DEPARTMENT OF THE NAVY
COMMANDER, NAVY INSTALLATIONS COMMAND
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WASHINGTON NAVY YARD, DC 20374-5140

CNICINST 2000.4
N6
15 May 2012

CNIC INSTRUCTION 2000.4

From: Commander, Navy Installations Command

Subj: ENTERPRISE GOVERNANCE FOR INFORMATION TECHNOLOGY

Ref: (a) DoD Directive 8115.01 of 10 Oct 2005
(b) DoD Instruction 8115.02 of 30 Oct 2006
(c) CNIC Manual Information Technology Procurement Request (ITPR) Process Review Guidance of 5 Dec 2011
(d) CNICINST 4280.1
(e) DON CIO Memo, Architecture v2.1.000 of 8 Apr 2010
(f) DoD Instruction 7000.14 of 3 March 2006

Encl: (1) Investment Review Board Organizational Construct
(2) Investment Review Process Narrative & Flow Chart
(3) Life Cycle Management Process Narrative & Flow Chart
(4) Business Case Analysis Template
(5) Investment Review Board Threshold Model Template
(6) Investment Review Board Concept Brief Template
(7) Investment Review Board Prioritization Model Template
(8) Investment Review and Planning, Programming, Budgeting, & Execution Interface

1. Purpose. To define and establish CNIC Enterprise Governance for Information Technology (EG-IT) policy consistent with the guidance presented in references (a) and (b).

2. Background. Information Technology (IT) can improve Commander, Navy Installation Command's (CNIC's) ability to support its constituents by sustaining the fleet, enabling the fighter, and supporting the family. IT governance is critical as CNIC continues to enhance its capabilities through the development and implementation of IT. EG-IT integrates CNIC strategy and planning to utilize available IT in new and innovative ways that effectively enable CNIC to accomplish its goals. This instruction was developed to:

a. Establish the composition, function, and responsibilities of the CNIC IT Investment Review Board (IRB)

and its supporting entities. Enclosure (1) depicts the IRB organizational construct.

b. Establish CNIC's framework for reviewing, approving, developing, and managing IT. Enclosures (2) and (3) present the sequence of events and activities associated with the IT investment review and life cycle management processes. Enclosures (4) through (7) present the templates designed to facilitate the IT investment review process. These templates include: a Business Case Analysis (enclosure (4)), an IRB Threshold Model (enclosure (5)), an IRB Concept Brief (enclosure (6)), and an IRB IT Prioritization Model (enclosure (7)).

c. Present the relationship between the IT investment review and the Planning, Programming, Budgeting, and Execution (PPBE) processes (enclosure (8)).

d. Confirm IT investments support long term strategic objectives. An IT investment as referenced throughout this instruction is defined as a new capability, an enhancement to an existing capability, and sustainment of an existing capability. This instruction applies to all CNIC applications, systems, and data investments that are funded by CNIC.

e. Control expenditures on IT related products by ensuring IT investments are reviewed, approved, and managed in accordance with DoD and DON IT best practices.

f. Prevent duplicative IT investments.

g. Ensure CNIC IT investments comply with Department of Defense (DoD) and Department of Navy (DON) enterprise architecture standards.

h. Guide the effective management of IT, including control of the design and development phases.

i. Support the CNIC IT Procurement Request Review process as described in reference (c). G2 link: https://g2.cnic.navy.mil/tscnichq/N6/S1/Documentation/CNIC%20Manual%20Information%20Technology%20Procurement%20Request%20(ITPR)%20Process%20Review%20Guidance%20dated%205%20Dec%202011.pdf. Region CNIC Information Technology Services (N6) Chief Information Officers (CIOs) are responsible for reviewing and

approving or disapproving IT investment requests that are less than or equal to $25,000. IT investment requests for line items greater than $25,000 will be reviewed and approved by CNIC HQ N6 CIO. The investment will be evaluated by CNIC's IRB if the investment cost is greater than $500,000 and the product or service impacts CNIC operations.

3. Policy. References (a) and (b) establish policy and assign responsibilities for the management of DoD IT investments as portfolios that improve DoD capabilities and mission outcomes. These references establish an IT investment review and life cycle management framework for analyzing, selecting, controlling, and maintaining IT investments.

4. Responsibilities

a. CNIC HQ Strategy & Future Requirements (N5) is responsible for:

(1) Providing overall coordination for the Program Objectives Memorandum (POM) data collection and analysis including the coordination of CNIC N-Code/Special Assistant (SA) input to Resource Sponsor 4 (RS4).

(2) Analyzing IT execution results against planned and programmed amounts to inform future IT planning and programming activities.

(3) Overseeing IT procurement in accordance with the CNIC Contract Advisory Board (CAB) Process through their Contract Acquisition and Management Office as per reference (d).

b. CNIC HQ N6 Information Technology & Command and Control (IT & C2) is responsible for the following portfolio management activities:

(1) Reviewing investment requests and validating the requested investment is not duplicative.

(2) Coordinating with the Office of the Chief of Naval Operations (OPNAV) Functional Area Managers (FAMs) and validating the investment complies with FAM requirements.

(3) Developing standardized portfolio management processes.

(4) Performing annual IT reviews in accordance with DON and DoD policy.

(5) Maintaining accurate records in the Department of the Navy Application and Database Management System (DADMS) and the Department of Defense Information Technology Portfolio Repository – Department of the Navy (DITPR-DON).

c. CNIC HQ N6 IT & C2 is responsible for the following enterprise architecture activities:

(1) Reviewing investment requests and validating the requests adhere to DoD and DON technical and data standards, as presented in reference (e).

(2) Reviewing and recommending IT investment requests that do not require IRB approval.

(3) Ensuring appropriate technology and business groups are involved in the design phase.

(4) Determining which technical decisions require additional configuration control (i.e. information assurance evaluations) and coordinating those controls as appropriate.

(5) Reviewing the detailed design document to ensure the capability will adhere to DoD and DON architecture standards before the capability is developed.

(6) Validating the capability to be developed as designed.

d. CNIC HQ N6 IT & C2 is responsible for other enterprise IT activities such as:

(1) Supporting capability product testing.

(2) Ensuring project installations are planned and leveraging in-place enterprise solutions (i.e. Service Delivery Points and CNIC Support Center).

(3) Establishing and maintaining a detailed process to manage, track, and report on investments.

(4) Overseeing the design, development, maintenance, and retirement of approved IT capabilities and investments.

e. CNIC HQ Financial Management/Comptroller (N8) is responsible for:

(1) Validating the existence of a budget sufficient to address the cost of the requestor’s IT investment.

(2) Working with the requestor to match available resources against shore readiness requirements and coordinating with the requestor on funding-specific issues (i.e. incremental funding).

(3) Processing funding authorization and validating accuracy of encumbrance documentation.

(4) Ensuring the funding process adheres to established appropriation laws and guidance, as defined in reference (f).

f. The Investment Review Board (IRB) is responsible for:

(1) Scheduling regular IT investment reviews that align with the POM process. Enclosure (8) presents the integration of the POM and Investment Review processes.

(2) Scheduling special IRB meetings as necessary. Special IRB meetings can be scheduled to accommodate emergency situations, appeal requests, Congressional mandate reviews, Office of the Secretary of Defense actions, and other requests that are deemed necessary for special consideration.

(3) Developing and maintaining a threshold model for requestors to use to determine when an IT investment requires IRB approval.

(4) Maintaining mechanisms and tools to collect, evaluate, and prioritize IT investments.

(5) Maintaining standard briefing templates and procedures to facilitate presentations to the IRB.

(6) Responding to investment requests in a timely manner and providing justification when requests are not approved.

g. Headquarters, region, and installation program directors are responsible for reviewing, validating, and prioritizing initiatives along with their IT components.

h. IT requestors are responsible for:

(1) Identifying, requesting, and budgeting for IT investments.

(2) Collaborating as needed with internal and external stakeholders (including but not limited to other commands, N-Codes/SAs, regions, and installations) to gather sufficient information on the desired capability, and to ensure all appropriate stakeholders are involved in the scoping effort.

(3) Preparing comprehensive IT business case analyses and performing quality control reviews of the business case before submitting investment requests to the IRB.

(4) Submitting final investment requests on-time (based on the schedule developed by the IRB).

(5) Leading the development of IT capability design and project management documents.

(6) Adhering to financial management and CAB requirements during the IT procurement phase.

(7) Managing IT investments to ensure proper control over the development phase.

(8) Ensuring functional personnel receive proper training when deploying the IT capability.

(9) Adhering to portfolio management requirements during the operations and maintenance phase and maintaining proper security protocols.

(10) Managing the retirement of capabilities and their corresponding data.

5. Action

a. The CNIC Director of Plans and Programs will act as chair of the IRB.

b. CNIC HQ N5 will:

(1) Participate in the IRB.

(2) Provide strategy, planning, programming, and acquisition subject matter experts to support the IT investment review and life cycle management processes.

b. CNIC HQ N6 IT & C2 will:

(1) Participate in the IRB.

(2) Provide Enterprise Architecture, Portfolio Management, and Release Management and Information Assurance subject matter experts to support the IT investment review and life cycle management processes.

(3) Provide Capability Development, Investment Life Cycle Management subject matter experts to support the IT investment review and life cycle management processes.

b. CNIC HQ N8 will:

(1) Participate in the IRB.

(2) Provide financial management, budget, and execution subject matter experts to support the IT investment review and life cycle management processes.

