Portfolio Management

Military Health System

Defense Business Information Technology Certification

User Manual

PREPARING FOR AND NAVIGATING THE DEFENSE HEALTH PROGRAM INVESTMENT REVIEW PROCESS

Version 3.1

The Investment Review Process

Investment review and certification by the Defense Business Systems Management Committee (DBSMC) or a Component level investment review is mandatory as of October 1, 2005, as detailed in section 1.2 of this manual. Without review and certification, Department of Defense (DoD) components who obligate funds for a modernization/development (MOD/DEV) risk a violation of the Anti-Deficiency Act (ADA), for business Information Technology (IT) enhancements. The Component level investment review targeted in this manual is the Military Health System (MHS).

The Military Health System Defense Business Information Technology Certification (DBITC) User Manual is intended to help investment owners think beyond their particular modernization/enhancement to understand how it relates to MHS and DoD priorities overall. The Manual includes guidance to walk users through the process of preparing an Investment Certification Package (ICP) for an investment that must be submitted through the MHS Pre-Certification Authority (PCA). The goal of the MHS Investment Review process is to:

- Ensure planned enhancements follow the approved MHS Information Management/Information Technology IM/IT portfolios and are in accordance with all requirements
- Identify potential redundancies and synergies across investment threads
- Assure that investment owners have performed the correct due diligence on investment proposals
- Provide customer care to those involved in the investment review process
- Evaluate investments from an enterprise perspective
- Assess investment alignment with the Business Enterprise Architecture (BEA) and MHS EA
- Ensure process compliance with Human Resource Management (HRM) and the Business Transformation Agency (BTA) requirements
- Integrate with other MHS IT management processes where possible

In Summary

Through the MHS Defense Business Information Technology Certification Investment Review process, we will ensure the due diligence necessary to make sure that investment dollars are on target with MHS and DoD business priorities and that the results of our investments can be further leveraged across not only the MHS but also the entire DoD Enterprise. We hope that you will find this Manual helpful as you prepare for the Investment Review process. We further hope that it encourages you to think beyond a particular investment, and that you will reach out to communicate with others across the enterprise. By doing so, you will benefit by leveraging the knowledge gained and the work that has already been completed, allow your work and knowledge to be leveraged by others, and potentially help us to utilize dollars where they are needed most.

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Document Change Record Control

Version Number	Date	Description
1.0.1 Draft	1 November 2005	Initial document
2.0	September 2006	Revised to include updated BTA IRB CONOPS, BTA Investment Review User Guidance, and unique MHS Guidance
3.0	August 2010 (Draft)	Revised to reflect name change from Defense Business Transformation to Defense Business Information Technology Certification to clarify what is being certified Revised to include 8/2010 BPR guidance Revised to include updated BTA IRB CONOPS, BTA Investment Review User Guidance, and unique MHS Guidance
3.1	Pending	Revised to include DCMO role

1.0   INTRODUCTION

1.1   Purpose, Audience, and Objectives

This Manual has been created to provide guidance to those preparing for and navigating the MHS Defense Business Information Technology Certification (DBITC) Investment Review Process and/or the MHS DBITC Annual Review Process.

The MHS Defense Business Information Technology Certification Investment Review Process focuses on development, modernization, and enhancement activities to include deployment and/or deployment to additional sites - primarily those funded by the Defense Health Program (DHP). The Manual provides guidelines for effectively managing a business system or initiative modernization and covers preparation of investment certification packages as well as the steps required to navigate the Investment Review Committee process. It also provides guidance for the annual review process, which applies to all systems regardless of investment Tier, including systems for which there is no further planned development or modernization spending.

The audience for this Manual includes program managers, budget professionals, Chief Information Officers (CIO), support staffs, Enterprise Architects and other individuals with an interest in an effective investment review process. Readers will want to move through this Manual at a pace consistent with the specific issue they are trying to address. This Manual is meant to enhance the guidance/requirements of the Investment Review Board (IRB) of January 2009 to detail specific implementation of DBITC within the DHP and to be referred to on an as needed basis

The Manual's objectives are to bring clarity to the Defense Business Information Technology Certification process for the Military Health System community, to understand why an Investment Certification Package (ICP) is necessary, to de-mystify the process of obtaining certification for qualified investments, and to provide the latest guidance to assist business IT professionals in managing the development, modernization, or enhancement of all MHS business IT investments.

Business Capability Lifecycle (BCL) is an acquisition approach that emphasizes rigorous analysis of requirements to enable delivery of defense business capabilities to the Warfighter in a compressed timeframe. Detailed guidance and procedures associated with the BCL process may be released in the future. When BCL becomes more integrated with the existing IRB/DBSMC framework, users of the IRB Process should expect to see guidance and process documents released in support of such changes.

1.2   Investment Certification Requirement

All Defense Health Program (DHP) investments, regardless of the dollar amount or appropriation type, must be certified before funding can be obligated for expenditure against any Development/Modernization activity. Any Development/Modernization activity that touches and/or is used in garrison comes under this certification process. Investments up to $1 million across the lifecycle must be certified through the MHS Defense Business Information Technology Certification Pre-Certification Authority (PCA) using either an

abbreviated submission and approval process or a complete ICP process, as determined by Portfolio Management and the Program office on a case by case basis, considering the dollar amount and type of investment. DHP investments over $1 million must gain additional approval through the Human Resource Management (HRM) Investment Review Board (IRB) and the Defense Business Systems Management Committee (DBSMC). The entire certification process, regardless of the level of approval required, is coordinated through the MHS PCA. The requirement to certify Defense Business Information Technology is codified in three primary legal instruments:

Laws Requiring Certification and Review of Defense Business Systems Modernizations

1. **Section 2222 of Title 10, United States Code** (10 U.S.C. 2222 – *Defense business systems: architecture, accountability, and modernization*): § 2222 includes conditions for obligation of funds and composition of enterprise architecture for defense business system modernization. *10 U.S.C. 2222 states:*

   "*(1) The Secretary of Defense shall require each approval authority to establish, no later than March 15, 2005, an investment review process, consistent with section 11312 of title 40, to review the planning, design, acquisition, development, deployment, operation, maintenance, modernization, and project benefits and risks of all defense business systems for which the approval authority is responsible. The investment review process established shall specifically address the responsibilities of approval authorities under subsection (a).*

   (2) The review of defense business systems under the investment review process shall include the following
   - *Review and approval by an investment review board of each defense business system as an investment before the obligation of funds on the system.*
   - *Periodic review, but not less than annually, of every defense business system development modernization investment.*
   - *Representation on each investment review board by appropriate officials from among the armed forces, combatant commands, the Joint Chiefs of Staff and Defense Agencies.*
   - *Use of threshold criteria to ensure an appropriate level of review within the Department of Defense, and accountability for, defense business system investments depending on scope, complexity, and cost.*
   - *Use of procedures for making certifications in accordance with the requirements of subsection (a).*
   - *Use of procedures for ensuring consistency with the guidance issued by the Secretary of Defense and the Defense Business Systems Management Committee, as required by section 186(c) of this title, and incorporation of common decision criteria, including standards, requirements, and priorities that result in the integration of defense business systems."*

2. **Section 186 of Title 10, United States Code** (10 U.S.C. 186 – *Defense Business Systems Management Committee*): § 186 establishes the foundation for the DBT program, consequences of requirements violation, and overall governance structure.

3. **Public Law 108 – 375** (*The National Defense Authorization Act (NDAA) for FY 2005*): Outlines the Congressional requirement for the BEA, transition planning, and business systems investment management. The NDAA states that funds appropriated to the DoD may not be obligated for a defense business system modernization with a total cost in excess of $1M unless one of the following is true about 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."*

1.3   MHS' Role in the Investment Certification and Annual Review Process

As illustrated in Figure 1, the Military Health System is one of the three sub-mission areas under the HRM Core Business Mission Area (CBMA).

Figure 1. MHS Role in Investment Review Process
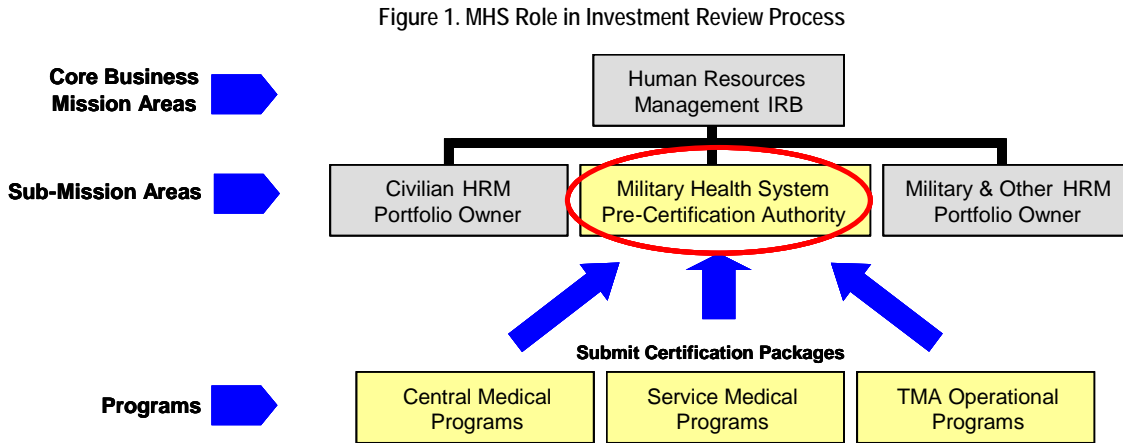
The MHS Pre-Certification Authority (PCA) has the charter to pre-certify all MHS business IT investments. For investments up to $1 million, the PCA has the authority to certify the IT investment. As stated earlier, certifications for larger modernization investments will be coordinated through the MHS PCA to the HRM IRB and the DBSMC. Regardless of the level of certification required, it is the business system investment owner's responsibility to make sure that certification is obtained before a single dollar is obligated.

The Business Transformation Agency's *DoD IT Defense Business Systems Investment Review Process – Guidance– January 2009* requires Components to establish their own investment review processes to manage their business systems portfolio and transformation activities. To address this requirement, the MHS PCA has established an investment review process and governance structure to support MHS Defense Business Information Technology Certification activities. This Manual is designed to serve as the guide and authoritative source for preparing an MHS Defense Business Information Technology Certification package for the MHS Investment Pre-Certification, and Investment Annual Review processes. It includes an explanation of documentation requirements and the necessary steps to successfully navigate these processes, including pre and post certification activities. For a detailed overview of the leadership, organizational structure, and operational roles and responsibilities associated with these reviews, see Appendix A.

Each Medical Service has their own office supporting the certification submissions from the Service level. Service Medical programs shall coordinate with respective Service certification offices prior to contacting the MHS DBITC Management Team.

1.4   Scope of the Investment Review

All defense business information technology investments with active certifications must undergo investment review at least annually, regardless of dollar amount. The rigor of the Investment Certification and Investment Annual Review process, however, is relative to the dollar amount of the investment – the larger the investment, the more attention it will receive.

Consequently, each business IT investment is categorized into "Investment Tiers" based on the total dollar amount utilized for the investment(s) or modernization. The four Investment Tiers are defined as follows:

- **Tier 1** – Includes all Major Automated Information System (MAIS) programs (Acquisition Category (ACAT) 1A, 1AM)
    - MAIS programs are:
        1. designated by the Office of the Secretary of Defense (OSD) Networks and Information Integration (NII) as a MAIS; or
        2. estimated to exceed:
            a. $32 million in FY 2000 constant dollars for all expenditures, for all increments, regardless of the appropriation or fund source, directly related to the AIS definition, design, development, and deployment, and incurred in any single fiscal year; or
            b. $126 million in FY 2000 constant dollars for all expenditures, for all increments, regardless of the appropriation or fund source, directly related to the AIS definition, design, development, and deployment, and incurred from the beginning of the Materiel Solution Analysis Phase through deployment at all sites; or
            c. $378 million in FY 2000 constant dollars for all expenditures, for all increments, regardless of the appropriation or fund source, directly related to the AIS definition, design, development, deployment, operations and maintenance, and incurred from the beginning of the Materiel Solution Analysis Phase through sustainment for the estimated useful life of the system.
- **Tier 2** – Includes all program investments $10 million or above
- **Tier 3** – Includes all program investments > $1 million and < $10 million
- **Tier 4** – Includes all program investments $\leq$ $1 million

Additional information pertaining to Acquisition Categories can be found in Department of Defense Instruction DoDI 5000.02, December 8, 2008, www.dtic.mil/whs/directives/corres/pdf/500002p.pdf.

Investments less than or equal to $1 million must be certified through the MHS PCA using either an abbreviated submission and approval process or a complete ICP process, as determined by Portfolio Management and the Program office on a case by case basis, considering the dollar amount and type of investment.   Investments seeking a Certification for less than $1 million should contact the DBITC Management Team (dbcteam@tma.osd.mil) to discuss each individual case. Investments greater than $1 million must undergo additional certification through the HRM IRB, DoD Chief Management Office (DCMO) and the DBSMC.

The $1M threshold, or the $\leq$ $1M Tier 4 threshold, is based on the total cost of investment funds for a modernization from concept refinement through deployment, excluding sustainment. Depending on how the modernization is structured, it may be a one-year effort or a multi-year effort. As stated, the Tier is

based on the system's total modernization investment (i.e., a system with three separate $1M Certifications would be a Tier 3, not a Tier 4).

It is important to note that even if an investment is championed by a PCA outside of the MHS (i.e. it goes to the IRB via line Army, Navy, Air Force or other route), if that investment is partially funded by DHP or if it is to develop a medical capability, that investment will still be reviewed by the MHS PCA (and the MHS Defense Business Information Technology Certification office) once it is submitted to the IRB. The IRB's cross-pollinate, and the MHS PCA is a voting member of the HRM IRB. In other words, medical questions get asked either sooner or later in the certification process. Investment champions are advised to engage the MHS Defense Business Information Technology Certification office early if there is an indication that there may be medical implications.
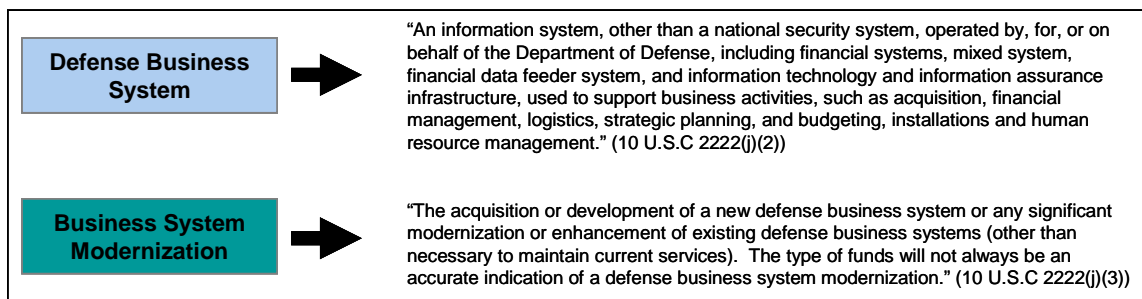
<center>Attention: Important Information</center>

Unfunded requirements can no longer be certified. For a certification to be approved by the DBSMC, all funding must be available for obligation. Unfunded requirements/end of year certifications will be advised on an individual basis. Please contact the DBITC Management Team (dbcteam@tma.osd.mil) for further clarification as needed.

