



Office of the
**DEPUTY CHIEF
MANAGEMENT OFFICER**

Guidance for Review and Certification of Defense Business Systems

Version 3.4

February 2015

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1. Introduction

1.1 Background

In order to improve the Department's oversight of the capital planning and investment control process key requirements of Public Law 110-181, Section 904 (2008 National Defense Authorization Act) were enacted that require:

- 1) Procedures to review and approve plans and budgets for changes in business operations, including any changes to policies, procedures, processes, and systems, to ensure the compatibility of such plans and budgets with the Strategic Management Plan (SMP).
- 2) Procedures to oversee the development, review and approval of all budget requests for defense business systems.

In addition, section 901 of the Fiscal Year (FY) 2012 National Defense Authorization Act (NDAA), now codified at title 10 U.S.C. section 2222 and enclosed as Appendix A, directed significant changes to the requirements for review and certification of Defense Business Systems (DBSs) before funds, whether appropriated or non-appropriated, can be obligated. The updated law requires the certification of all covered DBS programs regardless of fund source for acquisition, modernization, or sustainment that are expected to have total costs greater than \$1 million over the period of the current Future Years Defense Program (FYDP). It also emphasizes Business Process Reengineering (BPR), strengthens the integration of the Business Enterprise Architecture (BEA) and the Enterprise Transition Plan (ETP), requires each DBS program to be addressed in the budget, and defines governance roles and responsibilities within the investment management process. As required by title 10 U.S.C. section 2222, the investment management process exists to review and certify the planning, design, development, deployment, operation, maintenance, modernization, and project cost benefits and risks of covered DBS programs.

The Department of Defense (DoD) implemented a set of processes to manage a well-defined Information Technology (IT) investment portfolio for the DoD Business Mission Area (BMA) and all DBS. The investment management process works in conjunction with the Planning, Programming, Budgeting, and Execution (PPBE) process described in DoD Directive 7045.14. Beginning with governance, the Department's Deputy Chief Management Officer (DCMO) established the Defense Business Council (DBC) as the principal subsidiary governance body to the Deputy's Management Action Group (DMAG) for defense business operations. The DBC also assumes the role of the Department's Investment Review Board (IRB) for DBSs. For the purposes of this document, the IRB/DBC will be referred to as the DBC.

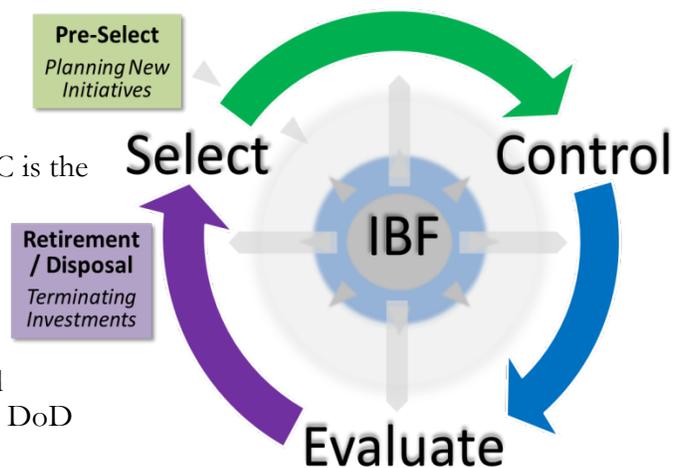
In FY 2014, the Department further restructured the Defense Business Council (DBC) to implement the Secretary's management agenda. The DBC is now co-chaired by the Office of the Secretary of Defense Deputy Chief Management Officer (DCMO) and the Department of Defense Chief Information Officer. In addition, the DCMO focused analysis for portfolio reviews on the organizations outside of the Military Departments thus reinforcing the Military Departments CMO role within their respective organization. This focus will continue for the FY 2015 investment review process cycle as well.

1.2 Purpose and Summary of Major Changes

This guidance supersedes the previous Defense Business Systems Investment Management Guidance, from April 2014. Version 3.3 includes out of cycle process changes in addition to minor changes required by the 2015 NDAA. This guidance directly supports the PPBE process, the annual resource allocation process for DoD within a quadrennial planning cycle, by focusing on the strategy, goals and planned spending for business operations, to include DBS, for the Department's Business Mission Area. This guidance is intended for DBSs investment management process stakeholders, including Principal Staff Assistants (PSAs), Pre-Certification Authorities (PCAs), and Program Managers (PMs). The guidance builds upon lessons learned from previous Investment Review cycles and includes provisions for continuing to capture the cost of defense business operations. Major version 3.3 changes include:

- Eliminate Defense Business System Management Committee references
- Remove references to business systems used within Military exchange systems funded by Non-appropriated funds (NAF)
- Integrate portfolio management role of a chartered 4th Estate Working Group

This guidance will continue to be revised as the DBC matures the Department's implementation of Capital Planning and Investment Control (CPIC) in the phases of selection, control, and evaluation of DBS. CPIC is the federally mandated decision-making process for ensuring IT investments integrate strategic planning, budgeting, procurement, and the management of IT in support of mission and business needs. The CPIC process integrates the planning, acquisition and management of IT capital investments into the DoD program and budget decision-making process.



1.3 Scope

This guidance applies to all DoD organizations and affects the planning, budgeting, and obligation of funds for DBSs that have a planned total cost in excess of \$1 million over the period of the current FYDP. All DBSs covered by title 10 U.S.C. section 2222 that intend to obligate funds in FY 2016 will be reviewed using this process. Failure to comply with the certification requirements of title 10 U.S.C. section 2222 may result in a violation of title 31 U.S.C. section 1341(a)(1)(A), the Antideficiency Act.

1.4 Integrated Business Framework Overview

For FY 2016 OEP development, the Integrated Business Framework provides the overarching structure used to govern and manage the Department's business operations from the creation of aligned business strategies and investment plans, to the measurement of outcomes. The framework is also designed to facilitate a cross-functional, enterprise-wide view for the governance of portfolios of DBSs investments over the FYDP for review and certification. As illustrated in Figure 1, the Strategic Management Plan (SMP) is depicted as an enterprise plan for improving DoD's business operations. The Department is currently transitioning toward incorporating the business strategy into an Agency Strategic Plan (ASP) that will provide a more comprehensive plan and measures.

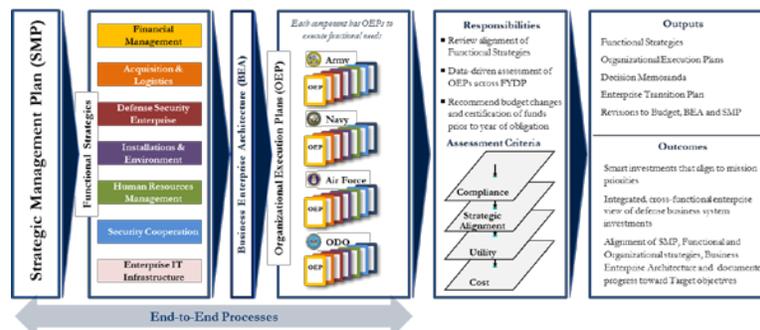


Figure 1 – Integrated Business Framework

Functional Strategies developed by the business line owners, i.e. the PSAs, are an important element within the investment management process because they establish strategic direction for planning, programming, budgeting, and execution activity that reflects the business planning associated with business operations and the IT portfolios that support them. The strategies articulate business outcomes, priorities, measures, and standards and are periodically refined by PSAs. OEPs specify the organization's FYDP budget request and are developed by each organization to articulate their approach to align with the Functional Strategies. The Functional Strategies are also used to inform the BEA, as well as the Components' business strategies and technology portfolios. The objective is to enable end-to-end integration, improve business operations and leverage the appropriate technology to deliver agile, effective, and efficient business solutions that support and enable the Warfighter. Together the Functional Strategies combine within the business framework as an Integrated Business Strategy for the Department that will continue to mature.

The CPIC process for selecting, controlling, and evaluating IT investments is primarily implemented at the Component/PCA level in conjunction with approval from the PSA for any changes to the portfolio. DoD PCAs develop their OEPs based on investments for business functions and activities in both Core (part of the target environment) and Legacy (scheduled for termination within 36 months) systems and services. OEPs are evaluated for alignment with applicable Functional Strategies and assessed from multiple perspectives such as strategic alignment, performance, risk, affordability, business value / return on investment (ROI), cost, architecture alignment, interoperability, efficiency, and effectiveness. The DBC and PCAs establish selection and control criteria for the management of the portfolio to achieve the outcomes and performance required. Review criterion ensures that IT projects and systems support the organization's ongoing and future business needs. The DBC evaluates OEPs to ensure compatibility with the ASP's Functional Strategies and provides certification adjustments where necessary. The DBC may also submit issues

into the PPBE process where required. OEPs should demonstrate progress in portfolio performance to optimize portfolio cost, and ensure investment contributes to a lower total cost of business operations and/or deliver required capabilities to the Warfighter.

The DBC reviews portfolios of DBSs and recommends adjustments to budget requests and certification determinations for DBS not aligned to Functional Strategies or the target environment. The review and certification of a DBS removes a statutory condition that restricts fund obligation for a covered DBS program. The Department will continue to use the Integrated Business Framework to improve the Capital Planning and Investment Control required by title 40 U.S.C. section 11312.

2. Investment Management Process

The investment management process as part of an integrated business management process, illustrated in Figure 2, begins with the documentation of aligned Functional Strategies within an ASP (*future-state*) by the appropriate DoD PSAs. DoD Components then use these business strategies and priorities to develop their OEPs. The Integrated Business Strategy will serve as additional guidance to the PCAs for their budgets in DoD business mission area. The Functional Strategies may include evaluation criteria that the PSA will use to evaluate budget and certification requests proposed by the PCA. The PSA may also identify DBS that should be considered by the PCA for retirement based on misalignment to DoD business goals, costs, duplication or other factors.

The OEPs will be representative of the organization’s DBS budget request and must demonstrate the Components’ efforts to align system investments with outcomes and Functional Strategies to drive value in the DoD’s business IT investment portfolio. As the plan matures, OEPs will represent more than the DBS IT resources to become the organization’s Integrated Business Plan for resources to achieve the outcomes and goals articulated in the Department’s business plan. OEPs shall also identify the PCA’s business goals. The DBC will review each OEP, which will become the basis for the Enterprise Transition Plan, and make recommendations to the chair regarding certification. Additionally, the DBC may propose Resource Management Decisions and /or issues, where appropriate, to the Director, Cost Analysis and Program Evaluation (D,CAPE) and the Under Secretary of Defense, Comptroller, for proposed DBS budgeted funds which are not aligned to Functional Strategies.

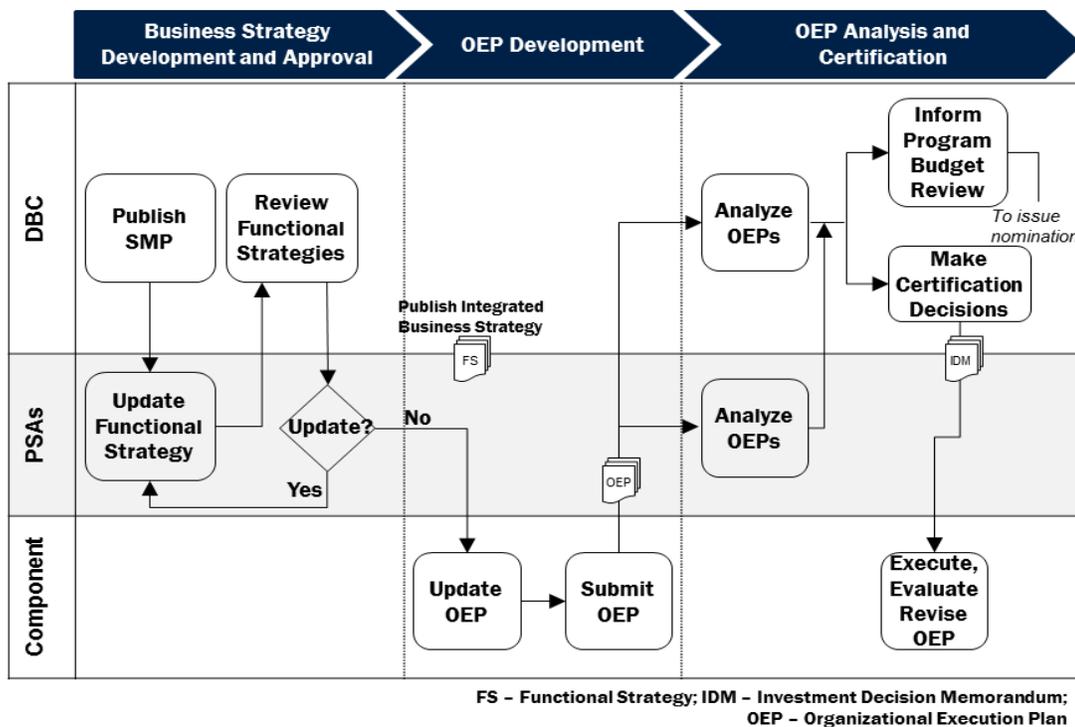
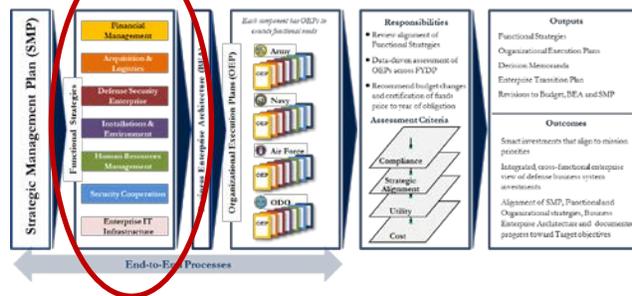


Figure 2 – Integrated Business Management Process Overview

2.1 Functional Strategies



Integral to the Integrated Business Framework, Functional Strategies represent a crucial component of the strategic planning process for the BMA. The Functional Strategies articulate each functional area’s strategic vision, business outcomes, and measurable targets over the next three to five years. Functional Strategy will be used to provide guidance and prioritize

the activities of DoD components as they propose how they will deliver the DoD’s business priorities and assemble system investments into portfolios, now known as OEPs. In addition to providing linkage to the OEPs, the Functional Strategies should be aligned across in order to ensure integration, alignment, and interoperability across the Department. Functional Strategies provide direction used to inform IT investment decisions now and in the future. Additionally Functional Strategies affect the re-selection of investments, via funds certification, in the portfolio just prior to the fiscal year of execution.