W. D. FRENCH
Vice Admiral, U. S. Navy

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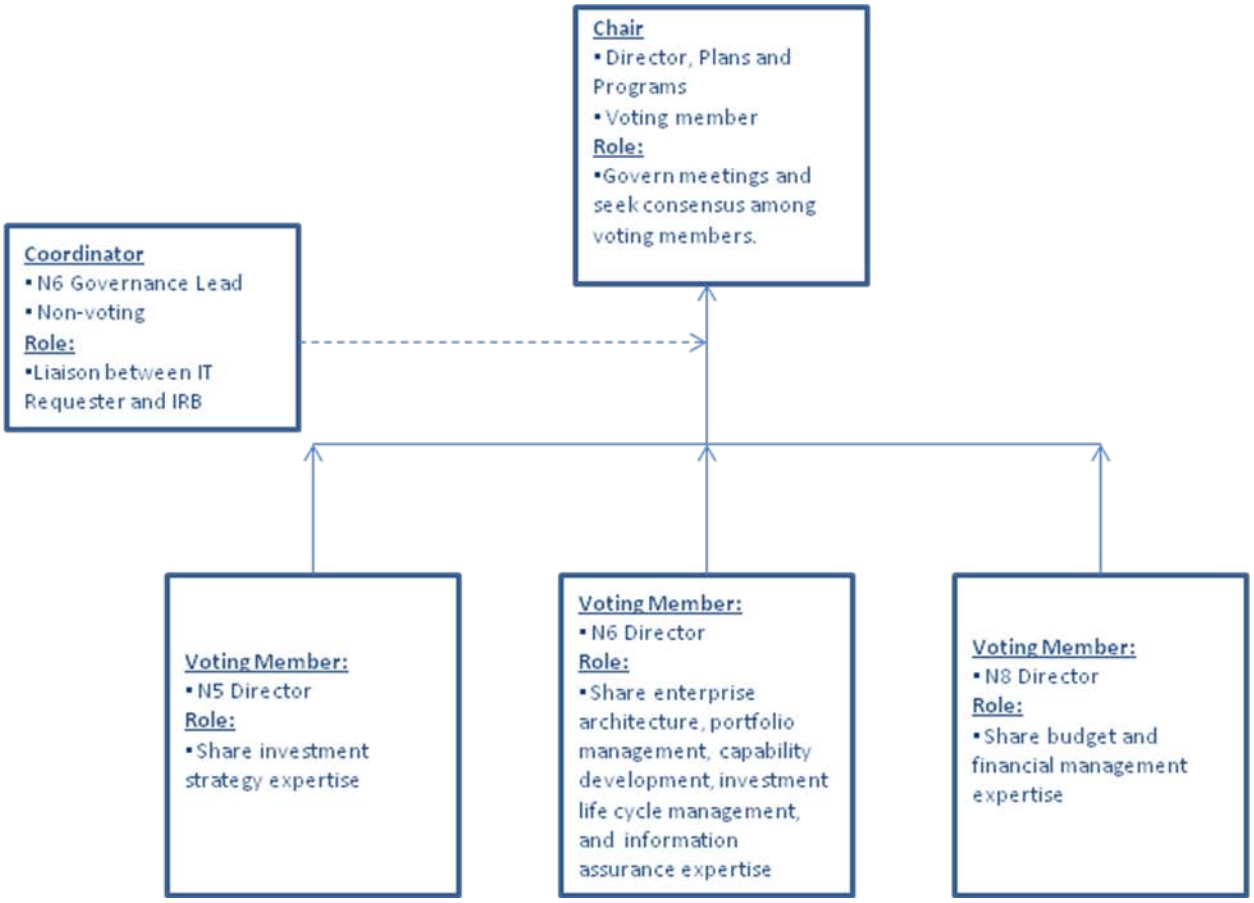
INVESTMENT REVIEW BOARD ORGANIZATIONAL CONSTRUCT

The Investment Review Board (IRB) includes the CNIC Director of Plans and Programs as chair; voting members from multiple CNIC N-Codes/Special Assistants (SAs), and a Coordinator. The following figure presents the IRB organizational construct, the N-Codes/SAs that will participate in the IRB, and the role each N-Code/SA will perform.



INVESTMENT REVIEW PROCESS NARRATIVE & FLOW CHART

The information technology (IT) investment review process consists of requests, reviews, and subsequent approvals of IT capabilities. The process requires multiple workstreams to coordinate and communicate. The following narrative describes the IT investment review process, sub-processes, control activities, and communication channels. A flow chart is presented at the end of the narrative to depict the sequence of events. The investment review process begins when a Requestor identifies a business need for an IT capability.

1.0 The Requestor prepares a list of capability requirements and sends the list to N6 Portfolio Management (PfM).

1.1 PfM compares the requirements list to the capabilities documented in the Department of the Navy Application and Database Management System (DADMS) and the Department of Defense Information Technology Portfolio Repository – Department of the Navy (DITPR-DON). PfM determines if a capability exists in DON's portfolio to meet the business need and notifies the Requestor.

1.2 The Requestor prepares a business case analysis and a capability requirements document for internal review. The amount of information presented in these documents will depend on the complexity and availability of the capability.

1.3 The requested capability undergoes an Installation and/or Regional Program Director (RPD) review. The RPD validates the investment. In addition, the RPD determines if the investment should be pursued in the execution year as an unplanned requirement, or if the investment should be submitted in the Program Objectives Memorandum (POM). Region Validated Requirements (RVR) continue to the next step.

1.4 Strategy & Future Requirements (N5) coordinates the Enterprise Validation Requirement (EVR) process. This process includes activities associated with a reconciliation of component model and region validated requirements, a review board evaluation of requirements, and the development of readiness assessment briefs. The

goal of the EVR is to construct a balanced set of program initiatives in response to the guidance and priorities of the Department of Defense (DoD) Joint Programming Guidance. The IT investment is evaluated based on its capacity to improve CNIC's ability to support its constituents – by sustaining the Fleet, enabling the Fighter, and supporting the Family.

1.5 The Requestor determines if the investment needs to be approved by the Office of the Secretary of Defense (OSD). The obligation of funds for a defense business system in excess of $1 million is prohibited without certification from OSD and approval by the Defense Business Systems Management Committee (10 U.S.C 2222). The process continues to step 1.5.1 if OSD approval is required. The process continues to step 1.6 if OSD approval is not required.

1.5.1 The Requestor executes the DoD Business Enterprise Architecture Compliance Assertion Process.

1.6 The Requestor determines if the investment requires CNIC Investment Review Board (IRB) approval. The Requestor will use the IRB threshold model to determine if an IRB review is required. The threshold model is used to analyze a number of risk factors in order to calculate overall investment risk. The process continues to step 4.0 if the investment does not require IRB approval. The business case analysis and capability requirements document are sent to PfM if the investment requires IRB approval (the process continues to step 2.0).

2.0 PfM receives and reviews the business case analysis and capability requirements document. PfM records the capability, if it is an application, in DADMS as "proposed for development". PfM contacts the appropriate Office of the Chief of Naval Operations (OPNAV) Functional Area Manager (FAM) to analyze compliance factors. The Requestor is notified if the requested capability does not meet all of the required standards (the process reverts to the beginning). The process continues to the next step if the investment meets the FAM requirements.

2.1 PfM signs the Requestor's business case, recommends approval, and notifies N6 Enterprise Architecture (EA).

2.2 EA receives and reviews the business case analysis and capability requirements document to determine if the request aligns with DoD and DON technical standards (including: business, performance, data, technology, and service standards). The Requestor is notified if the investment does not meet all of the required standards (the process reverts to the beginning). The process continues if the investment meets the required standards.

2.3 EA signs the Requestor's business case, recommends approval, and notifies Comptroller (N8) Financial Management and Budget (FMB).

2.4 FMB receives and reviews the business case analysis and determines if the investment is needed in the current year. If the investment is needed in the current year, FMB determines if a budget exists to support the Requestor's investment. A budget review is not necessary if the investment is a future requirement (intended for the POM). The investment proposal continues to the next step regardless of the availability of funds, because the capability may be of high strategic, operational or mission priority and the IRB may decide to realign funding to acquire it.

2.5 FMB signs the Requestor's business case, documents the existence of a budget to support the investment, and notifies the Requestor.

2.6 The Requestor receives pre-IRB approval, prepares an IRB concept brief, and sends the business case, capability requirements document, and the IRB concept brief to the IRB.

3.0 The Requestor presents the investment to the IRB. The IRB will meet regularly to evaluate and prioritize IT investments for execution year funding and to provide input to the final CNIC approved POM requirement.

