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JAN 2 6 2009

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

SUBJECT: Directive-Type Memorandum (DTM) 08-020, "Investment Review Board (IRB) Roles and Responsibilities"

References: See Attachment 1

Purpose. This DTM implements section 2222 of title 10, United States Code (Reference (a)), establishes policy, and defines the expanded roles and responsibilities of IRBs for review and oversight of defense business capabilities and systems. This DTM incorporates and cancels the IRB Concept of Operations and Deputy Secretary of Defense memorandum (References (b) and (c)). The current IRB User Guidance (Reference (d)) should be reviewed for IRB process information not present in Attachments 2, 3, and 4 of this document. In accordance with this DTM, IRB charters shall be updated immediately. This DTM is effective immediately; it shall be converted to a new DoD Instruction within 180 days.

Applicability. This DTM applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies,

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the DoD Field Activities, and any other organizational entities in the Department of Defense (hereafter referred to collectively as the "DoD Components").

Policy. It is DoD policy to align business capability needs and investment and acquisition reviews to satisfy oversight responsibilities using the IRB and Defense Business System Management Committee (DBSMC) governance structure. Pursuant to section 2222 of Reference (a):

- Responsibility is delegated for the review, approval, and oversight of the planning, design, acquisition, deployment, operation, maintenance, and modernization of defense business systems as follows:
    - The Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) shall be responsible and accountable for any defense business system the primary purpose of which is to support acquisition, logistics, or installations and environment activities.
    - The Under Secretary of Defense (Comptroller) (USD(C)) shall be responsible and accountable for any defense business system the primary purpose of which is to support financial management or strategic planning and budgeting activities.
    - The Under Secretary of Defense for Personnel and Readiness (USD(P&R)) shall be responsible and accountable for any defense business system the primary purpose of which is to support human resource management activities.
    - The Assistant Secretary of Defense for Networks and Information Integration/DoD Chief Information Officer (ASD(NII)/DoD CIO) shall be responsible and accountable for any defense business system the primary purpose of which is to support information technology infrastructure or information assurance activities.
    - The Deputy Secretary of Defense shall be responsible and accountable for any defense business system the primary purpose of which is to support any activity of the Department of Defense not covered by the delegations above.
- These officials delegated system oversight responsibility are designated as Certification Authorities (CA) for their assigned areas of responsibility. The CAs are the Approval Authorities designated in section 2222 of Reference (a), and have the responsibilities assigned in that section to the Approval Authorities.

Responsibilities. See Attachment 2.

Roles. See Attachment 3.

Releasability. This DTM is approved for public release and is available on the Internet from the DoD Issuances Web Site at http://www.dtic.mil/whs/directives.

Gordon England
Deputy Secretary of Defense

Attachments:
1 – References
2 – Responsibilities
3 – Roles
4 – IRB Charter Description

# ATTACHMENT 1

## REFERENCES

(a) Sections 186 and 2222 of title 10, United States Code
(b) "DoD IT Business Systems Investment Review Process: Investment Review Board Concept of Operations," July 12, 2006 (hereby canceled)
(c) Deputy Secretary of Defense memorandum, "Delegation of Authority and Direction to Establish an Investment Review Process for Defense Business Systems," March 19, 2005 (hereby canceled)
(d) "DoD IT Business Systems Investment Review Process: Investment Certification and Annual Review Process User Guidance," July 12, 2006
(e) Section 1341(a)(1)(A) of title 31, United States Code
(f) Chairman of the Joint Chiefs of Staff Instruction 3170.01F, "Joint Capabilities Integration and Development System," May 1, 2007
(g) DoD Instruction 5000.02, "Operation of the Defense Acquisition System," December 8, 2008

ATTACHMENT 2

RESPONSIBILITIES

1. HEADS OF THE DoD COMPONENTS. The Heads of the DoD Components shall:

a. Designate a DoD Component Pre-Certification Authority (PCA) who is accountable for the Component's business system investments and compliance to the DoD Enterprise Architecture (EA) for defense business systems and specific business mission extensions in the federated enterprise architecture as defined by the CA. However, there shall not be more than one PCA per Component, per CA. (See Attachment 3.)

b. Ensure DoD Component business system certifications are in compliance with section 2222(a) of Reference (a) and with applicable DoD policy and guidance. Pursuant to section 2222 of Reference (a), obligation of DoD funds for a defense business system modernization that will have a total cost in excess of $1 million and that has not been certified and approved in accordance with that section, is a violation of section 1341(a)(1)(A) of title 31, U.S.C. (Reference (e)).