Functional Strategy Business Areas

Functional Strategies are developed by the appropriate PSA for business areas and captured within an on-line tool provided by the Office of the Deputy Chief Management Officer (ODCMO). The on-line tool enables the DBC and PCAs to make informed investment decisions based on data. An “other” business area is included to address DBSs that do not map to one of the existing areas or are not specifically listed in title 10 U.S.C. section 2222(j)(1). The business area “other” does not have a Functional Strategy, but one or more may be developed as the business alignment process continues to evolve. These categories may result in additional content within the BEA to address these functions, activities, or capabilities. The Military Departments shall subdivide their OEP portfolio into separate chapters for Acquisition and Logistics even if the Functional Strategies are combined.

- Financial Management (Under Secretary of Defense (USD) Comptroller)
- Acquisition and Logistics (USD Acquisition, Technology and Logistics (AT&L))
- Defense Security Enterprise (USD Intelligence)
- Installations and Environment (USD AT&L)
- Human Resources Management (USD Personnel and Readiness)
 - “Health” is available as a subgroup for HR functional alignment of DBS but remains within the HRM functional area with regard to strategy.
- Security Cooperation (USD Policy)
- Enterprise IT Infrastructure (DoD Chief Information Officer (CIO))
- Other

The Enterprise IT Infrastructure Strategy differs from the other Functional Strategies, in that it applies to all DoD IT systems, including DBS. The business outcomes, standards, measures, and planned initiatives specified in this Functional Strategy must be adhered to by all DBS from all

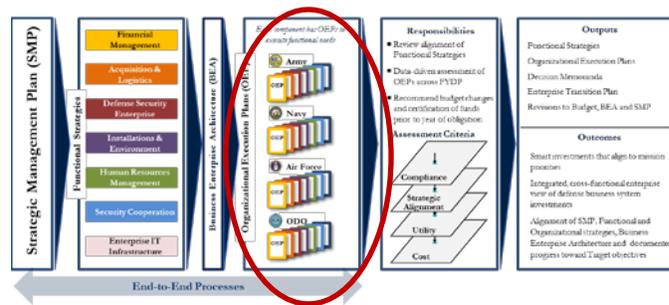
functional areas within the BMA. Any single business system is expected to be affected by multiple Functional Strategies. By their nature, the IT supporting the business processes of the department are integrating and Functional Strategies are applicable to the portion of the activity supported by the system.

Functional Strategy Elements

Below are the required sections for each Functional Strategy that will be captured in an on-line tool furnished by the Office of the DCMO. Data captured in the on-line tool will be used to generate a Functional Strategy briefing that may be presented to the DBC.

- **Functional Overview:** The overview summarizes and describes the future functional environment and defines the target environment and processes at a high level.
- **Functional Strategy Business Outcomes:** Each Functional Strategy business outcome should demonstrate a clear linkage to SMP goals, SMP initiatives, and SMP outcomes. All applicable SMP line items should also be addressed. This section of the Functional Strategy defines business outcomes that are critical to the achieving DoD business goals. The business outcomes must include measurable targets, risks and challenges. OEPs submitted by organizations align to the business objectives and must measure their progress toward achieving the business goals.
- **Functional Strategic Initiatives:** Each Functional Strategy should demonstrate a clear linkage between the Functional Strategy business outcomes to the Operational Activities and applicable Laws, Regulations and Policies in the BEA. This section of the Functional Strategy defines initiatives deemed critical to the achievement of one or more business outcomes. The Functional Strategy initiatives must demonstrate measurable targets, risk and challenges (e.g. interdependencies) and assess progress toward accomplishment of business outcomes. If compliance with a standard or the use of an enterprise system is required, then these should be stated as part of an initiative. The OEPs submitted by organizations subsequently align to these strategic initiatives and support metric progress.
- **Prior Year Business Outcome and Initiative Progress:** This section documents progress toward business outcomes identified in prior Functional Strategy's performance results in addition to percentage completeness relative to the target.

2.2 Organizational Execution Plans



as a result of the control and evaluation phases of CPIC prior to the fiscal year of obligation.

The primary focus of the OEP is for identification and prioritization of investments during the period of the FYDP as aligned with the strategic direction from applicable Functional Strategies. The secondary purpose of the OEP is to highlight changes from the previous plan

OEPs represent the result from an organization's CPIC effort for the identification, selection, control, evaluation and re-selection of its portfolio(s) of covered DBSs investments used to support business operations. The OEP represents the prioritization of DBS IT funding to include capital investments for the FYDP submission in addition to reselection for the investments in the approaching fiscal year prior to execution. The future year budget amounts submitted by the PCA and reviewed by the DBC will form the basis of the budget submission for the portfolio of investments in DBS. OEPs also represent the organization's plan for managing its portfolio of business IT investments in alignment with the Functional Strategies and the SMP.

As illustrated in Figure 3, OEPs must be arranged in a manner that provides the flexibility for an organization to describe and present its investments as determined by the appropriate PCA (see Section 3: Governance). The PCA develops and submits the OEP to the DBC by issuing a Portfolio Certification Request (PCR) using the template provided in Appendix E. In addition to the certification request, the OEP includes a portfolio briefing and validated system data. The briefing can leverage the content and graphics generated by the on-line tool provided by the Office of the DCMO. The tool also includes instructions that conform to the OEP specifications in this section. Information for each covered DBS must be documented within the Department's authoritative data sources prior to the initiation of the DBC reviews on a date that will be established by the IRB chair: DoD Information Technology Portfolio Repository (DITPR); Select and Native Programming Data Input Systems for Information Technology (SNaP-IT); Integrated Business Framework Data Alignment Portal (IBF-DAP); and the DoD Information Technology Investment Portal (DITIP). The mandatory data elements identified in Appendix F and BEA assessment process mentioned in Appendix H must be updated by the date established by the DBC chair to ensure required data elements are accurate and complete. DBSs for which the required data have not been entered will be at risk of not receiving certification and omitted as a resource requirement within the future year budget.

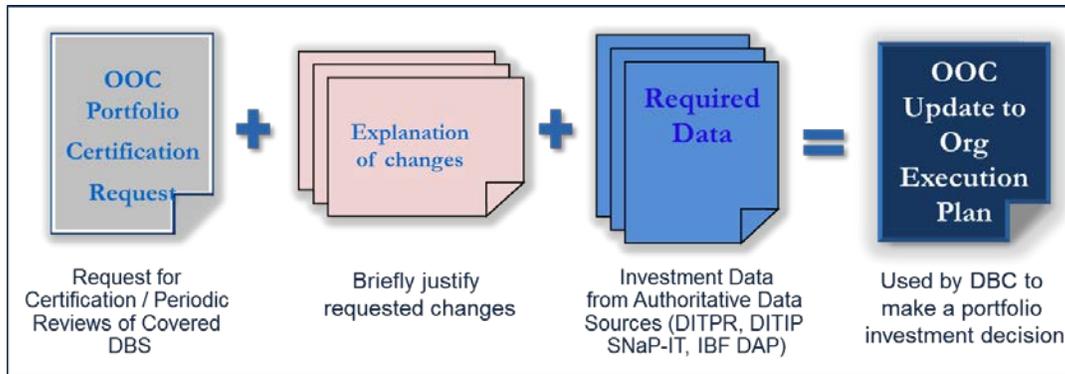


Figure 3 – Organizational Execution Plan Construct

The three elements of the OEP submission are outlined below in more detail.

Portfolio Certification Request

The PCR is the document developed by the PCA that asserts compliance with the goals and initiatives articulated within functional strategies and the requirements of title 10 U.S.C. section 2222. The PCR contains an update to the status of Investment Decision Memorandum (IDM) conditions and actions and any open GAO recommendations for program weaknesses as well as the status of actions to address them. A PCR memorandum template is provided in Appendix E.

When preparing an OEP, the PCA must review their portfolio and determine if each investment is a DBS based on the definition provided in title 10 U.S.C. section 2222(j)(1)¹. Below are factors to be considered by the PCAs when making their determinations. If the answer to any of the questions below is “yes,” then the investment likely meets the intent and therefore falls under the authority of title 10 U.S.C. section 2222.

- Does the IT investment support a business operation, function, or activity which meets the definition of a DBS?
- Does the investment used to support a business operation, function, or activity meet the definition of an information system², as defined in title 44 U.S.C. section 3502?
- Does the IT investment rely on other DBSs for interoperability?
- Does the IT investment rely on a level of adherence to the BEA to effectively guide, constrain, and permit interoperable DBSs solutions or support the governance framework for DBSs?
- Does the IT investment involve inherently managerial functions or provide business functions or capabilities such as strategic planning, case/correspondence/records management, project or program management, or other staff functions performed at a management headquarters level?

Note: DBS certification requests are not limited to systems that reside on the Non-Classified Internet Protocol (IP) Router Network (NIPRNet). A system which has been designated a

¹ Reference Appendix A Section (J)

² Reference Appendix B

National Security System (NSS) solely because it processes classified information or is connected to a classified network should be reassessed to ensure the accuracy of the classification. If the system performs a business function, such as acquisition, financial management, logistics, strategic planning and budgeting, installations and environment, and human resource management then it may be a candidate for certification.

Once the PCA determines the portfolio of investments are covered DBSs, the PCA must determine how the proposed DBS investments:

1. Are in compliance with the Functional Strategies and the BEA;
2. Have undertaken appropriate BPR efforts to ensure that:
 - a. The business process supported by the DBSs are (or will be) as streamlined and efficient as practicable, and
 - b. The need to tailor commercial-off-the-shelf (COTS) systems to meet unique requirements or incorporate unique interfaces has been eliminated or reduced to the maximum extent practical;
3. Are necessary to achieve a critical national security capability or address a critical requirement in an area, such as safety or security; or
4. Are 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.

PCAs must also classify DBS investments as “Core” or “Legacy.” A Core DBS is an enduring business system with a sunset date greater than 36 months from the date of the previous certification. A Legacy DBS is a business system with a sunset date that is less than 36 months from the date of the previous certification and is appropriately reflected in the OEP future year budget data. For Core DBSs, the DoD organization must ensure that the DBS is compliant with all applicable BEA regulations, policy, data standards, and business rules and that appropriate BPR efforts have been undertaken.

To ensure BEA assessments are performed in a consistent and rigorous manner, the DCMO has specified that all BEA compliance assessments shall be performed via IBF-DAP and the assertion documented in DITIP. Enterprise-wide use of the functionality within IBF-DAP has the additional benefit of creating an authoritative data source of BEA compliance assessment information, and can be leveraged as part of the DBC certification process. Appendix H provides the source requirement to assess within a central repository. Legacy DBSs are not required to assess or assert compliance with applicable BEA requirements, but they are required to perform mappings in IBF-DAP to applicable BEA Operational Activities, Business Capabilities, Processes, System Functions, and End-to-End (E2E) Processes.

The 2015 NDAA eliminated the statutory requirement for review and certification of the business systems within the military exchange organizations using the non-appropriated funds.

Upon receipt of an organization’s OEP, the DBC chair will identify a sample of DBSs to be assessed from a Component’s portfolio in which the PCA asserts “YES” to BPR and/or BEA compliance.

Once notified, the PCA will have five working days to provide the assessment documentation used to assert BPR or BEA compliance. Verification of appropriate BPR efforts can be provided through the BPR assessment form (September 28, 2012 v1 or v2) or by inclusion of a BPR summary into systems' business case analysis or problem statements and appropriate documentation of BPR efforts. BEA assessment documentation may consist of Problem Statements, Business Case, Capability Documents, Integrated Support Plans, Solution Architectures, and other formal program documents.

All BPR assessment documentation, for no more than three DBSs selected annually for detailed review, should be loaded to the BPR SharePoint Collaboration site: <https://dcmo.osd.mil/dir/EBI/E2E.CRM/BPR/Collaboration/SitePages/BPR%20Assessments.aspx> or emailed to the BPR Mailbox at osd.pentagon.odcmo.mbx.irb-support-staff@mail.mil. Questions concerning the BEA assessment process should be emailed to osd.pentagon.odcmo.mbx.irb-support-staff@mail.mil. All requests for review and certification that include funding for development / modernization must have an approved / validated problem statement.

The PCA is responsible for determining whether appropriate BPR has been accomplished prior to submitting request for investment certification (documented in the OEP). All DBS must be mapped to appropriate business processes during BPR in accordance with statute. The BPR determination will be identified: 1) in the PCR memorandum, and 2) in DITIP.