3.1 The IRB reviews and prioritizes the investment. The IRB performs this evaluation using the information provided

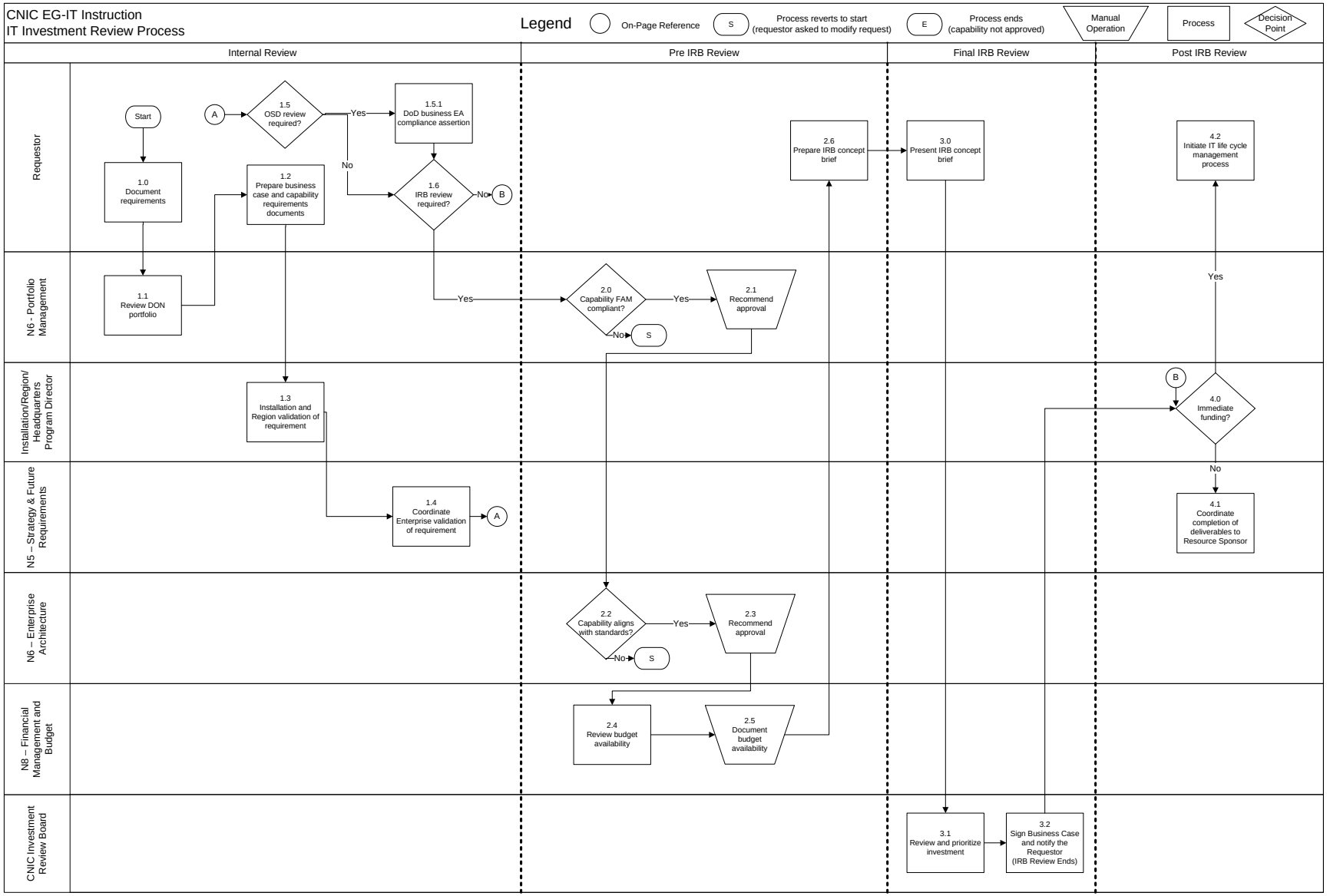
by the Requestor and the pre-IRB reviewers, and the information presented in the N5 initiatives list. The IRB determines if the investment should be approved, deferred to the next IRB meeting, or rejected. The process continues to step 3.2 if the investment is approved.

3.2 The IRB signs the business case and notifies the Requestor of approval.

4.0 The Headquarters Program Director (HPD) determines if the investment should be funded in the execution year or submitted to the Resource Sponsor as a future requirement. The process continues to step 4.1 if the investment is a future requirement. The process continues to step 4.2 if the investment will be funded in the execution year.

4.1 N5 coordinates the completion and review of deliverables to the POM Resource Sponsor. The process will continue to step 4.2 when the Requestor receives a budget for the investment.

4.2 The Requestor initiates the IT life cycle management process.


CNIC EG-IT Instruction
IT Investment Review Process
Legend
On-Page Reference
Process reverts to start (requestor asked to modify request)
Process ends (capability not approved)
Manual Operation
Process
Decision Point
Internal Review
Pre IRB Review
Final IRB Review
Post IRB Review
Requestor
N6 - Portfolio Management
Installation/Region/ Headquarters Program Director
N5 – Strategy & Future Requirements
N6 – Enterprise Architecture
N8 – Financial Management and Budget
CNIC Investment Review Board
Start
1.0 Document requirements
1.1 Review DON portfolio
1.2 Prepare business case and capability requirements documents
1.3 Installation and Region validation of requirement
1.4 Coordinate Enterprise validation of requirement
A
1.5 OSD review required?
Yes
No
1.5.1 DoD business EA compliance assertion
1.6 IRB review required?
No
B
Yes
2.0 Capability FAM compliant?
Yes
No
S
2.1 Recommend approval
2.2 Capability aligns with standards?
Yes
No
S
2.3 Recommend approval
2.4 Review budget availability
2.5 Document budget availability
2.6 Prepare IRB concept brief
3.0 Present IRB concept brief
3.1 Review and prioritize investment
3.2 Sign Business Case and notify the Requestor (IRB Review Ends)
4.0 Immediate funding?
B
No
4.1 Coordinate completion of deliverables to Resource Sponsor
Yes
4.2 Initiate IT life cycle management process

LIFE CYCLE MANAGEMENT PROCESS NARRATIVE & FLOW CHART

The IT life cycle management process describes the activities of converting an IT capability request into a viable application or system. The IT life cycle management process requires multiple workstreams to coordinate and communicate. The following narrative describes the IT life cycle management process, sub-processes, control activities, and communication channels. A flow chart is presented at the end of the narrative to depict the sequence of events.

The complete life cycle management process presented below is required for investments that were reviewed and approved by the IRB. Legacy applications and systems are not required to follow all of the life cycle management activities presented below (certain phases are no longer applicable). The IT life cycle management process begins after an IT investment proposal is approved for funding. The N6 team monitors the entire life cycle management process and ensures the Requestor performs the appropriate activities before continuing to the next phase.

1.0 The Requestor prepares design and project management documents to direct, monitor, and control the life cycle management phases.

1.1 The Requestor determines if the capability can be purchased as an “off-the-shelf” investment or if the capability needs to be developed, and sends the design and planning documents to N6 Capability Development (CD).

1.2 CD reviews the Requestor’s requirements and determines if the capability can be developed by CNIC. The process continues to step 1.3 if the capability can be developed internally. The Requestor submits a Contract Advisory Board (CAB) request to the Strategy and Future Requirements (N5) Contract Acquisition Management Office (CAMO) in accordance with the CAB process if the capability cannot be developed internally (process continues to step 1.2.1).

1.2.1 Comptroller (N8) Financial Management and Budget (FMB) supports the Requestor in determining the appropriate funds to use.

1.2.2 CAMO oversees the procurement of design services via the CAB process.

1.2.3 The vendor refines the detailed design document and recommends the components necessary to meet the business need. The Requestor sends the revised detailed design document to N6 Enterprise Architecture (EA) (the process continues to step 1.4).

1.3 CD refines the detailed design document and recommends the components necessary to meet the business need. CD sends the revised detailed design document to N6 Enterprise Architecture (EA).

1.4 EA reviews the detailed design document and verifies the design complies with DoD and DON technical and data requirements. In addition, EA validates the designed components are registered in the Department of Navy Application and Database Management System (DADMS). The Requestor submits a CAB request to CAMO in accordance with the CAB process if the design complies with architecture standards (the process continues to step 1.5). The detailed design document is returned to the Requestor if the design does not comply.

1.5 FMB supports the Requestor in determining the appropriate funds to use.

1.6 CAMO oversees the procurement of the IT components via the CAB process.

1.7 The Requestor prepares and sends a Phase-End Status Report to ILM.

2.0 The “off-the-shelf” components are integrated by CD or a vendor, and/or the technology and system are developed by CD or a vendor. The Requestor oversees the development phase and ensures the project progresses on schedule and within budget. The developer notifies the Requestor when development is complete.

2.1 The Requestor asks for assistance from EA to evaluate the design of the completed capability. EA evaluates the

capability and determines if it was developed as designed. The process continues to step 2.2 if the architecture is consistent with the original design. The developer is asked to make the appropriate modifications if the architecture is not consistent with the original design.

2.2 The Requestor asks for assistance from N6 Release Management (RM) to evaluate the performance of the completed capability. RM evaluates the capability and determines if it performs according to the performance requirements published in the detailed design document. The process continues to step 2.3 if the performance is consistent with the original design. The developer is asked to make the appropriate modifications if the capability does not perform as designed.

2.3 The Requestor, with support from Information Assurance (N64), completes the DoD Information Assurance Certification and Accreditation Process (DIACAP).

2.4 The Requestor releases the capability to a select group of users to determine if the capability is ready for full-scale deployment. The Requestor prepares and sends a Phase-End Status Report to ILM.

3.0 The Requestor, assisted by RM, deploys the capability to the workforce, notifies N6 Portfolio Management (PfM), and prepares and submits a Phase-End Status Report to ILM.

3.1 PfM records the capability, if it is a new system, in the Department of Defense Information Technology Portfolio Repository – Department of the Navy (DITPR-DON).

4.0 The Requestor monitors the performance of the capability over the capability’s lifecycle and responds to situations in accordance with the maintenance manual.

