



U.S. Department of Education

Office of the Chief Information Officer

Investment Review Board (IRB) Charter

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Final

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REVISION HISTORY

Version	Date	Section#	Page#	Revision history or Review (Author)
1.0	1/23/2013	Full Document		ED IRB Charter
2.0	6/30/2016	Full Document		Replaced Chief Operating Officer with Deputy Secretary
2.0	6/30/2016	VIII A	6	Expanded Planning and Investment Working Group (PIRWG) Functions and Responsibilities
2.0	6/30/2016	VIII E	9 – 11	Added PIRWG Working Groups
2.1	10/31/2016	VIII A, VIII B, VIII (E), VIII E (1), VIII E (2), VIII E (3)	9, 10, 11, 12, 13	Incorporated comments from PIRWG members.

I. ESTABLISHMENT

The Investment Review Board (IRB) is the highest level IT investment review board established within the U.S. Department of Education (Department).

II. AUTHORITY

The IRB is established under the authority of the Clinger-Cohen Act of 1996; the Paperwork Reduction Act of 1995; Office of Management and Budget Circular A-130 (*Management of Federal Information Resources, including policy regarding Information Management and Information Systems and Information Technology Management – capital planning, enterprise architecture, security, performance, and acquisition*); and other applicable laws, rules, and regulations.

III. PURPOSE

The IRB is a forum for deliberation about Department information technology (system and resource) investments needed to achieve the Department's mission and business requirements. The IRB will advise the Secretary through the Deputy Secretary to ensure that the Department:

- (a) Maximizes the value, and assesses and manages the risk and costs, of all information system investments;
- (b) Integrates information system investment decisions with the Department's mission, strategic plan, budget, and enterprise architecture;
- (c) Focuses on the entire life cycle of information system investments, including vision, definition, construction, validation, implementation, operation and maintenance, and disposal;
- (d) Makes information resource investment decisions based on business needs and processes;
- (e) Emphasizes and monitors performance and results in information resource investments;
- (f) Establishes investment review schedules and monitors these investments throughout the *Control Phase* of the IT investment management process;
- (g) Recommends corrective actions for IT investments that are not performing in accordance with established cost, schedule, or technical performance parameters;

- (h) Identifies opportunities to minimize duplicative or overlapping information systems across the Department;
- (i) Identifies common IT issues and recommends resolution of those issues to the Deputy Secretary of the Department;
- (j) Provides input to the Deputy Secretary on IT architecture management planning and IT investment management process improvement activities; and
- (k) Identifies security and privacy vulnerabilities and opportunities to provide a more secure electronic environment.

IV. IRB MEMBERSHIP

A. Board Members

Members of the IRB shall include:

- The Deputy Secretary;
- The Assistant Secretary for Management;
- The Chief Financial Officer;
- The Chief Information Officer;
- The Director of Budget;
- The Chief Operating Officer of Federal Student Aid; and
- Two (2) additional Principal Officers of the Department appointed by the Deputy Secretary of the Department.

If any member is unable to serve on the Board, the Deputy Secretary may appoint another Principal Officer to the Board.

The Inspector General and the General Counsel are non-voting members of the IRB.

B. IRB Chair and Vice-Chair

The Deputy Secretary chairs the IRB. The Chief Information Officer serves as Vice-Chair of the Board, and acts as the Chair in the absence of the Deputy Secretary of the Department.

The Chair may designate a temporary meeting Chair if both the Chair and Vice-Chair are unavailable for a meeting. The Chair convenes and presides at Board meetings, and approves the agenda.

IRB membership may not be delegated and alternates may not attend IRB meetings on behalf of members.

V. IRB FUNCTIONS AND RESPONSIBILITIES

The IRB advises the Deputy Secretary on information systems and resource matters for the Department. Participants in IRB matters shall follow all applicable ethics laws and regulations.