When a DBS investment contains resources provided from multiple organizations, the PCA for the Executive Agent and primary investment owner of the DBS is responsible for coordinating with the resource providers to ensure the investment reports all known resources in SNaP-IT and the PCA certification request addresses the entire amount expected for obligation. In order to avoid duplication, there is also a responsibility upon the PCA within the contributing organizations to ensure resource contributions to DBS investments within other organizations' portfolios are correctly documented in SNaP-IT and DITIP. The certification requests for systems with shared funding must be made by the Executive Agent and investment owner in SNaP-IT. This direction is similar to the budget request responsibilities defined in DoD Financial Management Regulation Volume 2B, Chapter 18.

A Problem Statement is the output of analysis conducted after a perceived business problem, capability gap, and/or opportunity is identified. The Problem Statement is used as the requirements validation document for DBS to inform future analysis and decision making regarding acquisition and IT capital investments. The Problem Statement may require update as part of the Business Case during an acquisition. The DBC also uses the Problem Statement in the review process for DBS especially with regard to DBS modernization within a portfolio. A problem statement is usually later associated with an investment within the budget and a subsequent certification request. Consequently, a request for certification of funds for DBS modernization must be supported by an approved Problem Statement. An excerpt of the definition of Development/Modernization (Dev/Mod) as defined in the DoD Financial Management Regulation 7000.14-R, Vol 2B Ch18 (18-9), is below:

- Any change or modification to an existing Information System, program, and/or initiative that results in improved capability or performance of the baseline activity. Improved

capability or performance achieved as a by-product of the replacement of broken IT equipment to continue an operation at the current service levels is not categorized as Dev/Mod.

- Dev/Mod includes – Program costs for new applications and infrastructure capabilities that are planned or under development; any change or modification to existing applications and infrastructure capabilities which is intended to result in an improved capability or performance of the activity.
- Changes include – all modifications to existing operational software (other than corrective software maintenance); expansion of existing capabilities to new users; mandatory changes required by Congress or the Office of the Secretary of Defense; personnel cost for project management.

Organizational Execution Plan Elements

The OEP provides critical information to support programming, budgeting and certification of investment decisions for the current year and the FYDP. At a minimum, the OEP will address the following:

- **Portfolio Business Summary:** Introduce the portfolio from a business operations perspective. Summarize the major business process(es), functions, activities, and outcomes supported by the DBS, with relevant annual high-level financial information as to the costs of the business operations, if known. Also provide and explain the key cost drivers of the business operations. Cost drivers are factors of a particular activity or the unit of an activity that causes the change of an activity cost.
- **Strategic Alignment:** Identify the portfolio goals in order to highlight how improvements in business operations and cost savings will be made and how they are essential to achieving the integrated business strategy. Show how the Component's OEP aligns with the initiatives of the appropriate Functional Strategy(ies) and document how investments align to the functional strategy initiatives, by using Unique Investment Identifiers. Goals will include portfolio priorities, objectives, or outcomes. Also include cost and time estimates to implement a functional strategy initiative.
- **Performance Measures:** Document business outcome measures and targets related to the strategy and associated DBSs – especially with regard to progress against the Functional Strategy targets. Milestones, which are required by the ETP, will be obtained using lifecycle data in DITPR and supplemented by other sources, such as acquisition information repositories.
- **Portfolio Accomplishments:** Report on the control and evaluate phases of CPIC. Identify major business results/outcomes bound by a link to measurable benefits that are expected to be realized within the fiscal year of the OEP in addition to results realized in the previous fiscal year. Emphasize results that lower the actual cost of business operations and reduce redundancy in IT. These accomplishments are intended for inclusion in the DoD Congressional Report on Defense Business Operations.
- **PCA Review Results:** Provide a summary of results of the PCA review required by title 10 U.S.C. section 2222(g). Results will include any covered DBSs with a change in transition

plan state and the reason for the change, any changes in termination dates of legacy covered DBSs, any revision of milestones and performance measures in the previous fiscal year (e.g., FY 2015 for FY 2016 OEP), progress against BEA or BPR plans, and any significant changes in plans such as funding amounts, certification requests not recommended by PCA (what was not sent forward). The results should also include the PCA criteria used for selecting investments for certification and investment alignment to functional strategy initiatives. These results are also intended for inclusion in the Congressional Report.

- **Roadmap to the target environment:** Show how systems are aligned to the desired end state (including sunset dates or timeframes and interoperability with other systems as appropriate). Include any systems that have been sunset. Prior year outcomes should be included to highlight systems that were declared to sunset in the prior OEP submission and the eliminations that actually occurred. The roadmap presented must be consistent with the data entered into DITPR and the FYDP budget data. The roadmap should also address system changes related to a business strategy initiative, such as a plan for transitioning to a mandatory enterprise system.
- **Portfolio Risks and Challenges:** Describe risks or challenges that inhibit the Component's ability to reach its desired end state. If applicable, address risks and challenges associated with becoming fully BEA compliant. These risks or challenges could include BEA and BPR compliance matters, such as use of mandatory standards or Enterprise Systems stated in Functional Strategies, or a lack of needed standards or Enterprise Systems. Risks applicable to the entire Department, such as sequestration, should not be included. These risks and challenges are intended for inclusion in the Report to Congress on Defense Business Operations.

Many system and service investments that deliver services across multiple business areas, may align to more than one Functional Strategy and more than one initiative. To enable an efficient and effective review of these systems, they should be identified with the functional area that aligns closest to the system's primary business area. Regardless of the identification, the DBS within a functional area "chapter" will normally align to initiatives within multiple Functional Strategies and thus may require resources to address the initiatives within the different functional areas.

Due to the cross-cutting nature and infrastructure focus, the Enterprise IT Infrastructure Functional Strategy should not be the primary functional area for any DBS portfolio. The strategy for Enterprise IT Infrastructure will provide the DoD CIO's requirements to support the Joint Information Environment (JIE) that will be used by all functional areas and Components.

Required Data

Component system owners are required to provide a standard set of minimum data elements in the authoritative data sources identified in Table 1 no later than the date prescribed by the DBC chair for the investment review. The data within the Program Resources Collection Process (PRCP) may be added as an additional data source – especially for business systems with development and modernization funding. This requirement ensures that DITPR, SNaP-IT, IBF-DAP, and DITIP have accurate and complete information for the data elements identified in Appendix F. Since these are the authoritative sources for DoD business IT investments, data to support the DBC will be entered into and pulled from DITPR, SNaP-IT, IBF-DAP, and DITIP. This data facilitates in-depth analysis that informs the DBC review and certification. Data analytics will be performed at the

functional level for each Component as well as across Components. DBSs that do not have the data required in Appendix F will be at risk of not receiving funds certification.

Authoritative Source	Type	Information Contained
DITPR	Database	Defense Business System Attributes
SNaP-IT	Database	Budget Data
IBF-DAP	Portal	OEP alignment for Strategy and BEA
DITIP	Portal	Merged Source for DBS Certification Requests
PRCP	Database	Resource information (MAY be accessed for analysis where appropriate)

Table 1 – Authoritative Data Sources

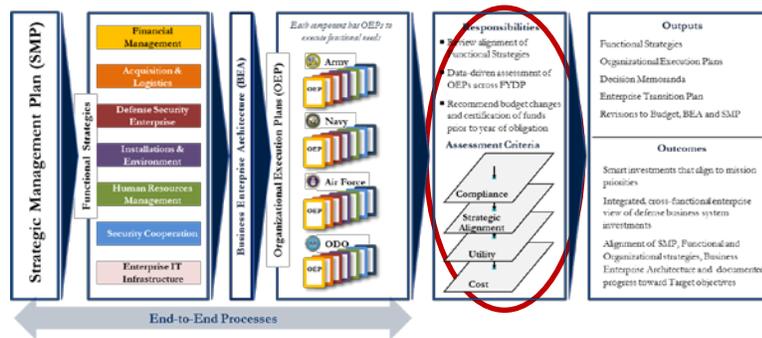
2.3 Organizational Execution Plan Submission Requirements

OEP data must be made available in DITPR, IBF-DAP, SNaP-IT, and DITIP. The PCR memorandum with attachments will be submitted to the DBC via signed email to osd.pentagon.odcmo.mbx.irb-support-staff@mail.mil. The OEP brief will be generated by the on-line tool provided by the Office of the DCMO. OEP submissions are to be submitted no later than the date established by the DBC chair. Defense Agencies and Other Defense Organizations (ODOs) must submit their OEPs through their appropriate PSA. PCAs will submit OEPs in chapters for each of the applicable functional areas. ODOs are expected to submit one OEP containing all applicable business areas. Removal of a DBS from a previously approved OEP due to reclassification to a non-DBS requires notification to the DBC via osd.pentagon.odcmo.mbx.irb-support-staff@mail.mil. DBC approval of the removal is not required.

2.4 Organizational Execution Plan Evaluation Process

OEPs will be evaluated for alignment with applicable Functional Strategies and assessed from multiple perspectives such as progress toward the target environment, alignment to lines of business and architecture, business value / ROI, cost, interoperability, efficiency, risk and effectiveness. OEPs will undergo a CMO review, which is expected to create investment awareness and assist the DBC in understanding the Components' capabilities in a given functional area. The review helps determine whether OEPs meet the requirements of Functional Strategies and identify any gaps between the OEP and the Functional Strategies that must be addressed. Reviews will be scheduled to encompass both a functional and organizational perspective. The OEPs submitted by ODOs will be analyzed and reviewed together in portfolios by the 4th Estate Working Group prior to review by the DBC, analogous to the review by the MILDEP CMOs within their own organizations. The DBC will review the results of the MILDEP CMO OEP reviews in addition to the 4th Estate Working Group results during a series of summer sessions.

General Review Criteria



As illustrated in the Integrated Business Framework, the following criteria are used by the DBC to evaluate OEPs for certification:

Compliance: The DBC will assess the determination made by the PCA to ensure that the portfolio and each applicable DBS are compliant with title 10 U.S.C. section 2222.

Strategic Alignment: The DBC, assisted by the PSA, will assess the viability of the organization's business plan, as reflected in proposed investments, to result in specific improvements in business operations and cost savings and the degree of alignment to strategic goals and missions and the organization's lines of business. In addition, the DBC will assess the degree to which investments are being managed in accordance with the budget guidance reflected in Functional Strategies, CPIC process and DoD's Better Buying Power guidance.

Utility: The DBC will assess the portfolio's ability to deliver required capabilities for a given function as reflected in the alignment to Operational Activities within the BEA and the progress toward the target for measures identified in Functional Strategies or OEPs.

Cost: The DBC will assess cost and proposed resources in the context of the improvements in business operations and cost savings using criteria established by the PCA and the DBC. Criteria will include performance against established measures, for estimated ROI, and from a CPIC evaluate phase perspective for current business costs and IT lifecycle Current Services costs. The total DBS cost includes hardware and software procurement, licensing and operation costs, design, development and deployment costs, full-time equivalent (FTE) military and civilian costs, and help desk and program support activity. Budget data will be used as reflecting cost as well as additional information and data derived from the OEP submission.

ROI is an important factor in the assessment of reasonable cost. Future investments in DBS can significantly improve the performance of business operations while reducing costs if they are supported by a well-defined business case with clear performance measures, a positive ROI and a reasonable payback period. The DBC will assess how future DBS IT investments address the following key ROI tenets:

- Optimization of business process and consideration of how the IT can support and enable a reengineered process.
- IT solutions should use a modular, incremental approach that ensures technology can be rapidly and effectively implemented with clear performance measures and outcomes.
- A positive ROI that can be demonstrated of twice the investment amount returned within 5 years of implementation of the release or increment of the solution.

Additional review criteria, if required, will be provided by the DBC chair as supplemental guidance on a yearly basis.

Certification

Although primary consideration in the review process is for the future year budget amounts that represent the capital investment plan for the future of the portfolio, the DBC will recommend whether or not to certify funds for an amount that will be obligated within the fiscal year of the certification. For example a FY 2016 OEP submission's certification amounts are for obligation of funds **during** FY 2016. Certification decisions will be captured in an IDM (sample found in Appendix G), and DITIP stipulating that an OEP's investment is either:

- Certified – The DBS certification is approved but may be **conditioned** so as to restrict the use of funds or direct mandatory changes to the portfolio of business systems. The IDM may also direct actions that must be completed.
- Not Certified – The certification is not approved, due to misalignment with strategic direction, mission needs, or other deficiencies identified. DBS programs or portions thereof that are not certified must be resubmitted for reconsideration after addressing any actions or conditions.

Budget Adjustment

In addition to certification, the DBC chair may make recommendations for programming and budget adjustments, if any, to D,CAPE and the Comptroller via the PPBE process. OEPs must explain consistency of the business plan outlined in the resources within the future budget relative to guidance and initiatives provided by DCMO and PSAs. The DBC and CMOs assesses the adequacy of the plans and may identify issues for further analysis by Program Budget Review issue teams. Major defense business budget issues may be referred to an issue team established by the D,CAPE for further review within the PPBE process.

Enterprise Transition Plan (ETP)

The ETP is assembled using the OEPs in addition to other authoritative data sources. It serves as the the Department's statutorily required roadmap for its DBSs that are new or being modernized. The ETP identifies or provides links to the governance and strategic framework DoD uses to manage its investments and describes how those investments are part of the Department's overarching management reform efforts. It also outlines key improvement initiatives for the current fiscal year and provides specific information regarding each of its business system investments. As part of their OEPs, the Component will provide proposed target environment roadmaps to illustrate the plan to achieve the target environment.

