendix G.

Under this process, the standard certification package prepared by the Component, which the PCA uploads to the IRB Portal when submitting a system for IRB Certification, consists of three to four documents:

- Component Pre-Certification Memo
- Certification Dashboard (DITPR Report)
- System Regulatory Compliance Report (DITPR Report)
- Economic Viability analysis (if not using DITPR EV tool)

Of these, both the System Regulatory Compliance Report and Certification Dashboard are standard DITPR Reports which may be simply extracted from DITPR and uploaded to the IRB Portal.



IRB Documentation Evolution

The intention is to make all Business System IRB Certification submission packages completely electronic, driving towards a net-centric “maintain once, use many” approach. This will be accomplished over time through an electronic fusion of inputs from DITPR (the DoD’s authoritative source for systems and related information), the Select and Native Programming-IT (SNaP-IT, the authoritative source for budget information) and potentially other specific authoritative sources where DITPR and SNaP-IT do not provide the needed information.

While we have not yet achieved this long range goal, we have made significant progress for FY07 by including all fields of information required for a standard Certification or Annual Review in DITPR. All systems are required to maintain full, complete, and up-to-date information regarding their status in DITPR. Assuming PMs and PCAs have complied with this requirement, all standard documents required for Certification or Annual Review and uploaded on the IRB Portal may be generated as standard reports. For the Components this will eliminate the need to complete the old Appendix E document used for FY06, as well as the need to manually create the IRB Dashboard, as this is now a standard report.

We fully recognize that ideally some of the data used in the Certification process would be better derived net-centrally from SNaP-IT or other sources. We will be working very hard over the next several months through the IT Management Data Community of Interest and other forums to make this possible.

Documents

A detailed description of all relevant documents follows.

System Information in DITPR

As previously stated, Components (PMs and PCAs) are required to maintain full, complete and up-to-date information about their IT business system and initiative development / modernization efforts in DITPR. From this information, most of the other documents required for certification and uploaded to the IRB Portal can be generated by a standard report. Instructions on how to fill in all areas of DITPR can be found on the DITPR website (<https://www.dadms.navy.mil/>).

Within DITPR, there is a specific area devoted to Certification and Annual Review. Each Certification is stored as a separate record linked to the given system. The questions asked in this section are those used by the IRB to detail the modernization request. The answers to these questions populate the Certification Dashboard used in the IRB meetings as well as other reports internal to the IRB / DBSMC process. Detailed information as to how to answer these questions is contained in Appendix A.

Certification Dashboard

The Certification Dashboard is a summary report used within the IRB meetings to provide an overview of the system modernization request to the board members as a means of encouraging discussion. It includes a variety of program information including an overview of the modernization, as well as expected milestone dates, costs, risks and other factors.

This report is now generated entirely from information stored in DITPR. Components can generate the report at any time. This serves as a check to ensure their data is up-to-date and properly presented. When the PCA deems this information to be accurate and up-to-date, the PCA should extract a copy of the report and upload it on the IRB Portal using the instructions in Appendices F and G.



Appendix B provides a sample Dashboard Report. It details where within DITPR each portion of the Dashboard is stored, so that PMs / PCAs can easily navigate the information and make adjustments.

System Regulatory Compliance Report

DITPR stores information regarding a system's compliance with a wide variety of internal and external reporting requirements (e.g. FISMA, eGov, etc.). A standard DITPR System Regulatory Compliance Report exists which summarizes a system's compliance with the full array of reporting requirements tracked. This information details both the need to comply with a given reporting requirement and the current status of compliance. Components should produce, verify and upload this report on the IRB Portal when submitting IRB Certification requests.

Economic Viability Analysis

An economic viability (EV) analysis is required for all system modernization requests that are submitted for certification to the IRB / DBSMC process. There is an EV tool within DITPR, which may be used to complete the analysis. The User's Guide for this tool is available on the DITPR homepage. The use of this tool is not mandatory; however, if another methodology is used, Components are required to upload the documentation file in the system's folder on the IRB Portal per Appendices F and G.

Component Pre-Certification Letter

Upon Component-level approval of a system development /modernization effort, the PCA prepares a letter that requests certification of program funding and defines which FY05 NDAA-defined criteria for Certification the system is seeking. This letter asserts authoritatively for the Component that the system in question:

- Has provided full and complete information required for Certification;
- Has updated all information in DITPR;
- Is compliant with the DoD BEA (compliance with the BEA is detailed in a separate Architecture Compliance Guidance);
- Is included in the Component or Enterprise Transition Plan and,
- Has completed and verified the required EV analysis and included it along with the certification submission.

The PCA uploads this letter on the IRB Portal along with the Certification Dashboard, an EV analysis and other requested documentation. System investment certification requests will not be considered by any IRB unless the certification package is complete. A sample pre-certification letter is included in Appendix C and the file naming convention is shown in Appendix G.

Cross IRB Coordination Reports

While each system is assigned a primary IRB based on its functional area, it is not uncommon for a system to be of interest to more than one IRB. In this case, the primary IRB will coordinate distribution of information to the appropriate IRBs and upload any coordination reports or memos on the IRB Portal in the system's folder.

IRB Meeting Minutes

After each IRB meeting, the IRB Chairperson issues meeting minutes detailing results of all systems that were reviewed and which systems were recommended for certification to the Certification Authority. The minutes also document action items produced by the IRB members and any conditions levied on a system under review. Attachments to the minutes include the attendance sheet, IRB briefings, and other documentation as directed by the IRB. These minutes uploaded to the IRB portal when published.



Certification Authority (CA) Memo

Following each IRB meeting, the CA issues a memorandum to the DBSMC detailing results of the meeting. This memo has, as an enclosure, a list of all of the systems reviewed by the IRB that are recommended for certification approval by the DBSMC. This memo is uploaded to the IRB portal when published.

DBSMC Meeting Minutes

Minutes of each DBSMC meeting include a spreadsheet that details system certifications reviewed and approved by the DBSMC. This spreadsheet includes the Component, System Name, Tier, and the dollar amount of each certification. Approved minutes and any other documents deemed necessary by the DBSMC are uploaded on the IRB Portal.

DBSMC Certification Approval Memo

As a final act confirming the approval of an investment certification, the DBSMC signs and issues a formal memo announcing the approval results of systems acted upon by the DBSMC at its most recent meeting. This letter is uploaded on the IRB Portal.

Issue Papers

Throughout the investment review process, the IRBs or DBSMC may raise questions that require clarification or additional information. Any issue papers resulting from these questions are uploaded in the system's folder on the IRB Portal.

Other Documents requested by the PCA, IRBs or DBSMC

Components may provide additional information that will assist the IRB decision-making process. Additionally, Components may be asked to provide additional information to clarify issues raised. In either of these instances, Components should upload this information to the IRB Portal.



The Annual Review Process

Title 10 U.S.C. Section 2222 (g)(2)(B) requires a “periodic review, but not less than annually of every defense business system investment.” This requirement provides follow-up assurance that IT investment modernizations, which have been previously certified and approved, are managed properly, and that promised capabilities are delivered on time and within budget. This section explains annual review requirements and processes as well as all required documentation (in most cases by explaining the differences versus Certification), and attempts to answer questions that would typically arise.

To What Efforts Does Annual Review Apply?

Components are required to annually review *all* business systems, regardless of investment Tier, including systems for which there is no planned development or modernization spending. The FY05 NDAA does not prescribe any specific format for annual review; therefore, Components may structure these reviews in whatever way they deem most appropriate. It is anticipated that Components will incorporate the annual review requirement into their currently existing annual review activities such as portfolio management or annual budget preparation. At a minimum, as part of the annual reviews Components should make sure that systems are assessed against the DoD BEA, ensure systems are included in the Component or Enterprise Transition Plan, and that all required information regarding each system has been updated in DITPR.

Components are required to submit a letter to the IRBs on a semi-annual basis, on a schedule consistent with the Enterprise Transition Plan update cycle, listing all business systems that have been reviewed. These internal Component reviews, coupled with notification of these reviews to the CA / IRB, meet the FY05 NDAA annual review requirement.

Where do IRB Annual Reviews Focus?

In addition to annual reviews conducted at the Component level, the IRBs will conduct annual reviews on the subset of business system modernizations that have been previously certified and approved by the IRBs and DBSMC.

Annual Reviews are scheduled by the IRBs throughout the year. The standard documentation required to meet FY05 NDAA requirements regarding Annual Review, however, is narrower in scope, focusing on:

- Continued compliance with the Business Enterprise Architecture (BEA)
- Program performance in terms of cost, milestone achievement and assessment of program risk against what was originally certified
- Progress towards meeting any conditions placed on program certifications by an IRBs or DBSMC

Finally, IRBs pay special scrutiny to any system that has significantly missed milestone dates or outspent its budget by 10 percent or more in any fiscal year. These systems may be required to re-certify based on their budget situation.



When Must a System Go Through an IRB Annual Review?

All reviews of modernization investments, whether for Certification or IRB Annual Review, are completed on an annual cycle. A system that has just had its funding certified and approved will not go through an Annual Review until the *next* fiscal year.

For example, if a program sought and received certification and approval in FY05 for funding for a modernization that will take three years to complete beginning in FY06, then it is required to go through the IRB Annual Review process in FY06, FY07 and FY08.

As another example, if a system goes to an IRB for Certification in October 2005 (FY06) for a modernization that would be completed by the end of the summer of 2006, then there would be no requirement for an IRB Annual Review. This is because the entire modernization was completed within the year the Certification Review was performed and certification granted.

Timing of IRB Annual Reviews within a given fiscal year is dictated by the IRBs. To better manage the Department's assets and to optimize business capability delivery across the Department, the IRBs schedule IRB Annual Reviews for systems delivering similar (and possibly overlapping) capabilities at the same time. This facilitates better discussion at the Departmental level about overall requirements and allows senior leadership to carefully examine the trade-offs inherent in funding one solution versus another.

Can More Than One IRB Annual Review be Required in a Fiscal Year?

Programs may have more than one certified modernization initiative active at any given time. Status on each active certification must be reviewed separately; thus, more than one Dashboard report may be required. Regardless, the IRBs will work to ensure all IRB Annual Reviews of certifications for a single program will occur at the same time. Programs may occasionally, at the discretion of the IRB, be required to participate in other reviews. In these instances, the IRB will provide full details of what is to be addressed and provide guidance as to the specific documentation required.

IRB Annual Review Process Steps

The Annual Review process is very similar to the IRB Certification process. Once the IRB provides its Annual Review schedule to the PCA, the steps are essentially the same:

- The system's program management staff coordinates the development and review of its IRB Annual Review submittal package with the Component PCA.
- The Program Manager and/or Component updates the data in the system's entry in DITPR to reflect the system's current status.
- The Component PCA submits the system's IRB Annual Review package, which includes uploading the PCA IRB Annual Review Assertion Letter, the System Regulatory Compliance report, and the Annual Review Dashboard, to the IRB portal.
- The Component provides supplemental documents and data when requested by the IRB.
- The IRB conducts the system's IRB Annual Review
- The status of the system's progress through the IRB Annual Review process is updated in DITPR by the IRB Support Staff.
- The IRB CA's decisions are uploaded to the IRB Portal



Figure 2 illustrates the required steps starting from the point where a Component begins preparing for the IRB Annual Review.