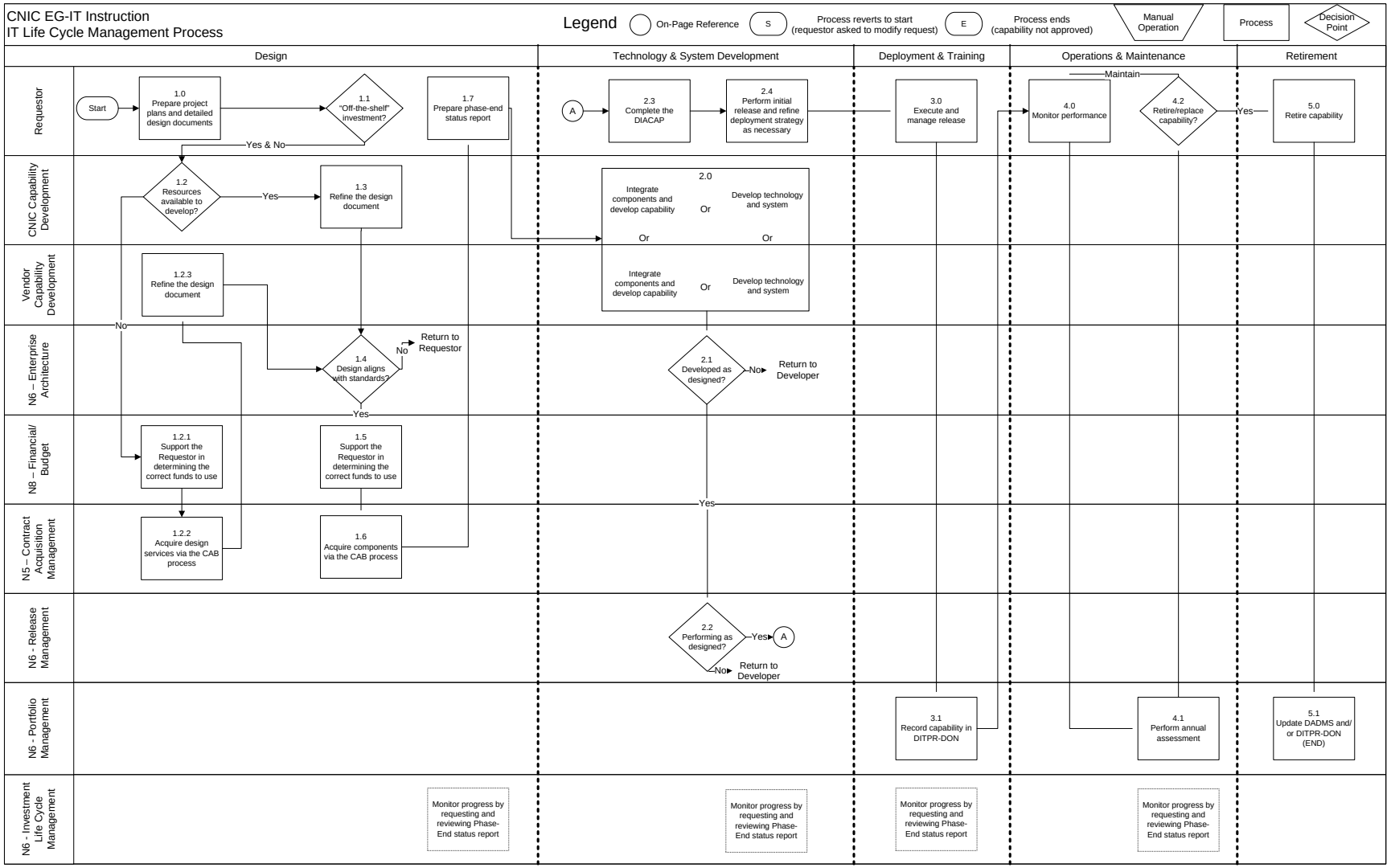
4.1 PfM performs annual assessments of the capability in accordance with DoD and DON policy.

4.2 The Requestor determines if the capability should be retired, replaced, maintained or modernized. The process continues to step 5.0 if the capability should be retired. Operations and maintenance continue if the Requestor

decides to maintain the capability as-is (process reverts to step 4.0). The investment review process is initiated if the Requestor chooses to modernize the capability. The Requestor prepares and sends a Phase-End Status Report to ILM.

5.0 The Requestor retires the capability and notifies PfM.

PfM updates application status in DADMS and/or system status in DITPR-DON.


CNIC EG-IT Instruction
IT Life Cycle Management Process
Legend
On-Page Reference
S
Process reverts to start (requestor asked to modify request)
E
Process ends (capability not approved)
Manual Operation
Process
Decision Point
Design
Technology & System Development
Deployment & Training
Operations & Maintenance
Retirement
Requestor
CNIC Capability Development
Vendor Capability Development
N6 – Enterprise Architecture
N8 – Financial/ Budget
N5 – Contract Acquisition Management
N6 - Release Management
N6 - Portfolio Management
N6 - Investment Life Cycle Management
Start
1.0 Prepare project plans and detailed design documents
1.1 "Off-the-shelf" investment?
Yes & No
1.2 Resources available to develop?
Yes
No
1.3 Refine the design document
1.2.3 Refine the design document
1.4 Design aligns with standards?
No
Return to Requestor
Yes
1.2.1 Support the Requestor in determining the correct funds to use
1.5 Support the Requestor in determining the correct funds to use
1.2.2 Acquire design services via the CAB process
1.6 Acquire components via the CAB process
1.7 Prepare phase-end status report
A
2.3 Complete the DIACAP
2.4 Perform initial release and refine deployment strategy as necessary
2.0
Integrate components and develop capability
Or
Develop technology and system
Or
Or
Integrate components and develop capability
Or
Develop technology and system
2.1 Developed as designed?
No
Return to Developer
Yes
2.2 Performing as designed?
Yes
A
No
Return to Developer
3.0 Execute and manage release
3.1 Record capability in DITPR-DON
Maintain
4.0 Monitor performance
4.2 Retire/replace capability?
Yes
4.1 Perform annual assessment
5.0 Retire capability
5.1 Update DADMS and/ or DITPR-DON (END)
Monitor progress by requesting and reviewing Phase-End status report
Monitor progress by requesting and reviewing Phase-End status report
Monitor progress by requesting and reviewing Phase-End status report
Monitor progress by requesting and reviewing Phase-End status report

BUSINESS CASE ANALYSIS TEMPLATE

A standard Business Case Analysis template will facilitate a consistent and unbiased review and, in requests requiring IRB approval, ensure that a minimum, standard set of prerequisite information has been collected. The following template presents the minimum information needed in an IT business case.

Requestor Information

Name: _____

Telephone: _____

Email: _____

Installation/Region/N-Code _____

General Information

New capability, enhance, or sustain? _____

Type of investment:

Hardware ☐ Infrastructure ☐ Radio ☐

Peripherals ☐ Software/application ☐ Other ☐

Project/Application Name: _____

Version: _____

List alternate versions in use: _____

DADMS ID #: _____

DoD DITPR #: _____

DITSCAP certified? _____

Authorization to operate: _____

System security accreditation agreement: _____

Network the capability will run on: _____

Security classification: _____

Functional Information

Functional area: _____

Business process supported: _____

Mission criticality: _____

Mission assurance category: _____

User Information

Number of users: _____

User locations: _____

Location of hosting facility: _____

Procurement Information

Acquisition category _____

Competitive, sole source, or other: _____

System operation: _____

License type: _____

Number of licenses: _____

Schedule and Cost	Start Date	End Date	Total Cost
Design:			
Technology & system development:			
Deployment & training:			
Operations & maintenance:			
Retirement:			
TOTAL:			**$0**

Funding Availability

Did you submit this requirement in the Program Objectives Memorandum (POM)?:

Do you plan to acquire this investment in the execution year? How do you plan to fund this investment if you did not POM?:

Business Case: The business case should align with CNIC's mission statement, its long-term goals and objectives and annual performance plans. The goals should be measurable.

Identify the strategic goal(s) this project supports: Enable Warfighter Readiness ☐ Take Care of Our People ☐ Support Tomorrow's Force ☐

Explain how the project supports the strategic goal(s) identified above:

Identify the gap in the current business process (what drove the decision to develop this business case?):

Explain the programs, platforms, and activities that are enhanced and supported by the investment:

Explain the benefits, and expected performance of this investment (performance requirements should focus on improved customer satisfaction, work force accuracy, productivity, responsiveness, and reliability):

List the investment(s) that will be replaced:

List the alternative investments evaluated:

Compare/contrast this investment with the alternatives (compare benefit, cost, and risk):

High-Level Benefit Analysis

Time to benefits: _____

Strategic importance: _____

Window of opportunity: _____

Regulatory compliance: _____

High-Level Risk Analysis

Project complexity: _____

Project maturity: _____

Number of processes impacted: _____

Number of departments impacted: _____

Interdependencies: _____

Resource requirements: _____

Access to information: _____

Assumptions and Constraints: Include organizational, technical, process, and execution considerations

Identify project assumptions: _____

Identify project constraints: _____

Pre-IRB Review

Portfolio Management Reviewer:

Approve/Request Additional Information/Reject: Explain recommendation…

Recommendation:

Signature:

Date:

Enterprise Architecture Reviewer:

Approve/Request Additional Information/Reject: Explain recommendation…

Recommendation:

Signature:

Date:

Financial Management & Budget Reviewer:

Explain funding availability…

Recommendation:

Signature:

Date:

Final IRB Review

IRB Chair

Approve/Defer/Reject:
Explain recommendation…

Recommendation:

Signature

Date:

The following table presents the drop-down options available in the Business Case Analysis template (not every field in the template has a fixed set of options).

Business Case Analysis Options and Definitions
New Capability, Enhance, or Sustain
New Capability
Enhancement
Sustainment
Type of Investment
Hardware - desktops, laptops, servers and network storage devices
Peripherals - printers, monitors, external hard drives, fax and scanners, multi-function devices, internal hard drives
Infrastructure - router, switches, cablings, backup and storage, special appliances (i.e. Pix Firewall)
Software/application - Any off the shelf application that can be run on a hardware device, that already has an OS, without relying on another application. Additionally, databases with the underlying database program (i.e. Oracle or SQL), portals and their underlying applications (i.e. MS SharePoint), any application that runs on an appliance and regularly receives updates (i.e. Cipher Trust Iron Mail, Snap Mirror), 'plug-ins'/"add-ons", and operating systems that can be installed on a hardware device.
Radio - both tactical and non-tactical
Other - computer connected test equipment, multi-function devices, digital cameras, personal digital assistants, computer connected projectors, Blackberry's, combination Blackberry-cell phone, stand-alone cell phones
DITSCAP
Not certified
Certified at a single site
Certified at multiple sites
Authorization to Operate
None
ATO - Authorization to operate
IATO - Interim authorization to operate
IATT - Interim authorization to test
System Security Accreditation Agreement
SSAA
TSSAA
None
Network the Capability will Run On
NMCI
SIPRNet
NIPRNet
IT21
BLII
Other
Security Classification
Classified
Sensitive
Public
Functional Area
Acquisition
Administrative Management
Command and Control
Defense & National Security
Energy Management
Enterprise Services
Environmental & Natural Resource Management
Financial Management
Health
Human Resource Management
Information Technology Management
Intelligence
Legal
Logistics
Medical
Meteorology, Oceanography, Geospatial Information and Services
Modeling and Simulation
Precise Time and Astronomy
Resources, Requirements and Assessments
Scientific and Technical
Supply Chain Management
Test and Evaluation
Training and Education
Weapons Planning and Control