2.5 General Investment Management Process Timeline

Figure 6 depicts the sequence of events for Functional Strategy and OEP reviews. The DBC chair will publish a schedule identifying specific dates for Functional Strategy input, PCA requests, OEP reviews, etc. In general terms, functional area owners will initiate the process by submitting updated Functional Strategies for DBC review with a focus upon strategic direction for the future budget years. Upon completion of the Functional Strategy reviews, DoD Components will then develop OEPs and submit them by a date determined by the DBC chair. System data for each DBS must be in DITPR, SNaP-IT, IBF-DAP, and DITIP. Certification approval for OEPs will be documented in

an IDM and budget adjustments, if any will be proposed to D,CAPE and Comptroller via the PPBE process.

Activity	Proponent	Date
Investment Management Guidance Issued	ODCMO	February 2015
Online Functional Strategies Available	ODCMO	February 2015
Authoritative Data Sources Updated	All Organizations	June 2015
Organizational Execution Plans (OEPs) Submitted	All Organizations	July 2015
OEP Analysis	CMO, PSAs	February – August 2015
DBC Reviews	DBC Membership	July – August 2015
Investment Decision Memorandums Issued	IRB Chair	September 2015

Figure 4 – Investment Management Process Timeline

2.6 Out of Cycle Guidance

DoD organizations *may* require changes to previously approved OEPs; an Out of Cycle (OOC) request is the vehicle for submission of these changes. Table 2 provides a summary of business rules/considerations for OOC activities.

An OOC request for review and certification of a DBS is required when a DBS program or associated funding has substantially changed since previously reviewed, certified and approved during the annual review cycle or when the system was not previously reviewed and certified during the same annual cycle. Guidance for Chief Management Officers (CMO) regarding substantial change business rules is contained in Table 2 below.

Organization Action	DBS OOC Category	Conditions for IRB Review
1. Submit OOC Review and Certification Request	Previously Reviewed and Certified DBS – Military Departments	Current Services funding: If >50% increase of total certification AND >\$500k change then re-review and certification required Development & Modernization: If >25% of total certification AND >\$250k for <i>previously validated problem(s)</i> then re-review and certification required
		Other substantive change: e.g. major alteration in requirements as determined by CMO
	Previously Reviewed and Certified DBS – Other Defense Organizations	Any increase in total certification: submit OOC to DoD DCMO which shall determine if an additional review and certification by IRB is required
	DBS that was not previously reviewed or was not approved for	An annual review is required in all cases for a covered DBS

	certification (All organizations)	
2. DBC Notification Only	Remove DBS from Portfolio	
	Decrease funding	
	Minor Alterations to certified DBS Reviewed during annual review cycle	Provided funds are available and DBS does not meet the conditions of #1 above
Requests and Notifications are initiated using DITIP. Data updates to DITIP, DITPR and applicable IBF-DAP data are still required in all cases.		

Table 2 – Required Component Actions for OOC Requests

OOO review and certification requests, as depicted in Figure 7, must contain:

- A PCR signed memo with the appropriate Pre-Certification Authority determinations discussed in Section 2.2 of this guidance. Additionally, an OOC PCR should identify proposed changes to the OEP using the OOC template as a guide.
- Briefing slides tailored using the OOC template slides where appropriate to address the type of certification change being requested and how the Component OOC request affects the portfolio as a whole.
- Appropriate data entry for the OOC request in DITIP and DITPR in addition to IBF-DAP (when changes warrant).

Changes requiring **notification only** shall be made using DITIP, with an accompanying acknowledgment from the PCA or **designated representative** which can either be emailed to osd.pentagon.odcmo.mbx.irb-support-staff@mail.mil or uploaded / entered in DITIP.

OOO requests will normally be reviewed on a bi-monthly basis beginning in November. All OOC requests should be submitted no later than 15 August of the given year for certification.

OOO request data must be made available in DITIP, DITPR, SNaP-IT, and IBF-DAP and the request data should reflect the new requested total (prior approved amount in addition to the new request amount). The PCR and OEP Brief should be submitted by the PCA to the DBC via signed email to osd.pentagon.odcmo.mbx.irb-support-staff@mail.mil. OOC requests will normally be reviewed on a bi-monthly basis beginning in November. All OOC requests should be submitted no later than 15 August of the given year for certification.

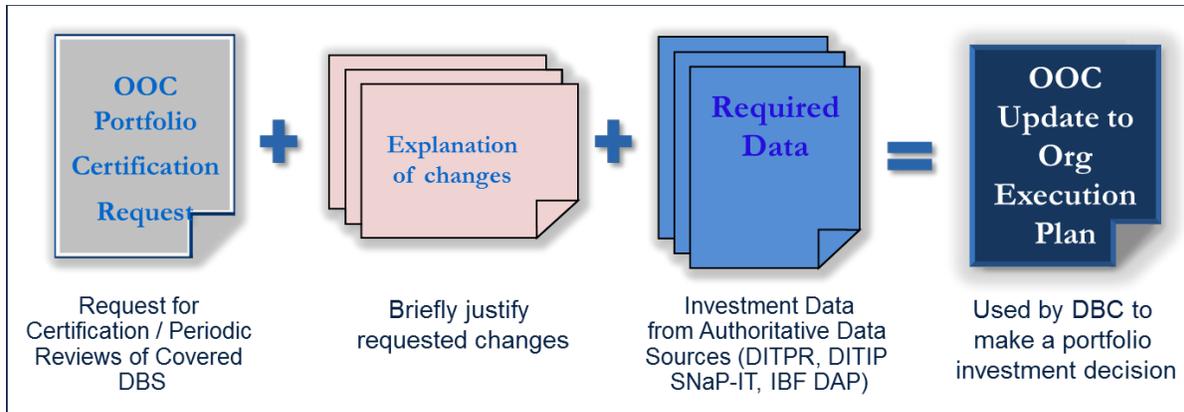


Figure 5 – Out of Cycle OEP Construct

3. Governance

The DBC provides unified direction and leadership through decision making to guide DoD's functional areas and components, drives alignment of activities with DoD's strategic goals and objectives to optimize DoD business operations, and promotes cost visibility. The DBC leads governance efforts to manage the Integrated Business Framework to include the IRB, future releases of the BEA, and the ETP. In particular, the DBC concentrates on efforts to build a cost culture in DoD and to improve the focus on ROI. The key governance bodies essential to the IRB process are:

Defense Business Council (DBC)

The DBC, will convene as the IRB chaired by the DCMO to review the Functional Strategies and certify DBS programs based upon the review of OEPs. DBC membership is listed in Table 3.

DBC Member Title	
Co-Chairs	DoD DCMO, DoD CIO
Principal Members	Under Secretary of Defense for Acquisition, Technology and Logistics
	Under Secretary of Defense for Policy
	Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD
	Under Secretary of Defense for Personnel and Readiness
	Under Secretary of Defense for Intelligence
	Director, Cost Assessment and Program Evaluation
	Joint Staff
	Department of the Army, Deputy Chief Management Officer
	Department of the Army, Chief Information Officer
	Department of the Navy, Deputy Chief Management Officer
	Department of the Navy, Chief Information Officer
	Department of the Air Force, Deputy Chief Management Officer
	Department of the Air Force, Chief Information Officer
Advisor to Chair	Office of the General Counsel (OGC)

Table 3 – DBC Members

In the absence of the DCMO, the Assistant DCMO will perform the functions of the chairperson. The Office of the DCMO will serve as Executive Secretary.

Chief Management Officer (CMO)

The Chief Management Officer (CMO) is responsible for reviews of the portfolio prior to the IRB. Military CMOs review their OEPs. The DCMO reviews the OEPs for all other defense organizations. The CMO will provide the results of their review in a presentation to the DBC. These reviews also substantially eliminate redundant IRB reviews during the Out of Cycle certification process.

Pre-Certification Authority (PCA)

The Pre-Certification Authority (PCA) is responsible for review of OEPs at the organizational level and for the statutory assertions required such as BPR and BEA compliance. PCAs will make a recommendation to the DBC in the PCR memorandum, which is submitted to the DBC for review with the OEPs. This responsibility may not be further delegated without notification to the DCMO and may not be delegated lower than a General Officer or Senior Executive Service level equivalent.

3.1 IRB Governance Process Roles

The DBC, in its role as the DoD IRB, plays a central governance role in the certification process of DBS. The IRB governance process will follow these steps:

- **PSAs develop Functional Strategies:** As discussed in 2.1, PSAs draft Functional Strategies based on IRB Guidance to prioritize activities of DoD components to support DoD business priorities and system investments. The Functional Strategies articulate each area's strategic vision, goals, and targeted outcomes over the next three to five years.
- **Rapid Action Team (RAT) analysis (if necessary):** The DBC Chair may establish Rapid Action Teams, as required, to provide concentrated subject matter expertise and in-depth analyses on complex, time-limited tasks to assist the DBC in executing its IRB responsibilities. Led by a representative from a Function or Component with primary support from DCMO staff and secondary/subject matter experts, RATs will assess specific business issues such as those raised during the review of Functional Strategies and make recommendations to the DBC based on quantitative based analyses. To focus these efforts, DCMO staff will draft RAT project charters to identify primary objective, scope, timeline, and team lead.
- **DBC reviews Functional Strategies:** When strategic priorities change and require update, the PSAs will present their Functional Strategies to the DBC. PSA designees, relevant domain experts, will participate in DBC discussions and make recommendations on the draft Functional Strategies for DBC decision. Upon approval, the DBC will direct DoD components to draft OEPs that identify and prioritize investments aligned with these Functional Strategies.
- **PCAs draft Organizational Execution Plans (OEPs):** As described in 2.2, DoD organizations will draft OEPs to align their defense business system investments within their respective budgets. PCAs are responsible for review of OEPs at the organizational level.

- **CMOs review Organizational Execution Plans (OEPs):** CMOs perform portfolio reviews for the OEP within their respective organization. The DCMO performs the OEP review for the Defense organizations exclusive of the Military Departments.
- **DBC working group pre-decisional review:** PCAs will review their portfolios and make a recommendation to the DBC in the PCR memorandum, which is submitted to the DBC with the OEPs via the responsible CMO. A workgroup consisting of the chartered 4th Estate Working Group and the Military Departments provides a pre-decisional review and recommendation to the DBC based upon the OEP and results performed by the responsible CMO. The workgroup will vet all IRB documents and analysis prior to being presented to the DBC for certification.
- **RAT analysis (if necessary):** RATs will assess specific business issues such as those raised during the review of OEPs and make recommendations to the DBC based on quantitative based analyses. To focus these efforts, DCMO staff will draft RAT project charters to identify primary objective, scope, timeline, and team lead.
- **DBC review and decision:** The responsible CMO representative will present the results of the review of their OEP to the IRB for consideration of certification.
- **DBC / IRB decision:** Certify DBS investment decisions as required.

4. Investment Review Roles and Responsibilities

Defense Business Council (DBC) Chair

The DCMO serves as Chair of the statutorily required IRB. The Chair:

- Convenes meetings
- Reviews Functional Strategies and approves OEPs
- Develops, maintains, prioritize and approves changes to the BEA
- Establishes working groups and Rapid Action Teams, as needed
- Serves as liaison between the DBC and the DMAG
- Approves the problem statement as the validation of the requirement
- Certifies covered DBS programs

DBC Members

The DBC will review the Functional Strategies and OEPs (presented by the respective PSAs and CMOs), along with the analysis from chartered teams when required. The DBC is the focal point for the investment review process using the IBF. PSAs are encouraged to establish and document in Functional Strategies select and control criteria for PCAs to employ in creation of their OEP. Additionally DBC members are responsible for making recommendations to “mark” organizational DBS budgets, if required, and for providing certification recommendations to the DBC Chair. These recommendations will focus on details surrounding the planning, design, acquisition, development, deployment, operation, maintenance, modernization, and project cost benefits and risks of all covered DBSs within the portfolio. When the review process is complete, the DBC will make recommendations concerning the certification of investments and any actions or conditions that may be required.

Pre-Certification Authority (PCA)

The PCA is the senior accountable official that is responsible for ensuring compliance with investment review policies prescribed by the Component and this guidance. For each MILDEP, the PCA is the Chief Management Officer. For Defense Agencies, the PCA is the Agency Head unless otherwise designated by the DCMO. The Combatant Commanders serve as the PCA for their respective Combatant Commands. PCA delegation is addressed in section three of this guidance. For any system developed by the Office of the Secretary of Defense (OSD) staff or by an ODO (excluding Defense Agencies), the appropriate OSD PSA is the PCA. The OEPs submitted to the DBC / IRB for Defense organizations exclusive of the Military Departments shall be via the 4th Estate Working Group chartered by the DBC.

PCAs will ensure that requests are submitted and presented to the DBC with complete, current, and accurate documentation within prescribed deadlines. OEP certification and periodic review requests must comply with laws, regulations, and policy, such as the Clinger Cohen Act, BEA, BPR, problem statement submission, etc. Validation of pre-certification will be documented via a PCR in the form

of a PCA-issued memorandum (example found in Appendix E), which will outline the portfolio's composition, capabilities, and alignment to applicable Business Strategies and the ETP.

The PCA is responsible for creation and use of select and control criteria used to manage capital investments and for ensuring the incorporation of the CPIC control and evaluation phase outcomes such as eliminating underperforming or low value investments. The OEP must reduce redundancy and be aligned to the strategic direction for outcomes and initiatives within the Functional Strategies and the goals of the organization.