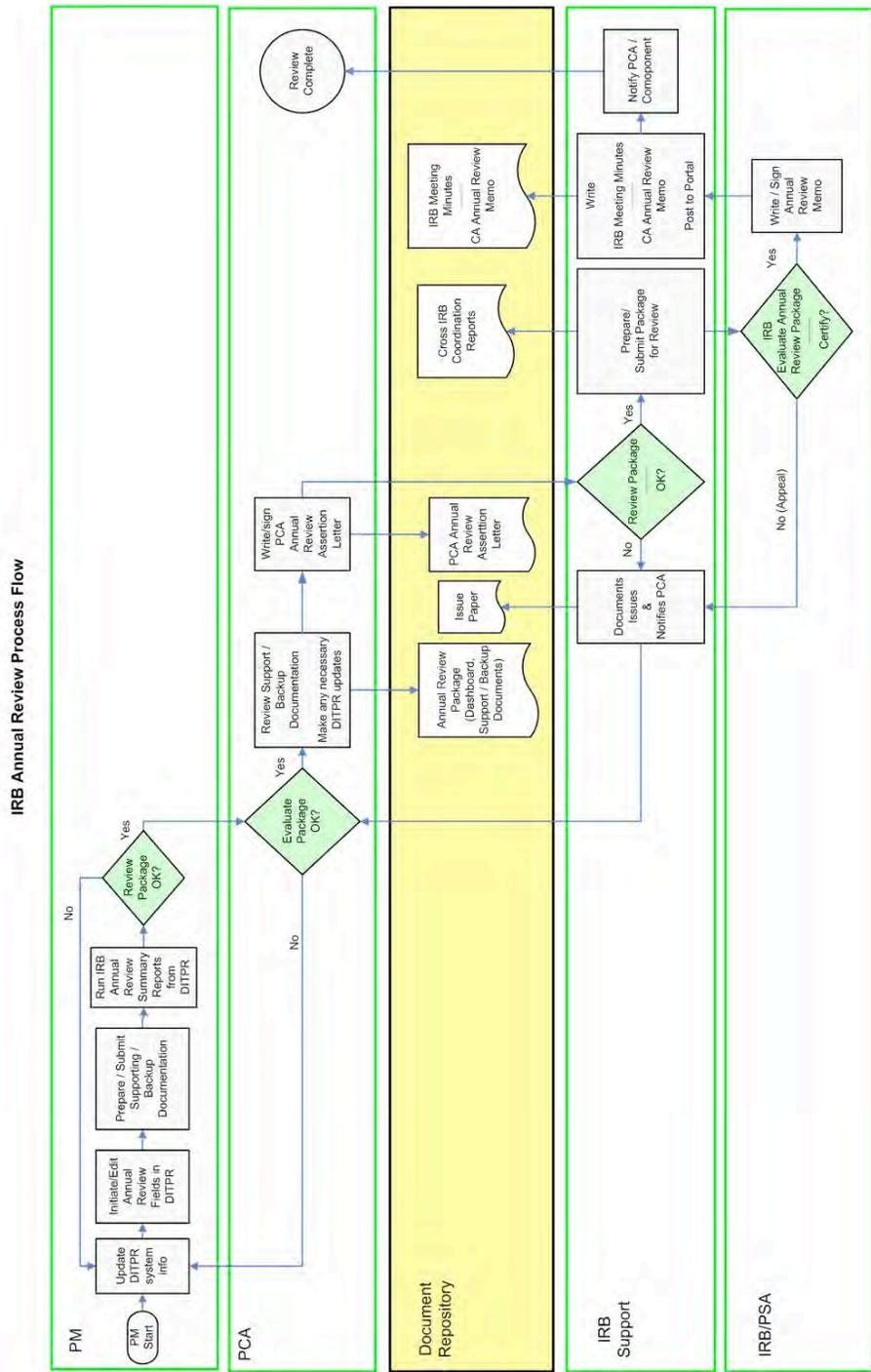


Figure 2



IRB Annual Review Documentation

The documentation that a Component is required to prepare for the IRB Annual Review process is also very similar to the documentation required for Certification. As with the submission of Certification packages, the IRB Annual Review packages will utilize the IRB Portal as the official record of data.

- Each program is required to have complete and accurate information entered into the Department's global IT systems repository – DITPR.
- A dashboard report is generated by the Component PCA and uploaded onto the IRB Portal in the program's folder.
- Any required supporting documentation such as updated EV analyses, plans for architecture compliance, or longer explanations of milestones issues are also uploaded to the IRB Portal.
- Finally, the Component PCA must generate an IRB Annual Review Assertion letter (similar to the Pre-Certification letter generated for the Certification process) and upload it to the IRB Portal.

Updating DITPR

Just as with the Certification process, most of the documentation required for the IRB Annual Review process is generated directly from information entered and stored in DITPR. It is the responsibility of every PM and Component to ensure that all information in this repository is up-to-date and accurate. Specifically, Components should review the certification section of DITPR for each active Certification for a given program and:

1. Update all fields related to costs, milestones and risks. These are the areas where the program must highlight that it has exceeded or slipped on any expectation. The updated information is then compared with previous submissions of Certification and IRB Annual Review dashboards uploaded on the IRB Portal.
2. Detail issues regarding achievement of capability milestones including cost, schedule and/or performance.
3. Detail all actions or issues relating to meeting conditions placed on the initial Certification of funding.

The IRB Annual Review Dashboard

The IRB Annual Review Dashboard report (detailed in Appendix D) generated from DITPR is almost identical to the Certification Dashboard. As with the Certification Dashboard, the top portion of the Dashboard is dedicated to general program information – name, acronym, dollars certified and date, points of contact (POCs), etc. Likewise, the bottom portion of Dashboard details the program's milestones, budget, and risk, albeit with the updated information that has been input into DITPR.

The difference in the two Dashboards lies in the middle. Here, IRB Annual Review Dashboard documents issues related to milestone achievement. After a brief summary of the modernization, the Dashboard displays information regarding the program progress – achievement versus plan (schedule, budget, performance) and actions taken to address any conditions placed on the certification.

It is the PCA's responsibility to run this report in DITPR, approve its content, verify its accuracy, and upload a copy of the approved report to the IRB Portal in the program's folder.



Supporting Documentation

The Component may wish (or be required) to provide additional or backup information to support anything related to the program. This information should be uploaded on the IRB Portal and may include:

- General program update presentations
- Detailed plans for meeting certification conditions
- Updated economic viability analyses
- Greater depth explanations for program slippage issues
- Responses to specific questions posed by the IRB
- BEA compliance plans

The PCA IRB Annual Review Assertion Letter

The IRB Annual Review Assertion letter (sample provided in Appendix E) is equivalent in function to the Component PCA Letter that was submitted for the initial IRB / DBSMC Certification process. The same degree of accountability applies to the IRB Annual Review Assertion letter as to the Component Pre-Certification letter when the system's certification was first reviewed by the IRB and approved by the DBSMC. In the IRB Annual Review Assertion letter, the Component:

- Asserts the system is consistent with the Component's architecture and is compliant with the DoD BEA
- States the system is included in the Component or Enterprise Transition Plan
- States that the system's data in DITPR is current
- Reports the condition under which the system is compliant with the FY05 NDAA (refer to Appendix A, "Certification – Overview", question 3)
- Provides information on how the system is performing in terms of cost, schedule, and performance

Consequently, the Component requests that the IRB approve the system's modernization efforts as a result of the IRB Annual Review.



Appendix A. DITPR Certification Fields Guidance

The Defense Information Technology Portfolio Repository (DITPR) serves as the Department's authoritative inventory of IT business systems. All Components are required to enter and maintain current information about all of their IT systems in DITPR. Information collected within DITPR and eventually uploaded on the IRB Portal covers four basic areas in regards to business systems:

1. System Overview Information – Name, acronym, points of contact, etc.
2. Compliance Information – Information required to comply with other external and internal reporting regulations
3. Architecture – A basic architectural profile is maintained
4. Certification – Information required for the Investment Certification and Annual Review processes

The following guidelines provide assistance in completing those fields in DITPR specific to the last point – information required for the Investment Certification and Annual Review processes. Detailed information as to how to complete other sections of DITPR may be found on the DITPR website (<https://www.dadms.navy.mil/>).

The Certification section of DITPR not only collects detailed information specific to the modernization, but is also the driver for generating the IRB Certification Dashboard report, which is uploaded on the IRB Portal and is the primary document used for review by the IRBs. Providing complete and accurate information on the Questionnaire streamlines the certification request process and expedites the funding for the modernization.

Note: Systems may have more than one certified modernization initiative active at any given time. Each modernization request over \$1 million requires separate Certification; thus, there may be more than one Certification (and associated set of answers to certification questions) tied to each system.

The Certification related questions in DITPR fall into five categories as follows:

1. Certification - Overview
2. Certification - Detail
3. Certification - Milestones of Modernization
4. Certification - Investment & Return
5. Certification - Risks & Mitigation

Finally, there are two Annual Review-specific questions that are included in the Certification - Detail section.

Listed below is a description of the data collected for each section.



Certification - Overview

1. What is the amount of funding requested for this system development / modernization / enhancement?

Enter the total amount in millions of dollars (\$000.000) of investment funding requested for Certification.

2. What is the Target Approval Date for this certification request (mm/dd/yyyy)?

Estimated date the system needs to be reviewed and certified by the approval authorities.

3. What is the requested NDAA for FY05 Certification Classification for this system development / modernization / enhancement request?

Refers to the FY05 NDAA classifications of business investments. Classifications are as follows:

- A: Is in compliance with the Business Enterprise Architecture.
- B: Is necessary to achieve a critical national security capability or address a critical requirement in an area such as safety or security.
- C: Is necessary to prevent a significant adverse effect on a project that is needed to achieve an essential capability, taking into consideration the alternative solutions for preventing such adverse effects.

4. In which Tier is this Development / Modernization / Enhancement to be certified?

Each system enhancement is classified by a “Tier” which is generally based on funding requirements, but can also be based on the significance of the modernization. Select the Tier of the system development / modernization / enhancement using the guidelines below:

- Tier 1: MAIS / MDAP
- Tier 2: Exceeding \$10 million, but not designated MAIS or MDAP or those deemed as PSA Interest programs by the IRBs
- Tier 3: Exceeding \$1 million up to \$10 million
- Tier 4: Investment funding required, up to \$1 million



Certification - Detail

1. Describe the development / modernization / enhancement effort to be certified.

This description should specifically describe, *in detail*, the enhancement being developed. Be as detailed, but succinct, as possible. This description is used by the IRBs and the IRB Support Staff to gain a full perspective on the intent of the modernization effort.

The description of the certification must provide a summary overview of the project focusing on the following key areas, as applicable:

- The project's objectives; functional area supported
- Key customers and stakeholders
- Collaborative efforts with other activities, commands, and agencies
- Benefits (in general terms, cost and performance)

Note: Your response to this “detailed” description will be used by the IRBs to supplement the dashboard report

2. Summarize the development / modernization / enhancement in 100 words or less

This should be a brief summary of the description previously entered. This summary is used to populate the “Modernization Description” field on the IRB Certification Dashboard and is, therefore, intended to provide a brief overview of the effort.