1.5   Understanding When an MHS Pre-Certification Review is Required

An IT investment, funded in the Defense Health Program (DHP) is subject to an MHS Pre-certification review if it is categorized by either of the characteristics in Figure 2.

Congressional Special Interest funding as well as Joint Incentive Funding are subject to certification the same as all other DHP dollars. These funding avenues were congressionally approved based on needed requirements and capabilities, the Defense Business Information Technology Certification approval is needed to accomplish the delivery of the requirements and capabilities.

<center>Figure 2. Characteristics of an MHS Investment</center>

Defense Business System	"An information system, other than a national security system, operated by, for, or on behalf of the Department of Defense, including financial systems, mixed system, financial data feeder system, and information technology and information assurance infrastructure, used to support business activities, such as acquisition, financial management, logistics, strategic planning, and budgeting, installations and human resource management." (10 U.S.C 2222(j)(2))
Business System Modernization	"The acquisition or development of a new defense business system or any significant modernization or enhancement of existing defense business systems (other than necessary to maintain current services). The type of funds will not always be an accurate indication of a defense business system modernization." (10 U.S.C 2222(j)(3))

If an investment modernization does not fall into one of the categories described in Figure 2, or is not a DHP or DHP Joint Incentive Fund, then the MHS PCA is probably not the primary coordination point for certification. However, it is still possible that the investment requires certification via another PCA or mission area. Refer to Appendix A for general information about other IRBs.

1.6   Important Certification Considerations

It is not always easy to determine if an investment needs certification. There is often a fine line that needs close scrutiny to avoid an Anti Deficiency Act (ADA) violation. The DBITC Management Team (dbcteam@tma.osd.mil) will be available to help with this determination or to meet with the PM for a final decision. Provide a clear description of the proposed investment in writing to the DBITC Management Team who will evaluate and deliver a decision in writing to facilitate transparency. The MHS PCA has the final responsibility for determining which investments require certification and which ones can move forward without either PCA or DBSMC Certification. Service level questions should first be directed to the appropriate Service DBITC office.

The DBITC Management Team is often asked to make decisions about pilots. Pilots that involve testing the design of a full scale implementation by using a small sample population are subject to certification. If several possible designs are being evaluated to determine which solution satisfies the requirements, certification may or may not be necessary based on a joint decision from DBITC and HRM. Service level questions should first be directed to the appropriate Service DBITC office.

Regulations regarding certifications and interpretation of the law continue to be refined. In the past it was believed that if an investment was considered fully deployed, it could be rolled out to additional sites without certification, however, a recent ruling states that any investment that is expanding their functional envelope by deploying to additional sites requires certification.

2.0 GETTING STARTED

2.1 MHS Investment Certification Management

The MHS Investment Review Process coordinates certification of business IT investments through the MHS PCA and on through the HRM IRB and DBSMC as required. The process covers investment modernizations needing certification as well as the annual review process of previously certified modernizations.

Figure 3 displays a high-level overview of the flow of MHS investment certification management activities and provides an idea as to how long the process takes to complete.

Figure 3. MHS Investment Certification Management Process
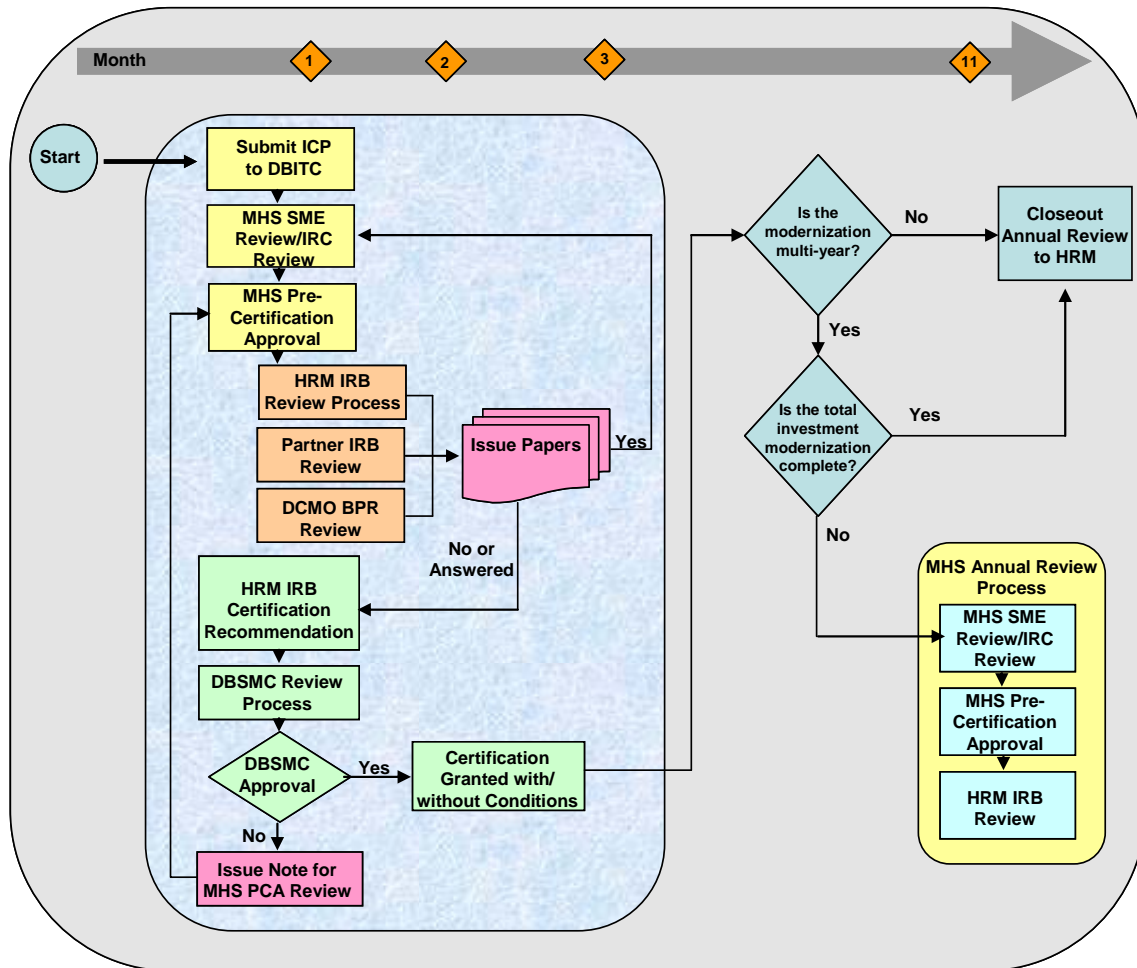
2.2 MHS Defense Business Information Technology Certification Support

The MHS Defense Business Information Technology Certification Management Team is the first exposure most people will have to the MHS Investment Review process. The MHS DBITC Management Team (dbcteam@tma.osd.mil) was established with the understanding that people need personal assistance to

navigate through the certification process, to answer questions, to consolidate comments from Subject Matter Experts (SME) reviews, to assist with moving the investment package through the process, and to generally help individuals focus their activities on preparing a proper investment package for the PCA, HRM IRB, and DBSMC. The MHS DBITC Management Team provides assistance in many forms and ensures that all inquiries are addressed with clarity, transparency, superior customer service in mind, and ensures accessibility to all.

2.3 Scheduling an MHS Investment Review

It takes 40 to 70 days for an investment certification package to get through the Investment Review process, and much of the time table is not within MHS control, particularly if approval from the DBSMC is required. Therefore, it is very important to consult the MHS Investment Review Schedule which is posted on the CIO Web site, (http://health.mil/MHSCIO/index.aspx), as well as in the Library on the DHP SIRT (https://dhpsirt.atic.osd.mil/). This review schedule will allow the group submitting the investment package to calculate the date a package will need to be submitted in order to obtain certification by a required date prior to obligation. The MHS allows approximately 40 days to complete its due diligence for each investment (it takes approximately 30 more days (approximately 70 days total) for the IRB Certification Authority (CA) to complete reviews that require DBSMC approval). After calculating when an investment must be submitted for review in order to meet the desired or required certification date, contact the MHS DBITC Management Team (dbcteam@tma.osd.mil) to ensure the investment can be reviewed in the desired timeframe. Based upon the volume of other investments being reviewed by the MHS DBITC Management Team, Program Managers may be required to submit an investment package earlier than the date originally calculated.

3.0   PREPARING FOR CERTIFICATION REVIEW

3.1   Purpose

The Military Health System CIO has been designated as the Pre-Certification Authority for defense business system modernizations using Defense Health Program appropriations. The MHS CIO has delegated the investment pre-certification process to the Portfolio Management (PfM) Directorate. The Chief, Budget Formulation/Portfolio Development utilizes the pre-certification process to ensure that every business IT investment is compliant with MHS and DoD requirements before forwarding the investment to the PCA, and guides it through the HRM IRB process and the DBSMC for final approval.

The MHS pre-certification process is focused on bringing as much relevant information as early as possible to the review table. The intent is to utilize SME reviewers, Program Managers (PM), Service medical and functional representatives to support the Chief Financial Officer (CFO) and the PCA in making go/no-go decisions about a business system's development/modernization/enhancement as early as possible. Program Managers play a vital role in this process by ensuring that information about the investment is as clear and complete as possible. The primary source of investment information and documentation for an investment's modernization is the ICP. Program managers need to clearly and comprehensively explain the enhancement and the justification in the ICP.

3.2   MHS Pre-Certification Requirements

This Manual complements the guidance provided in the BTA's *DoD IT Defense Business System Investment Review Process–Guidance, January 2009,* which is available on the BTA's web site (www.bta.mil/*)* as well as in the Portfolio Management section of the MHS CIO website (http://health.mil/MHSCIO/index.aspx).

Most of the information required for certification should already exist by the time an ICP is to be created. For MHS investments, a budget entry must be entered into Select & Native Programming – Information Technology (SNaP-IT) by the Budget Formulation Team. The information used in the SNaP-IT entry will be provided to the MHS DBITC Management Team (dbcteam@tma.osd.mil), who will establish the record in the Defense Health Program System Inventory Reporting Tool (DHP SIRT). The PM Point of Contact (POC) is then responsible for completing the data entry. When a system record already exists in DHP SIRT and a new certification, recertification or decertification is required, the request must be sent to the DBITC Management Team, by the PM Point of Contact, to establish the new record. The *DHP SIRT User Guide* is currently the key source of DHP SIRT guidance and can be accessed from within the DHP SIRT tool after you have established an account. If you are not registered and require access to the DHP SIRT Tool, please submit a request for access at the following site: https://dhpsirt.atic.osd.mil.

 Validated and approved data from the DHP SIRT is uploaded monthly to the DoD Information Technology Portfolio Repository (DITPR), which serves as the Department's authoritative unclassified inventory of IT systems. Ultimately, it is the responsibility of Program Managers to make sure that current, up-to-date IT business system and modernization information is in the DHP SIRT.

TMA may withhold DHP funding until certification is obtained through the DBSMC for Tier 1-3 investments, or the TMA PCA for Tier 4 investments. If funding to be used for modernization is obligated without obtaining DBSMC approval, individuals authorizing the obligation are in violation of the 31 U.S.C. 1341 (a) (1), the Anti-Deficiency Act (ADA).

Table 1 provides a list of the documentation that is required by the MHS for investment reviews.

Table 1. MHS Documentation Requirements Matrix

Document	Certification Review (Tier 1-3)	Certification Review (Tier 4)	Annual Review	General Description
Certification Dashboard	✓	✓	N/A	An overview of the proposed investment modernization. Generated in DHP SIRT.
Recertification Dashboard	✓ As Indicated	✓ As Indicated	N/A	A Recertification is required when any additional investment dollars above a previously approved amount is needed or additional time outside of the originally approved fiscal year period is needed to deliver the capability, on the same modernization effort.
Decertification Dashboard	✓ As Indicated	✓ As Indicated	N/A	A Decertification is a reduction (> 10%) in the amount of funds a Component has certified. If a Component determines that the funding level for a certified modernization will be reduced by more than 10 percent of the certified funding level, a Decertification may be warranted.
Annual Review Dashboard	N/A	N/A	✓	An overview of the investment modernization's progress since it first received certification, highlighting progress against its plan, milestones of modernization, and any applicable conditions.
Business Process Reengineering (BPR) Assessment	✓	N/A	✓	New NDAA requirement that funds may not be obligated for a defense business system modernization that will have a total cost in excess of $1,000,000 unless appropriate BPR efforts have been undertaken.
Deputy Assistant Secretary of Defense (DASD) Concurrence	✓	✓	✓	Proof of DASD Concurrence or DASD POC Concurrence. Services will work with the DBITC Management Team.
Funding Approval Letter	✓ Required if $S are not in recent budget submit		N/A	Verification that the Component's Resource Manager/Comptroller has reviewed and validated the requested funds to be used for the enhancement and. includes funds across the Future Years Defense Program (FYDP) for sustainment. Funds included in most recent budget submit will be utilized in place of the resource letter.
Investment Financial Spend Plan	✓	N/A	N/A	Details of proposed dev/mod or enhancement.
Earned Value management tool	✓	✓	N/A	Measurement of the financial benefits gained through the investment. The benefits should be to the enterprise in addition to IT benefits, .including funds across the Future Years Defense Program (FYDP) for sustainment..
Initiative/Investment/Modernization Description	As Needed	As Needed	N/A	A full explanation of the imitative/system capabilities is necessary for the SMEs to complete their review.
Clinger-Cohen Act (CCA) Compliance Letter	✓	✓	N/A	Confirmation that the system is being developed in accordance with Subtitle II, Title 40 of the U.S.C., formerly the CCA of 1996.
System Regulatory Compliance Report	✓	✓	N/A	Summary of the system's compliance with a wide variety of internal and external reporting requirements (e.g., FISMA, Privacy). Documentation in DHP SIRT, DBITC Management Team will generate document.
Human Resource Management (HRM) Privacy Impact Assessment (PIA)- Personal Identifiable Information (PII)- Federal Information Security Management Act (FISMA) Checklist Latest version of the Privacy Impact Assessment	✓	N/A	Updates Only	For all Certification, Annual Review and Partner Review packages, the Pre-Certification Authority must certify, via the HRM PIA-PII –FISMA Checklist that all Federal Information Security Management Act, Privacy Impact Assessment and Privacy Act procedures and security measures will be in place prior to implementation of the subject system or enhancement.
Brief for IRC Meeting	✓	Required if an IRC Meeting becomes necessary	N/A	At the time of submission, provide a brief that includes an overview of the system, and modernization. Detail about where the funding is coming from and what capabilities are being addressed. Template is provided.
Required Architecture Documents continued on next page.				