Appendix A: Title 10 U.S.C. section 2222 and FY 2008 NDAA

10 U.S.C section 2222

TITLE 10 - ARMED FORCES

Subtitle A - General Military Law

PART IV - SERVICE, SUPPLY, AND PROCUREMENT

CHAPTER 131 - PLANNING AND COORDINATION

“(a) CONDITIONS FOR OBLIGATION OF FUNDS FOR COVERED DEFENSE BUSINESS SYSTEM PROGRAMS.—Funds available to the Department of Defense, whether appropriated or non-appropriated, may not be obligated for a defense business system program that will have a total cost in excess of \$1,000,000 over the period of the current future-years defense program submitted to Congress under section 221 of this title unless—

“(1) the appropriate pre-certification authority for the covered defense business system program has determined that—

“(A) the defense business system program is in compliance with the enterprise architecture developed under subsection (c) and appropriate business process re-engineering efforts, including business process mapping, have been undertaken to ensure that—

“(i) the business process supported by the defense business system program is or will be as streamlined and efficient as practicable; and

“(ii) the need to tailor commercial-off-the-shelf systems to meet unique requirements or incorporate unique requirements or incorporate unique Interfaces has been eliminated or reduced to the maximum extent practicable;

“(B) the defense business system program is necessary to achieve a critical national security capability or address a critical requirement in an area such as safety or security; or

“(C) the defense business system program is necessary to prevent a significant adverse effect on a project that is needed to achieve an essential capability, taking into consideration the alternative solutions for preventing such adverse effect; and

“(2) the covered defense business system program has been reviewed and certified by the investment review board established under subsection (g)

“(b) OBLIGATION OF FUNDS IN VIOLATION OF REQUIREMENTS.—The obligation of Department of Defense funds for a covered defense business system program that has not been certified and approved in accordance with subsection (a) is a violation of section 1341(a)(1)(A) of title 31.

“(c) ENTERPRISE ARCHITECTURE FOR DEFENSE BUSINESS SYSTEMS.—

(1) The Secretary of Defense, acting through the investment review board established under subsection (g), shall develop—

“(A) an enterprise architecture, known as the defense business enterprise architecture, to cover all defense business systems, and the functions and activities supported by defense business systems, which shall be sufficiently defined to effectively guide, constrain, and permit implementation of

interoperable defense business system solutions and consistent with the policies and procedures established by the Director of the Office of Management and Budget; and

- “(B) a transition plan for implementing the defense business enterprise architecture.
- “(2) The Secretary of Defense shall delegate responsibility and accountability for the defense business enterprise architecture content, including unambiguous definitions of functional processes, business rules, and standards, as follows:
 - “(A) The Under Secretary of Defense for Acquisition, Technology, and Logistics shall be responsible and accountable for the content of those portions of the defense business enterprise architecture that support acquisition, logistics, installations, environment, or safety and occupational health activities of the Department of Defense.
 - “(B) The Under Secretary of Defense (Comptroller) shall be responsible and accountable for the content of those portions of the defense business enterprise architecture that support financial management activities or strategic planning and budgeting activities of the Department of Defense.
 - “(C) The Under Secretary of Defense for Personnel and Readiness shall be responsible and accountable for the content of those portions of the defense business enterprise architecture that support human resource management activities of the Department of Defense.
 - “(D) The Chief Information Officer of the Department of Defense shall be responsible and accountable for the content of those portions of the defense business enterprise architecture that support information technology infrastructure or information assurance activities of the Department of Defense.
 - “(E) The Deputy Chief Management Officer of the Department of Defense shall be responsible and accountable for developing and maintaining the defense business enterprise architecture as well as integrating business operations covered by subparagraphs (A) through (D).
- “(d) COMPOSITION OF ENTERPRISE ARCHITECTURE.—The defense business enterprise architecture developed under subsection (c)(1)(A) shall include the following:
 - “(1) An information infrastructure that, at a minimum, would enable the Department of Defense to—
 - “(A) comply with all applicable law, including Federal accounting, financial management, and reporting requirements;
 - “(B) routinely produce timely, accurate, and reliable business and financial information for management purposes;
 - “(C) integrate budget, accounting, and program information and systems; and
 - “(D) provide for the systematic measurement of performance, including the ability to produce timely, relevant, and reliable cost information.
 - “(2) Policies, procedures, data standards, performance measures, and system interface requirements that are to apply uniformly throughout the Department of Defense.
 - “(3) A target defense business systems computing environment, compliant with the defense business enterprise architecture, for each of the major business processes conducted by the Department of Defense, as determined by the Chief Management Officer of the Department of Defense.

“(e) COMPOSITION OF TRANSITION PLAN.—The transition plan developed under subsection (c)(1)(B) shall include the following:

- “(1) A listing of the new systems that are expected to be needed to complete the target defense business systems computing environment described in subsection (d)(3), along with each system’s time-phased milestones, performance measures, financial resource needs, and risks or challenges to integration into the business enterprise architecture.
- “(2) A listing of the defense business systems that will be phased out of the defense business systems computing environment within three years after review and certification as ‘legacy systems’ by the investment management process established under subsection (g), together with the schedule for terminating those legacy systems.
- “(3) A listing of the existing systems that are part of the target defense business systems computing environment together with a strategy for making the modifications to those systems that will be needed to ensure that such systems comply with the defense business enterprise architecture, including time-phased milestones, performance measures, and financial resource needs.

“(f) DESIGNATION OF APPROPRIATE PRE-CERTIFICATION AUTHORITIES AND SENIOR OFFICIALS.—

- “(1) For purposes of subsections (a) and (g), the appropriate pre-certification authority for a defense business system program is as follows:
 - “(A) In the case of an Army program, the Chief Management Officer of the Army.
 - “(B) In the case of a Navy program, the Chief Management Officer of the Navy.
 - “(C) In the case of an Air Force program, the Chief Management Officer of the Air Force.
 - “(D) In the case of a program of a Defense Agency, the Director, or equivalent, of such Defense Agency, unless otherwise approved by the Deputy Chief Management Officer of the Department of Defense.
 - “(E) In the case of a program that will support the business processes of more than one military department or Defense Agency, an appropriate pre-certification authority designated by the Deputy Chief Management Officer of the Department of Defense.
- “(2) For purposes of subsection (g), the appropriate senior official of the Department of Defense for the functions and activities supported by a covered defense business system is as follows:
 - “(A) The Under Secretary of Defense for Acquisition, Technology, and Logistics, in the case of any defense business system the primary purpose of which is to support acquisition, logistics, installations, environment, or safety and occupational health activities of the Department of Defense.
 - “(B) The Under Secretary of Defense (Comptroller), in the case of any defense business system the primary purpose of which is to support financial management activities or strategic planning and budgeting activities of the Department of Defense.
 - “(C) The Under Secretary of Defense for Personnel and Readiness, in the case of any defense business system the primary purpose of which is to support human resource management activities of the Department of Defense.
 - “(D) The Chief Information Officer of the Department of Defense, in the case of any defense business system the primary purpose of which is to support

information technology infrastructure or information assurance activities of the Department of Defense.

“(E) The Deputy Chief Management Officer of the Department of Defense, in the case of any defense business system the primary purpose of which is to support any activity of the Department of Defense not covered by subparagraphs (A) through (D).

“(g) DEFENSE BUSINESS SYSTEM INVESTMENT REVIEW.—

“(1) The Secretary of Defense shall require the Deputy Chief Management Officer of the Department of Defense to establish an investment review board and investment management process, consistent with section 11312 of title 40, to review and certify the planning, design, acquisition, development, deployment, operation, maintenance, modernization, and project cost benefits and risks of covered defense business systems programs. The investment review board and investment management process so established shall specifically address the requirements of subsection (a).

“(2) The review of defense business systems programs under the investment management process shall include the following:

“(A) Review and approval by an investment review board of each covered defense business system program before the obligation of funds on the system in accordance with the requirements of subsection (a).

“(B) Periodic review, but not less than annually, of all covered defense business system programs, grouped in portfolios of defense business systems.

“(C) Representation on the investment review board by appropriate officials from among the Office of the Secretary of Defense, the armed forces, the combatant commands, the Joint Chiefs of Staff, and the Defense Agencies, including representation from each of the following:

“(i) The appropriate pre-certification authority for the defense business system under review.

“(ii) The appropriate senior official of the Department of Defense for the functions and activities supported by the defense business system under review.

“(iii) The Chief Information Officer of the Department of Defense.

“(D) Use of threshold criteria to ensure an appropriate level of review within the Department of Defense of, and accountability for, defense business system programs depending on scope, complexity, and cost.

“(E) Use of procedures for making certifications in accordance with the requirements of subsection (a).

“(F) Use of procedures for ensuring consistency with the guidance issued by the Secretary of Defense and incorporation of common decision criteria, including standards, requirements, and priorities that result in the integration of defense business systems.

“(3)

“(A) The investment management process required by paragraph (1) shall include requirements for the military departments and the Defense Agencies to make available to the Deputy Chief Management Officer such information on covered defense business system programs and other business functions as the Deputy Chief Management Officer shall require for the review of defense business system programs under the process. Such information shall be made

available to the Deputy Chief Management Officer through existing data sources or in a standardized format established by the Deputy Chief Management Officer for purposes of this paragraph.

- “(h) BUDGET INFORMATION.—In the materials that the Secretary submits to Congress in support of the budget submitted to Congress under section 1105 of title 31 for fiscal year 2006 and fiscal years thereafter, the Secretary of Defense shall include the following information:
- “(1) Identification of each defense business system program for which funding is proposed in that budget.
 - “(2) Identification of all funds, by appropriation, proposed in that budget for each such program, including—
 - “(A) funds for current services (to operate and maintain the system covered by such program); and
 - “(B) funds for business systems modernization, identified for each specific appropriation.
 - “(3) For each such program, identification of the appropriate pre-certification authority and senior official of the Department of Defense designated under subsection (f).
 - “(4) For each such program, a description of each approval made under subsection (a)(3) with regard to such program.
- “(i) CONGRESSIONAL REPORTS.—Not later than March 15 of each year from 2012 through 2016, the Secretary of Defense shall submit to the congressional defense committees a report on Department of Defense compliance with the requirements of this section. Each report shall—
- “(1) describe actions taken and planned for meeting the requirements of subsection (a), including—
 - “(A) specific milestones and actual performance against specified performance measures, and any revision of such milestones and performance measures; and
 - “(B) specific actions on the defense business system programs submitted for certification under such subsection;
 - “(2) identify the number of defense business system programs so certified;
 - “(3) identify any covered defense business system program during the preceding fiscal year that was not approved under subsection (a), and the reasons for the lack of approval;
 - “(4) discuss specific improvements in business operations and cost savings resulting from successful defense business systems programs; and
 - “(5) include a copy of the most recent report of the Chief Management Officer of each military department on implementation of business transformation initiatives by such department in accordance with section 908 of the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 (Public Law 110–417; 122 Stat. 4569; 10 U.S.C. 2222 note).
- “(j) DEFINITIONS.—In this section:
- “(1) A. The term ‘defense business system’ means an information 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.
 - B. The term does not include –
 - i. A national security system; or

- ii. An information system used exclusively by and within the defense commissary system or the exchange system or other instrumentality of the Department of Defense conducted for the morale, welfare, and recreation of members of the armed forces using nonappropriated funds.
- “(2) The term ‘covered defense business system program’ means any defense business system program that is expected to have a total cost in excess of \$1,000,000 over the period of the current future-years defense program submitted to Congress under section 221 of this title.
 - “(3) The term ‘enterprise architecture’ has the meaning given that term in section 3601(4) of title 44.
 - “(4) The terms ‘information system’ and ‘information technology’ have the meanings given those terms in section 11101 of title 40.
 - “(5) The term ‘national security system’ has the meaning given that term in section 3542(b)(2) of title 44.’
 - “(6) The term ‘business process mapping’ means a procedure in which the steps in a business process are clarified and documented in both written form and in a flow chart.

National Defense Authorization Act for Fiscal Year 2008

122 STAT. 274

PUBLIC LAW 110–181—JAN. 28, 2008

SEC. 904. MANAGEMENT OF THE DEPARTMENT OF DEFENSE

(a) ASSIGNMENT OF MANAGEMENT DUTIES AND DESIGNATION OF A CHIEF MANAGEMENT OFFICER AND DEPUTY CHIEF MANAGEMENT OFFICER OF THE DEPARTMENT OF DEFENSE.—

(1) ESTABLISHMENT OF POSITION.—Section 132 of title 10, United States Code is amended—

(A) by redesignating subsection (c) as subsection (d);

and

(B) by inserting after subsection (b) the following new subsection (c):

“(c) The Deputy Secretary serves as the Chief Management Officer of the Department of Defense. The Deputy Secretary shall be assisted in this capacity by a Deputy Chief Management Officer, who shall be appointed from civilian life by the President, by and with the advice and consent of the Senate.”

(2) ASSIGNMENT OF DUTIES.—

(A) The Secretary of Defense shall assign duties and authorities relating to the management of the business operations of the Department of Defense.

(B) The Secretary shall assign such duties and authorities to the Chief Management Officer as are necessary for that official to effectively and efficiently organize the business operations of the Department of Defense.

(C) The Secretary shall assign such duties and authorities to the Deputy Chief Management Officer as are necessary for that official to assist the Chief Management Officer to effectively and efficiently organize the business operations of the Department of Defense.

(D) The Deputy Chief Management Officer shall perform the duties and have the authorities assigned by the Secretary under subparagraph (C) and perform such duties and have such authorities as are delegated by the Chief Management Officer.

(3) EXECUTIVE SCHEDULE LEVEL III.—Section 5314 of title 5, United States Code, is amended by inserting after the item relating to the Under Secretary of Defense for Intelligence the following new item:

“Deputy Chief Management Officer of the Department of Defense.”