Business Case Analysis Options and Definitions
Business Process Supported
Access to Care
Accounting
Agricultural Innovation and Services
Air Transportation
Asset and Liability Management
Benefits Management
Billing
Budget Execution
Budget Formulation
Collectibles and Receivables
Community and Regional Development
Conservation, Marine and Land Management
Construction
Consumer Safety
Contingency Planning
Cost Accounting and Performance Measurement
Crime Prevention
Criminal Incarceration
Criminal Investigative and Surveillance
Criminal Rehabilitation
Data & Statistics
Disaster Monitoring and Prediction
Disaster Preparedness and Planning
Disaster Repair and Restore
Emergency Response
Employee Performance Management
Employee Relations
Energy Conservation and Preparedness
Energy Production
Energy Resource Management
Energy Supply
Enterprise Architecture
Environmental Monitoring and Forecasting
Environmental Remediation
Facilities Management
Fleet and Equipment Management
Funds Control
Goods Acquisition
Grants/Loans Management
Ground Transportation
Health Advancement
Health Care Administration
Health Care Delivery Services
Health Care Research and Practitioner Education
Help Desk Services
Human Resource Development
Human Resource Strategy
Information Management
Information Systems Security
Infrastructure Maintenance
Inspections and Auditing
Intelligence Analysis & Production
Intelligence Collection
Intelligence Planning and Direction
Inventory Control
Intellectual Property Protection
Key Asset and Critical Infrastructure Protection
Labor Relations
Legal Investigation
Lifecycle Management
Logistics Management
Manufacturing
Operational Defense
Organization and Position Management
Payments
Payroll Management and Expense Reimbursement

Business Case Analysis Options and Definitions

Personnel Management
Policy and Guidance Development
Pollution Prevention and Control
Population Health Management
Postal Service
Property Protection
Real Property Management
Records Retention
Recreational Resource Management and Tourism
Reporting and Information
Scientific and Technological Research and Innovation
Security Management
Separation Management
Services Acquisition
Social Services
Space Exploration and Innovation
Staff Acquisition
Strategic National and Theatre Defense
Strategic Planning
System Development
System Maintenance
Tactical Defense
Travel
Water Resource Management
Water Transportation
Workforce Planning
Workplace Policy and Development Management

Mission Criticality

Mission Support
A system that is neither mission critical nor mission essential
Mission Essential
A system that meets the definition of information system in 40 U.S.C. 1452, that the acquiring Component Head or designee determines is basic and necessary for the accomplishment of the organizational mission
Mission Critical
A system that meets the definitions of information system and national security system in 40 U.S.C. 1452, the loss of which would cause the stoppage of warfighter operations or direct mission support of warfighter operations

Mission Assurance Category

MAC I
Systems handling information that is determined to be vital to the operational readiness or mission effectiveness of deployed and contingency forces in terms of both content and timeliness. The consequences of loss of integrity or availability of a MAC I system are unacceptable and could include the immediate and sustained loss of mission effectiveness.
MAC II
Systems handling information that is important to the support of deployed and contingency forces. The consequences of loss of integrity are unacceptable. Loss of availability is difficult to deal with and can only be tolerated for a short time. The consequences could include delay or degradation in providing important support services or commodities that may seriously impact mission effectiveness or operational readiness.
MAC III
Systems handling information that is necessary for the conduct of day-to-day business, but does not materially affect support to deployed or contingency forces in the short-term. The consequences of loss of integrity or availability can be tolerated or overcome without significant impacts on mission effectiveness or operational readiness. The consequences could include the delay or degradation of services or commodities enabling routine activities.

Acquistion Category

ACAT IA
Program costs/year (all appropriations) > $32 million in FY 2000 constant dollars, or
Total program costs > $126 million in FY 2000 constant dollars, or
Total life-cycle costs > $378 million in FY 2000 constant dollars, or
Milestone Decision Authority designation as special interest.
ACAT III
Program costs/year ≥ $15 million ≤ $32 million in FY 2000 constant dollars, or
Total program costs ≥ $30 million ≤ $126 million in FY 2000 constant dollars, or
Total life-cycle costs ≤ $378 million in FY 2000 constant dollars.
ACAT IVT
Program costs/year < $15 million, or
Total program costs < $30 million, or
Total life-cycle costs ≤ $378 million in FY 2000 constant dollars.
Abbreviated Acquisition Program
Program costs/year < $15 million, and
Total program costs < $30 million

Business Case Analysis Options and Definitions
System Operation
Government Owned Government Operated
Government Owned Contractor Operated
Contractor Owned Contractor Operated
Contractor Owned Government Operated
Other
License Type
Commercial Computer Software
Commercial Technical Data
Government Purpose Rights
Limited Rights
Other
Restricted Rights
Specifically Negotiated
Unlimited Rights
Time to Benefits
Creates benefits in 12 months or less
Creates benefits in 12 to 24 months
Creates benefits in more than 24 months
Strategic Importance
Low - Assigned support team will respond to an issue using standard procedures and operate within normal supervisory management structures
Medium - Assigned support team will respond immediately to an issue, assess the current situation and may interrupt other staff working lower priority issues to assist in timely restoration of services
High - Response to an issue will include an immediate and sustained effort using all available resources until the incident is resolved
Window of Opportunity
Project will not be realizable, or only with a significant increase in risk after 1 year
Project will not be realizable, or only with a significant increase in risk after 3 years
Project will not be realizable, or only with a significant increase in risk after 5 years
Regulatory Compliance
Required to comply with current regulatory requirements
Required to comply with impending regulatory requirements
Required to operate in accordance with government best practices
Project Complexity
One or two technical systems are impacted or project planning, coordination and execution are straightforward
Three to five technical systems are impacted or project planning, coordination and execution are moderately difficult
More than five technical systems are impacted or project planning, coordination and execution are complicated
Project Maturity
Similar projects have been realized
Certain similar elements have been realized
No similar projects have been realized
Interdependencies
There is no external dependency for the project
There are weak dependencies or other projects are dependent on the successful realization of this project
The project depends on the successful realization of other external projects
Resource Requirements
The necessary skill sets are readily available
Requires skill sets that are difficult to obtain in CNIC but are easily available in the marketplace
Requires skill sets that are difficult to obtain in CNIC and in the marketplace
Access to Information
The capability does not support browser-based/external access
The capability supports browser-based/external access but only users affiliated with DoD will have access to information
The capability supports browser-based/external access and users not affiliated with DoD will have access to information
* Affiliation would include a contractual-based relationship; a long standing working/mission oriented relationship; or based on eligibility for military service-related benefits. Veterans and family members/survivors are considered DoD-affiliated.

INVESTMENT REVIEW BOARD THRESHOLD MODEL TEMPLATE

The IRB will not review and approve every new IT capability, enhancement, or sustainment request. Utilization of the IRB will be based on risk thresholds. The following template presents a proposed risk threshold model. The model evaluates the financial, resource, and business impacts associated with the requested investment. The information recorded in the model should be consistent with the information presented in the Business Case Analysis.

Table 1 presents an example of the information a Requestor will record in the model (the model includes drop-down options). Table 2 presents the options available in the model and their corresponding risk score.

Risk Metric	Requestor Recorded Information
Life Cycle Cost	$1,000,001
Scope	Impacts more than three processes and/or departments
Complexity	More than five technical systems are impacted or project planning, coordination and execution are complicated
Maturity	No similar projects have been realized in the past
Resources	Requires skill sets that are difficult to obtain in CNIC and in the marketplace
Interdependencies	The project depends on the successful realization of other external projects
Access to Information	The capability supports browser-based/external access and users not affiliated* with DoD will have access to information
Weighted Average (Auto-Calculate):	**5.0**
Decision (Auto-Calculate):	**Send Business Case to IRB**
Note: Only include costs that will be funded by CNIC. For example, if the life cycle cost of an application is $600,000 and NAVFAC plans to fund 50% of the application – the life cycle cost recorded in the model is $300,000.	

Table 1. Illustrative Threshold Model

Risk Options	Score
Life Cycle Cost	
<$500,000	1
>=$500,000 and <=$1,000,000	3
>$1,000,000	5
Scope	
Impacts one process and/or department	1
Impacts two to three processes and/or departments	3
Impacts more than three processes and/or departments	5
Complexity	
One or two technical systems are impacted or project planning, coordination and execution are straightforward	1
Three to five technical systems are impacted or project planning, coordination and execution are moderately difficult	3
More than five technical systems are impacted or project planning, coordination and execution are complicated	5
Maturity	
Similar projects have previously been realized	1
Certain similar elements have been realized in previous projects	3
No similar projects have been realized in the past	5
Resources	
The necessary skill sets are readily available	1
Requires skill sets that are difficult to obtain in CNIC but are easily available in the marketplace	3
Requires skill sets that are difficult to obtain in CNIC and in the marketplace	5
Interdependencies	
There is no external dependency for the project	1
There are weak dependencies or other projects are dependent on the successful realization of this project	3
The project depends on the successful realization of other external projects	5
Access to Information	
The capability does not support browser-based/external access	1
The capability supports browser-based/external access but only users affiliated* with DoD will have access to information	3
The capability supports browser-based/external access and users not affiliated* with DoD will have access to information	5
* Affiliation includes a contractual-based relationship; a long standing working/mission oriented relationship; or eligibility for military service-related benefits. Veterans and family members/survivors are considered DoD-affiliated.	

Table 2. Available Options and Risk Scores in the Threshold Model

INVESTMENT REVIEW BOARD CONCEPT BRIEF TEMPLATE

The IRB Concept Brief will enable Requestors to present benefits, risks, and risk mitigation plans to the IRB. The Brief will be a PowerPoint presentation. The following pages present the template.

Agenda

- Introduction
- Problem Statement
- Business Case
- Benefit Analysis
- Initial Plan of Action
- Cost Analysis
- Risk Analysis
- Risk Mitigation Plan
- Closing Remarks
- Appendix

1

Introduction

Requestor name: _____

Requestor Installation/Region/N-Code: _____

Investment name: _____

New capability, enhancement, or sustainment: _____

Status of investment in DADMS and/or DITPR-DON: _____

2

Problem Statement

Identify the gap in the current business process (what drove the decision to develop a business case?)...