✓ Required Artifact

Table 1. MHS Documentation Requirements Matrix…Continued

Document	Certification Review (Tier 1-4)	Annual Review (Tier 1-4)	General Description
AV-2: Integrated Dictionary (DoDAF v. 2.0 name)	Required	Updates Only	The AV-2 defines all the terms used throughout the architectural data and presentations.
OV-2: Operational Node Connectivity Diagram (DoDAF v. 2.0: Operational Resource Flow Description)	Required		The OV-2 provides an illustration and analysis of a critical business issue: information communication requirements. Many organizations fail to ensure proper communications and content delivery, and this inhibits the success, regardless of the quality of the system's technology.
OV-3: Operational Information Exchange Matrix (DoDAF v.2.0: Operational Resource Flow Matrix)	Required		The OV-3 provides supplemental documentation to the OV-2 to define the business-level message details. Specifics concerning the information exchanges are presented in an organized table. Again, the importance of ensuring proper communications and business message format and content is difficult to over-emphasize. This information is also readily adopted as business–level system requirements, and provides a lead-in to the definition of the technical information exchanges as documented in the SV-1.
OV-5: Operational Activity Node Tree (DoDAF v.2.0: OV-5a Operational Activity Decomposition Tree and OV-5b Operational Activity Model)	Required		The OV-5 activity model is the best way to initially define and scope the business functions and processes, and one of the only EA artifacts that is a true model, with defined syntax and semantics, logical rigor and consistent interpretation. This artifact provides extensive input to the other artifacts, and if necessary, can be extended to enable quantitative analysis of business alternatives, investments, and performance metrics.
SV-1: Systems Interface Description (DoDAF v.2.0 Systems Interface Description	Required		As noted in the OV-2, communication is a common point-of-failure in organizations and systems today. The SV-1 illustrates the logical interfaces required for communication between operational or system nodes. **Note:** If an SV-1 is not available, an SV-2 can be provided as a substitute.
SV-4a: Systems Functionality (DoDAF v.2.0: SV-4 Systems Functionality Description)	Required		Business functions identified in the OV-5 are supported via a combination of systems and services. The SV-4a is also a functional analyses, but from the systems perspective. This is a critical artifact for ensuring the scope and interfaces of the proposed system are aligned with the business.
SV-5a: Operational Activities to Systems Functionality Traceability Matrix (DoDAF v.2.0: SV-5a Operational Activity to Systems Function Traceability Matrix)	Required		Ensures the continuity of business analysis and requirements across the operational and systems views. Without this close mapping, systems tend to be designed with a variance from the core business needs.
TV-1: Technical Standards Profile (DoDAF V.2.0: StdV-1 Standards Profile)	Required		Major systems are required to support communications, interoperability, and technology advancement migration. This is enabled through the adoption of applicable standards. An excellent system without standards compliance will have very limited value. Explicit definitions of applicable standards are included in the TV-1 artifact for reference.
TV-2: Technical Standards Forecast (DoDAF v.2.0: StdV-2 Standards Forecast)	Required		Technical standards are expected to evolve, and the TV-2 artifact identifies the applicable standards changes, additions and impacts on the architecture. Systems typically have associated lifecycles and development and enhancement timeframes. The TV-2 forecast should match the timeframes for the associated systems
Architecture Compliance Plan (ACP)	May be Required		The ACP will provide a roadmap and a commitment to achieve full MHS EA compliance for IT investments which do not meet defined compliance criteria. ACP gets created for the investments seeking certification which fails to provide DoDAF artifacts initially, then ACP will guide the PM team to get the project/program to compliance.

Note 1: *DoD Architecture Framework (DoDAF) Version 2.0 nomenclature is included for reference. The MHS is applying DoDAF version 2.0 toward building new architecture descriptions. DoDAF version 1.5 terms will continue to appear until the architecture and standards development tools are capable of supporting DoDAF version 2.0.*

Note 2: *This list of Architecture artifacts is current as of the date of this publication. Please refer to the MHS EA Compliance Assessment Framework Guidebook for further guidance regarding optional architecture documentation.*

3.3 MHS ICP Checklists

For any given investment review, both standard and variable questions are asked to round out the due diligence process. Standard questions have been vetted through SMEs and should be expected to be part of every review. Variable questions are investment and situational specific. Variable questions can not be predicted, but we've done our best to eliminate surprises of the standard questions by documenting them here. Table 2 lists standard questions.

Table 2. MHS Standard Questions

Review Area	Standard Question	What is the reviewer looking for?
Documentation	Have the required documents been submitted?	Accuracy and completeness.
Financials	Are current fiscal year funding amounts reflected in the most recent DHP IT budget submission?	Match of funding amounts in the current IT budget, or a funding letter, or a meeting to walk the numbers.
	Are comprehensive life cycle cost estimates for the investment included in the EV tool?	Mod/Dev as well as Operations & Support reflected in the EV tool. Completed EV tool with Prior and Future costs including Other Benefits description.
	Are assumptions and constraints affecting the modernization's cost estimates provided?	Detailed Spend Plan.
Business Case	Has the PO provided the requirements that are to be funded with this effort?	Requirements should be spelled out in the Brief, supporting CONOPS or Functional Requirements document.
	Does the investment align to an MHS IM/IT strategic plan?	Strategic alignment with MHS IM/IT Strategic Plan
	Which DASD/DASD POC has been contacted to discuss this investment?	Functional Sponsorship
	Is the investment modernization similar to an existing MHS modernization effort?	Looking for duplication of effort. Originating office may be asked to coordinate your effort with an existing effort.
	Has a BPR been completed in association with the Functional Sponsor?	Evidence that business processes have been reengineered prior to consideration of IT solution
Architecture	MHS EA is developing an assessment tool and their questions can be found in the MHS Enterprise Architecture Compliance Assessment Framework Guidebook document to be published 1Q 2011.	

Review Area	Standard Question	What is the reviewer looking for?
Privacy	Does the investment contain private information?	Applicable documentation.
	Has a PIA been completed?	Applicable documentation.
	Is the PIA available to the public?	Applicable documentation.
	Is a System of Records Notice (SORN) required for this system?	Applicable documentation.
	Has a current SORN been provided and/or published in the Fiscal Year?	Applicable documentation.
	Does this system have an OMB Control Number? If so, please provide the OMB Control Number & Expiration Date _____ (This number indicates OMB approval to collect data from 10 or more members of the public in a 12-month period regardless of form or format).	Applicable documentation.
	Does the investment adhere to HIPAA Privacy and Security requirements?	Applicable documentation.
	Is the Required PIA/PII/FISMA Checklist Submitted?	Applicable documentation.
Security	Does the investment comply with current DoD C&A requirements?	Applicable documentation.
	Does the investment meet current FISMA security requirements? Enter the date of the next C&A update _____	Applicable documentation.
	Please supply the date of the latest C&A requirements document, and ensure that the DHP SIRT Security data fields are accurate and up to date.	Applicable documentation.
	Is an annual C&A update expected? (Please enter date).	Applicable documentation.
	Is the BTA Required PIA/PII/FISMA Checklist Submitted?	Applicable documentation.
Risk Management	Does the Dependencies field clearly express risk and management strategies?	Risk to the schedule, cost and performance as well as any funding issues or other areas of concern.
	What is the date of the Risk Management Plan?	
	Does the PM have an official copy of the Risk Management Plan?	The Risk Management Plan with approval signature and date needs to be kept by the Program Office and be available should the IRB, DBSMC or any auditor request.

4.0 INVESTMENT BUSINESS CASE GUIDANCE

4.1 Modernization Documentation

The Defense Business Information Technology Certification is designed to look closely at the business system/application that you are proposing to modify or develop. The System Description in SNaP-IT (and the copy on the Certification Dashboard) is the official system description but often the SMEs need additional information to fully understand what your initiative/system is doing, especially if the modernization is in support of spiral development. In order for the DBITC Management Team and Subject Matter Experts to make good decisions on certification eligibility you may be asked to supply a CONOPS, Use Case, Functional Description or a one or two page document that fully describes the capabilities that the IT business investment will provide. It is imperative that the SME community have adequate information at hand during their review to fully comprehend the business system development and/or modernization.

4.2 Certification Types and the DHP SIRT

Refer to the BTA's *DoD IT Defense Business System Investment Review Process–Guidance, January 2009* for basic definitions of the three certification types; Certification, Recertification and Decertification. This is another area where it is not always easy to determine which of these paths need to be taken, so please feel free to contact the MHS DBITC Management Team (dbcteam@tma.osd.mil) or Service representative for guidance. Because of the complexity and the importance of selecting the correct path at this juncture, the MHS DBITC Management Team maintains the single administrative privilege to establish the record in the DHP SIRT. Once they establish the record with the Reference Year, Type of Certification, Related Certification Tier (for Recerts/Decerts), and Modernization Description, data maintainers will be able to complete or update the rest of the record for new or follow-on enhancements.

It is important to note here, that an original Certification Dashboard is the parent for all Recertifications and all Annual Reviews that stem from the original Certification entry.

4.3   Certification Dashboard (DHP SIRT Report)

The Defense Business Systems Certification Dashboard is a summary report used to provide an overview of the investment modernization request.   Every investment modernization reviewed during the MHS Investment Review Process needs to submit a Certification, Recertification or Decertification Dashboard. The Dashboard format required by the DBSMC provides decision makers with high-level system and modernization information including milestone dates, costs, risks and other relevant investment details. The Certification Dashboard is populated with data stored in the DHP SIRT. Please refer to the DHP SIRT Manual for specific user directions. Figure 4 shows a sample Certification Dashboard.

Figure 4. Certification Dashboard – Template

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Certification: 20YY_xxxx-1C

Defense Business Systems Certification Dashboard System Name (System Acronym) DITPR ID#	Amount Requested: $00.000 For Period: FYxx - FYxx Target Approval Date: mm/dd/yyyy

Tier: 1-4	Classification: Class A	Transition Plan State: Core	
Acq:	Joint Initiative:	Bundle:	SNAP-IT#: XXXX
Component: TMA	Component PCA: PCA	Lead IRB: CBMA-HRM	Partner IRB(s):

System Description

Modernization Description

Expected Outcomes:

Systems Replaced by or Replacing

Criticality and any adverse effects should system modernization not be approved:

Operational Activities:

Milestones of Modernization	
Business Milestones	Date

Investment & Return ($M) (modernization funding only)								Risks & Mitigation		
BCR: 0	Breakeven: yyyy			NPV: $-00.000				Schedule: GREEN	Cost: GREEN	Performance: GREEN
Modernization Funds	FYxx	FYxx	FYxx	FYxx	FYxx	FYxx	FYxx	Dependencies:		
Funding Type										
Funding Type										
Funding Type										
Total										

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4.4   Recertification Dashboard (DHP SIRT Report)

The Recertification Dashboard has the identical fields as the Certification Dashboard, however, when it is generated it becomes a child to the first certification for the modernization. The previously certified funds will appear in the Modernization Funds as "Previously Certified" but will not be included in the Amount Requested field in the upper right hand corner. Keep in mind that a Recertification is necessary when a particular modernization is continued using additional modernization dollars that were not previously certified. Only the additional dollars being certified are in review for this recertification. Please refer to the DHP SIRT Manual for specific user directions. Figure 5 shows a Recertification Dashboard.

Figure 5. Recertification Dashboard – Template

FOR OFFICIAL USE ONLY

Certification: 2010_xxxx-2R (10-1)

Defense Business Systems Recertification Dashboard			Amount Requested: $0.00 For Period: FYxx - FYxx Target Approval Date: mm/dd/yyyy
System Name (System Acronym) DITPR ID#			

Tier: 1-4	**Classification:**	**Transition Plan State:**	
Acq:	**Joint Initiative:**	**Bundle:**	**SNAP-IT#:** XXXX
Component: TMA	**Component PCA:** PCA	**Lead IRB:** CBMA-HRM	**Partner IRB(s):**

System Description:

Modernization Description:

Expected Outcomes:

Systems Replaced by or Replacing:

Criticality and any adverse effects should system modernization not be approved:

Operational Activities:

Milestones of Modernization	
Business Milestones	Date

Investment & Return ($M) (modernization funding only)								**Risks & Mitigation**		
BCR: 0	**Breakeven:**			**NPV:** $-253.21				**Schedule:** GREEN	**Cost:** RED	**Performance:** GREEN
Modernization Funds	**FYxx**	**FYxx**	**FYxx**	**FYxx**	**FYxx**	**FYxx**	**FYxx**	Dependencies:		
Prior Approved	4.267									
Funding Type										
Total										

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4.5   Decertification Dashboard (DHP SIRT Report)

A Decertification Dashboard has the identical fields as the Certification and Recertification Dashboards, however, in this case, the Expected Outcomes will explain why the funds being decertified are no longer necessary or explain why the decertification is being obtained. The Decertification is also linked to its Parent Certification. Decertification is required for any modernization that under spends, fails to spend the certified amount, or is not completed for any reason. Please refer to the DHP SIRT Manual for specific user directions. Figure 6 shows a Decertification Dashboard.

Figure 6. Decertification Dashboard – Template

FOR OFFICIAL USE ONLY

Certification: 2010_xxxx-2D (10-1)

Defense Business Systems Decertification Dashboard	Amount Requested: $0.000 For Period: FYxx - FYxx Target Approval Date: mm/dd/yyyy
System Name (System Acronym) DITPR ID#)	

Tier: 1-4	Classification:	Transition Plan State:	
Acq:	Joint Initiative:	Bundle:	SNAP-IT#: XXXX
Component: TMA	Component PCA: PCA	Lead IRB: CBMA-HRM	Partner IRB(s):

System Description :

Modernization Description

Expected Outcomes

Systems Replaced by or Replacing:

Criticality and any adverse effects should system modernization not be approved:

Operational Activities:

Milestones of Modernization	
Business Milestones	Date

Investment & Return ($M) (modernization funding only)									Risks & Mitigation		
BCR: 0	Breakeven: yyyy			NPV: $-00.000					Schedule: GREEN	Cost: RED	Performance: YELLOW
Modernization Funds	FYxx	FYxx	FYxx	FYxx	FYxx	FYxx	FYxx		Dependencies: Certified funds for this effort no longer needed because…….		
Prior Approved	2.365										
Funding Type		- 2.365									
Total											

Report Dated: 01/08/2010 08:57:58 EST

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4.6   Business Process Reengineering

Section 1072 of the Fiscal Year 2010 NDAA introduced new requirements into the Department's defense business systems modernization investment management process. It created the requirement that funds may not be obligated for a defense business system modernization that will have a total cost in excess of $1,000,000 unless appropriate Business Processing Re-engineering (BPR) efforts have been undertaken.

