



Administration
& Management

OFFICE OF THE SECRETARY OF DEFENSE

1950 DEFENSE PENTAGON
WASHINGTON, DC 20301-1950

August 20, 1991

ADMINISTRATIVE INSTRUCTION NO. 56

SUBJECT: Automated Information Resource Management (AIRM) in the Office of the Secretary of Defense (OSD) and the Washington Headquarters Services (WHS)

References: (a) Administrative Instruction No. 56, "Computer And Office Automation Resources," June 1, 1983 (hereby canceled)
(b) DoD Directive 5110.4, "Washington Headquarters Services," May 6, 1991
(c) Secretary of Defense Memorandum, "Implementation of Corporate Information Management Principles," November 16, 1990
(d) DoD Directive 7740.1, "DoD Information Resources Management Program," June 20, 1983
(e) through (k), see enclosure 1

1. REISSUANCE AND PURPOSE

This Instruction:

1.1. Reissues reference (a) and, under reference (b), updates policy responsibilities, and procedures for management of AIRM in the OSD and the WHS.

1.2. Provides guidance for AIRM support to the OSD and the WHS.

2. APPLICABILITY AND SCOPE

This Instruction:

2.1. Applies to the OSD and the WHS (hereafter referred to collectively as "the OSD Components").

2.2. Governs the planning, budgeting, life-cycle management (LCM), review, and approval of AIRM programs, projects, and other activities.

2.3. Governs the design, development, implementation, and operation of the OSD AIRM Program and the administration of the OSD AIRM planning and budget processes. Included are new Automated Information Systems (AISs) or the modernization of existing AISs and other information technology resources, services, and associated support. The OSD AIRM resources that are used exclusively for cryptologic activities are exempted from this Instruction.

3. DEFINITIONS

Terms used in this Instruction are defined in enclosure 2.

4. POLICY

4.1. This Instruction interprets and adapts DoD Directives and Instructions that impact on the administration and management of AIRM resources in the OSD.

4.2. It is OSD policy to:

4.2.1. Manage allocations and expenditures for AIRM resources to ensure that the benefits derived from expenditures satisfy OSD mission needs in the most efficient and economical manner.

4.2.2. Ensure that standardization, technological interoperability, adequate security safeguards, and the sharing of information resources within the OSD are implemented in accordance with established requirements and the principles of corporate information management.

4.2.3. Ensure that the OSD AIRM Program and the OSD Component AIRM AISs and projects are overseen for adherence to LCM principles and documentation requirements. The degree of oversight should be consistent with the magnitude of the resources involved, and to the special requirements of the OSD.

4.2.4. Ensure readiness, availability, and integrity of AISs and the safeguarding of all OSD Component physical AIRM assets.

5. RESPONSIBILITIES

5.1. The Assistant Secretary of Defense for Command, Control, Communications, and Intelligence shall:

5.1.1. Provide appropriate policies and standards for directing the administration and management of the OSD AIRM Program, as specified by the Secretary of Defense Memorandum (reference (c)).

5.1.2. Adjudicate, when required, any policy or technical issues concerning the execution of the AIRM function within the OSD Components.

5.1.3. Establish and approve AISs architectures.

5.1.4. Ensure suitable automated information technology is used to support the information activities of the OSD Components by:

5.1.4.1. Assessing new and evolving office automation technologies for potential application within the OSD and ensure that where appropriate these technologies are made available to satisfy the information system support requirements of the OSD Components.

5.1.4.2. Managing those aspects of the operation of the OSD backbone network and other telecommunications services that are not delegated to individual OSD Components.

5.1.4.3. Reviewing OSD AIRM plans, to ensure that they are in consonance with DoD policy and approved Command, Control, Communications, and Intelligence (C3I) architectures and standards, or show a logical migration to those architectures and standards.

5.2. The Office of the Secretary of Defense Component Principal Staff Assistants shall:

5.2.1. Be fully responsible for the cost-effective LCM and administration of their AIRM programs to include planning, requirements analysis, development, acquisition, implementation, operation, maintenance, and disposal, in accordance with established AIRM policies and standards (references (d) through (h)).