While being brief, it should focus on the following key areas, as applicable:

- Objectives; functional area supported
- Key customers and stakeholders
- Collaborative efforts with other activities, commands, and agencies; and benefits (in general terms, cost and performance)
- Statutory or regulatory mandates, if any

3. Provide a brief description of the benefits anticipated as a result of successfully implementing this development / modernization / enhancement.

Each investment sets out to achieve specific goals, whether they are cost reduction or meeting legislative / component-specific requirements. This field allows the system to provide justification of the benefits that will be realized by funding the modernization.

List the expected outcomes, benefits, and justifications that validate this Certification. Rank them in order of importance or scale.



Example: Service Level (Increase), Cost (Decrease), Add Operational Activities (A3331, A3332).

Other Standard Justifications Include:

- Service Level: defines the service provided, the metrics associated with these services, and the threshold for acceptable and unacceptable service levels
- Cost: funding of any appropriation used to procure, develop, or implement a new business capability
- Cycle Time: the total time from the beginning to the end of a process. Cycle time includes process time, during which a unit is acted upon to bring it closer to an output, and delay time, during which a unit of work is spent waiting to take the next action
- Asset Utilization: the ratio of actual output to planned output
- Horizontal Integration: integration among the disparate distribution processes, systems, and data architectures that are critical to improve warfighter capabilities
- Financial Accountability: ensures that the investments financial activities are executed consistent with the directives of the Office of the Secretary of Defense (OSD) and generally accepted accounting standards
- Business Alignment to Warfighter: ensures that investments are guided by improvements in business capabilities that better support the warfighting mission

4. Identify Legacy Systems eliminated by this Development / Modernization / Enhancement.

If this modernization eliminates legacy systems, or portions of a legacy system, list them in this section.

Include DITPR ID#, system acronym, system name, and sunset date.

5. If this system is slated to be replaced in the foreseen future, identify the system that will replace it.

This is only applicable to interim solutions.

Include DITPR ID#, system acronym, system name, and sunset date.

6. Describe any adverse effects should this Development / Modernization / Enhancement not be approved:

Describe in general terms the impact or damage that would occur to operations within the department of defense if the program or initiative / development / modernization is not supported.



IRB Annual Review - Specific Questions

1. Milestone Achievement Issues: Briefly describe any issues regarding achievement of capability milestones including cost, schedule and / or performance.

Describe any issues that require discussion regarding the system’s achievement of capability milestones, costs, and schedule as well as any negative change to the programs risk profile. Special attention should be devoted to any overspending by 10 percent or more in any given fiscal year. Programs that exceed budget by this amount may be asked to re-certify.

2. Compliance Plan for Meeting Certification Conditions: Briefly detail all actions or issues relating to meeting conditions placed on the initial Certification of funding.

If the system had conditions placed on the original Certification, a brief summary of all actions taken to address those conditions should be entered here.

Certification - Milestones of Modernization

This image demonstrates how the IRBs will view the Milestones portion on the Certification Dashboards during investment reviews:

Milestones of Modernization	
<Milestone Description>	<mm/dd/yyyy>

1. Provide the System/Initiative's key milestones over the FYDP.

Identify the system / initiative’s key milestones (can include lifecycle stages and modernization status) over the FYDP.

For those modernizations that are implemented in phases / blocks / spirals, identify the timing of each within the modernization and their related milestones.

Use the pull-down menu to select each appropriate system milestone and enter the date on which it is anticipated the program will meet this milestone to the right.



Certification - Investment & Return

This image demonstrates how the IRBs will view Investment and Return information on the IRB Certification Dashboard during investment reviews.

Investment & Return <small>(enter modernization funding only)</small>						
BCR:	Breakeven:		NPV:		\$MM	
Modernization Funds	FY06	FY07	FY08	FY09	FY10	FY11
<Select Funding Type>						
<Select Funding Type>						
<Select Funding Type>						
Total						

1. Provide a budget breakout of the development / modernization / enhancement funding requested by funding type and fiscal year.

This section requires accuracy, but is fairly straightforward. It focuses on funds related to the modernization portion of an investment.

Select a funding type from the pull-down menu in the left hand column of the table provided. For each funding type, enter the funding amounts by fiscal year in \$ millions beginning with the current fiscal year and for each subsequent year of the modernization going forward. All amounts must be entered in millions with three decimal places to the right of the decimal point. For example, seven hundred fifty five thousand should be entered as 0.755. All amounts must be represented in current year dollars.

2. Briefly explain any budgetary issues where the system funding request deviates from normal modernization budgeting practices.

Provide an explanation for budget variances and appropriation uses as described in the funding section.

The IRB will compare the development / modernization / enhancement figures above to the official budget for this System/Initiative. In a separate document, provide justification information if any of the following apply:

- Variances occur between the requested certification amounts (highlighted above) and those amounts listed in the official budget for this System/Initiative
- Funding Types of "O&M", "WCF-Operations", "Other", or "All Other" are funding this Development / Modernization (as highlighted in the certification request amounts above)



3. Provide the following Economic Analysis (EV) metrics for this Development / Modernization / Enhancement to be certified.

The key financial benefit metrics listed in questions are to be provided. The values will be auto-populated if DITPR's Economic Viability (EV) tool was used; otherwise, the values calculated by any other tool must be manually entered.

3.1 Net Present Value (NPV) in Millions

NPV (Net Present Value) – NPV is the delta between the total discounted benefits stream from an investment and the total discounted investment costs.

Note: discount rates used for discounted cash flow analysis should be in accordance with OMB Circular A-94 Appendix C. If the EV tool is used, the discount rate is automatically calculated.

3.2 Benefit Cost Ratio (BCR)

Benefit-To-Cost Ratio (BCR) – The BCR compares the present value of the total benefits associated with a system to the present value of its total costs. Use of the Economic Viability tool is recommended for calculation of BCR. Calculating a BCR manually is accomplished as follows:

1. Total the present value of annual benefits.
2. Total the present value of annual costs.
3. Compute the BCR by dividing the present value of the benefits by the present value of the costs.

BCR is a ratio, it should not be provided as a percentage.

Note: Discount rates used to determine present value should be in accordance with OMB Circular A-94 Appendix C. If the EV tool is used, the discount rate is automatically calculated.

3.3 Break-Even Year

Breakeven – The fiscal year when the total discounted benefits accrued to date from an investment equals or exceeds the total discounted investment costs for that investment.

Note: discount rates should be in accordance with OMB Circular A-94 Appendix C. If the EV tool is used, the discount rate is automatically calculated.



Certification - Risks & Mitigation

This image demonstrates how the IRBs will view the Risk portion on the Certification Dashboards during investment reviews:

Risks & Mitigation		
Schedule:	 	Cost: Performance:
Dependencies:		
Describe dependencies		

Annotate the risk for each of the following categories using the risk parameters described below. The “Risk Management Guide for DoD Acquisitions” can be found at the following website: <http://www.dau.mil/pubs/pdf/riskmgmtguide2001.pdf>.

1. Schedule Risk

Select “Green”, “Yellow”, Or “Red” to indicate the schedule risk based on the metrics below.

- **Green** Milestone/Schedule slip < 30 days
- **Yellow** Milestone/Schedule slip 30-90 days
- **Red** Milestone/Schedule slip > 90 days

2. Cost Risk

Select “Green”, “Yellow”, Or “Red” to indicate the current fiscal year program cost risk based on the metrics below:

- **Green** Within 5% of program cost
- **Yellow** Within 10% of program cost
- **Red** >10% from program cost

3. Performance Risk

Performance Risk refers to an overall assessment of whether the program will deliver the level of service improvement (quality of capability / functionality delivered) expected on time / on budget. It is an overall assessment weighing all factors of cost, schedule, resourcing and capability delivery.

Select “Green”, “Yellow”, Or “Red” to indicate the performance risk based on the metrics below.



- **Green** All Medium / High risk items have mitigation strategies.
- **Yellow** One or more medium risk items without a mitigation strategy/plan.
- **Red** One or more High risk items without a defined mitigation strategy/plan or evidence that risk management process is not effective.

4. Provide a brief summary of the overall Risk & Mitigation and any dependencies:

Where appropriate list dependencies.

Example: “Dependent On Feeder System “X”.

Note: This is the mitigation field that will be displayed on the system IRB Certification Dashboard.



Appendix B. IRB Certification Dashboard Guidance

The following guidelines provide a recommended course of action for the review and subsequent submission of a Certification Dashboard for the IRB Process.

The Certification Dashboard contains pertinent summary information the IRBs use in making decisions on business system investments. This document is produced for every system reviewed during an IRB meeting and is, in fact, the primary chart presented when the system is discussed at the meeting. Therefore, it is **critical** that the data contained in the Dashboard be as accurate as possible in order for the IRBs to make informed decisions.

The Dashboard is created from data previously submitted in DITPR. Therefore, the system and certification information are populated automatically when creating a Dashboard report from DITPR. The only action items for completion are:

Review the Dashboard report and ensure existing data is current and accurate. Save the Dashboard to file, make any customizations and upload it to the IRB Portal.

The Dashboard appears as follows:

Defense Business Systems Certification Dashboard						Amount Requested: \$MM			
<i>Business System Name (System.Acronym_ID#)</i>						For Period: FY			
						Target Approval Date: mm/dd/yyyy			
Tier:	Classification:	Transition Plan State:		SNAP-IT#:					
Acq:	Joint Initiative:	Portfolio/Bundle:		Partner IRB(s):		-			
Component:	Component PCA:	Lead IRB:				-			
Program Description: Brief description of the program									
Modernization Description: Description of the modernization									
Expected Outcomes: Rank in order of importance the specific benefits that will be met									
Systems Eliminated: Identify System(s) to be eliminated and their sunset dates.									
Criticality and any adverse effects should system modernization not be approved:									
Operational Activities: Identify the operational activities currently performed by the existing system									
Investment & Return (enter modernization funding only)						Milestones of Modernization			
BCR:	Breakeven:		NPV:		\$MM		<Milestone Description>	<mm/dd/yyyy>	
Modernization Funds	FY05	FY06	FY07	FY08	FY09	FY10	FY11	<Milestone Description>	<mm/dd/yyyy>
<Select Funding Type>								<Milestone Description>	<mm/dd/yyyy>
<Select Funding Type>								<Milestone Description>	<mm/dd/yyyy>
<Select Funding Type>								<Milestone Description>	<mm/dd/yyyy>
Total								<Milestone Description>	<mm/dd/yyyy>
						Risks & Mitigation			
						Schedule: █ Cost: █ Performance: █			
						Dependencies: Describe dependencies			