Implementation of these requirements will utilize the existing Investment Review Board (IRB) and Defense Business Systems Management Committee (DBSMC) processes and will apply to all programs and systems seeking a certification or recertification decision or coming forward for an annual review. Once a program or system has completed the BPR Assessment (Figure 7) and has been determined to have undertaken the appropriate BPR efforts for the first time, subsequent determinations will be tailored to ensure that appropriate efforts remain on track. The DBSMC remains the final approval authority for certification and recertification requests.

For the DHP, the PCA Memorandum will include a recommendation on whether appropriate business process reengineering efforts have been undertaken. A completed BPR Questionnaire will also be submitted to the IRB. The IRB will conduct an initial review of the BPR Questionnaire and make a recommendation to the DoD Chief Management Office (DCMO) on whether the BPR requirement had been satisfied. The DCMO will then conduct their own review and provide MHS with an Issue Paper that will need to be addressed by the submitting PM. Unresolved issues will either stop the certification or necessitate a condition being levied on the certification. The DCMO will then sign the CMO Determination Memorandum prior to the IRB Chair recommending certification or recertification approval to the DBSMC.

Additionally, no later than October 28, 2010, any defense business system with a total cost in excess of $100 million that has been previously approved by the DBSMC, and will not be coming before the IRBs in Fiscal Year 2010 for a certification or recertification decision or annual review, shall be reviewed by the appropriate Military Department CMO or the DoD DCMO to determine if appropriate BPR was conducted. If it is determined that appropriate BPR efforts were not undertaken, the appropriate Military Department CMO or DoD DCMO shall develop a plan to conduct appropriate BPR.

4.7   Changes to the DBITC Process for BPR

The IM Managers responsible for Business Process Re-engineering efforts have agreed to review the BPR Assessments that are submitted to the MHS PCA and ultimately to the DCMO for those IT systems/applications that have been identified to the portfolio management boards. However, the IM Managers and Project Managers must work together to determine the scope of the Certifications and the related BPR. This may also require adjustment or additional architecture work so the assessment can be completed. All changes must be worked through the IM Managers.

The service systems/initiatives that have been or are scheduled to go through the certification process will be handled individually. Each service CIO, along with their functional proponent needs to prepare the BPR assessment and the required architecture products for submission to the DBITC Management Team

(dbcteam@tma.osd.mil). The DBITC Management Team will then coordinate with the appropriate DASD/functional representative and the EA office for their review of the BPR assessment prior to submitting the PCA letter and the certification package. This process may be adjusted in the future, an addendum to this manual will be published with any necessary updates.

Figure 7. BPR Assessment

<u>Business Process Re-engineering (BPR) Assessment</u>

<u>Acquisition Information</u>
    1.   Is this a new capability acquisition or modernization?
        a.   Where in the acquisition Lifecycle is this development/modernization?
        b.   When is the development/modernization approaching its next milestone? What is it?
        c.   Which legacy systems are being decommissioned because of this development/modernization? When are they being decommissioned?
        d.   When is this program going to be decommissioned? (If applicable)

<u>Strategic Alignment</u>
    2.   Which goals or objectives of the QDR, SMP Performance Budget, HPPGS, and/or Component Strategic Plan does this development/modernization align with? How does it align?
    3.   Which of the 15 BEA End-to-End Processes does this system support?

<u>Business Process Reengineering</u>
    4.   Have you conducted BPR?
        a.   If no, do you have a plan to conduct BPR? Describe your plan.
    5.   Briefly describe your BPR process?
    6.   Identify the stakeholder communities involved in the BPR?

<u>Problem Statement</u>
    7.   What business problem are you trying to solve through this development/modernization?

<u>As-Is Analysis</u>
    8.   Have you completed an As-Is map of the current process that illustrates the specific problem that requires change?
    9.   Describe why non-material solutions are insufficient to meet the business need?
    10. Describe why other existing material solutions are insufficient to meet the business need?

<u>To-Be Analysis</u>
    11. Have you completed a To-Be map of the target process that illustrates the improvements to the As-Is process that this development/modernization will generate?
    12. Explain how the business process to be supported by the development/modernization is as streamlined and efficient as possible?
    13. Which industry best practices/benchmarks were used to develop and evaluate alternative processes/approaches?
    14. Are the stakeholders of the new capability committed to enabling successful implementation?
    15. Are there laws, regulation or policies that need to be changed to implement the development/modernization and associated To-Be processes? What are they? .
    16. How have you eliminated or reduced the need for unique requirements and unique interfaces? How many RICE objects are planned as part of this development/modernization? Break them down by Reports, Interfaces, etc.
    17. Provide a list of the key customization requirements that are required for this system and justification for each?
    18. Identify the stakeholders and solution providers that you have coordinated any unique interfaces with?

<u>Business Performance Measures</u>
    19. What are your key operational/business measures, linked to your problem statement that you will use to gauge the business success of the development/modernization? For each measure, identify the baseline/current performance, target performance, and data source.

<u>Implementation/Change Management</u>
    20. Have you developed an implementation/change management plan that includes: operating procedures, organization, training, interoperability, personnel, governance, infrastructure, etc?
    21. Have the users/customers provided confirmation that they are prepared for system turn-on? If yes, in what form?

<u>Results</u>
    22. Briefly describe the results you have obtained using BPR?

4.8   DASD Concurrence

In accordance with the Pre-certification Authority's direction, all Certifications, Recertifications, Decertifications and Annual Reviews must have DASD/DASD POC concurrence before the CFO and PCA or Annual Review Assertion Letter is signed. MHS Program Offices meet regularly with DASDs and DASD POCs and will need to supply proof of concurrence with the ICP being submitted. The proof of concurrence could be an e-mail string clearly asking for concurrence on the development/modernization defined in the ICP or the PO could present a signed document with a description of the enhancement in the ICP with a designated Concur/Non Concur section clearly marked. The MHS DBITC Management Team will continue to work with the Services submitting ICPs to achieve the same results.

4.9   Brief to the IRC

The brief serves multiple purposes. It should contain a complete description of the capabilities that will be included in the modernization or development. The brief is available for the SMEs to utilize during their review. Other stakeholders that either receive the package for review or attend the IRC meeting should get a complete picture of the investment and this specific modernization from the brief. Figure 13 shows a sample brief.

Figure 13. Sample Brief

5.0   FINANCIAL OVERVIEW GUIDANCE

5.1   Funding Approval Letter

A Funding Approval Letter needs to provide the appropriation and the amount of funding being requested for certification by Fiscal Year (FY) for those funds that have not been reported in the DHP budget submission. The financial information provided in the letter must agree with what is listed on the investment's Defense Business Systems Certification Dashboard and the Earned Value management tool. If there is a discrepancy in the funding source and/or amount, it needs to be explained. For example, if funds have been misclassified as steady state in the latest budget submission, comments stating the classification will be corrected in the next official budget submission need to be included. Figure 8 can be used as a template when preparing this document.

Figure 8. Funding Approval Letter – Template

MEMORANDUM FOR THE MILITARY HEALTH SYSTEM PRE-CERTIFICATION
                                   AUTHORITY

SUBJECT: Funding Approval – Action Memorandum

        I have completed the review and assessment of the <Name of   Investment>
economic viability and find that the assumptions are valid and   the costs and benefits are
supportable and fairly represented.

                <Component Name> approves FY 20xx <funding type>, Defense Health
Program (DHP) funding in the amount of <$M> to be used for the enhancement of <Name
of System>. These requested funds will be reported in the next DHP component budget
submission. This is a valid project that will greatly enhance mission requirements and
operational readiness for the <Insert Name of Component>.

        My point of contact is <Insert Name> who may be reached at <Phone   Number>
or <Email Address>.

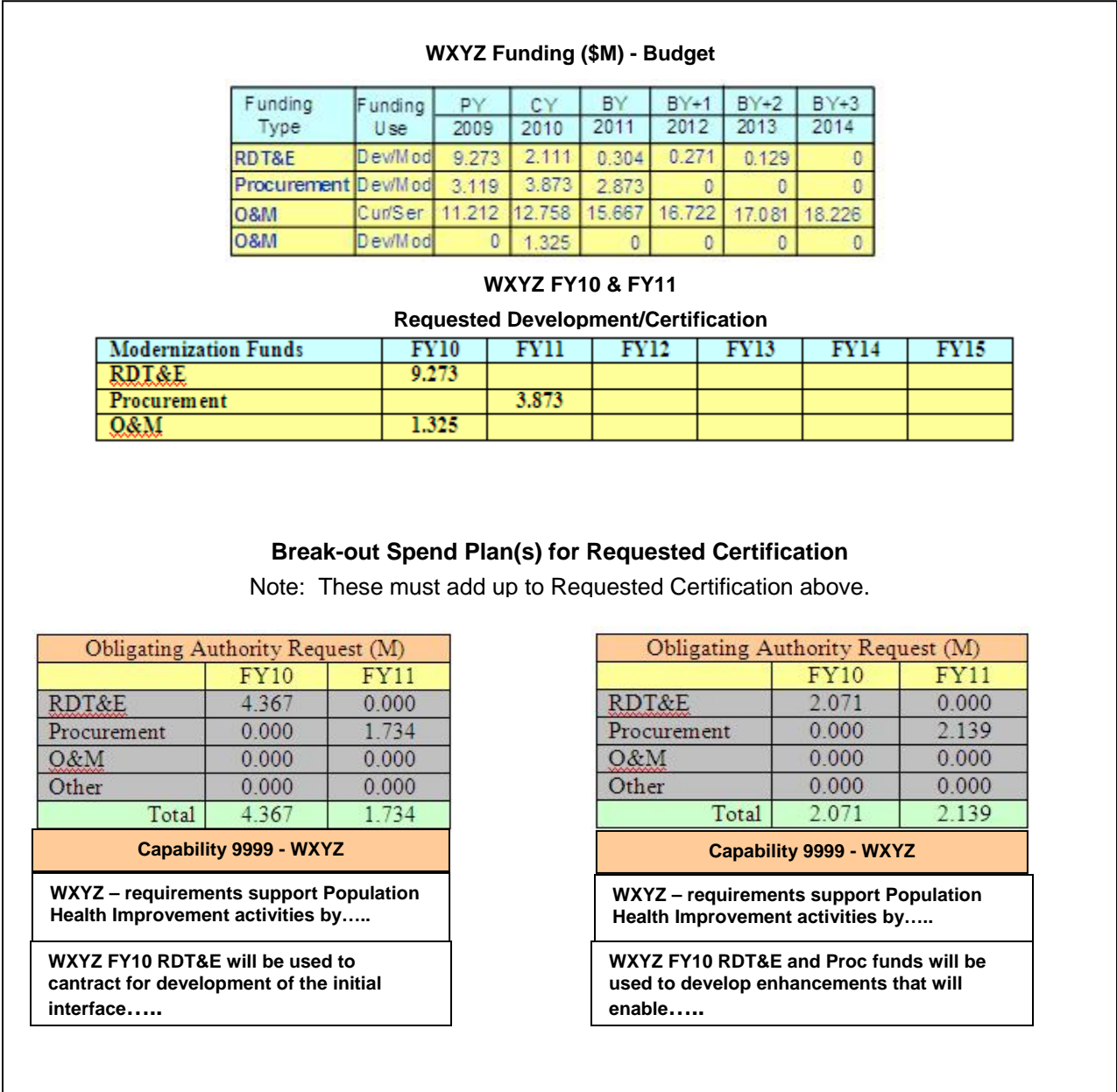   <Component Name> Resource Manager/Comptroller

                            Signature (as designated)

Investment Financial Spend Plan

Certifications designate a specific year in which budgeted dollars are expected to be obligated. Often times you may be certifying dollars during a specific fiscal year that were actually appropriated in a previous fiscal year. Example: In July of 2010 you submit a certification package for $2 million. The $2 million is in the FY11 BES as Mod/Dev RDT&E dollars appropriated in FY09. The dashboard you create for this certification will not reflect the budget fiscal year but will reflect the certification year. The Portfolio Management Directorate needs to track both the certification year and the budgeted year. Therefore, Program Offices are required to submit a Financial Spend Plan that shows the actual excerpt from the budget, with an explanation of which funds are being used to populate the certification dashboard. Figure 9 shows a sample of a Financial Spend Plan.

Figure 9. Sample Spend Plan

WXYZ Funding ($M) - Budget

Funding Type	Funding Use	PY 2009	CY 2010	BY 2011	BY+1 2012	BY+2 2013	BY+3 2014
RDT&E	Dev/Mod	9.273	2.111	0.304	0.271	0.129	0
Procurement	Dev/Mod	3.119	3.873	2.873	0	0	0
O&M	Cur/Ser	11.212	12.758	15.667	16.722	17.081	18.226
O&M	Dev/Mod	0	1.325	0	0	0	0

WXYZ FY10 & FY11

Requested Development/Certification

Modernization Funds	FY10	FY11	FY12	FY13	FY14	FY15
RDT&E	9.273					
Procurement		3.873				
O&M	1.325					

Break-out Spend Plan(s) for Requested Certification
Note: These must add up to Requested Certification above.

Obligating Authority Request (M)	FY10	FY11
RDT&E	4.367	0.000
Procurement	0.000	1.734
O&M	0.000	0.000
Other	0.000	0.000
Total	4.367	1.734

Capability 9999 - WXYZ

WXYZ – requirements support Population Health Improvement activities by…..

WXYZ FY10 RDT&E will be used to cantract for development of the initial interface…..

Obligating Authority Request (M)	FY10	FY11
RDT&E	2.071	0.000
Procurement	0.000	2.139
O&M	0.000	0.000
Other	0.000	0.000
Total	2.071	2.139

Capability 9999 - WXYZ

WXYZ – requirements support Population Health Improvement activities by…..

WXYZ FY10 RDT&E and Proc funds will be used to develop enhancements that will enable…..

5.2 Earned Value Tool

The BTA refers to Return on Investment (ROI) as a "collection of metrics which are used to measure the financial benefit gained through an investment." Accordingly, ROI is used by the MHS to measure and understand the financial benefit(s) of an investment. You may use the BTA's Earned Value (EV) Template, as shown in Figure 10, to ensure that the most accurate ROI information is provided for an investment.

The EV Template is an Excel-based form that converts an investment's financial data to ROI metrics. The investment's costs (both sunk and budgeted) and benefits (realized and projected) are manually entered into the tool. To capture lifecycle costs, at a minimum the data should include the investment's lifecycle costs from its inception to its attainment of Full Operational Capability (FOC). Once this data is provided, the tool automatically calculates the investment's lifecycle ROI metrics. The two financial return metrics that will be calculated are the lifecycle Net Present Value (NPV) and lifecycle Benefit-to-Cost Ratio (BCR).

Once the EV Template has been completed, the Component's Resource Manager/Comptroller will need to review the economic viability of the proposed investment. After this review is performed, the data elements will need to be manually entered into the EVROI section of the DHP SIRT. These select calculations will be used to populate the NPV, Breakeven, and Benefit Cost Ratio data fields on the Dashboard reports. Please refer to the DHP SIRT Manual for specific user directions. Figure 10 provides a sample of the ROI Results.