(4) PLACEMENT IN OSD.—Section 131(b)(2) of title 10, United States Code, is amended—
(A) by redesignating paragraphs (3) through (8) as paragraphs (4) through (9), respectively; and
(B) by inserting after paragraph (2) the following new paragraph (3):

“(3) The Deputy Chief Management Officer of the Department of Defense.”

(b) ASSIGNMENT OF MANAGEMENT DUTIES AND DESIGNATION OF THE CHIEF MANAGEMENT OFFICERS OF THE MILITARY DEPARTMENTS.—

(1) The Secretary of a military department shall assign duties and authorities relating to the management of the business operations of such military department.

(2) The Secretary of a military department, in assigning duties and authorities under paragraph (1) shall designate the Under Secretary of such military department to have the primary management responsibility for business operations, to be known in the performance of such duties as the Chief Management Officer.

(3) The Secretary shall assign such duties and authorities to the Chief Management Officer as are necessary for that official to effectively and efficiently organize the business operations of the military department concerned.

(4) The Chief Management Officer of each military department shall promptly provide such information relating to the business operations of such department to the Chief Management Officer and Deputy Chief Management Officer of the Department of Defense as is necessary to assist those officials in the performance of their duties.

(c) [Subparagraph (c) referred to the Business Transformation Agency, which was subsequently eliminated by the Secretary of Defense.]

(d) STRATEGIC MANAGEMENT PLAN REQUIRED.—

(1) REQUIREMENT.—The Secretary of Defense, acting through the Chief Management Officer of the Department of Defense, shall develop a strategic management plan for the Department of Defense.

(2) MATTERS COVERED.—Such plan shall include, at a minimum, detailed descriptions of—

(A) performance goals and measures for improving and evaluating the overall efficiency and effectiveness of the business operations of the Department of Defense and achieving an integrated management system for business support areas within the Department of Defense;

(B) key initiatives to be undertaken by the Department of Defense to achieve the performance goals under subparagraph (A), together with related resource needs;

(C) procedures to monitor the progress of the Department of Defense in meeting performance goals and measures under subparagraph (A);

(D) procedures to review and approve plans and budgets for changes in business operations, including any proposed changes to policies, procedures, processes, and systems, to ensure the

compatibility of such plans and budgets with the strategic management plan of the Department of Defense; and

(E) procedures to oversee the development of, and review and approve, all budget requests for defense business systems.

(3) UPDATES.—The Secretary of Defense, acting through the Chief Management Officer, shall update the strategic management plan no later than July 1, 2009, and every two years thereafter and provide a copy to the Committees on Armed Services of the Senate and the House of Representatives.

(e) REPORT.—Not later than 180 days after the date of the enactment of this Act, the Secretary of Defense shall provide to the Committees on Armed Services of the Senate and the House of Representatives a report on the implementation of this section and a copy of the strategic management plan required by subsection (d).

Appendix B: Key Terms

Term	Definition
4 th Estate	Refers to the other Defense organizations exclusive of the Military Departments
Alignment	Linkage to higher-level goals and strategies. Also, consonance and integration across related activities.
Authoritative Data Sources	Authoritative Data Source. A recognized or official data production source with a designated mission statement or source/product to publish reliable and accurate data for subsequent use by customers. An authoritative data source may be the functional combination of multiple, separate data sources (see Table 2 for DITPR, SNaP-IT, IBF-DAP, and DITIP).
Baseline	An “as is” reading of all measures constitutes a baseline (included in the Functional Strategy). Targets are set against that baseline. Periodic measures are captured and compared to the baseline to assess performance, financial benefits, and non-financial benefits, or look at results of changes.
Business Enterprise Architecture	<p>In accordance with title 10 U.S.C. section 2222(c), the BEA is the enterprise architecture developed to cover all defense business systems, and the functions and activities supported by defense business systems, which shall be sufficiently defined to effectively guide, constrain, and permit implementation of interoperable defense business system solutions and consistent with the policies and procedures established by the Director of the Office of Management and Budget. The BEA is the DoD’s blueprint for improving DoD business operations and the reference model for DBC funds certification.</p> <p>Per title 10 U.S.C. section 2222(d), the Defense BEA developed shall include the following:</p> <p>“(1) An information infrastructure that, at a minimum, would enable the Department of Defense to —</p> <p> “(A) comply with all applicable law, including Federal accounting, financial management, and reporting requirements;</p> <p> “(B) routinely produce timely, accurate, and reliable business and financial information for management purposes;</p> <p> “(C) integrate budget, accounting, and program information and systems; and</p> <p> “(D) provide for the systematic measurement of performance, including the ability to produce timely, relevant, and reliable cost information.</p> <p>“(2) Policies, procedures, data standards, performance measures, and system interface requirements that are to apply uniformly throughout the Department of Defense.</p>
Business Process Re-engineering	Business Process Re-engineering (BPR) is a logical methodology for assessing process weaknesses, identifying gaps, and implementing opportunities to

Term	Definition
	streamline and improve the processes to create a solid foundation for success in changes to the full spectrum of operations. BPR seeks to ensure that the business processes to be supported by a Defense Business System is as streamlined and efficient as possible. All DBS must be mapped to appropriate business processes during BPR.
Capital Planning and Investment Control	Title 10 U.S.C. section 2222(g) requires the DoD to establish an Investment Management Process for DBS review consistent with title 40 U.S.C. section 11312. CPIC is an IT portfolio-driven management process for ongoing identification, selection, control and evaluation of investments. This process attempts to link budget activities and agency strategic priorities with achieving specific IT program modernization outcomes.
Core	Enduring covered DBS systems with a sunset date greater than 36 months of the date of the certification request and an identified replacement system. For non-covered DBSs, enduring systems with an operations and support life cycle date of greater than 36 months from the start of the fiscal year in the OEP.
Covered Defense Business System Program	Any DBS program that is expected to have a total cost in excess of \$1 million over the period of the current FYDP, as described in title 10 U.S.C. section 2222(j)(2).
Defense Business Council	The senior governance forum for the effective management of the DoD Business Mission Area, to include performing the roles and responsibilities of the IRB (title 10 U.S.C. section 2222(g)), providing portfolio analysis and process integration, and recommending portfolio certification to the DMAG/DBSMC.
Defense Business System	An information system, other than a national security system, operated by, for, or on behalf of the DoD, including financial systems, mixed systems, financial data feeder systems, and IT 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 (title 10 U.S.C. section 2222(j)(1)).
Deputy Chief Management Officer	The Deputy Chief Management Officer (DCMO) is the chair of the Defense Business Council (DBC). The DBC is the single governance body which is responsible for approval and certification of Organizational Execution Plans submitted by the Pre-Certification Authorities. The DBC records outcome decisions on behalf of the Defense Business Systems Management Committee (DBSMC).
DoD Components	Office of the Secretary of Defense, the Military Departments, the Joint 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 entities of the Department of Defense.

Term	Definition
End-to-End	End-to-End (E2E) business models of critical processes and associated activities defined in the Business Enterprise Architecture (BEA) such as Hire-to-Retire and Procure to Pay lifecycle models. E2Es comprise a framework used to understand the DoD business environment and evolve the BEA.
Functional Strategy	Functional Strategies are developed by the PSA and describe business functions, business outcomes, measures and targets. Functional Strategies will be used to drive BEA content, which is the DoD's blueprint for improving DoD business operations and the reference model for DBC funds certification. The Functional Strategy is the core document that creates the unique business position of the organization and is supported by the activities that it plans to achieve. It prioritizes and identifies the enterprise's pressing needs while providing tactical strategic direction for a defined business area. It enables outcome-driven investment decisions that enhance the business operations within a functional area in synchronization with other business areas. Functional Strategies must align with the SMP and will also help to refine and enhance future versions of the SMP.
Information System	The term "information system" means a discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information (source section 3502 title 44)
Information Technology Investment Management	GAO developed the ITIM Framework to provide a common framework for discussing and assessing IT capital planning and investment management practices at federal agencies. ITIM is also intended to serve as a guide to sound IT investment management practices.
Integrated Business Framework	Functional Strategies coupled with OEPs will comprise the Integrated Business Framework (See Figure 1).
Investment Decision Memorandum	The memorandum signed by the DBSMC co-chair that documents the certification decision of the portfolio.
Legacy	Any system with a sunset date within 36 months of the date of the certification approval For non-covered DBSs, enduring systems with an operations and support life cycle date of less than 36 months from the start of the fiscal year in the OEP. Legacy DBSs are not required to assess or assert compliance with applicable BEA requirements, but they are required to perform mappings in IBF-DAP to applicable BEA Operational Activities, Business Capabilities, Processes, System Functions, and E2Es. Legacy systems are not allowed to obligate modernization dollars.
Measures	A measure is a standard or basis for comparison – an assessment using quantitative data (e.g. cost, production, defect, and time) or sometimes qualitative data, tracked incrementally over a specified period. Measures can assess performance, financial benefits, and non-financial benefits, or look at

Term	Definition
	<p>results of changes made from implementation of new policy or practice.</p> <p>Each measure should be explained (as appropriate) and linked to an outcome. An appropriate measure demonstrates the viability of a desired solution. Measures should reflect consideration of cost to measure and the estimated value for that measurement. An “as is” reading of all measures should be included in the Functional Strategy as a baseline; targets against that baseline and rationale for the targets should complete the picture.</p>
Organizational Execution Plan	<p>The OEP is the means through which the DoD Components propose how they will deliver the DoD’s business priorities. A completed plan will demonstrate how, through sound investment management, a DoD Component’s streamlined portfolio of systems will support the business areas and sub-functions contained within the BMAs. The plan is divided into sections that address each Functional Strategy. The plan is intended to be the assembly of business system investment requests from which the DBC certifies.</p>
Planning, Programming, Budgeting, and Execution	<p>The Planning, Programming, Budgeting, and Execution (PPBE) process is how the Department of Defense (DoD) allocates its resources.</p>
Portfolio	<p>A portfolio consists of all of the defense business system information technology investments belonging to an organization. A subdivision of a DBS portfolio for the purpose of this guidance is called a chapter.</p>
Strategic Management Plan / Agency Strategic Plan	<p>The Department is in the process of transitioning the content within the SMP into an Agency Strategic Plan (ASP). The SMP is the Department’s highest-level plan for improving DoD business operations. It lays out the Department’s priority business goals, objectives, measures, and initiatives. The SMP informs, and is informed by, processes and activities that support the execution of the DoD’s business strategy. The DCMO oversees the execution of this strategy.</p>
Target Defense Business Systems Computing Environment	<p>The “to be” environment consisting of (1) the core covered defense business system programs and related resources which the DoD will use to conduct its major business processes and (2) the supporting enterprise IT infrastructure and related resources, such as networks, communications, enterprise shared services, enterprise information assurance, in the enterprise information environment and other mission areas. The business portion of the environment will be compliant with the BEA.</p>

Appendix C: Acronyms and Abbreviations

Acronym	Definition
AT&L	Acquisition, Technology & Logistics
AoA	Analysis of Alternatives
ASP	Agency Strategic Plan
BEA	Business Enterprise Architecture
BMA	Business Mission Area
BPM	Business Process Management
BPR	Business Process Re-engineering
BSIT-ESG	Business Systems Information Technology Executive Steering Group
BTC	Business Transformation Council
CCB	Configuration Control Board
COTS	Commercial off the Shelf
CPIC	Capital Planning and Investment Control
CS	Current Services
DAS	Defense Acquisition System
DBC	Defense Business Council
DBS	Defense Business System
DCMO	Deputy Chief Management Officer
Dev/Mod	Development and Modernization
DMAG	Deputy's Management Action Group
DoD	Department of Defense
DITIP	DoD Information Technology Investment Portal
DITPR	DoD Information Technology Portfolio Repository
E2E	End-to-End
ERP	Enterprise Resource Planning
ESWG	Enterprise Senior Working Group
ETP	Enterprise Transition Plan
FTE	Full-Time Equivalent
FY	Fiscal Year
FYDP	Future Years Defense Program
GAO	Government Accountability Office

Acronym	Definition
IBF-DAP	Integrated Business Framework – Data Alignment Portal
IDM	Investment Decision Memorandum
IPT	Integrated Product Team
IRB	Investment Review Board
JIE	Joint Information Environment
IT	Information Technology
ITIM	Information Technology Investment Management
MAIS	Major Automated Information System
MILDEP	Military Department
NDAA	National Defense Authorization Act
NSS	National Security System
ODO	Other Defense Organizations
OEP	Organizational Execution Plan
OOC	Out of Cycle
OSD	Office of the Secretary of Defense
PCA	Pre-Certification Authority
PCR	Portfolio Certification Request
PPBE	Planning, Programming, Budgeting, and Execution
PM	Program Manager
PSA	Principal Staff Assistant
QDR	Quadrennial Defense Review
ROI	Return on Investment
SMP	Strategic Management Plan
SNaP-IT	Select and Native Programming Data Input Systems for Information Technology
U.S.C	United States Code
USD	Under Secretary of Defense

Appendix D: Integrated Business Framework tools

The Integrated Business Framework tools provide automation support to collect structured information relative to business strategies and OEPs.

The Functional Strategy module will enable consistent definition and alignment of strategic business objectives and initiatives. The module provides the alignment points for OEP data which can then provide linkage from strategic objectives to implementation decisions.

The unstructured OEP information previously submitted via spreadsheets and presentations will also be captured using the OEP module of the IBF tool. The OEP module allows for collection of data required for OEP submissions not contained within the other authoritative data sources (e.g., DITPR, SNaP-IT, BEA, PRCP) and avoids duplicate data entry.