c. Ensure an annual review of all DoD Component business systems has been conducted and, no later than the end of each fiscal year, submit a report to the cognizant IRBs listing those Component business systems for which an annual review has been performed during the fiscal year.

d. Verify that business systems are recorded accurately in the DoD Component and enterprise transition plans as required.

e. Designate DoD Component members for each IRB in accordance with the cognizant IRB's charter. The designated IRB member(s) or a senior level (Senior Executive Service or flag officer) or equivalent Government representative shall represent the Component in the cognizant IRB.

f. Provide a copy of the DoD Component PCA designation letter to the IRB Chair upon initiation or a change in the office serving as the Component PCA.

g. Ensure DoD Component processes and procedures shall be consistent with applicable laws, regulations, and this DTM.

2. CHAIRMAN OF THE JOINT CHIEFS OF STAFF. The Chairman of the Joint Chiefs of Staff (CJCS), in addition to the responsibilities in paragraph 1 of this attachment, shall

determine a business system's joint potential designator in accordance with CJCS Instruction 3170.01F (Reference (f)).

3. CA. The CAs shall:

a. Establish and charter one or more IRBs, as appropriate. (See Attachment 4.)

b. Serve as or designate the Chair of the IRB(s) within their purview. (See Attachment 3.)

c. Determine the membership of each chartered IRB, in coordination with DoD Components and appropriate DoD officials.

d. Provide oversight for their respective IRB(s).

e. Establish criteria by which their respective IRBs will recommend to the DBSMC that a program or initiative be designated an enterprise solution.

f. Determine criteria and required supporting documentation by which their respective IRB(s) shall assert or ascertain compliance with the DoD EA for defense business systems.

g. Define the strategic objectives, policies, enterprise level capabilities and architecture products, and transition plans for their areas of responsibility.

h. Review IRB certification recommendations; certify defense business system modernizations with total cost exceeding $1 million, in accordance with section 2222(a) of Reference (a); and submit a memorandum to the DBSMC listing those modernizations certified for DBSMC approval. The CA is the final decision authority over IRB certification recommendations.

i. Ensure an annual review has been conducted for all defense business systems.

j. Ensure that the policy in this DTM is implemented by all IRBs within their purview. Exceptions must be approved by the DBSMC.

# ATTACHMENT 3

## ROLES

1. IRB CHAIRS. The IRB Chairs shall:

a. Under the direction of their respective CAs, support the DBSMC in exercise of its responsibilities under section 186 of Reference (a).

b. Provide oversight of business capabilities as described in their charters. Review, assess, and recommend business capabilities and business system investments necessary for the Department of Defense to achieve its strategic goals and enterprise requirements, to improve its operational integration and effectiveness, and to ensure timely and cost-effective capability delivery.

c. Advise the USD(AT&L) or other OSD official serving as the Milestone Decision Authority (MDA) for business Major Automated Information System (MAIS) acquisition programs and provide the organizational structure to facilitate issue resolution and support the MDA.

d. Ensure executive staff reflecting those disciplines (including acquisition, legal, federated enterprise architecture, and testing) necessary for a comprehensive and rigorous acquisition review shall contribute to acquisition recommendations for business MAIS investments in support of the MDA.

e. Review and recommend approval of milestone requests for business MAIS to the appropriate MDA through the CA.

f. Review and recommend to the CA all certifications of defense business system modernizations with total cost exceeding $1 million in accordance with section 2222(a) of Reference (a).

g. Ensure an IRB annual review has been conducted for all defense business modernizations certified by the CA and approved by the DBSMC, in accordance with section 2222(g)(2)(B) of Reference (a).

h. Refer non-materiel solutions affecting the enterprise to the appropriate DoD official.

i. Ensure timely coordination and adjudication of documentation with appropriate IRBs and/or IRB members and enterprise representatives prior to presentation to the IRB.

j. Designate, when appropriate, specific systems as Interest Programs and define IRB review requirements for those systems.

2. IRB MEMBERS. IRB members shall:

a. Act as advisors to the IRB Chair and provide support in the execution of the Chair's responsibilities.

b. Provide functional and acquisition input to the IRB Chair.

c. Recommend to the IRB Chair certification of business systems and approval of acquisition and investment documents.

d. Notify the IRB of the DoD Component points of contact for applicable documentation.

3. DoD COMPONENT PCA. The DoD Component PCA shall:

a. Assess and pre-certify DoD EA compliance of systems submitted for certification and annual review to the IRBs.

b. Review and approve all DoD EA compliance plans. Approval is dependent on compliance with DoD EA for defense business systems.

c. Ensure all required documentation is available for IRB review prior to the IRB meeting.

d. Submit a memorandum for each defense system seeking certification asserting that it is compliant with the DoD EA and that information pertaining to it has been entered into the DoD authoritative systems inventory.