Note: A negative ROI will not necessarily affect the certification approval.

Figure 10. Earned Value ROI Calculator – Sample

System Acronym	CHBA		Net Present Value (NPV) =	($28.227)		NPV w/Other Benefits =	($28.227)				
Discount Rate	3.300%		Return on Investment (ROI) =	-4.39		ROI w/Other Benefits =	-4.39				
Current Fiscal Yr	2010		Break Even Year =	None		Break Even w/Other Benefits =	None				
FOC Year	2015										

Program Cost							FOC					
	Prior	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Preferred Alternative												
Investment (Dev/Mod)	$3.010	$0.362	$2.998	$0.886	$0.500	$0.500	$0.500	$0.000	$0.000	$0.000	$0.000	$0.000
Operations & Support	$0.991	$1.927	$5.499	$5.270	$5.730	$5.069	$4.876	$0.000	$0.000	$0.000	$0.000	$0.000
Phase Out Costs (Dev/Mod)		$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000
Phase Out Costs (O&S)		$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000
Total	$4.001	$2.289	$8.497	$6.156	$6.230	$5.569	$5.376	$0.000	$0.000	$0.000	$0.000	$0.000
Status Quo												
Investment (Dev/Mod)		$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000
Operations & Support		$1.631	$0.627	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000
Total		$1.631	$0.627	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000
Net Program Cost												
Investment (Dev/Mod)		$0.362	$2.998	$0.886	$0.500	$0.500	$0.500	$0.000	$0.000	$0.000	$0.000	$0.000
Operations & Support		$0.296	$4.872	$5.270	$5.730	$5.069	$4.876	$0.000	$0.000	$0.000	$0.000	$0.000
Total Net Cost		$0.658	$7.870	$6.156	$6.230	$5.569	$5.376	$0.000	$0.000	$0.000	$0.000	$0.000
Other Benefits												
Total		$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000	$0.000
Present Value Calculations												
Invest NET		$0.350	$2.810	$0.804	$0.439	$0.425	$0.411	$0.000	$0.000	$0.000	$0.000	$0.000
O&S NET		$0.287	$4.566	$4.781	$5.032	$4.309	$4.013	$0.000	$0.000	$0.000	$0.000	$0.000
Cumulative PV (w/o Other)		$0.637	$8.012	$13.597	$19.068	$23.803	$28.227	$28.227	$28.227	$28.227	$28.227	$28.227

6.0   SECURITY, PRIVACY, AND REGULATORY COMPLIANCE GUIDANCE

6.1   Authority to Operate (ATO) or Interim Authority to Operate (IATO) Letter

The DoD Certification and Accreditation (C&A) Process requires formal declaration by the Designated Approving Authority (DAA) that an IT system is approved to operate in a particular security mode using a prescribed set of Information Assurance Controls at an acceptable level of risk. Therefore, DoD Certification and Accreditation compliance is required by the MHS before any system/application or major enhancement is implemented. An additional "Certification of Networthiness" may be required by the Services.

For all systems that receive, process, display, store, or transmit DoD information, a comprehensive evaluation of the technical and non-technical security features and countermeasures is required. The requirement for the MHS Investment Review process is a current Authority to Operate (ATO) document with DAA signature and date. If applicable, an Interim Authority to Operate (IATO) with a Plan of Actions and Milestones (POA&M) identifying tasks that need to be accomplished to remediate any identified vulnerabilities in a system may also be required. The POA&M needs to specify resources required to accomplish the elements of the plan, any milestones in meeting the task, and scheduled completion dates for the milestones. If the system is not required to be certified and accredited under the DoD process, justification must be provided. For example, a system just beginning development would not have a current ATO.

The DBITC process also requires that new modernizations have a POA&M in place to be sure that ATO accreditation will be received prior to deployment.

For assistance with this process, utilize the *DoD Information Assurance (IA) Certification & Accreditation Process Guidance*. Additional information may be found through DoDI 8510.01, "DoD Information Assurance Certification and Accreditation Process (DIACAP)," November 28, 2007.

6.2   Clinger-Cohen Act (CCA) Compliance Letter

The CCA is a statutory foundation for shaping the acquisition, management, and use of DoD information technology. There are key CCA requirements that must be met in the JCIDS and Defense Acquisition process. Subtitle III of Title 40 USC compliance is provided at every Milestone and Decision Review for AIS Programs. For DBITC purposes the CIO is responsible for ensuring that implementations of mandates of the Act include IT investments and Title 40/CCA compliance. For additional information about the Clinger Cohen Act, please refer to Enclosure 5 of the DoDI 5000.02.
(https://acc.dau.mil/CommunityBrowser.aspx?id=250027&lang=en-US).

The requirement for the MHS Investment Review process is a letter confirming the investment modernization is in compliance with the Clinger Cohen Act. Figure 11 shows a sample CCA letter.

Figure 11. CCA Compliance Letter – Template

<Insert System Name> System
Compliance with Clinger Cohen Act (CCA) of 1996

The <Insert System Name> System is an information technology program under development within the Military Health System (MHS) of the Department of Defense (DoD). <Insert System Name> is < Insert description of system here>.

This report provides compliance information applicable to the <Insert System Name>   <Insert appropriate Milestone Decision here>.

Submitted by:

_____   _____

                                                                                  Date

Name
Program Manager
Program Office Name

Concurrence:

_____   _____

                                                                                  Date

Name
Chief Information Officer, (MHS or Service)

Confirmed:

_____   _____

                                                                                  Date

6.3   System Regulatory Compliance Report (DHP SIRT Report)

This System Regulatory Compliance Report summarizes a system's compliance status with a variety of internal and external reporting requirements (e.g., FISMA, Interoperability, Privacy). For example, a system must demonstrate it has fully considered privacy in the context of its investment. A system must comply with the E-Government Act of 2002, Section 208 and, in appropriate circumstances, conduct a Privacy Impact Assessment (PIA).   For assistance with a PIA, individuals can utilize the DoD PIA Guidance available at: http://www.dtic.mil/whs/directives/corres/pdf/540016p.pdf.   The PIA will be prepared using DD Form 2930, "Privacy Impact Assessment (PIA)" available on the Internet from the DoD Forms Management Web Site at http://www.dtic.mil/whs/directives/infomgt/forms/formsprogram.htm.

A subset of data stored in the DHP SIRT regarding a system's compliance with internal DoD and external federal requirements is used to populate the System Regulatory Compliance Report. This is inclusive of compliance with reports triggered by legislative or regulatory mandates and other required federal annual reports. Once generated from the DHP SIRT, the System Regulatory Compliance Report includes, but is not limited to, compliance information regarding the following reporting requirements:

- **Federal Information Security Management Act (FISMA) of 2002**
- **E-Authentication**
- **Interoperability Certifications**
- **Privacy Impact Assessment (PIA)**
- **System Of Records Notice (SORN)**
- **Standard Financial Information Structure (SFIS)/Federal Financial Management Improvement Act (FFMIA)**
- **DoD Mission Critical (MC)/Mission Essential (ME)/Mission Support (MS) Systems**
- **Enterprise Transition Plan (ETP)**
- **Public Key Infrastructure (PKI)**
- **Current Business Enterprise Architecture (BEA) Information**

Within the DHP SIRT, there are specific trigger questions that will prompt the user to enter data about a particular reporting requirement. Subsequently, some questions do not apply to certain investments. All relevant DHP SIRT data fields need to be populated in order for this report to be generated. Figure 12 shows one of the menu bars from the DHP SIRT.

For additional detail regarding these specific reporting requirements, see the *DHP SIRT Data Dictionary (*https://dhpsirt.atic.osd.mil/).

Figure 12. Regulatory Compliance Report Section – DHP SIRT
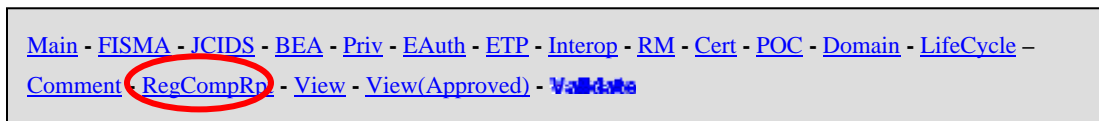
6.4 HRM-PIA-PII-FISMA Checklist

Protection of privacy data is a high priority for the Department of Defense. As part of our effort to ensure information entrusted to us is safeguarded, a requirement was added in the priority investment management process conducted by the HRM IRB. For all certification, annual review and partner review packages, the Pre-Certification Authority must certify via the HRM PIA-PII-FISMA Checklist that all Federal Information Security Management Act (FISMA), Privacy Impact Assessment (PIA) and Privacy Act procedures and security measures will be in place prior to implementation of systems and/or enhancements. The PCA must also ensure that these procedures and security measures will be maintained and updated throughout the system lifecycle. Within this document, if an ATO and/or PIA, FISMA and System of Records Notice (SORN) are necessary, they need to be submitted with your ICP and will be stored on the Acquisition, Technology & Logistics (AT&L) Portal with other HRM required documentation. This form (Figure 13) can be obtained from the DBITC Management Team (dbcteam@tma.osd.mil).

Figure 13. HRM-PIA-PII-FISMA Checklist

HRM FISMA/PIA Compliance Assertion Checklist

System Name:
System Acronym:
Date:

I hereby assert that the information contained in this document is complete and accurate.

_____
(PCA Signature)

1. Is this system in the DoD Information Technology Portfolio Registry (DITPR)?

> YES – DITPR ID:
> NO – (Include the reason for not having this system in DITPR)

2. Is this system operational?

> YES – Date system became operational
> NO – Date system is projected to become operational

3. Have you completed the Federal Information Security Management Act (FISMA) Process? (Located in DITPR)

> YES – I certify that an initial FISMA process was accurately completed for this system
> YES – I certify that an annual review of this systems FISMA information has been performed and appropriately updated
> NO – (Include the reason for not having completed a FISMA Process)

4. What level of accreditation does the system have?

> Authority To Operate (ATO)-(Include a copy of the ATO letter)
> Interim Authority To Operate (IATO)-(Include a copy of the IATO letter)
> None – (Include the reason for not having an ATO or IATO)

5. Have you completed a Privacy Impact Assessment/Privacy Act (PIA/PA) template?

> YES- (Include a copy of PIA/PA template)
> NO-(Include the reason for not having completed a PIA/PA template)

6. Does this system collect, update, maintain, or exchange "Personally Identifiable Information" (PII)?

> Yes-(Complete Table 1 of the HRM FISMA/PIA Compliance Assertion Checklist)
> NO- (Finshed – Checklist is complete)

7. Does this system have a System of Record Notice (SORN) on file w/DoD Privacy Office?

> YES-SORN effective date: SORN ID:
> NO- (Include the reason for not having filed a SORN for this system)

7.0   ENTERPRISE ARCHITECTURE OVERVIEW

One of the purposes of the DBITC process is to build, update, and enhance the Component and the Core Business Mission Area's Enterprise Architecture (EA). Additionally, Enterprise Architecture is used to assist in making good investment decisions based on the architecture data and descriptions for both new and changed systems within the Military Health System. Architecture data describes the subject system's and system change's relationship to other existing and planned systems, and helps identify redundancies in functions across systems. As MHS EA completes architecture artifacts, they help identify gaps in the system functionality as well.

The MHS Enterprise Architecture Team encourages each of the military services and other agencies submitting requests for MHS Modernization Funding to contact the team to discuss the architecture artifacts intended for inclusion in an ICP prior to formal submission. A proactive approach regarding architecture techniques, options and preferences will decrease the likelihood of misunderstandings and/or misinterpretations of views as we move forward. As Services and Program Offices may have their own architecture teams, make sure to coordinate Architecture requirements at the Service/Program Office level prior to engaging the MHS Enterprise Architecture Team.

The Architecture Team has overall responsibility for receipt, review, and provision of comments concerning the architecture products to the DBITC Office for all DBITC packages. Contact the OCIO Enterprise Architecture Office for further guidance and/or a copy of the MHS Enterprise Architecture Compliance Assessment Framework Guidebook.

8.0   SUBMITTING AN INVESTMENT PACKAGE

8.1   How to Submit an Investment Certification Package

After the documentation has been gathered and data has been updated in the DHP SIRT, it is time to actually submit the ICP for certification. Carefully review the DHP SIRT Certification Dashboard report and ensure existing data is accurate for the corresponding investment. If for some reason data is inaccurate or missing, be sure to make the required entries/updates before proceeding with the ICP submission.

With the information reflected in the DHP SIRT having been validated as to accuracy and completeness, the ICP can be submitted. Carefully verify that all documents are completed and named including a version number before submitting the ICP to the MHS DBITC Management Team (dbcteam@tma.osd.mil). With this validation, the ICP is competed and ready for submission. To officially submit an investment package for MHS review, email all documentation to MHS DBITC Management Team (dbcteam@tma.osd.mil).

8.2   MHS Investment Review Committee (IRC) Meeting Preparation

Following the submission of an ICP, there will be several activities that need to take place before the investment is certified. Within approximately three weeks after an investment certification package is submitted to the MHS DBITC office, it will receive a formal review by the MHS IRC. The MHS Defense Business Information Technology Certification office will send an official notification of the IRC Meeting time and location to the investment's Point of Contact (PoC). Prior to attending this meeting, the PoC should ensure that the following steps are performed:

- Phase 1 Review - During this review, all submitted documentation is checked for completeness and consistency. The MHS DBITC Management Team captures errors and/or issues that it knows from experience will be an issue for the ICP.   Program Offices/Service Medical Departments must make revisions prior to moving into the next phase
- Phase 2 Review – A more detailed review of the ICP that includes Architects, financial experts, and other stakeholders as appropriate. From the Phase 2 Review Program Offices/Service Medical Departments will receive a consolidated list of comments detailing the issues. It is expected that Program Offices/Service Medical Departments resolve as many of these issues as they can prior to the IRC. Only open issues will be reviewed at the IRC

Any outstanding questions or concerns regarding the content of the ICP will be addressed at the MHS IRC Meeting. Therefore, it is important that the appropriate individuals representing the investment are present at the MHS IRC meeting. If for some reason, a key individual is unable to attend the IRC meeting in person, the MHS DBITC office can make arrangements for them to attend via teleconference. The MHS IRC participants conducting the pre-certification review are identified in Table 3.

Table 3. MHS Investment Review Committee Attendees

MHS IRC Meeting Attendees
✓ **Chief, Portfolio Development & Budget Formulation** ✓ **DASDs and/or IM Representative** ✓ **OCIO Information Assurance** (Technology Management, Integration & Standards) ✓ **OCIO Enterprise Architecture** ✓ **TMA Privacy Officer** (TMA Privacy Office) ✓ **Other Participants** (Service Medical Departments, Program Offices, requirements experts, other subject matter experts (SMEs), and others as required)

8.3   After MHS IRC Meeting

Once the formal MHS IRC review of the investment certification package has been completed, it may be necessary to make modifications to the ICP per IRC direction. The investment owner may be asked, and should be prepared to produce any additional information necessary to clarify a specific section of the ICP as the package progresses through the approval process. Additional information required and all additional steps will be coordinated by the MHS DBITC Management Team prior to the package being forwarded to the HRM IRB. Some of the additional steps include:

- Documentation of conditions for the investment, transition plan activities and/or architecture compliance plan activities as appropriate
- Chief Financial Officer (CFO) Memorandum Approval
- Pre-certification of the ICP by the MHS Chief Information Officer (CIO)/Pre-Certification Approval (PCA)

 Figures 14 and 15 show samples of a CFO Letter and a PCA Letter.