The IBF tools are accessed from the internal BEA portal home page, <https://bea-ctools.osd.mil/ee/>. Documentation for the tools and specific data information collected by the tool is available on the BEA portal.



Figure 6 - Integrated Business Framework tools homepage

Appendix E: Portfolio Certification Request Memorandum – Template



DEFENSE ORGANIZATION
3000 DEFENSE PENTAGON
WASHINGTON, DC 20301-3000

MEMORANDUM FOR INVESTMENT REVIEW BOARD / DEFENSE BUSINESS
COUNCIL CHAIRPERSON

SUBJECT: Pre-Certification Authority Portfolio Certification Request for **[Enter Organizational Execution Plan Name]** Organizational Execution Plan

Request review and certification of Defense Business Systems investments with funding amounts of [Total Amount: Break out the exact dollar amount (\$M) request by Fiscal Year, and by development/modernization and current services, to three decimal places] as detailed within the Defense Information Technology Investment Portal. This investment in the portfolio is required to **[Summarize how it will improve performance, Warfighter support, satisfy a mandate, law, policy, regulation, or provide a critical capability].**

I verify that: the Defense Business Systems in the Organizational Execution Plan are included in the **[Component Name]** transition plan; the information contained in the Defense Information Technology Portfolio Repository (DITPR), the Defense Information Technology Investment Portal (DITIP), and the Integrated Business Framework – Data Alignment Portal (IBF-DAP) for the Defense Business Systems included in the Organizational Execution Plan has been updated and is verified to be complete and accurate; the budget data in the Select & Native Programming Data Input System for Information Technology (SNaP-IT) is verified to be complete and accurate; and risk-adjusted return on investment criteria were applied for each applicable Defense Business System modernization with a total cost over \$1,000,000.

I reviewed the Defense Business System programs in this Organizational Execution Plan and determined each program meets the conditions identified under title 10 U.S.C. section 2222(1). My determinations are identified in the attachment under the heading of “NDAA Compliance.”

During (a) previous Certification(s), condition(s) and/or action(s) **[was/were]** placed on the Organizational Execution Plan. **The first attachment lists these conditions and their current status.**

I recommend approval of this request. All required documentation has been forwarded for your review. My point of contact for questions about this submission is **[Full Name]** who may be reached at **[Phone Number]** or email at **[Email Address]**.

Pre-Certification Authority

Attachment 1: PRIOR IDM ACTIONS AND STATUS

Component	Portfolio	IDM Date	FY	Condition	Applicable DITPR ID(s)	Placed	Required By	Status	Completed
DBA	Financial Management	9/28/2012	2014	Document the plan to achieve Business Enterprise Architecture (BEA) compliance for those core DBS currently identified by the PCA as non-compliant.	18761	9/28/2012	10/28/2012	Plan submitted. Compliance achieved.	3/11/2013
DBA	Financial Management	9/28/2012	2014	All other IDM 30 day actions	All	9/28/2012	10/28/2012	Completed and reported.	10/26/2012
DBA	Financial Management	9/28/2012	2014	GAO-11-XXX recommended the IV&V agent be independent of all DBA ERP management, development, testing, and deployment activities.	24881	4/16/2011	2/16/2013	Independent IV&V agent implemented.	11/1/2012
DBA	Financial Management	9/28/2012	2014	Identify functionality in existing acquisition systems within the DBA as well as supporting Defense Agencies that may be subsumed within core DBA systems.	All	3/23/2012	6/28/2013	List submitted.	2/28/2013
DBA	Financial Management	9/28/2012	2014	All other IDM 90 day actions	All	3/23/2012	6/28/2013	Completed and reported.	1/28/2013

Appendix F: Mandatory Data Elements

DITPR Data Element	Description (Sample Data)	DITPR FORM
System Name	Full, un-abbreviated name of the system. <i>The SNaP-IT title and DITPR system name value must match.</i>	CORE
Acronym	A shortened or commonly used name or abbreviation (upper case) for this entry <i>The SNaP-IT acronym and DITPR value must match.</i>	CORE
DITPR ID	Number	CORE
BIN (authoritative Unique Investment Identifier from SNaP-IT)	Number Only one DBS can be matched with a BIN or an allowed exception code may be used. Exception codes allowed are 9991, 9992, 9993, 9994, 9995, 9996, 9997, and 9998, however see notes at the end of this Appendix for the use of code 9998.	CORE
Description	Complete description of system	CORE
System Component(Owner)	DBS System Owner	CORE
DBS	Yes, which signifies the system meets the definition of a defense business system.	CORE
System Association Relationship Type	Identification of association between individual systems, Other or Parent-Child. O - Other (default), C – Child, if applicable	CORE
POC	Includes Point of Contact Information (POC Name, email, and telephone) <ol style="list-style-type: none"> 1. Program Manager 2. PCA POC 3. MDA, as applicable 	POC
Total Users	Number of users (e.g. 0-250, 250-500, etc.)	CORE

DITPR Data Element	Description (Sample Data)	DITPR FORM
Business Function (Business Area)	<i>As best describes system role:</i> <ul style="list-style-type: none"> • Financial Management • Acquisition • Defense Security Enterprise • Logistics & Materiel Readiness • Installations & Environment • Human Resources Management • Security Cooperation • Enterprise IT Infrastructure • Other 	CORE
Transition Plan State	<ol style="list-style-type: none"> 1. Legacy (will be sunset within 36 months of certification date) 2. Core (will continue to operate beyond 36 of certification date) 	CORE
Use Modified COTS?	Yes or No	CORE
Lifecycle Phase: Start Date	<ol style="list-style-type: none"> 1. Material Solution Analysis 2. Technology Development 3. Engineering & Manufacturing Development 4. Production & Deployment 5. Operations & Support 	LIFECYCLE
Lifecycle Phase: End Date	<ol style="list-style-type: none"> 1. Material Solution Analysis 2. Technology Development 3. Engineering & Manufacturing Development 4. Production & Deployment 5. Operations & Support (for legacy systems, this is also the Sunset/Retirement/Decommission Termination Date) 	LIFECYCLE
Number of Interfaces to Other Systems	Specific number of interfaces to external systems. Select from drop-down list of range of values.	MISSION CRITICALITY
Using Components	Components/Commands that <u>use</u>	CORE

DITPR Data Element	Description (Sample Data)	DITPR FORM
	the DBS or will be using it in the future (Select all that apply from list, if applicable)	
Full/Partial Migration	This field indicates if the legacy migration is a full or partial migration. If the system is migrating only part of the functionality and/or some of its users to the target system, the migration is partial. Note: This field is used to produce the ETP. PCAs may not classify a DBS as legacy if the plan is to migrate partial capability.	LIFECYCLE
Migration Comment	This field is used if the Full/Partial Migration is set to 'Partial', or if no termination date is specified. It is used to describe the functionality or users that are not migrating to the target, or to describe why the system is not terminating.	LIFECYCLE
Target System Identifier	This is the DITPR ID for the target system to replace some or all of the functions and users of the legacy system.	LIFECYCLE
Migration End Date	The date in YYYYMMDD format that the migration to the specified target is to be complete.	LIFECYCLE
Standard Financial Information Structure (SFIS) compliance data	SFIS data fields, as applicable.	SFIS COMPLIANCE
Current Primary Hosting Environment, DoD Unique ID	Use DoD Enterprise IT Infrastructure for processing, storage and transport: <ol style="list-style-type: none"> 1. Migrate from system-specific IT infrastructure to Enterprise IT infrastructure at the first opportunity (e.g., with appropriate business case in conjunction with a technology refresh or contract expiration) 2. Comply with all DoD 	HOSTING ENVIRONMENT

DITPR Data Element	Description (Sample Data)	DITPR FORM
	<p>infrastructure requirements on stand-alone/program-specific infrastructure prior to migration to Enterprise IT Infrastructure</p> <p>3. If a DBS has a requirement that can only be satisfied by using commercial or mission partner IT infrastructure, these connections must follow the GIG waiver process</p>	
PK-Enabled	PK	INFORMATION ASSURANCE
PK-Enabled Reason	PK	INFORMATION ASSURANCE
<p>If not PK-enabled and not required by DoD policy, provide *Reason System is not required to be PK-Enabled</p> <p>If not PK-Enabled but is required to be PK-Enabled by DoD policy, provide *PK-Enable Expected Date and Waiver information</p>	PK	INFORMATION ASSURANCE
*HBSS-Enabled, HBSS Components Implemented, HBSS Not Required Explanation, HBSS Full Compliance Date	HBSS	INFORMATION ASSURANCE
IPv-6 Enabled	IPv6	INFORMATION ASSURANCE
Identifiable Info	Personally Identifiable Information (PII)	PIA/PA COMPLIANCE
Contains record data	Records management fields	COMPLIANCE RECORDS MANAGEMENT

SNaP-IT Data Element	Description (Sample Data)**
Investment Number (BIN)	Number <ul style="list-style-type: none"> - The Unique Identifier of an IT Investment. Must align 1:1 to the SNaP-IT Budget Identification Number (BIN) to the system in DITPR.
Title	The SNaP-IT title and DITPR system name value must match.
Acronym	The SNaP-IT acronym and DITPR acronym value must match.
Budget ID	Text <ul style="list-style-type: none"> - Indicates the actual budget submission of the resource record (e.g., FY13PB, FY14PB etc.).
Resources Organization Code	Text <ul style="list-style-type: none"> - The DoD Financial Management Structure (FMS) component codes (also used as Program Element (PE) suffix).
Resource Organization	Text <ul style="list-style-type: none"> - The organization acronym that corresponds to the Resources Organization Code.
Resource Bureau	Text <ul style="list-style-type: none"> - Identifies the Bureau of the resource record (Army, Navy, Air Force, or Defense-wide).
Funding Source	Text <ul style="list-style-type: none"> - Identifies the resource record as DoD base budget or Other Contingency Operations (OCO). All non-appropriated funds systems should be base budget.
Treasury Code	Text <ul style="list-style-type: none"> - Identifies the Treasury Code for the resource record.
BA Code	Text <ul style="list-style-type: none"> - Identifies the Budget Activity code for the resource record. - For Nonappropriated Funds Instrumentality (NAFI), this is not applicable.
BA Title	Text <ul style="list-style-type: none"> - The BA title that corresponds to the BA Code. - For NAFI, this is not applicable.
SNaP-IT Data Element	Description (Sample Data)**
PE	Text <ul style="list-style-type: none"> - Identifies the Program Element for the resource record. - For NAFI, this is not applicable.
PE Title	Text <ul style="list-style-type: none"> - The PE title that corresponds to the PE Code. - For NAFI, this is not applicable.
BLI Code	Text

	<ul style="list-style-type: none"> - Identifies the Budget Line Item code for the resource record. - For NAFI, this is not applicable.
BLI Title	Text <ul style="list-style-type: none"> - The BLI title that corresponds to the BLI Code. - For NAFI, this is not applicable.
Eight columns of data elements: <ul style="list-style-type: none"> - PY - CY - BY - BY+1 - BY+2 - BY+3 - BY+4 - BY+5 	Number in the FYDP Budget: <ul style="list-style-type: none"> - Required for Life-cycle Cost (LCC)
DM/CS	Text <ul style="list-style-type: none"> - Identifies the resource record as Dev/Mod or CS budget

DITIP Data Element	Description (Sample Data)***
FY	Budget year to be certified. For NAFI, the FY 2014 and other budget year start and end dates will not necessarily coincide with appropriated funds FY 1 October to 30 September dates.
DBSs Covered	This data will initially be generated from SNaP-IT data. Values are Yes or No. Yes if total for all resources for the FYDP years is equal to or greater than \$1M. Otherwise No.
Certification Cycle	Certification Cycle
Certification Request Amount	The certification request funding amount for the appropriate FY to be reviewed and certified by the DBC and approved by the DBSMC (DCMO as the Vice Chair).
Certification Approved Amount	The certification funding approved amount for the appropriate FY approved by the DBSMC (DCMO as the Vice Chair)
Comment – Certification Request Amount	Rationale justifying certain request amount, if required.
Comment – Certification Approved Amount	DCMO comment as to reason for approved amount, if required
Pre-Certification Authority (PCA) for DBS Program	Identify the appropriate PCA
*BEA Version	BEA version used for compliance must be 10.0. FY 2016 certification requests are to be based on BEA assessments performed using IBF-DAP. Mappings previously performed in

	DITPR will now be performed in IBF-DAP.
*BEA Compliant (NDAA Business Enterprise Architecture)	"Y-Assessed-Compliant" "N-Assessed-Not Compliant" "X-Assessment Not Completed" "L-Legacy (Not Required)" Overall DBS compliance with the BEA should be based on the outcomes of BEA compliance assessment performed in BCS.
*BPR Performed (NDAA Business Process Reengineering)	(Y/N) Appropriate BPR efforts have been undertaken to ensure that: <ol style="list-style-type: none">1. The business process supported by the DBS is (or will be) as streamlined and efficient as practicable; and The need to tailor COTS systems to meet unique requirements or incorporate unique interfaces has been eliminated or reduced to the maximum extent practicable.
*Critical Capability/Adverse Impact	NDAA Category: Critical Capability or Adverse Impact or Neither.
IBF-DAP Data Elements for BEA use	Description
Data Elements, depending on type of DBS	<ul style="list-style-type: none"> - Core DBSs must complete a BEA Compliance Assertion in IBF-DAP, which identifies and asserts compliance with all applicable compliance requirements contained in the BEA. - Legacy and nonappropriated funds DBSs are not required to assert compliance with applicable BEA requirements, but they are required to perform mappings in IBF-DAP to applicable BEA Operational Activities, Business Capabilities, Processes, System Functions, and E2Es.