The Board's principal functions are to:

- (a) Review proposals and recommendations from the Chief Information Officer regarding investments for all information systems, collections, and resources;
- (b) Review other proposals and recommendations related to information system investments as determined by the Board;
- (c) Direct, oversee, and approve the Department of Education's Enterprise Architecture. Approval and adoption of the Enterprise Architecture will be conducted on a yearly basis after the Enterprise Architecture is:
 - i. Developed/updated and approved by the Chief Architect;
 - ii. Presented to and ratified by the Planning and Investment Review Working Group (PIRWG);
 - iii. Presented to the IRB by the Department's Chief Information Officer or representative; and
 - iv. Updated to incorporate any IRB modifications.
- (d) Monitor and evaluate ongoing information system investments against their projected costs, schedule, and benefits, and take action to continue, modify, or terminate them;
- (e) Recommend processes for selection, monitoring, and evaluation of information resource investments. These processes shall be designed to ensure that the Department's decisions are consistent, valid, and transparent; support the

Department's business needs and processes in servicing the Department's customers effectively and in assuring proper stewardship of taxpayers' dollars; comply with Enterprise Architecture; and align with the Department's strategic goals and objectives;

- (f) Provide IT strategic planning leadership and establish the Department's vision for IT portfolio management; and
- (g) Advise CIO and the Secretary on compliance with the Clinger-Cohen Act and all other applicable laws, rules, and regulations regarding information resources management.

VI. IRB STAFFING AND PROCEDURES

A. IRB Meetings

The IRB shall meet quarterly. Meetings at shorter intervals are scheduled and convened by the CIO, and the Chair may reschedule or call additional sessions as needed. A member may participate in a meeting by teleconference, in which case the member shall be deemed "present" for purposes of establishing a quorum.

B. IRB Quorum

A quorum is needed for all IRB meetings and decisions, and consists of three voting members and the Chair.

C. IRB Decisions

A decision is final five business days after it occurs. During that time, any IRB member may raise objections or concerns about the decision with the Secretary and request a review of the final decision. If a request for a review has been made, the Secretary's decision is the final decision in the matter. In certain time-sensitive matters, the Chair may determine that a final decision must take effect immediately.

Nothing in this Charter shall be construed to preclude the Secretary's involvement or decision in any matter related to or coming before the Board.

D. IRB Charter Amendment

The IRB may amend the Charter as appropriate, subject to the approval of the Deputy Secretary of the Department.

VII. EFFECTIVE DATE

This Charter becomes effective upon approval by the Deputy Secretary and supersedes all previous IRB Charters.

VIII. PLANNING AND INVESTMENT REVIEW WORKING GROUP

The Planning and Investment Review Working Group (PIRWG) assesses the effectiveness of the Department's IT investment management process and provides recommendations through the CIO to the IRB for refining and improving the process. Process improvement analysis includes assessment of screening criteria, IT investment criteria (selection, control and evaluation procedures), IT investment management process timing issues, and integration of IT investment management planning activities with other major management processes.

A. PIRWG Functions and Responsibilities

The PIRWG serves as an advisory board to the CIO, and shall provide oversight and recommendations to the CIO on the strategic direction of the IT portfolio, with an emphasis on timeliness, cost, schedule, performance, security, business value, and strategic alignment.

These PIRWG activities include:

- Review and approve the Department's Enterprise Architecture (prior to IRB approval);
- Use the Department's Enterprise Architecture as a framework for investment decision-making and performance measurement;
- Assess the overall performance of the Department's IT portfolio and recommend portfolio improvements to the CIO;
- Identify shadow IT or hidden IT and properly categorize it, thus eliminating any shadow IT
- Conduct Operations Budget functions to ensure that planning for IT resources is balanced with other uses of agency funding to ensure the most efficient use of IT resources to achieve Departmental objectives;
- Include the CIO in all internal planning processes for all stages of the IT lifecycle for the most efficient and balanced use of all IT resources;
- Match appropriate IT resources with program objectives from an early stage in the planning process with active CIO involvement in all Governance Boards that include IT;

- Review annually and recommend to the IRB the selected portfolio of IT investments for inclusion in the current and next fiscal years' budgets;
- Oversee project post-implementation reviews, capture lessons learned, make system disposition decision recommendations, and evaluate the overall effectiveness of the Department's IT investment management process;
- Participate in periodic IT investment management Control Reviews and issuance of corrective action recommendations to the CIO that may include the continuation, deferment, modification, or reprioritization of investments as necessary;
- Participate in the IT investment management process by conducting reviews of the Department's designated projects of interest;
- Review project baseline change requests, appeals and waivers, and formulation of investment recommendations for consideration by the IRB; and
- Select and appoint the chairperson for working groups established by the PIRWG that are in addition to the three mentioned below.