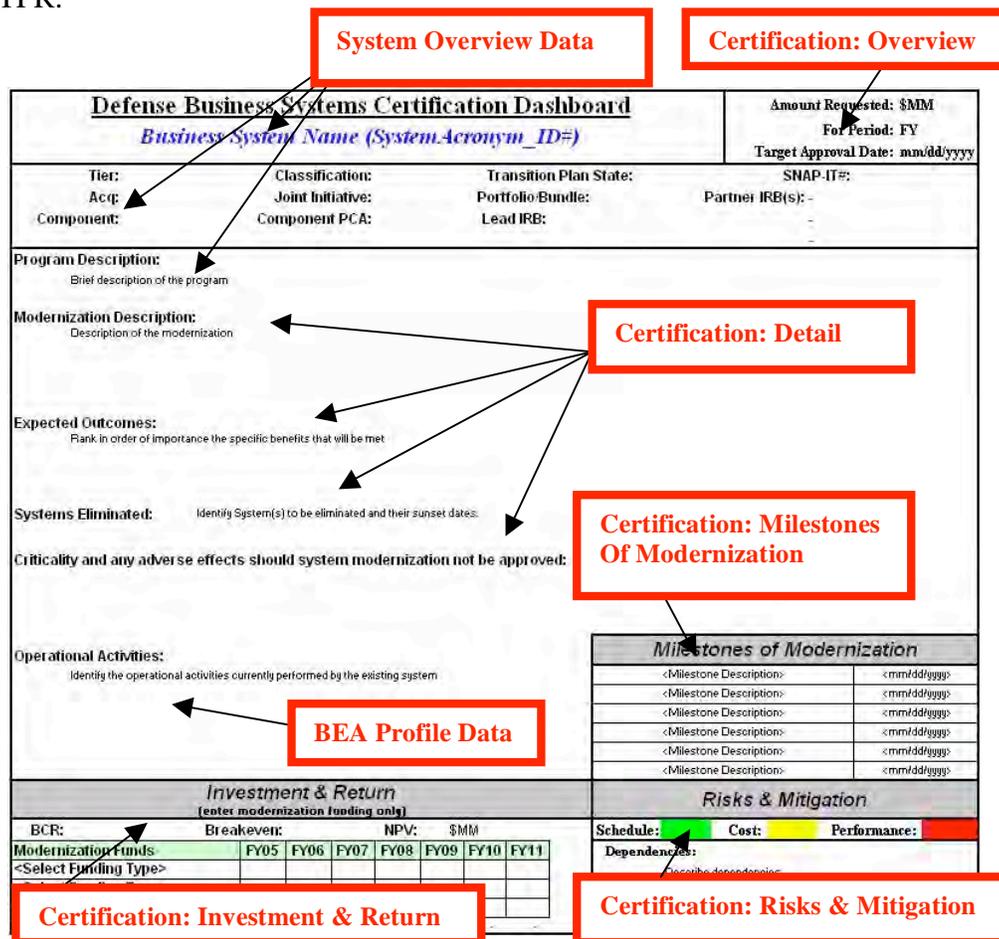


Review Dashboard Information

It is the responsibility of the Components (PCA or PM, as designated) to review the Dashboard report, completing any missing fields and updating any items before saving and uploading it to the IRB Portal. As previously mentioned, all data on the Dashboard is pulled from the system's information entered into DITPR. The following explains where to go in DITPR in order to enter or edit each of the fields included on the report. Dashboard data is pooled into three main DITPR data categories:

- System Overview Data
- BEA Profile Data
- Certification Data:
 - Overview
 - Detail
 - Milestones of Modernization
 - Investment & Return
 - Risks & Mitigation

The following graphic illustrates how the Dashboard information maps to the various areas within DITPR.



System Overview Data

Defense Business Systems Certification Dashboard			
<i>Business System Name (System-Acronym_ID#)</i>			
Tier:	Classification:	Transition Plan State:	SNAP-IT#:
Acq:	Joint Initiative:	Portfolio/Bundle:	Partner IRB(s): -
Component:	Component PCA:	Lead IRB:	-
Program Description:			
Brief description of the program			

The System Overview portion should be reviewed for accuracy to ensure the correct system is being evaluated with the proper information. If the data is inaccurate or missing for any fields, changes should be made using DITPR.

For example, if the system was previously an "FM" system for "Lead IRB", but recently changed to "MS&SM", then make certain that is represented in the System Overview portion of the Dashboard. Otherwise, errors such as this could send the certification to the incorrect IRB.

If you require detailed instructions for filling in these fields please refer to the DITPR Guidance available at: <https://www.dadms.navy.mil/BMMP/BMMPHelpFiles/BMMP.htm>

BEA Profile Data

<p>Operational Activities:</p> <p>Identify the operational activities currently performed by the existing system</p>

The BEA portion should only include operational activities (OV-5) that currently exist. This portion should be reviewed to ensure that no capabilities are missing or misrepresented. Operational Activities will be further explained in the DITPR Guidance.

Certification Data

a. Certification Overview

<p>Amount Requested: SMM</p> <p>For Period: FY</p> <p>Target Approval Date: mm/dd/yyyy</p>

The Certification Overview provides a high-level view of the proposed investment: How Much, For When, and By What Date. While these items are populated by the certification portion of



DITPR, please make certain they are correct. This is often the first group of information an IRB member views before anything else.

b. Certification - Detail

Modernization Description:	Description of the modernization
Expected Outcomes:	Rank in order of importance the specific benefits that will be met
Systems Eliminated:	Identify System(s) to be eliminated and their sunset dates.
Criticality and any adverse effects should system modernization not be approved:	

The Certification Detail summarizes the proposed modernization in detail including a description of the investment. This data is completed during the certification portion of DITPR, but is reviewed to ensure that no changes have been made since the certification was entered into DITPR.

For example, after completing the certification, the program manager may realize there are additional systems or system module that can be eliminated. This is the type of updated information that would be required for re-entry into DITPR.

c. Certification - Milestones of Modernization

Milestones of Modernization	
<Milestone Description>	<mm/dd/yyyy>

The Milestone section is very straight forward. It is recommended to check the dates to ensure there have been no schedule changes, and review the system’s record in the Enterprise Transition Plan.



d. Certification - Investment & Return

Investment & Return <small>(enter modernization funding only)</small>						
BCR:	Breakeven:		NPV: \$MM			
Modernization Funds	FY06	FY07	FY08	FY09	FY10	FY11
<Select Funding Type>						
<Select Funding Type>						
<Select Funding Type>						
Total						

This section is populated with data completed on DITPR’s EV Tool, or from data entered into DITPR using an offline EV tool. It is imperative that this section be accurate for the modernization at hand. All amounts are entered in three decimals and each system is required to compute a BCR, Breakeven Year, and NPV.

Important: If there are any funding requirement changes after completing the EV tool, do not merely make the changes in the yearly funding. It is vital to re-enter the amounts back in the EV tool in order to recalculate the BCR, Breakeven Year, and NPV.

e. Certification - Risks & Mitigation

Risks & Mitigation		
Schedule: 	Cost: 	Performance:
Dependencies: <small>Describe dependencies</small>		

The Risks & Mitigation section provides a brief summary of what obstacles the modernization may have in achieving the development on time, and within cost and scope. Any changes made to the investment or recent changes in legislation may alter any of the three risk categories.



Appendix C. Sample - PCA Pre-Certification Letter

The below memo is a sample only. Components may construct the document according to their preference as long as it captures all of the pertinent information.

MEMORANDUM FOR [Full Name of the IRB (Acronym)] INVESTMENT REVIEW BOARD
CHAIRPERSON

SUBJECT: Pre-Certification of Compliance

The Program Manager of the [Name of Business System Modernization] requests authority to obligate [Total Amount] *[Break out the exact dollar amount request by Fiscal Year, to three decimal place precision]*. The [Modernization Effort] is required to [summarize how it will improve performance, improve warfighter support, satisfy a mandate, law, policy, regulation, or provide a critical capability].

I have performed a review of this system and have verified that: it is included in the [Component Name] and/or [Enterprise] Business Systems Transition Plan(s); the information contained in the Defense Information Technology Portfolio Repository (DITPR) for this system has been updated and is verified to be complete and accurate as of [Date]; and an Economic Viability Analysis was completed and reviewed by the program's cost authority who concurs with the financial metrics recorded in DITPR and reflected on the certification dashboard.

During a previous certification, [no] or [a] or [several] condition(s) [was/were] placed on the system as follows: [state or paraphrase condition(s)]. [This/These] condition(s) [has been/have been] [satisfied] or [not yet been satisfied]. [State how they were met or reasons they were not met.]

Based on my review, I conclude that this system and its modernization are consistent with the [Component Name] and/or [Enterprise] architecture and are [in compliance with the business enterprise architecture version BEA 3.0/3.1] or [necessary to achieve a critical national security capability or address a critical requirement in an area such as safety or security] or [necessary to prevent a significant adverse effect on a project that is needed to achieve an essential capability; taking into consideration the alternative solutions for preventing such adverse effect] and I recommend the [IRB Acronym] Investment Review Board certify to the Defense Business Systems Management Committee (DMSMC) approval of this request. A completed certification dashboard and compliance report are forwarded for your review.

My point of contact for questions about this submission is [Full Name] who may be reached at [Phone Number] or email at [Email Address].

Component Headquarters PCA



Appendix D. IRB Annual Review Dashboard Guidance

The Annual Review Dashboard (see figure 3) is very similar to the Certification Dashboard submitted when the system first sought IRB Certification. There are only three areas on the Annual Review Dashboard that were not on the original Dashboard that require completion.

A	Milestone Achievement Issues: The Component should provide information on those issues that affect the system’s ability to achieve the system’s Milestones.
B	Certification Conditions: The Component should list those conditions that were applied to the system by the IRB and/or the DBSMC when it first sought IRB Certification.
C	Compliance Plan for Meeting Conditions: In this section, the Component should summarize its accomplishments to date in meeting those conditions and its plans to meet the remaining conditions listed in B .

Defense Business Systems Annual Review Dashboard				Funding Approved: \$ ____ MM					
<Business System Name (SystemAcronym_ID#)>				For Period: FY ____					
				Date Funding Approved: mm/dd/yyyy					
Tier: Acq; Component	Classification: Joint Initiative: Component PCA:	Transition Plan State: Portfolio/Bundle: Lead IRB:		SNAP-IT#:	Partner IRB(s):				
Program Description: Brief description of the program Modernization Description: Description of the modernization Expected Outcomes: Rank in order of importance the specific benefits that will be met									
Milestone achievement issues: Describe issues meeting schedule, cost, and/or performance			A						
Certification Conditions: List any conditions placed on the certification			B						
Compliance plan for meeting conditions: Detailed plan outlining how conditions will be met			C						
				Milestones of Modernization					
				<Milestone Description> <mm/dd/yyyy> <Milestone Description> <mm/dd/yyyy> <Milestone Description> <mm/dd/yyyy> <Milestone Description> <mm/dd/yyyy> <Milestone Description> <mm/dd/yyyy> <Milestone Description> <mm/dd/yyyy>					
Investment & Return (enter modernization/funding only)				Risks & Mitigation					
BCR: _____	Break-even: FY _____	NPV: \$ _____	MM	Schedule:	Cost: Performance:				
Modernization Funds	FY05	FY06	FY07	FY08	FY09	FY10	FY11	Dependencies: Describe dependencies	
<Select Funding Type>									
<Select Funding Type>									
<Select Funding Type>									
Total									

Figure 3. Annual Review Dashboard

Risks and Mitigation was present in the original Dashboard and should only require updating to reflect the system’s status at the time of the Annual Review.



Appendix E. Sample - PCA Annual Review Assertion Letter

The below memo is a sample only. Components may construct the document according to their preference as long as it captures all of the pertinent information.