5.2.2. Establish and maintain AIRM plans that identify the processes for acquiring, operating, managing, and using information technology; meet program and mission needs; reflect budget constraints; and form the basis for AIRM budget requests. These plans should address all resource requirements to include United States Air Force (USAF) 7th Communications Group (7CG) manning, central site system utilization projections, AIS projects and other support requirements.

5.2.3. Ensure that their OSD Component AIRM plans are in consonance with DoD policy and approved C3I architectures and standards. Plans that include requirements that are not in consonance with the approved architectures or standards must show the logical migration to those architectures or standards.

5.2.4. Perform requirements analyses to establish overall Component AIRM requirements and for significant dollar value AIS projects. Depending on the size and complexity of the requirement, the requirements analysis should include statements of mission requirements, descriptions of possible alternatives to meet the requirements, evaluation criteria, alternative analyses and recommendations.

5.2.5. Justify AISs based on business case analyses of their requirements.

5.2.6. Ensure that their OSD Component AIS architecture meets the approved OSD AIS architecture and policies for technological interoperability, standardization, and information sharing.

5.2.7. Approve and submit requests for AIRM equipment, software, support, and services to the WHS, Directorate for Information Operations and Reports (DIOR), for processing.

5.2.8. Ensure that adequate security safeguards are implemented to protect information and automated information resources in accordance with Administrative Instruction No. 26 (reference (i)) and that all requests for AIRM equipment, software, and services are coordinated with the Security Review Coordinator.

5.2.9. Perform periodic assessments of their AIRM programs to ensure compliance with existing policy and to evaluate areas for improvement.

5.2.10. Ensure that appropriate and adequate internal controls, as prescribed in DoD Directive 5010.38 (reference (j)), are in place for the overall management of their OSD Component AIRM program.

5.2.11. Designate and identify a point of contact (POC) within their Component to coordinate AIRM activities with the WHS, DIOR.

5.3. The Director, Washington Headquarters Services, shall:

5.3.1. Manage the AIRM program for the OSD, the WHS, and other assigned DoD activities.

5.3.2. Develop AIRM information management strategies and programs.

5.3.3. Assist the OSD Components in developing program proposals, plans, and budgets for AISs and in acquiring AIRM resources, support, and services.

5.3.4. Provide, or arrange for, AIRM technical assistance and maintenance support.

5.3.5. Approve the OSD AIRM Plan in consultation with the ASD(C3I).

5.4. The Director, Information Operations and Reports, Washington Headquarters Services, shall:

5.4.1. Issue and disseminate within the OSD planning guidance and a calendar of events required for AIRM processing during the year.

5.4.2. In coordination with the OSD Components, develop and implement procedures for preparing and coordinating an OSD-wide AIRM plan within fiscal constraints and for allocating available resources.

5.4.3. Monitor the expenditures of funds by the OSD Components for automated information resources including AIRM hardware, software, and services, and provide periodic status to the OSD Components.

5.4.4. Review all AIS requirements to ensure that the requirements are in consonance with approved OSD AIRM plans, and to ensure that the minimum DoD standardization, interoperability, security, and information-sharing requirements are met.

5.4.5. Maintain and operate an automated centralized inventory control system that is compatible with the DoD-wide inventory managed by the Defense Automated Resources Information Center (DARIC), and serve as liaison to the DARIC.

5.4.6. Establish centrally managed acquisition, maintenance, service, and support contracts when it is cost-effective or otherwise beneficial to the OSD to consolidate OSD Component requirements.

5.4.7. Arrange and provide for technical assistance and support services for a full range of AIRM program needs.

5.4.8. Work with Defense Supply Service - Washington to ensure that the acquisition process for OSD AIRM resources, services, and support is responsive to OSD AIRM program project schedules, and that the actions are in compliance with all applicable acquisition regulations.

5.4.9. Provide prompt and current status to the OSD Component AIRM POCs on all requests for AIRM hardware, software, support, or services.

5.4.10. Disseminate relevant information to the OSD Component AIRM POCs and resolve AIRM program problems involving more than one Component, as necessary.

5.4.11. Maintain and provide centralized budgeting and funding control by the OSD Components for OSD AIRM resources, services, and support.

5.4.12. Coordinate OSD Component requirements for USAF 7CG personnel and other resources; establish and maintain a Memorandum of Agreement between the OSD and the Headquarters, USAF, to ensure effective use of those resources.