3

Business Case

Estimated number of users: _____

Explain how the investment supports the business function and the gains the investment will enable: …

Investment that will be replaced: _____

Explain how this investment outperforms alternative solutions: …

4

Benefit Analysis

Evaluate the speed with which the project generates benefits and the benefits that will be gained. Counted from the start of spending to the date when benefits are first realized

- Creates benefits in…
- Benefits include a reduction of # FTEs…

Discuss the strategic importance of this investment

- The project supports the following whole goals…
- Response to issues will include the following…

Evaluate the timeframe within which the project must be realized to capture its value

- Project will not be realizable, or only with a significant increase in risk after…

Evaluate the necessity of the project to comply with current or future regulatory requirements

- Required to comply with…

5

Initial Plan of Action

	Task	Timeframe*	FTEs
Design	xx	xx	xx
Technology & System Development	xx	xx	xx
Deployment & Training	xx	xx	xx
Operations & Maintenance	xx	xx	xx
Retirement	xx	xx	xx
Other	xx	xx	xx

* Use a specific timeframe – i.e. days, weeks, months, etc.

6

Cost Analysis

	Current Year (CY)	CY +1	CY +2	CY +3	CY +4	CY +5	CY +6
Design	$	$	$	$	$	$	$
Development	$	$	$	$	$	$	$
Deployment & Training	$	$	$	$	$	$	$
Operations & Maintenance	$	$	$	$	$	$	$
Retirement	$	$	$	$	$	$	$
Other	$	$	$	$	$	$	$
TOTAL = $							

Explain other costs

- Project will include licensing, hosting, and help desk fees…

Explain the availability of funding

- Project was submitted in the Program Objectives Memorandum (POM) and is fully funded…
- Funding will be made available by…
- The investment will be submitted in the POM

7

Risk Analysis

Evaluate the complexity of the project

- Number of technical systems impacted when project is deployed…
- Number of business processes and/or departments impacted when project is deployed…
- Degree of difficulty to plan and execute deployment…

Evaluate the experience the DON has with this type of project

- Similar/Some/No projects have been realized…
- The necessary skillsets are currently available/will need to be acquired…

Evaluate the external dependencies

- The completion of the project requires the completion of (or modification to) the following external applications/systems/processes…

Explain how information will be accessed

- The capability supports browser-based/external access but only users affiliated with DoD will have access to information…
- The capability supports browser-based/external access and users not affiliated with DoD will have access to information…

8

Risk Mitigation Plan

A controlled process will help to ensure that systems are delivered on-time and within budget, performance metrics are met, and information is secure.

Discuss the plan of action to mitigate risk

- Costs will be controlled by…
- The schedule will be controlled by…
- Performance will be measured by…
- Information assurance requirements will be met by…

9

Closing Remarks

We believe...

10

Appendix

The use of an Appendix is not required. This slide can be used to present an Analysis of Alternatives, System Views, Technical Views, Operational Views, etc.

11

INVESTMENT REVIEW BOARD PRIORITIZATION MODEL TEMPLATE

The IRB Prioritization Model will allow the IRB to consistently review, score, and prioritize investments. The tool is a spreadsheet that calculates the weighted average risk and benefit of an investment request based on the options (drop-down menu) selected.

Table 1 presents an example of the information the IRB will record in the model (comparing two IT investments). Table 2 presents the options available in the model and their corresponding benefit and risk scores.

Investment Name1			
Benefit Metric	**Assessment**	**Score**	**Weight**
Cost Savings	$100,000	1	0.15
Mission Criticality	Mission Support	1	0.2
Time to Benefits	Creates benefits in more than 24 months	1	0.2
Strategic Importance	Low - Assigned support team will respond to an issue using standard procedures and operate within normal supervisory management structures	1	0.2
Regulatory Compliance	Required to operate in accordance with government best practices	1	0.1
Window of Opportunity	Project will not be realizable, or only with a significant increase in risk after 5 years	1	0.05
FTEs Saved	1	1	0.05
Number of Users	20	1	0.05
		Weighted Average	**1**
Risk Metric	**Assessment**	**Score**	**Weight**
Life-Cycle Cost	$300,000	1	0.25
Scope	Impacts one process and/or department	1	0.15
Complexity	One or two technical systems are impacted or project planning, coordination and execution are straightforward	1	0.15
Maturity	Similar projects have previously been realized	1	0.15
Resources	The necessary skill sets are readily available	1	0.1
Interdependencies	There is no external dependency for the project	1	0.1
Access to Information	The capability does not support browser-based/external access	1	0.1
		Weighted Average	**1**

Investment Name2			
Benefit Metric	**Assessment**	**Score**	**Weight**
Cost Savings	$600,000	5	0.15
Mission Criticality	Mission Critical	5	0.2
Time to Benefits	Creates benefits in 12 months or less	5	0.2
Strategic Importance	High - Response to an issue will include an immediate and sustained effort using all available resources until the incident is resolved	5	0.2
Regulatory Compliance	Required to comply with current regulatory requirements	5	0.1
Window of Opportunity	Project will not be realizable, or only with a significant increase in risk after 1 year	5	0.05
FTEs Saved	21	5	0.05
Number of Users	120	5	0.05
		Weighted Average	**5**
Risk Metric	**Assessment**	**Score**	**Weight**
Life-Cycle Cost	$1,000,001	5	0.25
Scope	Impacts more than three processes and/or departments	5	0.15
Complexity	More than five technical systems are impacted or project planning, coordination and execution are complicated	5	0.15
Maturity	No similar projects have been realized in the past	5	0.15
Resources	Requires skill sets that are difficult to obtain in CNIC and in the marketplace	5	0.1
Interdependencies	The project depends on the successful realization of other external projects	5	0.1
Access to Information	The capability supports browser-based/external access and users not affiliated with DoD will have access to information	5	0.1
		Weighted Average	**5**

Table 1. Illustrative IRB Prioritization Model

Benefit Options	Score
Cost Savings	
<$200,000	1
>=$200,000 and <=$500,000	3
>$500,000	5
Mission Criticality	
Mission Support	1
Mission Essential	3
Mission Critical	5
Time to Benefits	
Creates benefits in more than 24 months	1
Creates benefits in 12 to 24 months	3
Creates benefits in 12 months or less	5
Strategic Importance	
Low - Assigned support team will respond to an issue using standard procedures and operate within normal supervisory management structures	1
Medium - Assigned support team will respond immediately to an issue, assess the current situation and may interrupt other staff working lower priority issues to assist in timely restoration of services	3
High - Response to an issue will include an immediate and sustained effort using all available resources until the incident is resolved	5
Regulatory Compliance	
Required to operate in accordance with government best practices	1
Required to comply with impending regulatory requirements	3
Required to comply with current regulatory requirements	5
Window of Opportunity	
Project will not be realizable, or only with a significant increase in risk after 5 years	1
Project will not be realizable, or only with a significant increase in risk after 3 years	3
Project will not be realizable, or only with a significant increase in risk after 1 year	5
FTEs Saved	
<=2	1
>2 and <5	3
>=5	5
Number of Users	
<=30	1
>30 and <120	3
>=120	5

Risk Options	Score
Life Cycle Cost	
<$500,000	1
>=$500,000 and <=$1,000,000	3
>$1,000,000	5
Scope	
Impacts one process and/or department	1
Impacts two to three processes and/or departments	3
Impacts more than three processes and/or departments	5
Complexity	
straightforward	1
moderately difficult	3
complicated	5
Maturity	
Similar projects have previously been realized	1
Certain similar elements have been realized in previous projects	3
No similar projects have been realized in the past	5
Resources	
The necessary skill sets are readily available	1
Requires skill sets that are difficult to obtain in CNIC but are easily available in the marketplace	3
Requires skill sets that are difficult to obtain in CNIC and in the marketplace	5
Interdependencies	
There is no external dependency for the project	1
There are weak dependencies or other projects are dependent on the successful realization of this project	3
The project depends on the successful realization of other external projects	5
Access to Information	
The capability does not support browser-based/external access	1
The capability supports browser-based/external access but only users affiliated with DoD will have access to information	3
The capability supports browser-based/external access and users not affiliated with DoD will have access to information	5

Table 2. Available Options and Benefit and Risk Scores in the Prioritization Model

INVESTMENT REVIEW AND PLANNING, PROGRAMMING, BUDGETING, & EXECUTING INTERFACE

The IT investment review process (IRP) consists of requests, reviews, and subsequent approvals of IT capabilities. The process requires multiple workstreams to coordinate and communicate. A key workstream that the IRP interfaces with is the Department of the Navy's (DON) Planning, Programming, Budgeting, and Execution (PPBE) process. The PPBE process is how the DON and DON Budget Submitting Offices (BSO) such as CNIC, allocate resources. It also guides how CNIC stays within its fiscal budget while following the DON's policies, strategies, and goals. The following section provides a brief description of the PPBE phases:

- **Planning** - The planning phase of PPBE begins with the Office of the Secretary of Defense (OSD), the Joint Chiefs of Staff, and DON collaboratively articulating resource-informed national defense policies and military strategy. The result of these activities is a set of budget-conscious priorities for program development (military force modernization, readiness, and sustainability; and supporting business processes and infrastructure).

- **Programming** - The programming phase begins with the DON writing a Program Objectives Memorandum (POM). The POM is centered on balancing program budgets in order to meet the DON's policies and military strategy as defined in the planning phase. When complete, the POM describes, in detail, the proposed budget (forces, manpower, and funding) for the next six years. The POM may also describe what is fully funded (i.e, "In-Core") and not fully funded (i.e., "Above Core"), and the risks associated with the budget shortfall.