MEMORANDUM FOR [Full Name of the IRB (Acronym)], INVESTMENT REVIEW BOARD
CHAIRPERSON

SUBJECT: Pre-Certification for Annual Review of Systems Approved by the Defense Business Systems Management Committee (DBSMC)

The [Name of Business System Modernization] is submitted for annual review of the modernization request in the amount of \$_ approved by the DBSMC on [state month and year of certification].

I have performed a review of this system and verified that it is included in the [Component Name] and/or [Enterprise] Business Systems Transition Plan(s) and the milestone information contained in the [that/those] document(s) is [correct] or [will be updated during the next ETP update]. Additionally, the information contained in the Department of Defense Information Technology Portfolio Repository (DITPR) for this system has been updated and is verified to be complete and accurate as of [Date].

Since the Certification, [there have been no changes] or [the following changes] to the modernization's cost, schedule/milestones and performance/scope [has/have] occurred. [List changes].

During a previous certification, [no] or [a] or [several] condition(s) [was/were] placed on the system as follows: [state or paraphrase condition(s)]. [This/These] condition(s) [has been/have been] [satisfied] or [not yet been satisfied]. [State how they were met or reasons they were not met.]

At the time of the previous certification, the system was assessed as [in compliance with the business enterprise architecture version BEA 3.0/3.1; or necessary to achieve a critical national security capability or address a critical requirement in an area such as safety or security; or necessary to prevent a significant adverse effect on a project that is needed to achieve an essential capability, taking into consideration the alternative solutions for preventing such adverse effect]. The system [has also] or [have not] been assessed against the newest version of the BEA (version ___) and was found [compliant] or [conditionally compliant] or [non-conflicting].

Based on my review, I conclude that this system's BEA compliancy status [has not changed] or [has changed to [state the change(s)]], and I recommend the [IRB Acronym] Investment Review Board approve this request. A completed certification dashboard and BEA compliance plan (if appropriate) are forwarded for your review.

My point of contact for questions about this submission is [Full Name] who may be reached at [Phone Number] or email at [Email Address].

Component Headquarters PCA



Appendix F. IRB Portal User Manual

Introduction

The IRB Portal is a secure web-based platform that provides the ability for users to collaborate on projects — sharing documents, identifying and assigning tasks, and scheduling calendar events. The portal is accessible from any location using a web browser.

This manual is designed to assist users in accessing the IRB Portal as well as navigating and performing specific functions related to the certification and annual review processes.

Portal Terminology

The following terms are associated with the portal software and may be referenced in this document.

Portal	A secure web based platform that provides integration services, advanced search, collaboration, and content management in one location.
Portlets	Electronic services that deliver information.
Communities	Web sites within a Portal used to deliver applications and workspaces.
Subcommunities	Secure hierarchy that allows users to create communities within communities.
Project	The main unit of collaboration that lets users work together setting schedules, assigning tasks, sharing documents and exchanging ideas.

Investment Review Board Portal Access

The Component PCA must obtain access to the IRB Portal. The IRB Portal is the official automated workflow tool and the Department's single entry point for electronic submission of certification packages and related communication. The Component PCA uploads the submission package to the appropriate system folder located on this portal.

The IRB Portal is located at <https://portal.acq.osd.mil/portal/server.pt>

Access to the Investment Review Board portal is password restricted. Each IRB has a point of contact (POC). To establish a portal account and obtain login information, contact the POC for your IRB and identify name, organization, phone number, and email address on the External Account Request Spreadsheet.



Login to the Portal

- To login to the Investment Review Board Portal, go to an internet browser and type in the URL: <https://portal.acq.osd.mil/>
- In the Login Screen, enter your username and password provided by the Portal Services team and click the “Log In” button.

ousdatl.portal@osd.mil.'" data-bbox="230 194 759 449"/>

(Figure 1)

Upon login, you will see the BTA/IRB Community Page. On this page, each IRB is represented by a tab. Click on the tab to enter the workspace for the IRB.

ousdatl.portal@osd.mil.'" data-bbox="195 527 797 891"/>

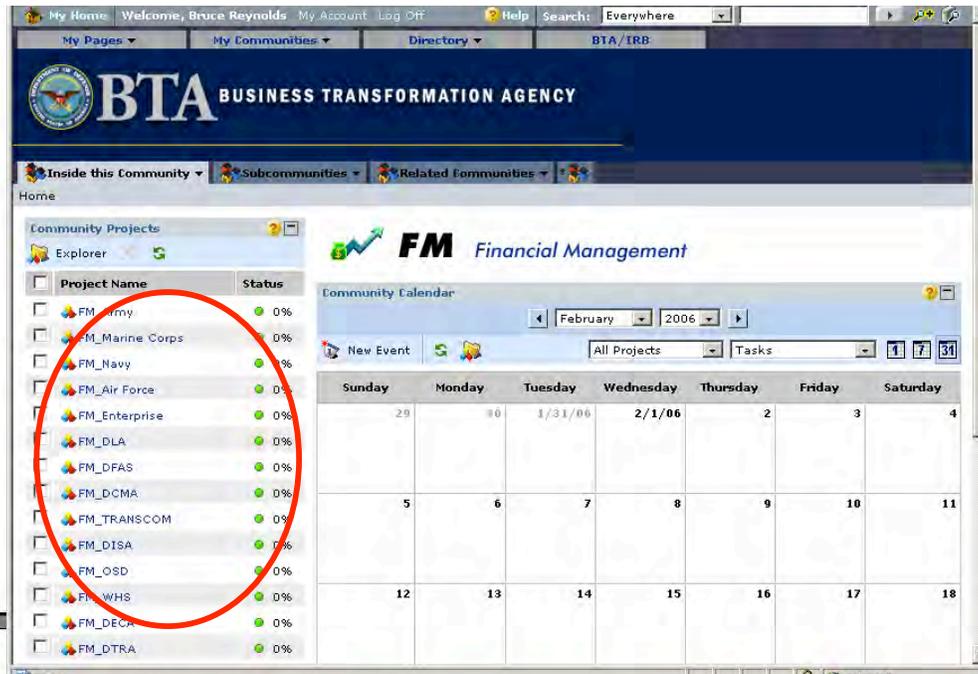
(Figure 2)



Uploading Documents

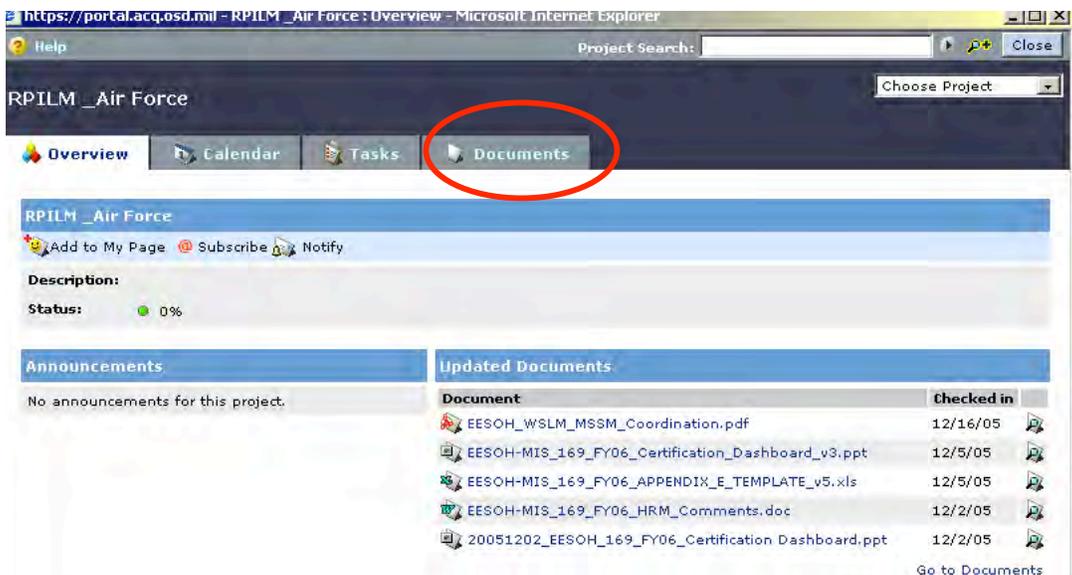
When uploading documents, please refer to the naming conventions specified in Appendix G of this IRB Guideline. To upload a document, follow the steps below from the IRB Sub-community Page.

Step 1 - Locate your **Component** in the **Community Projects** Portlet and click the link.



(Figure 3)

Step 2 – Click on the **Overview Page** tab to display summary information such as status and most recently updated documents.

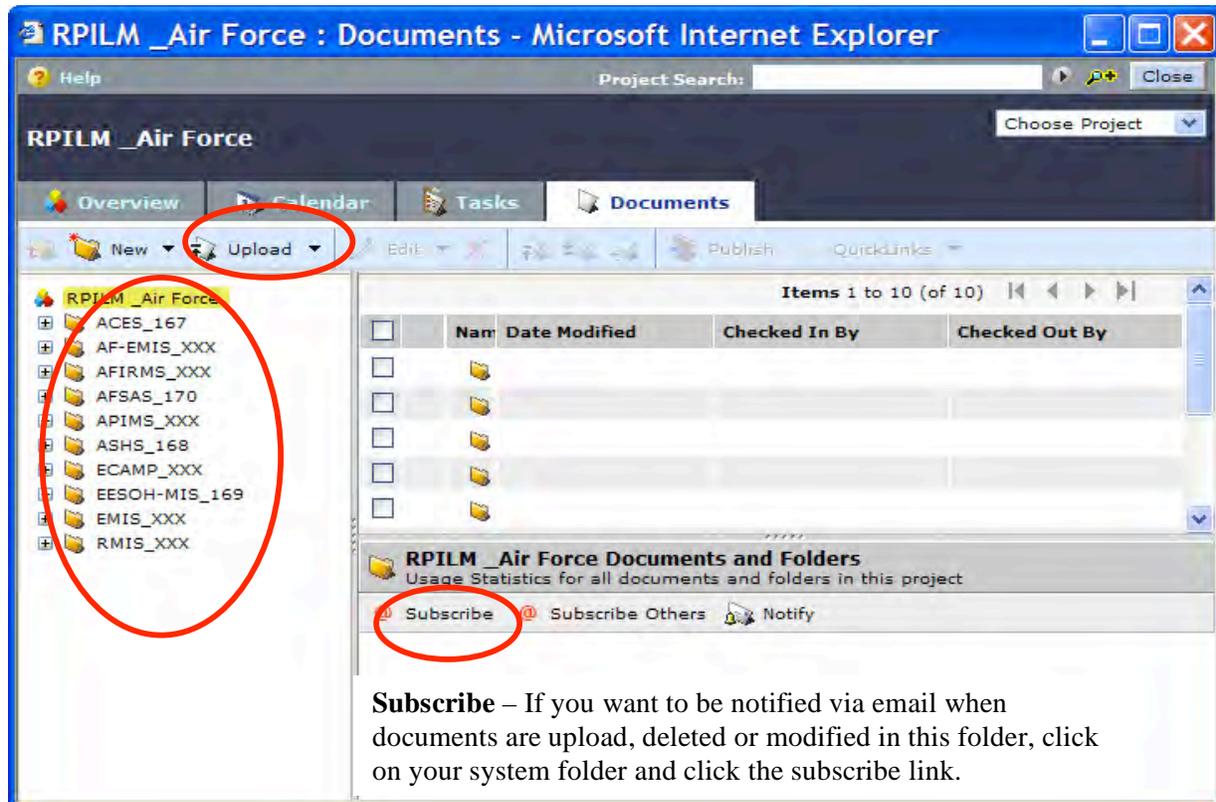


(Figure 4)