Figure 14. Sample CFO Letter

MEMORANDUM FOR MILITARY HEALTH SYSTEM CHIEF INFORMATION OFFICER

SUBJECT: *Name of Program Office Requesting Certification*

   I have reviewed the financial information associated with the request for funds by *Name of Program Office Requesting Certification*. Based on the requirements and assumptions portrayed for the required development described, I believe that *Name of Program Office Requesting Certification* is affordable, executable and a worthwhile investment. I recommend certification approval to obligate funding of $00.000 million for Fiscal Year (FY) 20xx.

Name of Resource Management Official
Title of Official

Figure 15. Sample PCA Letter

MEMORANDUM FOR   (Full name of the IRB (Acronym)) INVESTMENT REVIEW BOARD CHAIRPERSON

SUBJECT: Pre-Certification of Compliance

   (Name of System) is requesting authority to obligate $0.000 million; $0.000 million for FY 20yy and $0.000 million for FY 20yy. *(Five lines describing modernization.)*

   I have performed a review of this system and have verified that it is in the *Enterprise Transition Plan/ Component Transition Plan*, and the information contained in the Defense Information Technology Portfolio Repository (DITPR) for this system will be updated and verified to be complete and accurate as of (*Date).* A Lifecycle Return on Investment analysis was completed and reviewed by the program's cost authority who concurs with the financial metrics recorded in DITPR as reflected on the Certification Dashboard. Based on my review, I conclude that this system and its modernization:
   a. Is consistent with the TRICARE Management Activity architecture and is in compliance with the Business Enterprise Architecture version (X.X).
   b. Has conducted sufficient Business Process Reengineering (BPR) to ensure the system will be as streamlined and efficient as practicable and the need to tailor Commercial-Off-the-Shelf systems to meet unique requirements or incorporate unique interfaces has been eliminated or reduced to the maximum extent practicable. A BPR Assessment was completed on (Date).

   I recommend the Human Resource Management Investment Review Board certify to the Defense Business Systems Management Committee approval of the request. A completed certification dashboard and compliance reports are forwarded for your review. My point of contact for questions about this submission *Name of POC*, *Phone of POC*, or *email of POC*

                                                            Name o fPre Certification Authority
                                                            Official title of PCA

Once any modifications required have been made and the MHS PCA pre-certifies Tier 1 - 3 investment certification packages (Tier 4 investments do not require approval beyond the MHS PCA), the DBITC office will upload all required ICP documents to the IRB Portal for the HRM IRB to review. Figure 16 provides a high-level overview of the governance structure and shows the flow from the MHS PCA to the HRM IRB.

Figure 16. MHS Investment Review Governance for all DHP Funded Enhancements
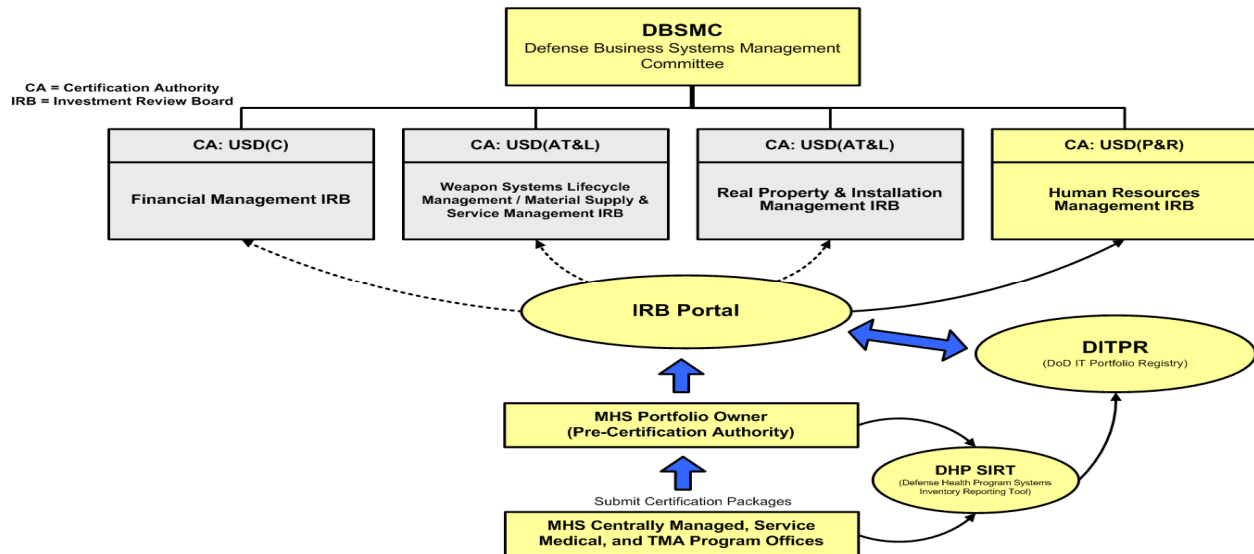
8.4   HRM IRB and DBSMC Reviews

During the HRM IRB's review of the ICP package, it may be determined that an investment is of interest to another Core Business Mission Area. If so, the HRM IRB may request that the ICP be reviewed by the Partner IRB (see Appendix A for information on possible Partner IRBs). If a partner IRB review should be necessary, the MHS IRC will contact the Program Manager and coordinate associated activities via the HRM IRB staff. Once the HRM IRB has completed its review of the ICP, a recommendation will either be made to the DBSMC that the investment be approved, or the investment will be disapproved. In conjunction with the IRB reviews the DCMO will review the BPR submitted with each package. The terms and conditions of the investment's certification approval will be documented in the HRM IRB *Recommendation for Certification Memorandum and Defense Business Systems Investment Summary* (DBSIS) that are submitted to the DBSMC. The DBITC Management Team ensures copies of the HRM IRB (Certification Authority) Memorandum are distributed to the investment package's POC.

Upon the DBSMC's review of the HRM IRB's recommendation for certification, a decision on the approval of the investment modernization is made. The DBSMC signs and issues a formal memorandum to confirm the approval of an investment certification. Typically within two weeks of the DBSMC meeting, the status of MHS investments will be reported to the MHS DBITC office. The MHS DBITC office notifies Program Managers and/or Service Medical Departments within 24 hours of receiving this notification. Once the Program Manager receives the DBSMC Approval Certification Memorandum, the investment owner has

the authority to obligate funds within the defined scope, funding amount, schedule, and under the conditions asserted during the review process.

In an attempt to shorten the Certification timeline, HRM IRB has taken it upon themselves to publish an HRM IRB memo (signed by Director for HRM Integration) that states that the listed systems have the authority to obligate funds in the amount and under the conditions stated in the Defense Business System Investment Summary (DBSIS). This memo is signed and distributed to the TMA DBITC Management Team on the day or the day after the scheduled DBSMC meeting. In the absence of this memo, obligation of funds cannot take place until the DBSMC Memo is obtained.

8.5   MHS Investment Review Dashboard

Investment certification status is tracked on the MHS Investment Review Dashboard. Updates to the Dashboard are provided in the Library section in the DHP SIRT and on the CIO Web site (http://health.mil/MHSCIO/index.aspx). Figure 17 provides a sample of the MHS Investment Review Dashboard.

Figure 17. MHS Investment Review Dashboard – Sample

Tier	PO	Acronym	Name	Comments	Status
2	DHSS	EAS IV	Expense Assignment System IV	Certification	❷ On Hold
1	DHSS	EI/DS	Executive Information/Decision Support	Recertification	❻ Complete
3	USAF	AF-RTP	Air Force – Regional TelePathology	Certification	❻ Complete
2	DCoE	NCMT	NICoE Continuity Management Tool	Certification	❻ Complete
2	DHSS	DMLSS	Defense Medical Logistics Standard Support	Recertification	❻ Complete
4	USA	AERO	Aeromedical Electronic Resource Office System	Annual Review	❹ Complete
2	DHSS	CCQAS	Centralized Credentials and Quality Assurance System	Recertification	❹
3	USAF	HSDW	Health Services Data Warehouse	Recertification	❸
4	USA	DRMS	Document Referral Management System	Annual Review	❷
2	DHSS	PSR	Patient Safety Reporting	Recertification	❷
1	DHIMS		AHLTA/CHCS Stabilization/EHR Risk Reduction	Certification	❸
4	TMA	PDTS	DoD Pharmacy Data Transaction Service	Certification	❶

MHS Investment Review Status as of March 12, 2010

❶ Awaiting Package   ❶ Package Received   ❷ Package Under Review   ❸ Approved by MHS Investment Review Committee (IRC)   ❹ Approved by MHS CFO and Portfolio Owner   ❺ Approved by HRM IRB and USD(P&R) CA   ❻ Approved by DBSMC

DBSMC = Defense Business Systems Management Committee   CA = Certification Authority   HRM = Human Resources Management   IRB = Investment Review Board

9.0   AFTER RECEIVING CERTIFICATION

9.1   Addressing Conditions Placed on the Investment

It is likely that certain conditions will be placed on the investment during the review process. Conditions represent additional requirements or stipulations surrounding partially met requirements that must be addressed in order to maintain the investment certification. Conditions can be levied at the PCA level and are tracked in DHP SIRT by the MHS DBITC Management Team, or HRM may levy conditions that are then tracked in DITPR by HRM IRB. Any conditions should be tracked and be addressed by the assigned due date.

9.2   Annual Review Requirement

The MHS must review all business systems annually, regardless of investment Tier. Tier 1 through 4 enhancements are reviewed annually either at the PCA level for those seeking a recertification (or are Tier 4s) or at the HRM level for those seeking just an annual review or a close out annual review. Systems with no planned development or modernization are also required to present an annual review at the Component level on a yearly basis. TMA incorporates this annual review process into their yearly portfolio management and budget reviews. A summary report of the business systems reviewed at the TMA level (Tier 4s and MHS Certification Annual Reviews) must be provided to the HRM IRB on a semi-annual basis. Similar to the original certification review, an investment with a total cost greater than $1 million needs to be reviewed by the MHS PCA as well as the HRM IRB.

9.3   Recertifications and Decertifications

Any time a program/project requires additional funds to be certified on the same development or modernization you will be required to submit a recertification dashboard with the ICP. To correctly track the ROI the dashboard and the EV tool should both reflect all funding that has been applied to any given development or modernization effort.

A decertification becomes necessary any time you have under obligated your certified funds by an amount greater than 10%. An explanation of the reason for decertification is required within the decertification package. Reasons could include, contract amount can be lower than expected, funds were reduced in the budget, schedule is behind, contract award is later than planned…..etc.

9.4   Investment Modernization Audit

According to the Government Accountability Office (GAO), many DoD business systems modernizations are considered high-risk. As a result, the GAO frequently performs routine audits of the investment certification process, and recently, these audits included selected investments under the HRM IRB's purview. It is important to keep in mind that at any point in time, a specific modernization investment may be selected for an audit. Therefore, the investment owner should be prepared to readily provide any supporting documentation necessary should an audit be conducted. Program Managers are required to maintain the official copy and all documentation necessary to validate the information that was submitted

in the investment certification package. The MHS Defense Business Information Technology Certification office will contact the Program Manager directly if an investment is selected for an audit.

10.0 PREPARING FOR CERTIFICATION ANNUAL REVIEW

10.1 Purpose

The MHS/HRM Annual Review focuses primarily on whether an investment is meeting its milestones in terms of cost, schedule, and capability delivery. This review will also focus on monitoring progress toward meeting any conditions that were placed on the initial certification. Compliance with the BEA, MHS EA and the Enterprise Transition Plan will also be assessed during the annual review. If, during the annual review, it is found that an investment is not tracking well against cost, schedule or performance metrics, the MHS PCA may require that the investment go through a recertification process.

10.2 Timing of an Annual Review

The annual review of a modernization investment is a follow-up to certification. An annual review is not required in the same fiscal year that an investment's certification is granted. Rather, the annual review will generally be conducted 11 months after an investment's initial certification. At the beginning of each fiscal year, the DBITC Team will publish a schedule of when the follow-up annual reviews are due. If an additional Recertification is necessary, or becomes necessary because of end-of-year dollars, the annual review date may be altered with the consent of the DBITC Management Team and HRM IRB staff.

10.3 MHS Annual Review Documentation Requirements and Guidance

The MHS/HRM Annual Review requirements for all modernization activities that have either been certified or are currently in process are listed below and are also covered in the *MHS Documentation Requirements Matrix*:

- **Current and Accurate DHP SIRT Data**
- **Updated Architecture Products, as applicable**
- **Annual Review Dashboard**
- **BPR Assessment**

Documents will need to be updated for the annual review process. Currently, the only unique documentation requirement for the annual review is the Annual Review Dashboard. SME's reviewing the Annual Review may need to refer to the previous certification/recertification to complete their review.

Figures 18 and 19 show samples of the Annual Review Dashboard and the Annual Review Assertion Letter required by HRM.

Figure 18: Development/Modernization Certification Annual Review Dashboard

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Certification: 20yy_xxxxx-1C   Review: 1

MHS Defense Business Systems Annual Review Dashboard *System Name (System Acromyn DITPR ID #)*	**Funding Approved: $0.000** **For Period: FYyy - FYyy** **Date Funding Approved:**

Tier: 1-4	**Classification:** Class A	**Transition Plan State:** Core	
Acq:	**Joint Initiative:**	**Bundle:**	**SNAP-IT#:**
Component: TMA	**Component PCA:**	**Lead IRB:** CBMA-HRM	**Partner IRB(s):**

System Description :

Modernization Description :

Expected Outcomes:

Milestone achievement issues:

Pending Certification Conditions:

Compliance plan for meeting conditions:
N/A

Milestones of Modernization	
Milestones	Date

Investment & Return ($M) **(modernization funding only)**	**Risks & Mitigation**
BCR: 5.66 **Breakeven:** yyyy **NPV:** $-3.750	**Schedule:** GREEN **Cost:** GREEN **Performance:** GREEN

Modernization Funds	FY09	FY10	FY11	FY12	FY13	FY14	FY15	Dependencies:
RDT&E	3.267							
Total	3.267							

Report Dated: 01/05/2010 15:02:53 EST

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Figure 19. Sample Annual Review Assertion Letter

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)

(*Name of System*) is submitted for Annual Review of the modernization request in the amount of $0.000
approved by the DBSMC on *(month and year of certification).*

I have performed a review of this system and verified that the information contained in the Department of
Defense Information Technology Portfolio Repository for this modernization will be updated, complete and accurate
as of (Date). At the time of the previous Certification, the system was assessed as in compliance with Business
Enterprise Architecture (BEA) version 5.0. Based on my review, I conclude that this system and its modernization:

   c.   Is consistent with the TRICARE Management Activity architecture and is in compliance with the newest
BEA version (X.X).

   d.   Has conducted sufficient Business Process Reengineering (BPR) to ensure the system will be as
streamlined and efficient as practicable and the need to tailor Commercial-Off-The-Shelf systems to meet
unique requirements or incorporate unique interfaces has been eliminated or reduced to the maximum
extent practicable. A BPR Assessment was completed on (Date).