The PIRWG shall meet on a monthly basis and as needed to support the work of the CIO, in accordance with procedures developed by the PIRWG and approved by the IRB.

In addition, the PIRWG advises the CIO on the Department's Enterprise Architecture (EA). The PIRWG fosters joint ownership of the EA across the Department by overseeing the following:

- IRM Strategic Plan
- Enterprise Modernization Roadmap
- Segment Modernization Plan

These PIRWG activities include:

- Review and approve the IRM Strategic Plan, the Enterprise Roadmap and the Segment Modernization planning process.
- Review and provide comments/input to the development and implementation of the Department's Enterprise Architecture strategic direction, Enterprise Architecture policy, IT and Data standards, and the Department's Life Cycle Management Framework;
- Provide recommendations and suggestions for new IT investments and common enabling services to meet Departmental business needs or improve performance;
- Review proposals for Department's technical direction in terms of IT and network operations to ensure that all Program Office issues are addressed. This includes items such as IPv6 Migration, Information Assurance requirements, and infrastructure projects;
- Review proposals for IT investments across the enterprise to validate consistency with the Department's EA direction and target vision. These presentations will also facilitate collaboration among Program Offices, who might have similar business needs but are not aware of activities outside their organizations;
- Guide segments in performance improvement and identify opportunities for IT reuse and collaboration;

- Rationalize goals and objectives across the segments; and
- Review the Department's IT portfolio for Enterprise Architecture compliance.

B. PIRWG Membership

The PIRWG core membership shall be comprised of senior representatives who collectively represent a significant portion of the portfolio. The membership will include the following, one of which the CIO will designate as the Chair:

- Senior Procurement Executive;
- The Director, Budget Execution and Administrative Analysis;
- A representative of the Federal Student Aid Chief Operating Officer;
- The Director, Contracts and Acquisition Management;
- The Director of FSA Acquisitions;
- The Director, Financial Systems Services;
- The Director, Information Technology Program Services; and
- Three (3) program office representatives, vetted by PIRWG, specific members of whom may change based on Departmental needs.

For matters regarding the Department's Enterprise Architecture activities, the membership shall also include the remaining segment owners not already indicated in the PIRWG core membership. These members are voting members in decisions related to Enterprise Architecture activities only. (*see Functions and Responsibilities*)

The Department's Chief Architect is a non-voting member of the PIRWG.

The Inspector General may also designate a non-voting member.

C. PIRWG Procedures

The staff of the OCIO (and other offices as applicable) will provide technical and support services to the IRB and to the PIRWG.

OCIO shall be responsible for:

- Preparing the PIRWG and IRB agenda;
- Preparing PIRWG and IRB materials;
- Briefing PIRWG and IRB members;
- Preparing minutes of PIRWG and IRB meetings;
- Maintaining PIRWG and IRB records and official files;
- Maintaining an inventory of planned and ongoing information technology projects;
- Developing an annual strategic plan for IT investment control, to be reviewed and updated; and

- Performing other services requested by the PIRWG and IRB, including providing advice and guidance on Government-wide information policies.

D. PIRWG Quorum

A quorum is needed for all PIRWG meetings and decisions. For IT portfolio management decisions, a quorum is five voting members in addition to the PIRWG Chair.

For Enterprise Architecture decisions, a quorum is seven voting members in addition to the PIRWG chair. (*see PIRWG membership*)

E. PIRWG Working Groups

For the purpose of implementing the requirements as mandated in Federal Information Technology Acquisition Reform Act (FITARA), the PIRWG will create three working groups that will report to the PIRWG. Each working group of the PIRWG will include at least one PIRWG member. These working groups are:

- The Project Performance Working Group (PIRWG–P),
- The Finance Working Group (PIRWG–F), and
- The Acquisition Working Group (PIRWG–A).

The leadership and the membership of the three working groups mentioned above are specified by this charter. In addition to these three working groups, the PIRWG has the authority to setup other working groups to accomplish specific tasks. These additional working groups may be temporary or permanent as determined by the PIRWG and will consist of members as specified by the PIRWG.