* New Data Element

** For Nonappropriated Funds Instrumentalities, certain SNaP-IT data do not apply, as noted

***DITIP is new

Notes:

- Certification funding dollar amount requests will be entered into DITIP.
- For systems requiring migrations, the Lifecycle Phase: Start Date and End Date data is also required for the migrating systems and the systems receiving the migrating functionality (source and target systems).
- Migration data (e.g., Full/Partial Migration) should be provided for each migration.
- In order to complete the “Full/Partial Migration,” “Migration Comment,” “Target System Identifier,” and “End Migration Date” fields, the ETP Migration Tab does allow a user to enter a migration for DBS regardless of the Transition Plan State. To enter a migration, the user must press the “EDIT TARGET SYSTEM” button on the Enterprise Transition Plan Tab. This button is controlled by an obsolete field: “Role in DoD ETP.” The values for this

field are “Legacy,” “Enterprise Target,” “Component Target,” and “Medical Target.” If the “Role in DoD ETP” field is not “Legacy,” the user must:

- Ensure that the “Role in DoD ETP” question “Is the System in the Enterprise Transition Plan?” is “Y in the ETP.”
- Change the “Role in the DoD ETP” to “Legacy,” enter the migration, and if desired, change the role back to its previous value (“Enterprise Target,” “Component Target,” and “Medical Target”).
- Systems in DITPR must align 1:1 to the unique SNaP-IT Budget Identification Number (BIN), and names and acronyms must match, with the exception of 9993 (Federal Contractor Incidental), 9994 (Base Realignment and Closure (BRAC)), 9995 (Crypto/C2/SAP/Intel), and 9997 (U.S. Army Corps of Engineers -Civil Works), and in the DITIP they will be identified by their exception BIN code and their DITPR ID. BIN 9990 is not permitted for DBSs in DITPR, as these systems must be registered in SNaP-IT and therefore have a unique BIN.
- Select data will be pulled from DITPR and SNaP-IT to generate and pre-populate the DITIP data for certification requests. This data includes the BEA, BPR, Critical Capability - Adverse Impact, functional area, and system acronyms, as well as budget amounts. For DBSs in DITPR with no budget amounts in SNaP-IT, DITIP will generate the ability to enter DM and CS certification amounts.

Appendix G: Investment Decision Memorandum – Sample



DEPUTY CHIEF MANAGEMENT OFFICER
9010 DEFENSE PENTAGON
WASHINGTON, DC 20301-9010

Date

MEMORANDUM FOR THE UNDER SECRETARY OF THE ARMY

SUBJECT: Army Organizational Execution Plan (OEP), Investment Decision Memorandum, for Acquisition Defense Business Systems (DBSs)

References: (a) Defense Business Systems Investment Management Process Guidance, dated June 29, 2012
(b) Title 10 U.S.C. section 2222 (as amended by Fiscal Year (FY) 2015 National Defense Authorization Act Section 901)
(c) Department of Defense (DoD) Business Enterprise Architecture: Compliance Guide, dated March 08, 2013
(d) DoD Business Process Reengineering Assessment Guidance, dated September 28, 2012

Purpose: The Army requests the Defense Business Council (DBC) to review and certify 10 DBS investments of \$50M as identified in the acquisition chapter of the Army OEP in accordance with reference (a). The Defense Business Council (DBC) / Investment Review Board (IRB) convened a series of reviews in accordance with reference (b) to assess the Acquisition portfolio in the Army's OEP and recommended certification to the DBSMC. The Pre-Certification Authority (PCA) is the Honorable {*Army Chief Management Officer*}.

Decisions:

- The 8 DBS investments identified in the attachment are certified in the specific amounts indicated within DITIP for a total not to exceed \$45M. The 2 DBSs totaling \$5M are currently unfunded and therefore are conditionally certified. The investment for a new business system will be considered at a future DBC and was not certified.
- The Army PCA must return to the DBSMC via the DBC / IRB to request certification for any Acquisition business system investments that meet the criteria of references (a) and (b) that are not identified in the attachment.
- Certification authority may be revoked if the tasking and actions identified in this IDM are not completed within established timelines.

Tasking / Action Items:

- Within 45 days of the date of this IDM:
 - Document the plan to achieve Business Enterprise Architecture (BEA) compliance for those core DBSs currently identified by the PCA as non-compliant. Plans for non-compliant core DBSs shall be in accordance with reference (c) and include cost and schedule estimates to become compliant by March 2014. BEA compliance includes compliance with all applicable laws, regulations and policies, Financial Management Improvement Guidance rules, business rules, data attributes, and the Standard Financial Information Structure (SFIS) checklist.
 - Document the plan to achieve Business Process Re-Engineering (BPR) compliance for those core DBSs currently identified by the PCA as non-compliant. BPR compliance should be done in accordance with the BPR standard identified in reference (d).
 - Update the Department of Defense Information Technology Portfolio Repository (DITPR) to reflect a DBS entry for Army's Standard Procurement System (SPS) investment and include the parent-child relationship to the Defense Logistics Agency DBS for SPS (DITPR ID #431).
- Within 90 days of the date of this IDM:
 - Identify functionality in existing acquisition systems within the Army as well as supporting Defense Agencies that may be subsumed within core Army systems.
 - In support of the Department's financial audit efforts, identify Army acquisition systems to be used to support the Army Statement of Budgetary Resources efforts in 2014 and full audit in 2017.
 - For all DBSs aligned to the Acquisition functional area, update the appropriate data fields identified within appendix (f) of reference (a) in the DITPR and the Select and Native Programming Data Input Systems for Information Technology (SNaP-IT). Ensure the DITPR lifecycle dates (used for sunset information) and SNaP-IT FY 2014 President's Budget (used for lifecycle costs) is updated.
 - For all Army acquisition systems with a sunset date during the period of the Future Years Defense Program (FYDP) identify the target Acquisition systems that will replace the legacy system.
- As part of the FY 2016 President's Budget process:
 - For each of the DBS, update SNaP-IT information to match the certification decision and notify the DoD DCMO in writing upon completion. In addition, ensure Prior Year (FY 2013) amounts reflect actual obligations.

- For the legacy Acquisition DBS with funding beyond FY 2017, remove all funding beyond the sunset date of the system.
- Record funding amounts in SNaP-IT for systems funded with working capital funds / nonappropriated funds.

Discussion: The Army is making a robust effort to improve contract management and become audit ready in support of DoD financial audit readiness goals in 2014 and 2017. The target system environment, including those that support critical contracting and payment processes, must be ready to support these goals. Together we will validate that target contract and financial systems are aligned with data standards such as the Procurement Data Standards while enabling interoperability and seamless integration within and between business system portfolios. Initial reviews of acquisition and financial management portfolios suggest that overlaps in processes and capabilities exist. It is important to identify enterprise wide BPR opportunities that reduce cost and complexity in the financial management and acquisition portfolios while meeting the department's business goals including the financial audit.

It is my intent to revalidate PCA compliance assertions for a sample of DBSs within this portfolio to ensure quality control of the investment review process and inform necessary changes to the BEA.

Point of Contact: The point of contact for these investment management decisions is Mr. Defense Business Council, who may be reached at (703) 555-1212 and IRB.Support.Staff@osd.mil.

Deputy Chief Management Officer
Chairman, Investment Review Board

Attachment:
As stated

Appendix H: ACART Memorandum



DEPUTY CHIEF MANAGEMENT OFFICER
 9010 DEFENSE PENTAGON
 WASHINGTON, DC 20301-9010

JAN 22 2013

MEMORANDUM FOR SECRETARIES OF THE MILITARY DEPARTMENTS
 CHAIRMAN OF THE JOINT CHIEFS OF STAFF
 UNDER SECRETARIES OF DEFENSE
 COMMANDERS OF THE COMBATANT COMMANDS
 DIRECTOR, COST ASSESSMENT AND PROGRAM EVALUATION
 DIRECTOR, OPERATIONAL TEST AND EVALUATION
 GENERAL COUNSEL OF THE DEPARTMENT OF DEFENSE
 INSPECTOR GENERAL OF THE DEPARTMENT OF DEFENSE
 ASSISTANT SECRETARIES OF DEFENSE
 DEPARTMENT OF DEFENSE CHIEF INFORMATION OFFICER
 ASSISTANTS TO THE SECRETARY OF DEFENSE
 DIRECTOR, ADMINISTRATION AND MANAGEMENT
 DIRECTOR, NET ASSESSMENT
 DIRECTORS OF THE DEFENSE AGENCIES
 DIRECTORS OF THE DOD FIELD ACTIVITIES

SUBJECT: Single Business Enterprise Architecture Compliance Process and Tool

The purpose of this memorandum is to establish the requirement to use a single process and associated tool to assess Business Enterprise Architecture (BEA) compliance of all covered Defense Business Systems (DBS).

Section 901 of the Fiscal Year 2012 National Defense Authorization Act (FY 2012 NDAA), now codified in title 10, U.S.C. § 2222, requires that all covered DBS be assessed for compliance with the BEA prior to receiving certification to obligate funding of greater than \$1,000,000 over the period of the current Future-Years Defense Program (FYDP). Additionally, the Defense Business System Investment Management Process Guidance of June 29, 2012, specifies that Investment Review Board (IRB) certification reviews and decisions shall be based on information documented within the Department's authoritative sources, such as the Department of Defense Information Technology Portfolio Repository (DITPR) and the Select and Native Programming Information Technology (SNaP-IT) system.

The Department of Defense (DoD) Business Enterprise Architecture Compliance Guidance of March 2011, discusses two possible alternatives for performing BEA compliance assessments: a manual process or; the use of a Deputy Chief Management Officer provided tool. The manual process has proven to be suboptimal and therefore, in order to ensure compliance assessments are performed in a consistent and rigorous manner, all future BEA compliance assessments shall be performed via a single process and associated tool. Making use of a single compliance assessment process and tool will have the additional benefit of creating a new authoritative data source of BEA compliance assessment information, which will be leveraged as part of future IRB / DBC certification reviews. Beginning with IRB / DBC certifications of



FY14 funding, all BEA Compliance assessments will be conducted using the single assessment process and tool.

The current tool, to be used by all covered DBS for assessing BEA compliance is ACART, which is available at <https://acart.osd.mil>. It should be noted that DITPR is not designed to serve the purpose or function of assessing BEA compliance and it is not approved for this usage. Detailed information about the single and consistent process for assessing BEA compliance of all DBS via ACART is provided in the attached document, Assessing Defense Business Systems for BEA Compliance.

My point of contact for the BEA is Mr. Michael Jacobs, michael.jacobs@osd.mil, 571-372-2990.



Elizabeth A. McGrath

Attachment:
As stated

Appendix I: References and Resources

Links to reference and resources, including data repositories, are provided below. Public websites do not require authorized access. All other links require a CAC; further authorization is required to access DoD data repositories such as DITPR, SNAP-IT, DITIP, and IBF-DAP.

- **DCMO** <http://dcmo.defense.gov/> (DCMO's public website)
- **DBC/IRB** [http://dcmo.defense.gov/governance/Defense Business Council Charter - 18 October 2012.pdf](http://dcmo.defense.gov/governance/Defense%20Business%20Council%20Charter%20-%2018%20October%202012.pdf)
 - **OEPs** [https://dcmo.osd.mil/coi/ibf/Lists/FY14%20OEP%20Submission%20Process/FY14 Annual%20and%20OOC Submissions.aspx](https://dcmo.osd.mil/coi/ibf/Lists/FY14%20OEP%20Submission%20Process/FY14%20Annual%20and%20OOC%20Submissions.aspx)
 - **IDMs** <https://dcmo.osd.mil/coi/ibf/Lists/FY14%20OEP%20Submission%20Process/Signed%20IDMs.aspx>
- **SMP** <http://dcmo.defense.gov/publications/strategic-management-plan.html>
- **BEA** <http://dcmo.defense.gov/products-and-services/business-enterprise-architecture/>
 - **ACART** <https://acart.osd.mil/>
- **BPR** <http://dcmo.defense.gov/products-and-services/business-process-reengineering/>
 - **Problem Statement portal link** <https://dcmo.osd.mil/coi/PS/PPS/SitePages/Home.aspx>
- **The FY 2014 Enterprise Transition Plan** is the result of the FY 2014 investment management process. The following link takes you to the ETP homepage: <https://dcmo.osd.mil/coi/ETP/FY14/SitePages/ETP-FY14.aspx>
- **The Integrated Business Framework** The link below provides access to Functional Strategies, OEPs and IDMs. It is only for CAC-registered users.
 - <https://dcmo.osd.mil/coi/ibf/default.aspx>
 - Contact: osd.pentagon.odcmo.mbx.irb-support-staff@mail.mil for OEP submissions, OOC submissions, and related correspondence.
 - Contact: osd.pentagon.odcmo.mbx.irb-support-staff@mail.mil for questions regarding this guidance or the OEP.

DoD authoritative data sources: Access these data repositories if more information is required. Additional access privileges are required for each repository.

- **DITPR** <https://ditpr.dod.mil/dodcio/DITPR/MenuDITPR.cfm>
- **SNaP-IT** <https://snap.cape.osd.mil/snapit>

- **DITIP** <https://snap.cape.osd.mil/ITPortal>
- **IBF-DAP** <https://bea-ertools.osd.mil/ee/request/home>