(If there was a condition put it here.)

Based on my review, I recommend the Human Resource Management Investment Review Board approve this
Annual Review. A completed certification Annual Review dashboard is forwarded for your review. My point of
contact for questions about this submission *Name of POC*, *Phone of POC*, or *email of POC*

                    Name of Pre Certification Authority
                    Title of PCA
                    Military Health System

APPENDIX A – DEFENSE BUSINESS SYSTEMS MODERNIZATION GOVERNANCE

The DBSMC reviews and approves (or disapproves) defense business systems modernization plans, manages cross-integration issues, and oversees the IRB process. The DBSMC is responsible for approving (or disapproving) business systems modernization/enhancement investments in excess of $1M which need to be certified under 10 U.S.C. 2222 (a) (1) by designated approval authorities. The Deputy Secretary of Defense (DEPSECDEF) assigned accountability to the Principal Staff Assistants (PSAs) who act as Certification Authorities (CAs) and make investment recommendations to the DBSMC. In turn, the CAs chartered Investment Review Boards that review investments in support of their respective CBMAs. The overall governance structure is shown in Figure 20.

Figure 20. Defense Business Systems Modernization Governance Structure
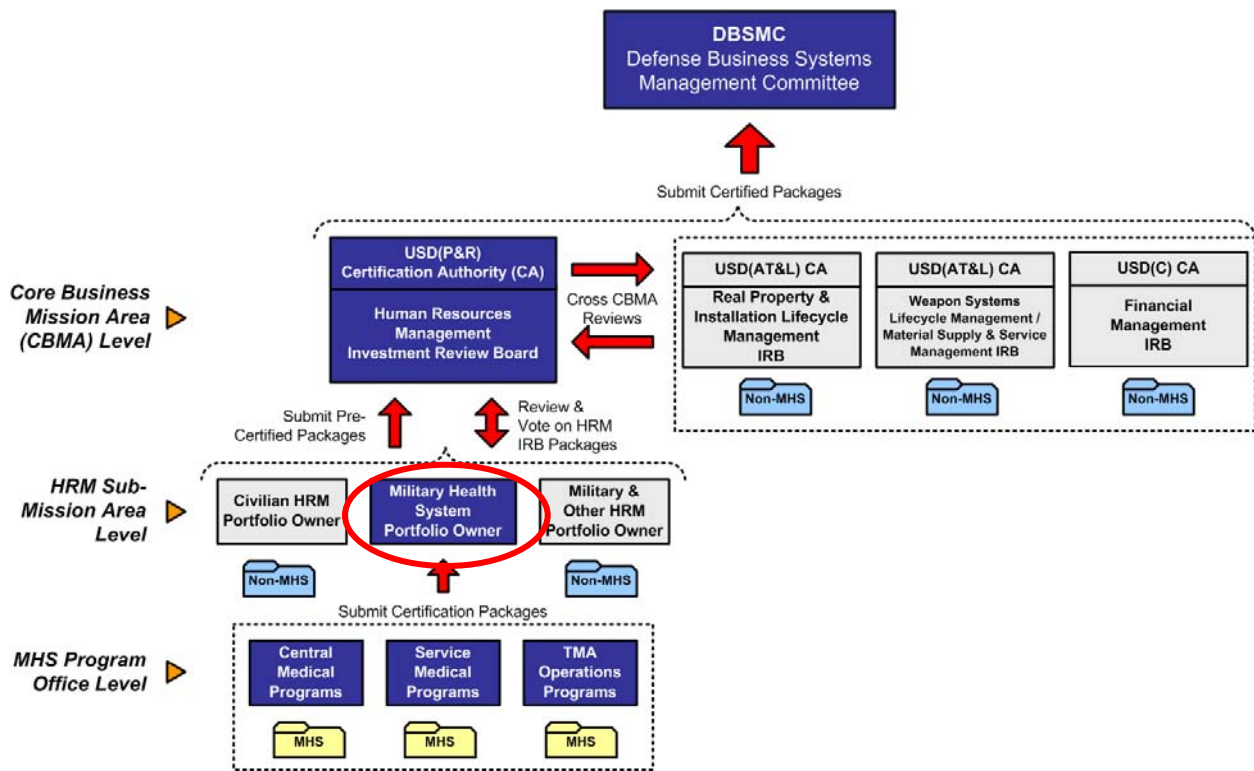
For business systems development/modernization/enhancement requests greater than $1M, PCAs must "pre-certify" the request based on established criteria. IT business system Program Managers must understand their investments are subject to Annual Reviews and certification by multiple levels of authorities, including the Component Portfolio Manager, Component PCA, appropriate OSD level IRB, and the DBSMC. Associated roles and responsibilities are provided in Table 4.

Table 4. Investment Review Roles and Responsibilities

Role	Responsibilities
Defense Business Systems Management Committee (DBSMC)	✓ Oversees transformation across the BMA to ensure that the needs and priorities of the Warfighter are met ✓ Convenes under the direction of the Deputy Secretary of Defense ✓ Approves the Business Enterprise Architecture and Enterprise Transition Plan ✓ Approves investment certifications recommended by CAs
Core Business Mission Principal Staff Assistants (PSAs)	✓ Support the DBSMC in the top-level management of enterprise business IT investments associated with improving human resources management, weapons systems lifecycle management, materiel supply and service management, real property and installations lifecycle management, and financial management ✓ Serve as the Certification Authority (CA) accountable for obligation of funds for enterprise business system investments within their designated CBMAs
Certification Authorities (CAs)	✓ Review certification packages assigned to their CBMA and provide the DBSMC with recommendations for approval ✓ Identify specific systems or specific lines of business as "CA interest" and require review for systems that support those lines of business.
Investment Review Boards (IRBs)	✓ Form the decision-making body of the CBMA with oversight of the investment review processes for those business capabilities supporting activities under their designated areas of responsibility ✓ Recommend to the CA certification (or non-certification) based on certification criteria ✓ Ensure review of every business system modernization/enhancement investment at least annually
Component Pre-Certification Authorities (PCAs)	✓ Act as the Pre-Certification Authority for business systems modernization/enhancement investments over $1.00 ✓ Submit requests to the CA IRB for certification of business system investments over $1M ✓ Establish own investment review processes and governance structure (consistent with section 11312 of Title 40) to support Component transformation initiatives
IT Business Systems Program Managers (PMs)	✓ Ensure program information is accurate and current in mandatory DoD level business system repositories as required by NII policy, or the appropriate Component-level tool set used to populate that repository ✓ Verify the IRB certifying authority and DBSMC, via the appropriate headquarters level authority, have completed system review, certification, and approval before obligating funds over $1M for modernization
DoD Deputy Chief Management Officer (DCMO)	✓ Evaluates each BPR Assessment Form and objective evidence package ✓ Cross-functional, matrixed BPR Assessment teams have been formed to support this review process ✓ Document question in the form of an Issue Paper and return to the Component for resolution

Each Core Business Mission Area has established its own IRB process to manage its business systems transformation activities and ensure NDAA compliance. The members of the Investment Review Board governing entities are provided in Table 5.

Table 5. Investment Review Board Governing Bodies

Governing Entity	Membership
Defense Business System Management Committee	• **Deputy Secretary of Defense (Chair)** • Under Secretary of Defense, Acquisition, Technology & Logistics (Vice Chair) • Secretaries of the Military Departments and heads of the Defense Agencies • Under Secretary of Defense (Comptroller) • Under Secretary of Defense for Personnel & Readiness • Vice Chairman of the Joint Chiefs • Commander, U.S. Transportation Command • Commander, U.S. Joint Forces Command • Assistant Secretary for Networks and Information Integration / DoD Chief Information Officer • Director, Cost Assessment and Program Evaluation (Advisory)
Human Resource IRB	• **Director, Information Management OUSD (P&R) (Chair)** • Office of the Deputy Under Secretary of Defense (Program Integration) • Office of the Deputy Under Secretary of Defense (Civilian Personnel Policy) • Office of the Assistant Secretary of Defense for Health Affairs • Joint Staff (J-1)
Weapon Systems Lifecycle Mgmt / Materiel Supply & Services Mgmt and Real Property & Installation Lifecycle Management IRB	• **Special Assistant for Business Transformation (Chair)** • Director, Acquisition Resource & Analysis • The Joint Staff • Deputy Under Secretary of Defense (Logistics & Materiel Readiness) • Deputy Commander United States Transportation Command • **Deputy Under Secretary of Defense Installations & Environment (Chair)** • Asst. Secretary of the Army (I&E) • Asst. Secretary of the Navy (I&E) • Asst. Secretary of the Air Force (I&E and Logistics) • Joint Staff (J-4) • Asst. Secretary of Defense (NII) / DoD CIO) • Director, Cost Assessment and Program Evaluation
Financial Management IRB	• **Deputy Under Secretary of Defense Financial Management (Chair)** • Joint Chief of Staff (JCS J-8) • OUSD(C), Deputy Chief Financial Officer • OUSD(C), Deputy Comptroller (Program Budget) • Director, OSD (Program Analysis & Evaluation) • Director, Financial Management Transformation Team (FMTT)

APPENDIX B – REFERENCES

Laws

(a)　Clinger Cohen Act (CCA), http://www2.ed.gov/policy/gen/leg/gisra.doc

(b)　1998 Amendment to Section 508 of the Rehabilitation Act,
　　http://www.section508.gov/index.cfm?FuseAction=Content&ID=14

(c)　E-Government Act, 44 U.S.C Chapter 36, Section208,
　　http://frwebgate.access.gpo.gov/cgibin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:pbl
　　347.107.pdf

(d)　Health Insurance Portability and Accountability Act (HIPAA) of 1996,
　　http://www.cms.hhs.gov/HIPAAGenInfo/

(e)　Federal Information Security Management Act (FISMA) of 2002,
　　http://csrc.nist.gov/groups/SMA/fisma/

(f)　Public Law 108-287, The National Defense Appropriations Act, 2005,
　　http://www.dsca.mil/programs/LPA/2005/getdoc.cgi_dbname=108_cong_public_laws&docid=f_
　　publ287.108.pdf

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(h)　Public Law 108-375, 10 U.S.C. Section 2222, Ronald W. Reagan National Defense
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　　Responsibilities for Chief Information Officers,"
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(j)　Public Law, 40 U.S.C., Section 11302. "Capital Planning and Investment Control,"
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(l)　The President's E-Gov Initiative, http://www.whitehouse.gov/omb/egov/

(m)　The Privacy Act of 1974, http://www.usdoj.gov/foia/privstat.htm

(n)　Public Law 104-13, Paperwork Reduction Act,
　　http://www.ha.osd.mil/dbt/webresources/public_law_108-375_fy05_ndaa_(section_332_only)_
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　　Architecture, Accountability, and Modernization),
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Investment Review

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(b)   DoD Business Enterprise Architecture: Compliance Guidance, BEA 7.0
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(e)   Department of Defense Instruction 5000.02, December 8, 2008
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(f)   DoD 6025.18-R, "DoD Health Information Privacy Regulation", January 24, 2003,
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(k)   Human Resources Management Business Mission Home Page
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(l)   Under Secretary of Defense (Acquisition, Technology and Logistics)
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(n)   Office of the Under Secretary of Personnel and Readiness, "Human Resource Management
http://prhome.defense.gov/

(o)   Office of the Under Secretary of the Defense (Comptroller) Chief Financial Officer
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(p)   Investment Review Board Guidance, January 2009

(q)   DoDI 8510.01, "DoD Information Assurance Certification and Accreditation Process (DIACAP)," November 28, 2007

Overarching Guidance

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(b)   Business Transformation Agency, "Enterprise Transition Plan," FY2010
        http://www.bta.mil/products/etp.html

(c)   Chairman of the Joint Chiefs of Staff Instruction 6212.01E
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(e)   "Chairman of the Joint Chiefs of Staff Instruction 3170.01G, "Operation of the Joint Capabilities
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(h)   DoD Directive 5400.11, "DoD Privacy Program", November 16, 2004,
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(k)   OMB Memorandum (M 03-22), "Guidance for Implementing the Privacy Provisions of the E-
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(l)   OMB Memorandum (M-04-04), "E-Authentication Guidance for Federal Agencies," December
        16, 2003, http://www.whitehouse.gov/OMB/memoranda/fy04/m04-04.pdf

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APPENDIX C – KEY DEFINITIONS AND ACRONYMS

The terms and definitions (Table 6) below have been taken directly from the BTA's *DoD IRB CONOPS* (July 12, 2006) and the Defense Acquisition University (DAU) Glossary.

Table 6. Key Acronyms and Definitions

Term	Definition
ACAT IA	Programs which are Major Automated Information Systems (MAIS) designated by ASD (NII). The Milestone Decision Authority is the DoD CIO.
Business Capability	The ability to execute a specific course of action. It can be a single business enabler or a combination of business enablers (e.g. business processes, policies, people, tools or systems, information) that assists an organization in delivering value to its customer.
Business Enterprise Architecture	The BEA is a blueprint to guide and constrain investments in DoD organization, operations, and systems as they relate to or impact business operations. It will provide the basis for the planning, development, and implementation of business management systems that comply with Federal mandates and requirements, and will produce accurate, reliable, timely, and compliant information for DoD staff. PSAs will define the level of specificity for their Core Business Mission Areas (CBMA). In some cases, the BEA will include separately maintained CBMA-specific architecture and requirements.
Business Mission Area	A defined area of responsibility within DoD with function and processes that contribute to mission accomplishment.
Business System	An accessible information system, other than a national security system, operated by, for, or on behalf of the Department of Defense, including financial systems, mixed systems, financial data feeder systems, and information technology and information assurance infrastructure, used to support business activities, such as acquisition, financial management, logistics, strategic planning and budgeting, installations and environment, and human resource management. (10 U. S. C 2222 (j) (2)) In addition the DODD 8500.1 further defines a system as a "set of information resources organized for the collection, storage, processing, maintenance, use, sharing, dissemination, disposition, display, or transmission of information."
CA Interest	Specific systems or systems supporting specific lines of business that are identified by a CA as being of interest. There is no dollar threshold.
Capability	The ability to execute a specified course of action. It is defined by an operational user and expressed in broad terms in the format of an Initial Capabilities Document (ICD), or a Doctrine, Organization, Training, Materiel, Personnel, and Facilities (DOTMLPF) change recommendation.
Component	DoD Components are defined to be the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the combatant commands, the Office of the Inspector General of the Department of Defense, the Defense agencies, the DoD field activities, and all other organizational and operational entities within the DoD.
Core Business Mission Area (CBMA)	A defined area of responsibility with functions and processes that contribute to mission accomplishment.