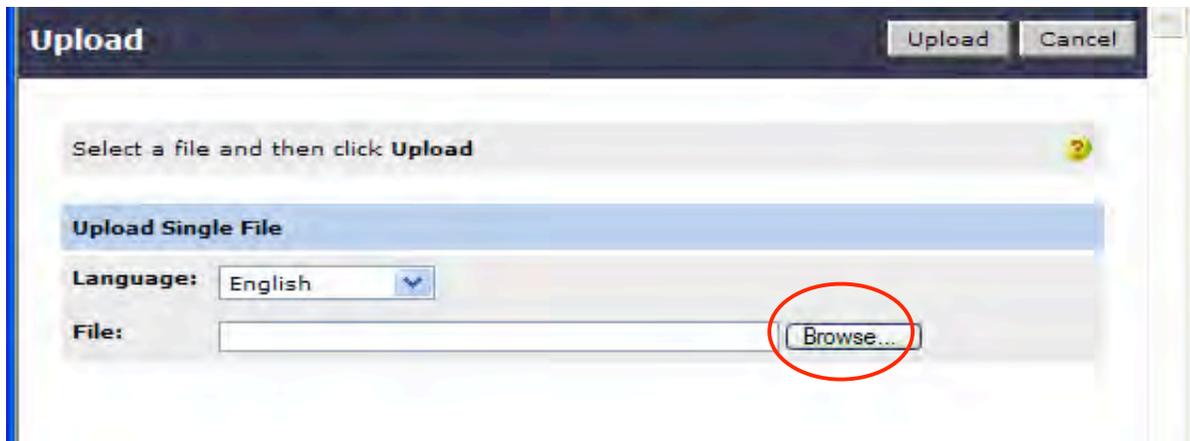
Step 3 – Click on the **Documents** tab located at the top of the page. At this tab, you will see a folder structure on the left side of the page. Each folder represents a system name. The folder structure is:

1. System – the naming convention used for your specific system folder is based on the DCIO's designated unique business system registration identifier (hereafter referred to as SystemAcronym_ID# which is currently defined as SystemAcronym_DITPR# - Format example is SABRS_21)
2. Fiscal Year (format example: FY2006)
3. Click on the desired folder and click the **Upload** button.



(Figure 5)

Step 4 – After clicking **Upload**, select **Single** to upload a single document. Click **Browse**.

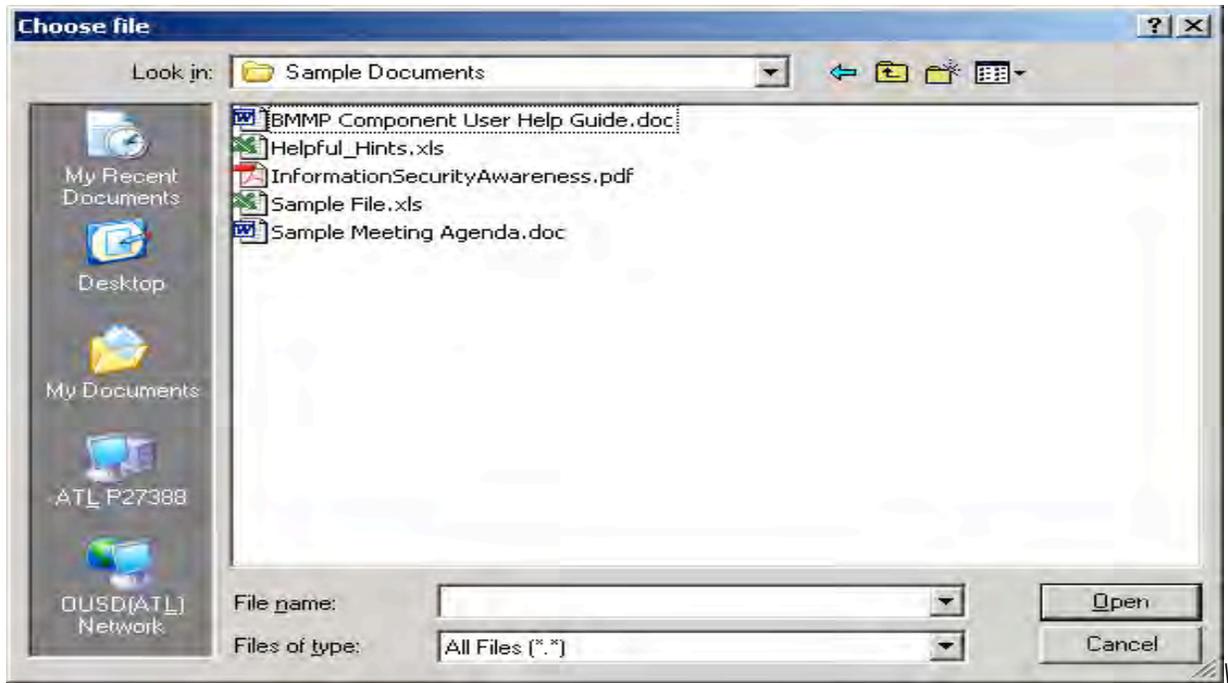


(Figure 6)



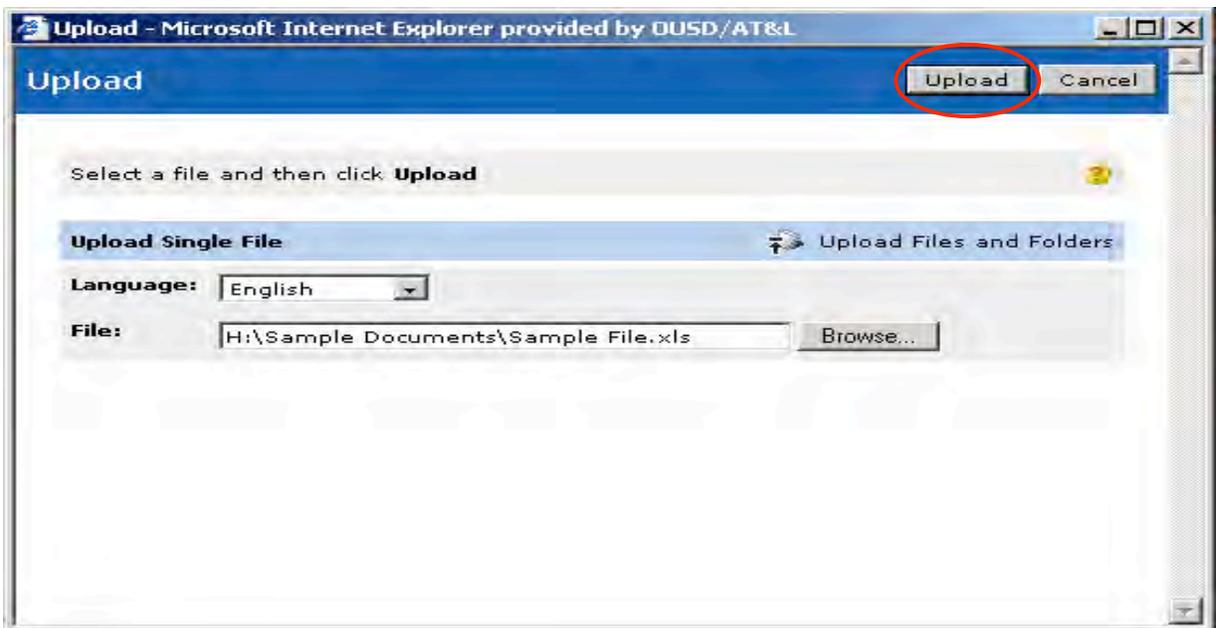
Step 5 - Navigate to the location of the file and select the file. Click **Open**.

Note: *The size of your file must not exceed 50MB.*



(Figure 7)

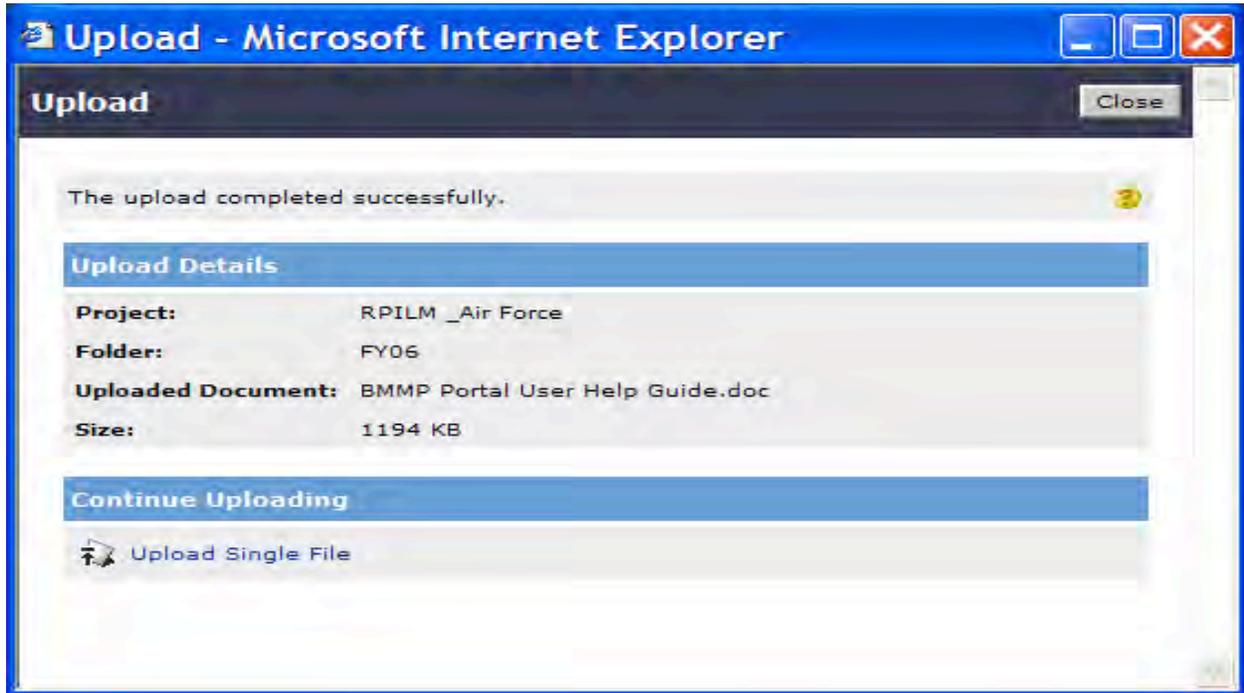
Step 6 – Click **Upload**.