5.4.13. Provide guidance and support for the redistribution or disposition of OSD AIRM surplus equipment.

5.4.14. Establish and maintain an OSD AIRM Plan that incorporates the individual OSD Component AIRM plans, including the requirements for USAF 7CG support.

5.4.15. Coordinate with the OSD Records Administrator to ensure that records management considerations are included in the requirements analysis and resource planning phases of automation systems procurement.

5.5. The Director for Budget and Finance, Washington Headquarters Services, shall:

5.5.1. Exercise funding control and monitor budget execution for the OSD AIRM programs.

5.5.2. Issue and disseminate within the OSD, budget and fiscal guidance for the OSD AIRM program.

5.6. The Director for Real Estate and Facilities, Washington Headquarters Services, shall:

5.6.1. Review all OSD Component requests for AIRM equipment, software, and services, including those requiring 7CG support, to ensure that adequate security safeguards are implemented in accordance with Administrative Instruction No. 26 (reference (i)).

5.6.2. Designate, in writing to the DIOR, personnel authorized to perform the duties of the Security Review Coordinator.

5.6.3. Provide security assistance and serve as the designated approving authority (DAA) for all OSD classified systems in accordance with reference (i).

5.6.4. Perform facilities review to include space, safety, air-conditioning, electrical, and related requirements as warranted by the particular Component request.

5.7. The designated OSD Component AIRM Points of Contact shall:

5.7.1. Coordinate on all AIRM resources, system, support, and service requests to be approved by their respective OSD Component Head, or designee.

5.7.2. Compile appropriate AIRM budget and resources data for their OSD Component.

5.7.3. Track OSD Component AIRM obligations to ensure that allocated budgets are not exceeded.

5.7.4. Coordinate their OSD Component AIRM planning as may be required by the OSD Component or the DIOR.

5.7.5. Review their non-maintenance OSD Component AIRM procurement requests for standardization, interoperability, and information sharing requirements.

5.7.6. Report all acquired and excessed AIRM resources to the DIOR for inclusion in the central inventory system.

6. PROCEDURES

6.1. Requests for AIRM equipment, software, support, and services shall be submitted on SD Form 562, "OSD Request for Services," and SD Form 562-1, "OSD Request for Services (Continuation)," and shall be approved by the OSD Component Principal Staff Assistant, or designee.

6.2. AIRM budget documentation shall be submitted in accordance with the budget guidance promulgated by the Director for Budget and Finance, WHS, in coordination with the DIOR.

6.3. AIRM equipment inventory transactions shall be submitted in accordance with the centralized inventory system operating instructions promulgated by the DIOR.

6.4. Requests for AIRM equipment moves shall be in accordance with the procedures established by the DIOR.

6.5. AIRM bulk fund maintenance requests shall be submitted, in accordance with the procedures established by the DIOR.

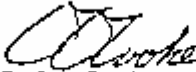
6.6. All other requests for centrally managed AIRM resources, support, or services shall be submitted in accordance with procedures established by the DIOR.

7. INFORMATION REQUIREMENTS

OSD offices shall take the necessary action to acquire Report Control Symbols in accordance with DoD 7750.5-M (reference (k)) when requiring information from subordinate organizations.

8. EFFECTIVE DATE

This Instruction is effective immediately.


D.O. Cooke, Director
Administration and Management

Enclosures - 2

- E1. References, continued
- E2. Definitions

E1. ENCLOSURE 1

REFERENCES, continued

- (e) DoD Directive 7740.2, "Automated Information System (AIS) Strategic Planning," July 29, 1987
- (f) DoD Directive 7920.1, "Life-Cycle Management of Automated Information Systems (AISs)," June 20, 1988
- (g) DoD Instruction 7920.2, "Automated Information System (AIS) Life-Cycle Management Review and Milestone Approval Procedure," March 7, 1990
- (h) DoD Instruction 7920.5, "Management of End User Computing (EUC)," March 1, 1989
- (i) Administrative Instruction No. 26, "Information Security Supplement to DoD 5200.1-R," April 1, 1987
- (j) DoD Directive 5010.38, "Internal Management Control Program," April 14, 1987
- (k)v DoD 7750.5-M, "DoD Procedures for Management of Information Requirements," November 1986

E2. ENCLOSURE 2

DEFINITIONS

E2.1.1. Automated Information Resource Management (AIRM). The management of information, computer and telecommunication resources and other information technology, and personnel resources that collect, record, process, store, communicate, retrieve, and display information in AISs.