4. DoD COMPONENT ACQUISITION EXECUTIVE (CAE). The CAE for business MAIS for which an OSD official is the MDA shall provide a written statement to the MDA through the cognizant IRB that:

a. States the program is compliant with applicable statutory and regulatory requirements as articulated in DoD Instruction 5000.02 (Reference (g)).

b. Describes any conditions or issues applicable to the requested acquisition decision.

c. Recommends approval of the acquisition decision request.

# ATTACHMENT 4

## IRB CHARTER DESCRIPTION

1. CHARTER COMPOSITION. Each IRB shall have a charter (see Figure 1) that describes:

a. The IRB's mission and purpose.

b. The roles and responsibilities of its membership.

c. Membership composition.

d. General operational guidelines.

e. The IRB's administrative support requirements.

2. SECTIONS OF THE IRB CHARTER

a. Section I. States the authority under which it has been established. The IRB's full name and acronym shall be used in this section.

b. Section II. Describes the IRB's mission and purpose.

c. Section III. Describes the IRB's roles and responsibilities for the business mission functional area managed by the CA as specified in section 2222(f) of Reference (a).

d. Section IV. Defines the membership of the IRB and lists its DoD Component members.

(1) The IRB Chair shall be the CA or designee as specified by section 2222(f) of Reference (a) for the functional area managed by the IRB.

(2) An Executive Secretary shall be designated.

(3) All members shall be Federal Government employees.

e. Section V. Describes the operational guidelines that shall be adhered to by the IRB.

f. Section VI. Designates the organization that will provide administrative support to the IRB.

g. Section VII. Designates the name and title of the CA whose signature is on the IRB's charter.

# Figure 1. Sample IRB Charter

**___[IRB NAME]___**

**INVESTMENT REVIEW BOARD (IRB) CHARTER**

**I. ESTABLISHMENT**

The **___[IRB name]_(IRB Acronym)___** was established by the Certification Authority (CA) to execute business capabilities, business management and business transformation oversight responsibilities in accordance with section 2222 of title 10, United States Code.

**II. MISSION/PURPOSE**

To provide an effective, functionally knowledgeable and integrated business transformation framework that provides leadership, defines functional requirements, eliminates duplicative efforts and enables rapid delivery of necessary business capabilities aligned to enterprise goals and priorities via the federated enterprise architecture.

**III. IRB ROLES AND RESPONSIBILITIES**

The **___[ CA title]___** exercises oversight responsibilities for defense business systems that support activities and business management and business transformation in accordance with the "Investment Review Board Roles and Responsibilities".

The IRB shall consider both materiel and non-materiel requirements and make recommendations to the Defense Business System Management Committee (DBSMC) via the IRB Chair and the appropriate DoD official within the context of other DoD investments (enterprise and Component).

**IV. MEMBERSHIP** (All representatives must be Federal Government employees)

A. **Chair: ___[CA title]___** or a government official designated by the Chair.

B. **Executive Secretary: [Title or Name]** The Executive Secretary's role is to ensure the meeting is conducted in accordance with established procedures.

C. **IRB Members:** The following organizations shall provide one senior level (Senior Executive Service, flag officer, or equivalent) Government representative who shall participate in IRB deliberations (for acquisition reviews, Members shall include a representative from Office of General Counsel (OGC) and Director, Operational Test and Evaluation (DOT&E)):

- **[LIST MEMBERS]**

D. **Advisory Members:** Associate Members from designated DoD Components represent their Service, Component, or Defense Agency viewpoints during discussions. They are:

- **[LIST MEMBERS]**

**V. GENERAL IRB GUIDELINES**

A. The IRBs shall meet monthly or as required. When mutually beneficial, IRBs may conduct joint meetings in order to facilitate cross functional reviews.

B. The Chair shall have final decision-making authority for all recommendations to the CA or other appropriate DoD officials.

C. The Chair may designate business capabilities and/or systems of interest and determines the level of review to be applied throughout their lifecycle.

**VI. IRB ADMINSTRATIVE SUPPORT**

The **___[state organization and directorate]___** shall act as the lead staffing and support organization for this IRB and shall provide IRB meeting planning, execution and documentation support, as well as provide a direct liaison with DoD Component Pre-Certification Authorities and their support staffs on IRB requirements.

**VII. EFFECTIVE DATE**

This Charter is effective immediately and supersedes all previous Charters for this IRB.

Approved: _____

**[Title]**

*Name:*
*Title:*