(Figure 8)

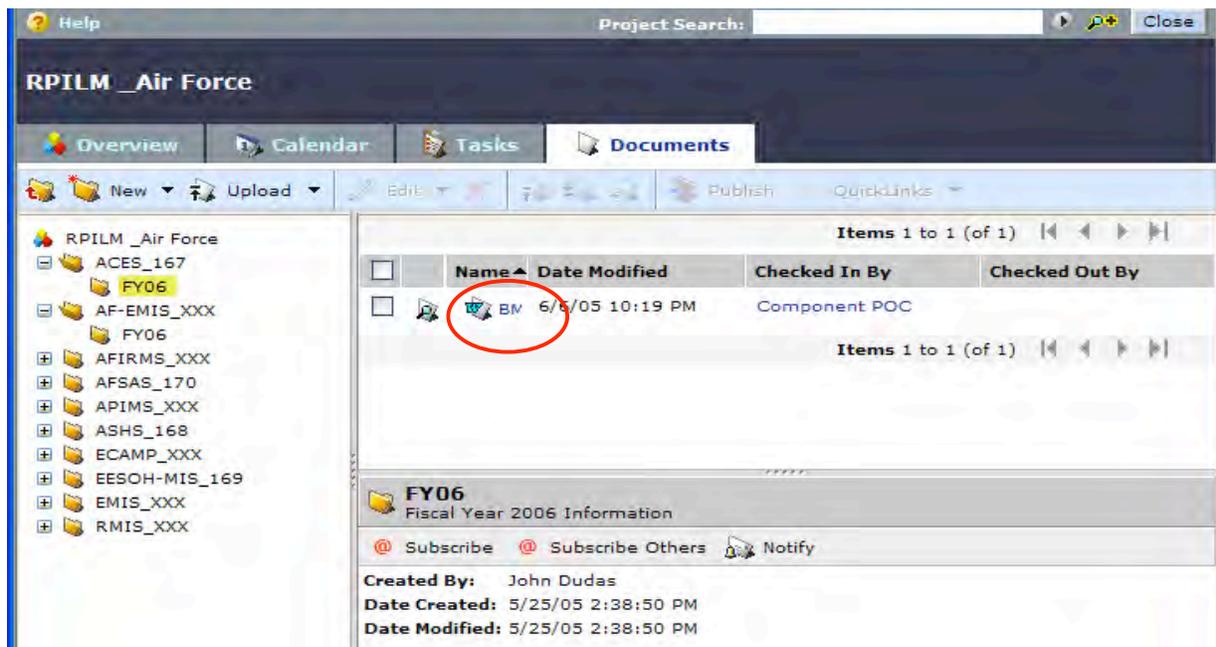


Step 7 – Once a document has been successfully uploaded, you will receive a confirmation screen with the details of the documents. Click the **Close** button at the top right side of the page to finish.



(Figure 9)

Step 8 – All uploaded documents will appear in the folder view. To access a document, click on the file name that acts as a link to the document.



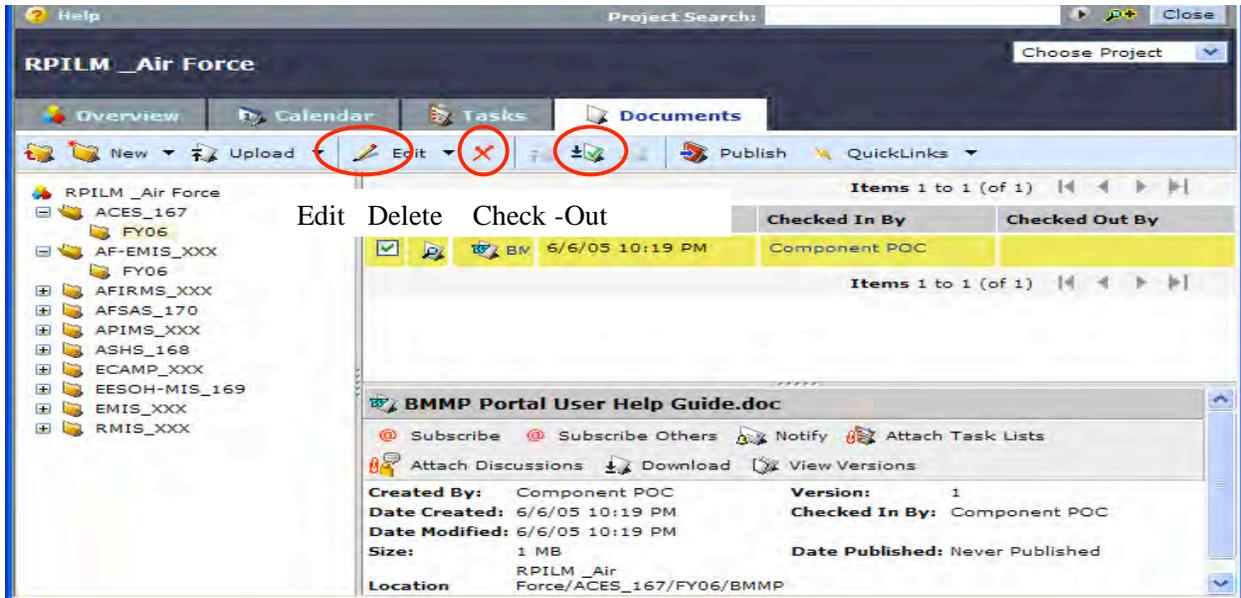
(Figure 10)

Step 9 – Click the **Close** button at the top right side of the page to finish.



Other Document Functions

Below is a list of functions you can perform in the documents area in addition to uploading files. The menu bar at the top of the Documents Page shows the action icons.



(Figure 11)

Function	Use
Upload	Select the desired folder. Click Upload , and then select Single to upload a single document. Click Browse , then navigate to the location of the file and select it. Click Upload .
Check-out a document	You can check-out the current version of a document & lock it for editing. Other users will still be able to view the file, but will not be able to make any changes to it, until you check the file back in. The system will keep copies of all versions of a document and a complete revision history. To check-out a document select the document then click the Check-Out icon and choose whether to download the current version of the document or work from an existing version on your computer . Click Finish . Users who view the file will see who has checked it out & the date and time it was checked out.
Check-in a document	To check-in a document, select the document (checked-out documents are highlighted by a red checkmark), click the Check-In icon, then browse to the file location and upload it.
Delete document	To delete a document from the portal, select it and click the Delete Icon.
Subscribe	To subscribe to a folder/document to receive email notification when changes are made, select the folder/document, and then click Subscribe .
Unsubscribe	To unsubscribe from a folder/document & stop receiving email notification when changes are made, select the folder/document, then click Unsubscribe .



Function	Use
Notify	Send an email notification to other project users to view the document. Click Notify , then click To & select the name of the project users to notify.
View Versions	View the version history of a particular document. All previous versions of a document are saved and you. Select the document, click View Versions .

Document Icons

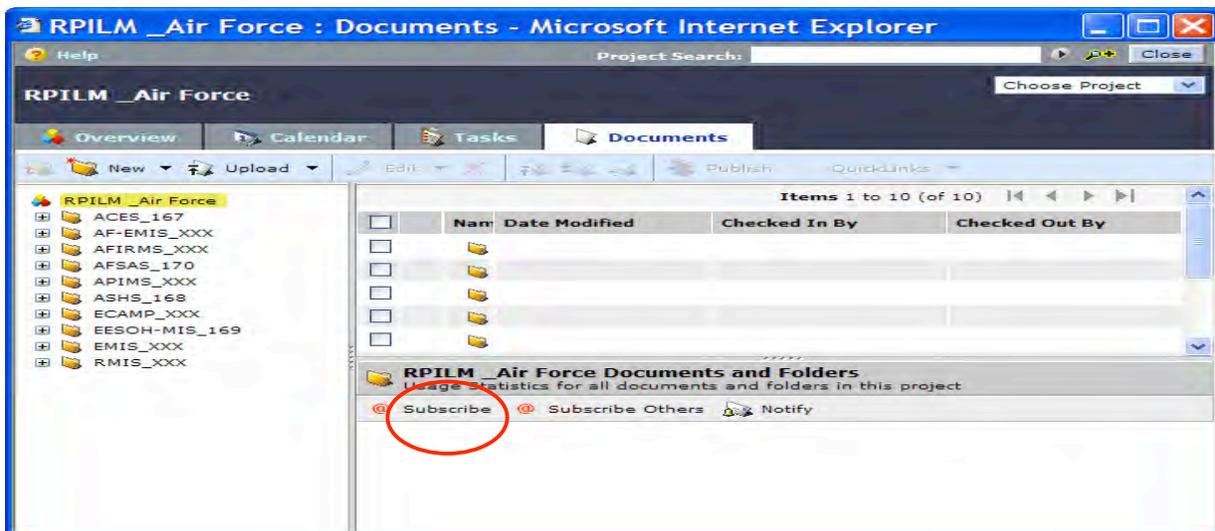
The following icons are available when viewing a document:

Icon	Use
	Edit the document properties
	Delete the document
	Check out the document
	Check in the document

Subscriptions/Notifications

Portal users can subscribe to folders and documents in order to receive email notification when changes are made.

Step 1 - To subscribe to a folder/document, click the checkbox next to the folder/document name, and then click **Subscribe**. To unsubscribe from a folder/document and stop receiving email notifications when changes are made, click the checkbox next to the folder/document name, then click **Unsubscribe**.

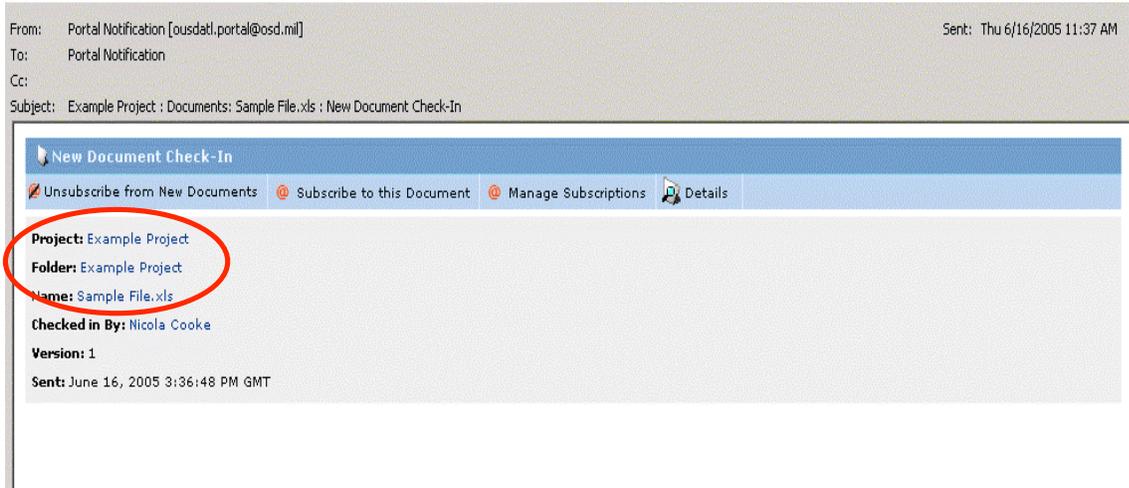


(Figure 12)

Step 2 - Users who have subscribed to a folder will receive an email notification when a new document is uploaded/checked in or deleted. Users who have subscribed to a document will receive an email