E2.1.2. Automated Information Resource Management (AIRM) Project. A task undertaken in support of an AIS or an AIRM goal or objective.

E2.1.3. Automated Information System (AIS). A collection of functional user and automated data processing personnel, procedures, and equipment (including automated data processing equipment that is designed, built, operated, and maintained to collect, record, process, store, retrieve, and display information.

E2.1.4. Business Case Analysis. A comprehensive assessment of economic factors applied to decisions involving proposed and existing business methods, or current and proposed information technology.

E2.1.5. Designated Approving Authority (DAA). The official who has the authority to decide on accepting the security safeguards prescribed for an AIS or the official who may be responsible for issuing an accreditation statement that records the decision to accept those safeguards. The DAA must be at an organizational level that has the authority to evaluate the overall mission requirements of the AIS, and to provide definitive directions to AIS developers or owners relative to the risk in the security posture of the AIS.

E2.1.6. Information Resources Management (IRM). The policy, action, or procedure on information (both automated and non-automated) that management establishes to serve the overall current and future information needs of the organization. IRM policy and procedures address such areas as availability, timeliness, accuracy, integrity, privacy, security, auditability, ownership, use, and cost-effectiveness of information.

E2.1.7. Life-Cycle Management (LCM). A control process applied to expenditures on new AISs and to expenditures on the modernization of existing AISs. It bases all expenditures on the total anticipated benefits that will be derived over the life of a new AIS or that will be derived over the life of an AIS modernization program.

E2.1.8. Life-Cycle Costs. Total program costs necessary for the acquisition of an AIS, including operations and maintenance funds for expenditures directly related to AIS concept development, design, and deployment. Program costs are further defined in DoD Instruction 7920.2 (reference (g)).

E2.1.9. Life-Cycle Management (LCM) Documentation. The detailed description of key AIS life-cycle activities and associated documentation that covers the mission need statement, functional requirements, alternative functional and technical approaches, the target system capabilities, the development and acquisition strategy, the project schedule and associated milestones, approved and available resources, interoperability and standards issues, and the management resources to be applied within the implementing organization. Key AIS LCM terminology is in DoD Directive 7920.1 (reference (f)) and DoD Instruction 7920.2 (reference (g)).

E2.1.10. Office of the Secretary of Defense (OSD) Backbone Network. The network that provides connectivity among the various OSD and some DoD Component AISs and networks. The OSD Backbone Network is comprised of the networking hardware, software, and cabling.

E2.1.11. Office of the Secretary of Defense (OSD) Component Principal Staff Assistants

E2.1.11.1. Executive Secretariat for the Secretary of Defense's offices.

E2.1.11.2. Under Secretary of Defense for Policy.

E2.1.11.3. Under Secretary of Defense (Acquisition).

E2.1.11.4. Comptroller of the Department of Defense.

E2.1.11.5. Assistant Secretary of Defense for Command, Control, Communications, and Intelligence.

E2.1.11.6. DoD Coordinator for Drug Enforcement Policy and Support.

E2.1.11.7. Assistant Secretary of Defense (Force Management and Personnel).

E2.1.11.8. Assistant Secretary of Defense (Legislative Affairs).

E2.1.11.9. Assistant Secretary of Defense (Health Affairs).

E2.1.11.10. Assistant Secretary of Defense (Public Affairs).

E2.1.11.11. Assistant Secretary of Defense (Reserve Affairs).

E2.1.11.12. Assistant Secretary of Defense (Program Analysis and Evaluation).

E2.1.11.13. General Counsel of the Department of Defense.

E2.1.11.14. Director of Operational Test and Evaluation.

E2.1.11.15. Assistant to the Secretary of Defense (Intelligence Oversight).

E2.1.11.16. Assistant to the Secretary of Defense (Intelligence Policy).

E2.1.11.17. Director of Administration and Management, Office of the Secretary of Defense, and the Director, Washington Headquarters Services.