- **Budgeting** – The Budgeting Phase converts outputs from the Programming Phase into the format of the congressional appropriation structure, along with associated budget justification documents. Upon submission, each budget estimate is reviewed by analysts from the DON, Office of the Under Secretary of Defense (OUSD Comptroller) and the Office of Management and Budget (OMB). Through an iterative process the overall Department of Defense (DoD)

budget is provided as part of the President's Budget request to Congress. Along with budget elements that typically inform a two year financial window, outputs also inform planning activities as captured in the Future Years Defense Program (FYDP) which depicts a five year financial window of the DoD's major programs. The FYDP provides a "crosswalk" between DoD's internal system of accounting via 11 major programs and congressional appropriations.

- **Execution** - The Execution Phase captures all those actions required to accomplish effectively, efficiently, and economically the DON programs for which funds were requested and approved. This phase encompasses sub-processes for the obligation, expenditure, and outlay of DON funds within legal constraints.

Figure 1, CNIC PPBE Enterprise Process Model provides a high level view of the CNIC PPBE Process Cycle (see also CNIC PPBE Guidance). As depicted in the figure, multiple CNIC, Office of the Chief of Naval Operations (OPNAV), DoD, and Federal (i.e., Congress, OMB, etc.) stakeholders participate in the PPBE process at different phases in order to financially "shape" DON strategy into executed programs. Through the PPBE process, Shore and Manpower initiatives are prioritized and balanced amongst various programs, using limited resources, in order to achieve the best value solution set for the Fleet, the Warfighter, and the Family. This rigorous process analyzes and adjudicates alternative force structures, shore assets and support systems together with their multi-year resource implications in order to evaluate various tradeoff scenarios.

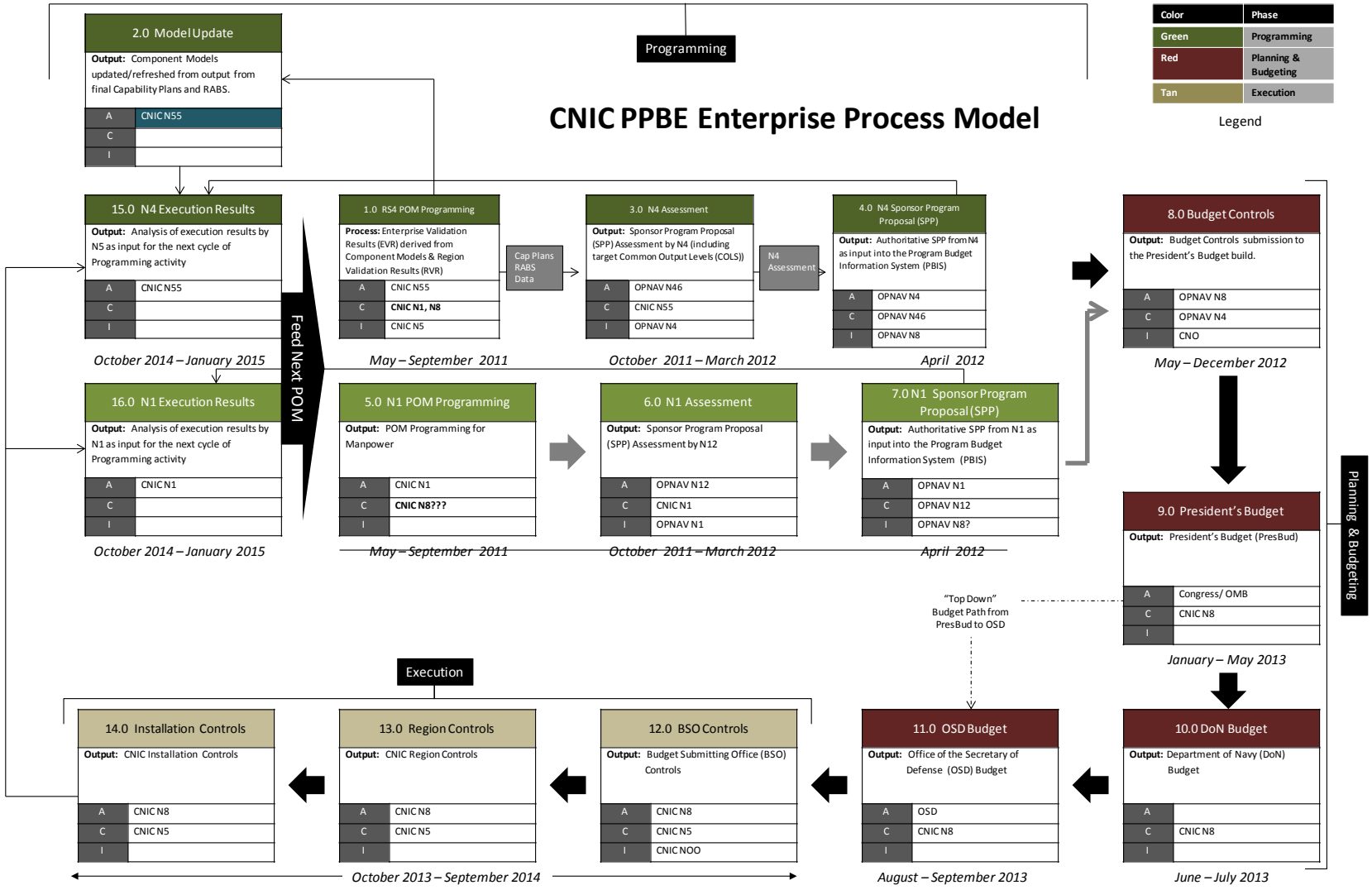


Figure 1. CNIC PPBE Enterprise Process Model

A principal output of the POM process and iterative PPBE cycles is a continuously refined and prioritized listing of "approved" initiatives that DoD, DON, and CNIC decision-makers believe support their grand strategies. The list is further segregated into In-Core (i.e., Validated and Funded) and Above-Core (i.e., Validated but Unfunded) requirements.

The creation of the initiatives list is a rigorous process that requires a coordinated effort between multiple stakeholders. Table 1 below provides an illustrative example of three large scale CNIC initiatives and their approval (yes) or disapproval (no) by various PPBE phases and stakeholders.

	Programming Phase			Budget Phase	Budget/Execution Phase
Initiative	CNIC	N4 Assessed	RS4 SPP	FMB/ Budget	CNIC Budget
1	Yes	Yes	No	Yes	Yes
2	Yes	No	No	No	Yes
3	Yes	No	No	No	Yes

Table 1. Multiple Stakeholder Assessments

As depicted, initiatives can receive different levels of support depending on the stakeholder's priorities. In relation to the IRP, it is noted that IT initiatives are often embedded as sub-components of these larger scale initiatives.

IT initiatives can function as their own large scale initiatives, as illustrated in Initiative #3 in the figure below (i.e., N6). From a PPBE process perspective, IT initiative sub-components must demonstrate their ability to enhance primary initiatives that have already been adjudicated through the PPBE process in order to gain broad based fiscal support.

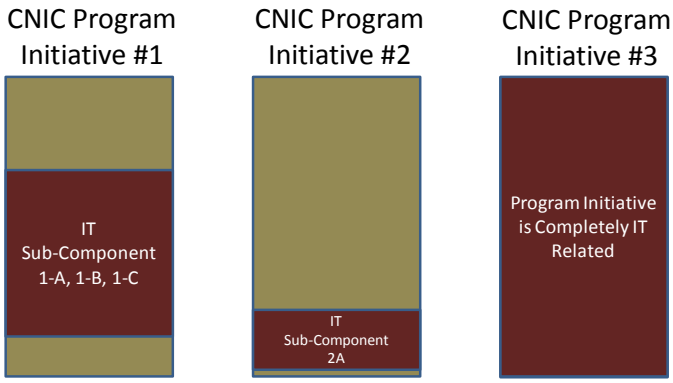


Figure 2. IT Initiatives as Sub-components of Program Initiatives and as Program Initiatives

Table 2 presents an illustrative example demonstrating how the Investment Review Board (IRB) will track approved IT initiatives. Strategy and Future Requirements (N5) will maintain a similar list for the program initiatives. The IRB will use N5 program data along with other information (i.e., technical reviews) to approve or disapprove IT investments.

		Programming Phase				Budget Phase	Budget/Execution Phase	
#	IT	IT IRB	CNIC	N4 Assessed	RS4 SPP	FMB/ Budget	CNIC Budget	IT IRB
1	A	Yes	Yes	Yes	No	Yes	Yes	N/A
	B	Not Reviewed	Yes	No	No	No	No	No
	C	No	No	No	No	No	No	N/A
2	A	Not Reviewed	Yes	No	No	No	Yes	No
3	All	Yes	No	Yes	Yes	No	No	N/A

Table 2. Sample Approved IT Initiatives List

The following narrative describes a hypothetical sequence of events to demonstrate the relationship between the IT investment review and PPBE processes. The narrative is followed by a flow chart depicting the relationship.

New Initiative: IRB Approval Obtained During Programming Phase

New initiatives are those requests not tied to any existing or larger program initiatives. New initiatives are submitted to the POM for approval or adjudication.

0.0 The Requestor obtains Installation- and Region-Level validation of the new initiative, and submits the initiative for Enterprise Validation.

Programming Phase

1.0 The new initiative progresses through the Enterprise Validation process (Resource Sponsor (RS)1/RS4 POM Programming).

2.0 The IRB reviews and analyzes the IT component of the new initiative.

2.1 The IRB decides to approve or deny the IT component. Approved IT initiatives continue through the Programming Phase (process continues to step 3.0). IT components that are not approved do not continue through the Programming Phase (process ends).

3.0 The new initiative progresses through the Sponsor Program Proposal (SPP) Assessment (Manpower and Personnel (N1)/Facilities and Environmental (N4) Assessment).

4.0 The new initiative progresses through the Authoritative SPP process (RS1/RS4 SPP).

Budgeting Phase

5.0 The new initiative progresses through the Budget Controls Submission process (FMB Control).

Execution Phase

6.0 The new initiative progresses through the CNIC, Region, and Installation control vetting process (CNIC Control).

7.0 The Requestor submits a request for a contract action to the N5 Contract Acquisition Management Office (CAMO) in accordance with the Contractor Advisory Board (CAB) process.