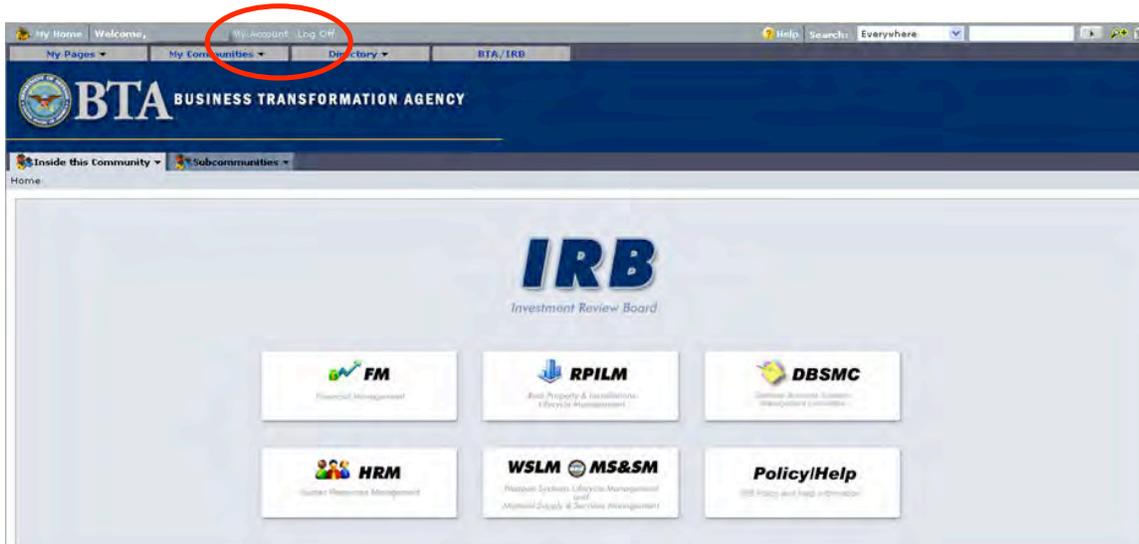
notification when changes are made to the document. The email notification will contain links to the project, folder, and document.



(Figure 13)

Managing Your Subscriptions

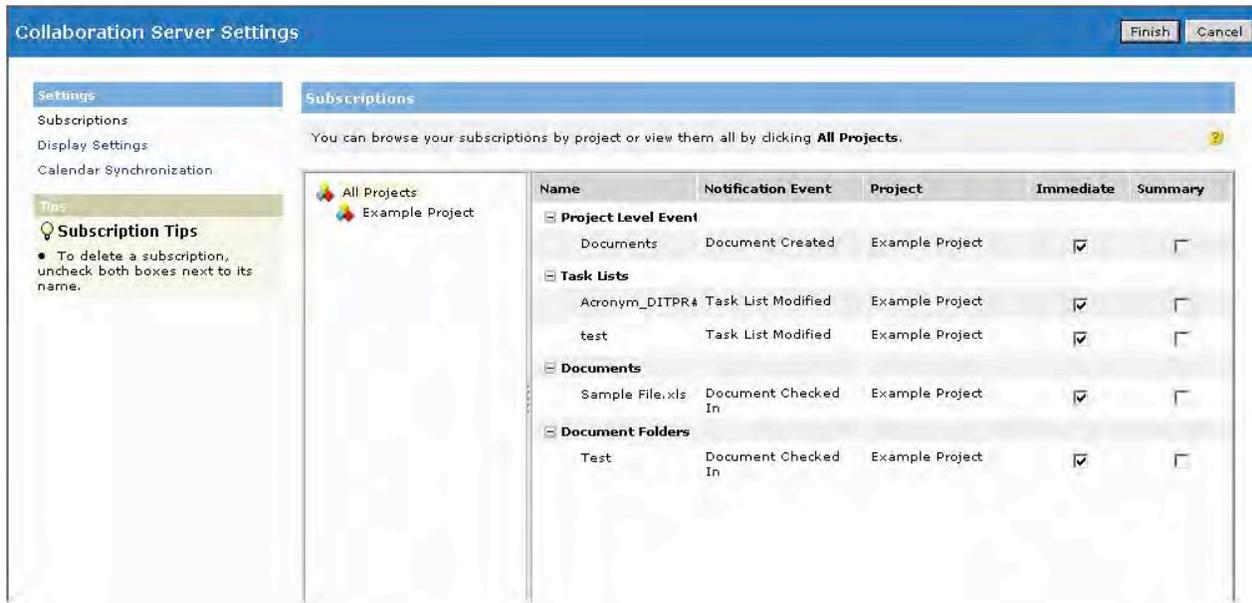
Step 1 - To manage your subscriptions, click the My Account link.



(Figure 14)

Step 2 - You can manage your subscriptions, deleting the ones you no longer want and specifying the types of e-mail notification you want for each subscription. You can choose to receive immediate notification, summary notification of all messages for the day or both types of notification. If you want to delete a subscription, you must clear all relevant check boxes.





(Figure 15)

Tasks

A task is a single unit of work to be completed by one or more persons. A task defines the work to be done, the person to do the work and the due date. If a certification package is incomplete a task will be created notifying the component POC of the missing items. An email notification will be sent to the assigned person/persons when a task is created. To view the details of the task and update the status, click the **Task** name link in the email (you may have to log into the portal if not already logged in).



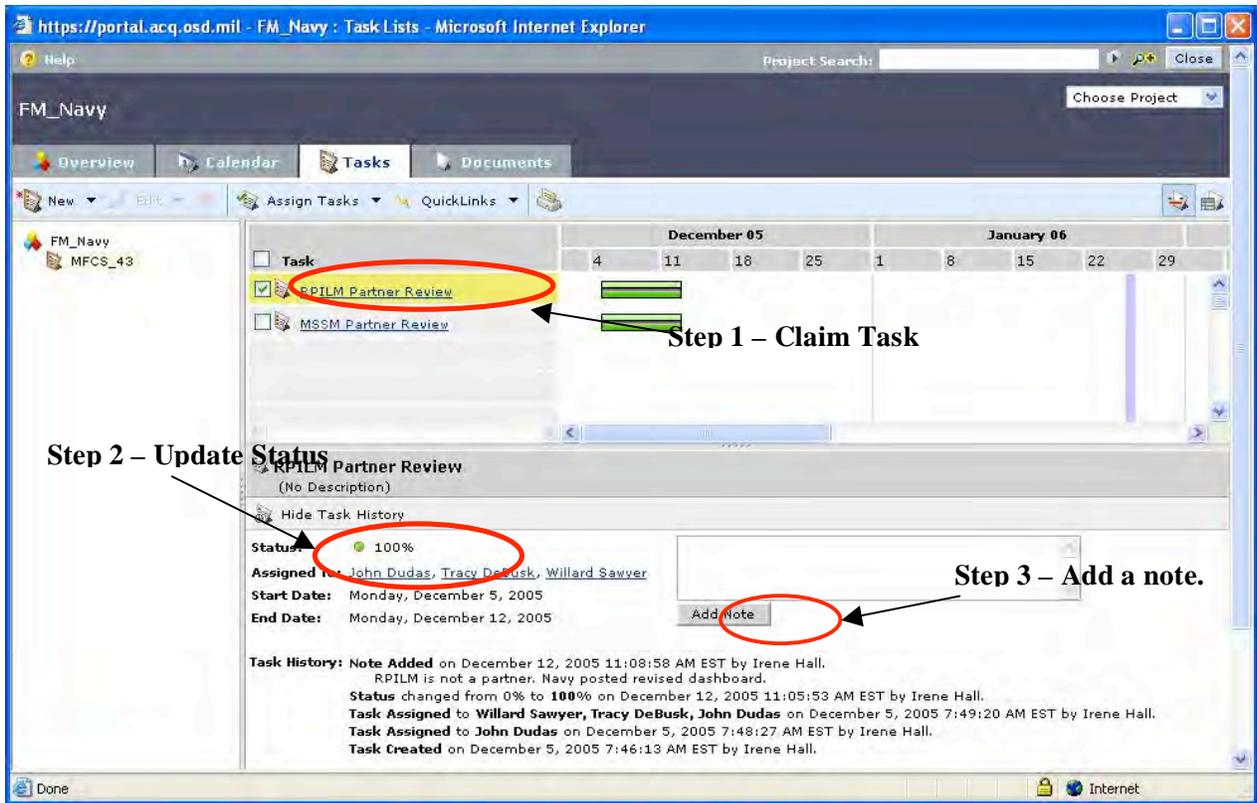
(Figure 16)

Claiming and Completing a Task

Tasks can be assigned by IRB Leaders requesting addition information. Notifications will inform you that a task has been assigned to you. To claim a task, follow the steps below:

1. Click on the Task Link in the notification email that was sent. This link will take you directly to the assigned task (You may be required to login to the portal).
2. Right click on the Task and click the Claim Link.
3. When the task is complete, change the status to 100%, and add a note in the comments field for the leader who has assigned that task.





(Figure 17)

Function	Use
Update task status	To change the completion percentage and status of a task, select the desired percentage in the Status field.
Print	Displays a print preview of the task list. Click Print in the Print Task List page.
Add A Note	Enter the text in the text box and click Add Note

Additional Support

For assistance with the Investment Review Board Portal, contact the AT&L Web/Portal Services Team at ousdATL.Portal@osd.mil or at 703-602-2598, option 5.



Appendix G. IRB Portal File Naming Conventions

Documents uploaded to the IRB Portal for the IRB Certification process must adhere to the following file naming conventions.

Certification document	Standard file name
Pre-Certification Authority Letter (PCA)	SystemAcronym_ID#_FYxx_CPCLetter
Certification Dashboard	SystemAcronym_ID#_FYxx_Certification_Dashboard
Component Economic Viability (EV) Analysis	SystemAcronym_ID#_FYxx_EV
Annual Review Assertion Letter	SystemAcronym_ID#_FYxx_Annual_Review_Assertion Letter
Annual Review Certification Dashboard	SystemAcronym_ID#_FYxx_Annual_Review_Certification_Dashboard

Three fields in the file name are variable, i.e., different values would be used for each system: SystemAcronym, ID#, and FYxx. The table below defines the file name fields.

File name field	Description
SystemAcronym	The system's acronym in DITPR.
ID#	The system's DITPR ID number.
FYxx	The fiscal year for which IRB Certification is requested. For example, FY07 would be used for systems seeking certification for fiscal year 2007 funds.

Certification documents that will be uploaded to the DBSMC section of the IRB Portal by the IRB Support Staff or DBSMC Support Staff will follow the below naming convention:

Certification document	Standard file name
CA Memo	IRBName_CA_Memo_yearmonthdate(of IRB meeting) Example: FM_CA_Memo_20060215
DBSIS	IRBName_DBSIS_yearmonthdate (of IRB meeting) Example: HRM_DBSIS_20060202
Dashboard	IRBName_Dashboard_yearmonthdate (of IRB meeting) Example: WSLM_MSSM_Dashboard_20060207
DBSMC Meeting Minutes	DBSMC_Meeting_Minutes_yearmonthdate (of DBSMC meeting) Example: DBSMC_Meeting_Minutes_20060217
DBSMC Approval Memo	DBSMC_Approval_Memo_yearmonthdate (of date stamped) Example: DBSMC_Approval_Memo_20060125