Term	Definition
Core System	An existing system, a system in development, or a system beginning the acquisition process that is/will become the Department's solution for a given capability(ies), as designated by the PSA.
Defense Business Systems Management Committee (DBSMC)	The Defense Business Systems Management Committee (DBSMC) was chartered by the DoD in February 2005 to oversee transformation in the Business Mission Area (BMA) and ensure that the needs and priorities of the warfighter are met. The DBSMC is the senior-most governing body overseeing Business Mission Area transformation. The DBSMC convenes every month under the personal direction of the Deputy Secretary of Defense. The DBSMC sets business transformation priorities and recommends the policies and procedures required to attain cross-Department, end-to-end inter-operability of DoD business systems and processes. Specifically, the DBSMC reviews and approves all major releases of the Business Enterprise Architecture (BEA) and Enterprise Transition Plan (ETP). The DBSMC also approves business systems investment decisions and continually monitors schedule and milestone completeness, costs and resources, performance metrics, and risks.
Defense Health Program (DHP)	The Assistant Secretary of Defense for Health Affairs, as the principal staff assistant and advisor to the Under Secretary of Defense for Personnel and Readiness (USD(P&R)) and the Secretary and Deputy Secretary of Defense for all DoD health policies, programs, and activities, shall effectively execute the Department's medical mission, which is to provide, and to maintain readiness to provide, medical services and support to members of the Armed Forces during military operations, and to provide medical services and support to members of the Armed Forces, their dependents, and others entitled to DoD medical care.
DoD Enterprise Systems	Systems that have been identified to become the standard across the Department of Defense
Enterprise Architectures	A strategic information asset base, which defines the mission, the information necessary to perform the mission, the technologies necessary to perform the mission, and the transitional processes for implementing new technologies in response to changing mission needs. EA includes a baseline architecture, a target architecture, and a sequencing plan.
Financial Management Core Business Mission	The Financial Management CBM is responsible for providing accurate and reliable financial information in support of the Planning, Programming, Budgeting, and Execution (PPBE) process to ensure adequate financial resources for warfighting mission requirements. It provides accurate financial information to reliably cost: (1) the conduct, output, and performance of DoD operations and missions both in total and in varying levels of organizational, operational, and resource detail; and (2) ongoing, completed, or projected programs in support of warfighting requirements.
Global Information Grid	The globally interconnected, end-to-end set of information capabilities, associated processes, and personnel for collecting, processing, storing, disseminating and managing information on demand to warfighters, policy makers, and support personnel.
Human Resources Management	The Human Resources Management CBM is responsible for all Human Resources-related processes necessary to acquire, train, support and prepare personnel to populate warfighter and support organizations. This includes providing trained, healthy, and ready personnel to combatant and combat support organizations and ensuring timely and accurate access to all applicable

Term	Definition
	compensation and benefits for all DoD personnel.
Information Assurance	Measures that protect and defend information and information systems by ensuring their availability, integrity, authentication, confidentiality, and non-repudiation. This includes providing for restoration of information systems by incorporating protection, detection, and reaction capabilities.
Information Technology	Any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by an executive agency (DoD). For purposes of the preceding sentence, equipment is used by an executive agency (DoD) or if the equipment is used directly by the DoD or is used by a contractor under a contract with the executive agency (DoD) which 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 "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. The term "information technology" does not include any equipment that is acquired by a Federal contractor incidental to a Federal contract.
Information Technology Portfolio	A grouping of the IT capabilities, IT systems, IT services, and IT system support services (e.g. IT required to support and maintain systems), management, and related investments required to accomplish a specific functional goal. Decisions to make, modify, or terminate IT investments shall be based on the Global Information Grid (GIG) integrated architecture, mission area goals, risk tolerance levels, potential returns, outcome goals, and performance.

Information Technology System	Set of information resources organized for the collection, storage, processing, maintenance, use, sharing, dissemination, disposition, display, or transmission of information. Any Acquisition Category (ACAT) system that meets these criteria, anything categorized as a National Security System (NSS) or a Mission Assurance Category (MAC) level is, by definition, considered to be an IT system. Other types of IT systems include:
	
	• DoD-wide, Joint systems
	• Federal System used by DoD or supported by DoD
	• DoD System used as a Federal System
	• Multi- System
	• Standard System
	• Major Command Standard System (Echelon 2 or equivalent for Navy and Marine Corps)
	• Below Major Command System (below Echelon 2 or equivalent for Navy and Marine Corps) (e.g., bridges, uniques used at a single site)
	• Data Stores/Data Warehouses
	• Enclaves
	   • Portals (Enterprise)
	   • Automated Information System (AIS) Application

Interim System	An existing system or system in development, as designated by the PSA that supports the Department for a given capability during a limited period of time. An interim system may have the potential to become part of the core solution.

Term	Definition
Legacy System	An existing system that is designated for closure when the capability is absorbed by an interim or core system or if the capability is no longer required.

Major Automated Information System (MAIS)	(a) MAIS programs are:
	1. Designated by the Office of the Secretary of Defense (OSD) Networks and Information Integration (NII) as a MAIS; or
	2. Estimated to exceed:
	    a. $32 million in FY 2000 constant dollars for all expenditures, for all increments, regardless of the appropriation or fund source, directly related to the AIS definition, design, development, and deployment, and incurred in any single fiscal year; or
	    b. $126 million in FY 2000 constant dollars for all expenditures, for all increments, regardless of the appropriation or fund source, directly related to the AIS definition, design, development, and deployment, and incurred from the beginning of the Materiel Solution Analysis Phase through deployment at all sites; or
	    c. $378 million in FY 2000 constant dollars for all expenditures, for all increments, regardless of the appropriation or fund source, directly related to the AIS definition, design, development, deployment, operations and maintenance, and incurred from the beginning of the Materiel Solution Analysis Phase through sustainment for the estimated useful life of the system.
	3. MDA designation as Special Interest

Major Defense Acquisition Program (MDAP)	A Department of Defense acquisition program that is not a highly sensitive classified program (as determined by the SECDEF) and that is designated by the SECDEF as a major acquisition program or that is estimated by the SECDEF to require an eventual total expenditure for research, development, test, and evaluation of more than $300M (Based on fiscal year 1990 constant dollars) or an eventual total expenditure for procurement of more than $1.8B based on fiscal year 1990 constant dollars).
Materiel Supply & Service Management Core Business Mission	The Materiel Supply & Service Management CBM manages supply chains for the provision of materiel supply and services to maintain readiness of non-deployed Warfighters and for deployed Warfighters to support operations at required OPTEMPO levels with required responsiveness. This includes all aspects associated with acquiring, storing, and transporting all classes of supply, up to the point where those supplies are provided to operational units and deployed Warfighters.
Milestone Decision Authority (MDA)	Designated individual with overall responsibility for a program. The MDA shall have the authority to approve entry of an acquisition program into the next phase of the acquisition process and shall be accountable for cost, schedule, and performance reporting to higher authority, including congressional reporting.
Modernization	All costs, of any type of funding, incurred to design, develop, implement/deploy and/or functionally enhance/technically upgrade an information technology system. These costs include, but are not limited to, personnel, equipment,

Term	Definition
	software, supplies, contracted services from private sector providers, space occupancy, intra-agency services from within the agency and inter-agency services from other Federal agencies. Does not include sustainment costs. (Sources, OMB A-11, A-130)
National Security System (NSS)	Any telecommunications or information system operated by the U.S. Government, the function, operation, or uses of which (1) involves intelligence activities; (2) involves cryptologic activities related to national security; (3) involves command and control of military forces; (4) involves equipment that is an integral part of a weapon or weapons system; or (5) is critical to the direct fulfillment of military and intelligence missions, but excluding any system that is to be administrative and business applications (including payroll, finance, logistics, and personnel management applications).
Pre-Certification Authority (PCA)	PCAs are required to comply with investment review policies prescribed by the Component and by this guidance. PCAs are responsible for internal Certification and review of system modernization funding requests by PMs, in addition to ensuring that requests are submitted to the IRB with complete, current and accurate documentation and within the prescribed deadlines. System packages should be submitted no later than 30 days prior to an IRB review; the IRBs will publish specific deadlines which correspond to their respective meeting dates.
Portfolio Management	The management of selected groupings of IT investments using integrated architectures, measures of performance, risk management techniques, transition plans, and portfolio investment strategies. In accordance with OBM CPIC guidance the core activities associated with portfolio management are analysis, selection, control, and evaluation.
Real Property & Installations Lifecycle Management Core Business Mission	The Real Property & Installations Lifecycle Management CBM provides installations and facilities to house military forces, store and maintain military equipment and to serve as training and deployment platforms for dispatch of Warfighter units. This CBM capability also provides accountability for real property assets and resources and supports environmental stewardship of assets.
Special Interest Program	A program may be special interest based on one or more of the following factors: technological complexity; Congressional interest; a large commitment of resources; the program is critical to achievement of a capability or set of capabilities; or the program is a joint program. Exhibiting one or more of these characteristics, however, shall not automatically lead to a 'special interest' designation.
Sustainment	The first effort of the Operations and Support (O&S) phase established and defined by DoDI 5000.02. The purpose of the Sustainment effort is to execute the support program to meet operational support performance requirements and sustain the system in the most cost-effective manner over its life cycle. Sustainment includes supply, maintenance, transportation, sustaining engineering, data management, Configuration Management (CM), manpower, personnel, training, habitability, survivability, environment, safety (including explosives safety), occupational health, protection of critical program information, anti-tamper provisions, Information Technology (IT) (including National Security Systems (NSSs)), supportability, and interoperability functions. Sustainment overlaps the Full Rate Production and Deployment (FRP&D) effort of the Production and Deployment (P&D) phase. (DoDI 5000.02) 2. The provision of personnel, training, logistics, and other support required to maintain and prolong operations or combat until successful accomplishment or revision of the mission or of the national objective. (CJCSI 3170.01G)

Term	Definition
System	Any organized assembly of resources and procedures united and regulated by interaction or interdependence to accomplish a set of specific functions (DODAF).
	Sub-system: A distinct element of a system that can stand alone outside of its system environment
	Module: A distinct element of a system that cannot stand alone outside of its system environment.
	Family of Systems: A set or arrangement of independent systems that can be arranged or interconnected in various ways to provide different capabilities. The mix of systems can be tailored to provide desired capabilities dependent on the situation.
	System of Systems: A set or arrangement of independent systems that are related or connected to provide a given capability. The loss of any part of the system will degrade the performance or capabilities of the whole.
Transition Planning	The activities associated with developing the plan and framework for moving from the "As Is" to the "To Be" using strategic plans, Business Capabilities, and architecture information. It incorporates investment management decisions made during the Portfolio Management, PPBE, DAS, and JCIDS processes. It includes the identification of gaps between the "As Is" and the "To Be."
Weapons System Lifecycle Management Core Business Mission	The Weapons System Lifecycle Management CBM is responsible for full lifecycle management, cradle-to-grave, of Defense acquisition of weapons systems and automated information systems to include requirements, technology, development, production, and sustainment."

The following acronym list (Table 7) has been adopted from the *DoD IRB CONOPS*, July 12, 2006.

Table 7. Key Acronyms

Acronym	Term
ACAT	Acquisition Category
ACP	Architecture Compliance Plan
ADA	Anti-Deficiency Act
ADM	Acquisition Decision Memorandum
AIS	Automated Information System
AOA	Analysis of Alternatives
APB	Acquisition Program Baseline
ASD (NII/CIO)	Assistant Secretary of Defense for Networks and Information Integration / CIO
AT&L	Acquisition, Technology and Logistics
ATO	Authority to Operate
AV	All Views
BCR	Benefit to Cost Ratio
BEA	Business Enterprise Architecture
BPR	Business Process Re-engineering
BTA	Business Transformation Agency
CA	Certification Authority
C&A	Certification & Accreditation
CBMA	Core Business Mission Area
CCA	Clinger-Cohen Act
CDD	Capability Development Document
CFO	Chief Financial Officer
CIO	Chief Information Officer
CMO	Chief Management Officer
CONOPS	Concept of Operations
CPD	Capabilities Production Document
CTP	Certified Treasury Professional
DAES	Defense Acquisition Executive Summary
DAS	Defense Acquisition System
DASD	Deputy Assistant Secretary of Defense
DBITC	Defense Business Information Technology Certification
DBSMC	Defense Business Systems Management Committee
DCMO	Deputy Chief Management Office
DEPSECDEF	Deputy Secretary of Defense
DHP	Defense Health Program
DHP SIRT	Defense Health Program Systems Inventory Reporting Tool
DITPR	DoD Information Technology Portfolio Repository

Acronym	Term
DIV	Data Information Viewpoint
DME	Development Modernization Enhancement
DoD	Department of Defense
DoDAF	DoD Architecture Framework
DODD	Department of Defense Directive
ETP	Enterprise Transition Plan
EV	Earned Value
FISMA	Federal Information Security Management Act
FOC	Full Operational Capacity
FM	Financial Management
FY	Fiscal Year
GIG	Global Information Grid
HRM	Human Resources Management
IATO	Interim Authority to Operate
ICD	Initial Capabilities Document
ICP	Investment Certification Package
IR	Investment Review
IRB	Investment Review Board
IM/IT	Information Management/Information Technology
IT	Information Technology
JCIDS	Joint Capabilities Integration Development System
JCS	Joint Chiefs of Staff
MAIS	Major Automated Information System
MDA	Milestone Decision Authority
MDAP	Major Defense Acquisition Program
MHS	Military Health System
MOD/DEV	Modernization/Development
MSSM	Materiel Supply and Service Management
NDAA	National Defense Authorization Act
NPV	Net Present Value
NII	Networks and Information Integration
NSS	National Security System
OCIO	Office of the Chief Information Officer
OMB	Office of Management and Budget
OSD	Office of the Secretary of Defense
OV	Operational Views
PCA	Pre-Certification Authority
PIA	Privacy Impact Assessment
PKI	Public Key Infrastructure

Acronym	Term
PM	Program Manager
POA&M	Plan of Action and Milestones
PSA	Principal Staff Assistant
PfM	Portfolio Management
PII	Personally Identifiable Information
POC	Point of Contact
SECDEF	Secretary of Defense
SME	Subject Matter Expert
SNaP-IT	Select and Native Programming Data Collection System-Information Technology
StdV	Standards Viewpoint
SV	System & Services Views
TV	Technical Views
USC	United States Code
USD (AT&L)	Under Secretary of Defense for Acquisition, Technology and Logistics
USD (P&R)	Under Secretary of Defense for Personnel and Readiness
USD (C)	Under Secretary of Defense (Comptroller)
WSLM	Weapon System Lifecycle Management"