8.0 The CAB package is processed via the CAB process. During this process, Information Technology Services (N6)

shall review all IT CAB packages and approve or disapprove the request based on CNIC Enterprise Governance for Information Technology (EG-IT) and IRB guidance. In addition, N5 CAMO will process the package in accordance with CNIC and other applicable guidance. The PPBE process ends.

Emergent Initiative: IRB Approval Obtained During Execution Phase

Emergent initiatives are those requests whose requirements may have emerged due to a variety of issues including but not limited to changes in site conditions, unanticipated requirements during the planning and programming phases, technological shifts, etc.

0.0 The Requestor prepares a list of technical capability requirements for the proposed IT solution along with the data on the Initiative/Program the solution supports. The Requestor submits a request for a contract action to the N5 CAMO in accordance with the CAB process.

Execution Phase

1.0 The CAB package is processed via the CAB process. During this process, N6 shall review all IT CAB packages and approve or disapprove the request based on CNIC EG-IT and IRB guidance. In this example, N6 determines IRB approval is required.

2.0 The IRB reviews and analyzes the IT component of the emergent initiative.

2.1 The IRB decides to approve or deny the IT component. Approved IT components continue through the Execution Phase (process continues to step 3.0). IT components that are not approved do not continue through the Execution Phase (process ends).

3.0 IRB addresses the emergent IT component through a Non-POM process. Even if the IT component is prioritized in the execution year, it must inform the future POM process as a requirement.

3.1 The IRB determines whether the IT component should be funded in the execution year. IT approved for the execution year are added to the IT initiative list and continue through the Execution Phase (process continues to step 4.0). Deferred IT components are sent through the Programming Phase).

Programming Phase

3.2 The initiative progresses through the Enterprise Validation process (RS1/RS4 POM Programming).

3.3 The initiative progresses through the Sponsor Program Proposal (SPP) Assessment process (N1/N4 Assessment).

3.4 The initiative progresses through the Authoritative SPP process (RS1/RS4 SPP).

Budgeting Phase

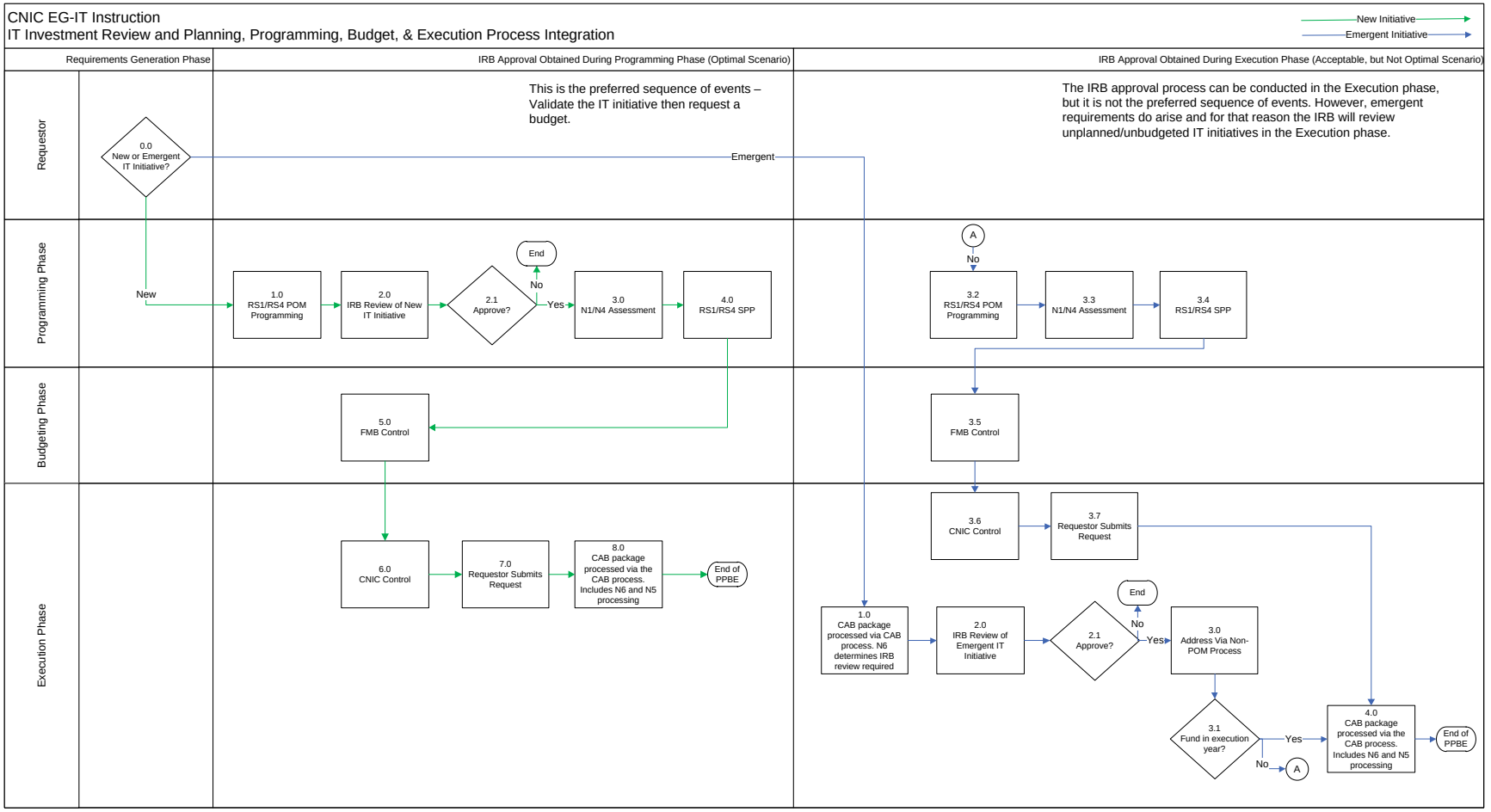
3.5 The initiative progresses through the Budget Controls Submission process (FMB Control).

Execution Phase

3.6 The initiative progresses through the CNIC, Region, and Installation control vetting process (CNIC Control).

3.7 The Requestor submits a request for a contract action to the N5 Contract Acquisition Management Office (CAMO) in accordance with the Contractor Advisory Board (CAB) process.

4.0 The CAB package is processed via the CAB process. During this process, N6 shall review all IT CAB packages and approve or disapprove the request based on CNIC Enterprise Governance for Information Technology (EG-IT) and IRB guidance. In addition, N5 Contract Acquisition Management Office will process the package in accordance with CNIC and other applicable guidance. The PPBE process ends.


CNIC EG-IT Instruction
IT Investment Review and Planning, Programming, Budget, & Execution Process Integration
New Initiative
Emergent Initiative
Requirements Generation Phase
IRB Approval Obtained During Programming Phase (Optimal Scenario)
IRB Approval Obtained During Execution Phase (Acceptable, but Not Optimal Scenario)
Requestor
Programming Phase
Budgeting Phase
Execution Phase
This is the preferred sequence of events – Validate the IT initiative then request a budget.
The IRB approval process can be conducted in the Execution phase, but it is not the preferred sequence of events. However, emergent requirements do arise and for that reason the IRB will review unplanned/unbudgeted IT initiatives in the Execution phase.
0.0 New or Emergent IT Initiative?
Emergent
New
1.0 RS1/RS4 POM Programming
2.0 IRB Review of New IT Initiative
2.1 Approve?
End
No
Yes
3.0 N1/N4 Assessment
4.0 RS1/RS4 SPP
5.0 FMB Control
6.0 CNIC Control
7.0 Requestor Submits Request
8.0 CAB package processed via the CAB process. Includes N6 and N5 processing
End of PPBE
A
No
3.2 RS1/RS4 POM Programming
3.3 N1/N4 Assessment
3.4 RS1/RS4 SPP
3.5 FMB Control
3.6 CNIC Control
3.7 Requestor Submits Request
1.0 CAB package processed via CAB process. N6 determines IRB review required
2.0 IRB Review of Emergent IT Initiative
2.1 Approve?
End
No
Yes
3.0 Address Via Non-POM Process
3.1 Fund in execution year?
Yes
No
A
4.0 CAB package processed via the CAB process. Includes N6 and N5 processing
End of PPBE

Acronyms

Acronym	Definition
BCA	Business Case Analysis
BSO	Budget Submitting Offices
CAB	Contract Advisory Board
CAMO	Contract Acquisition Management Office
CCB	Change Control Board
CD	Capability Development
CIO	Chief Information Officer
CNIC	Commander, Navy Installations Command
CY	Current Year
DADMS	Department of Navy Application and Database Management System
DIACAP	DoD Information Assurance Certification and Accreditation Process
DITPR	Department of Defense Information Technology Portfolio Repository
DoD	Department of Defense
DON	Department of the Navy
EA	Enterprise Architecture
EG-IT	Enterprise Governance for Information Technology
FAM	Functional Area Manager
EVR	Enterprise Validation Requirement
FMB	Financial Management & Budget
FYDP	Future Years Defense Program
ILM	Investment Life Cycle Management
FYDP	Future Years Defense Program
HPD	Headquarters Program
IRB	Investment Review Board
ITPR	Information Technology Procurement Request
IT	Information Technology

Acronym	Definition
N-Codes	Navy Code
N1	Total Force Manpower
N4	Facilities & Environmental
N5	Strategy & Future Requirements
N6	Information Technology
N64	Information Assurance
N67	Enterprise Architecture
N8	Financial Management
OMB	Office of Management and Budget
OPNAV	Office of the Chief of Naval Operations
OSD	Office of the Secretary of Defense
OUSD	Office of the Under Secretary of Defense
PfM	Portfolio Management
POM	Program Objectives Memorandum
PPBE	Planning, Programming, Budgeting, and Execution
RM	Release Management
RPD	Regional Program Director
RS	Resource Sponsor
SA	Special Assistant
SPP	Sponsor Program Proposal
TRM	Technical Reference Model
TSSAA	System Security Authorization Agreement
WARNORD	Warning Order