1. PIRWG–P

The PIRWG–P working group will review planned, active, and completed projects. Stakeholders including, but not limited to, the program manager of the project will participate in sessions when their project is reviewed. The group will review the following attributes of a project through periodic meetings with project managers:

- Cost variance
- Schedule variance
- Scope creep
- Project manager FAC-P/PM certification status
- Delivered useable functionality

The PIRWG-P working group will be led by the Director of Information Technology Program Services. Membership in the PIRWG–P working group will include, but is not limited to, a representative from OCIO, the program manager of the respective project, Investment and Acquisition Management (IAMT) Liaison for the respective Program Office,

ED's Acquisition Career Manager, and the respective Segment Owner. Members of this working group will be approved by PIRWG.

The PIRWG-P will meet regularly or as directed by the PIRWG, and will submit a report of accomplishments, findings, recommendations, and planned activities for the monthly PIRWG meeting whenever one is prepared based on the working group's meeting. PIRWG will incorporate the status updates into its presentation to the Departmental Investment Review Board (ED IRB) meeting.

2. PIRWG-F

The PIRWG-F working group will recommend the IT portion of the discretionary funding streams and review IT funds expended from programmatic funding streams. Specifically, the group will perform the following functions:

- Review the Department's overall budget
- Recommend the appropriate amount to allocate to IT
- Review the Department's IT funding target
- Review programmatically funded IT costs
- Recommend improvements to programmatic processes for managing IT
- Maintain candidate list for high priority IT initiatives
- Recommend funding level for high priority IT initiatives to IRB
- Identify systemic gaps between the budget formulation and the execution of IT expenses
- Review existing programs to identify systemic mischaracterization of funds e.g. shadow IT or hidden IT; Development Modernization and Enhancement (DME) and Steady State (SS)

The PIRWG-F working group will be led by Director of Budget Execution and Analysis Division. Membership in the PIRWG-F working group will include, but is not limited to, the PIRWG chairperson, a representative from OCIO, a representative from Office of the Chief Financial Officer (OCFO), and a Budget Service representative for programmatically funded IT. Members of this working group will be approved by PIRWG.

PIRWG-F will meet regularly or as directed by the PIRWG, and will submit a report of accomplishments for the monthly PIRWG meeting whenever one is prepared based on the working group's meeting. PIRWG will incorporate the status updates into its presentation to the Departmental Investment Review Board (ED IRB).

3. PIRWG-A

The PIRWG-A working group will review acquisitions for compliance with internal and external guidance for managing IT. Specifically, the group will perform the following functions:

- Review full program portfolio and all acquisitions to identify systemic mischaracterization of funds e.g. shadow IT or hidden IT; DME and SS;
- Recommend improvements to the acquisition process that the PIRWG can leverage during its Select Phase process
- Ensure traceability between IRB-approved IT expenditures and the acquisition process

The PIRWG–A working group will be led by the Senior Procurement Executive. Membership in the PIRWG–A working group will include, but is not limited to, a representative from OCIO, a representative from the OCFO Contracts and Acquisition Management (CAM) or a Contracting Office Representative (COR), and Director of FSA Acquisitions. Members of this working group will be approved by PIRWG.

The PIRWG–A will meet regularly or as directed by the PIRWG, and will submit a report of accomplishments for the monthly PIRWG meeting whenever one is prepared based on the working group’s meeting. PIRWG will incorporate the status updates into its presentation to IRB.

APPENDIX A: DEFINITIONS

Information Technology Investment Management: A management process to identify, select, control, and evaluate investments in information systems and resources. The process effectively and efficiently links mission needs, information, and information technology; integrates with organizational planning, budgeting, procurement, management (financial, human resources, and program), and assessment; coordinates with the Department's current and targeted enterprise architecture; and maximizes the value while assessing and managing the risks in the selection, control, and evaluation of information resources.

Enterprise: An organization, in this case the Department, supporting a defined mission. It includes interdependent resources (people, organizations, technology) that must be integrated for effective operation of the organization.

Enterprise Architecture: The description of information systems and their relationship to the business needs and processes of the Department.

Information Resources: Both information technology and non-technological information resources.

Information Resources Management: The process of managing information resources to accomplish the agency mission. The term encompasses the information itself and related resources, such as personnel, equipment, funds, and information technology.

Information Systems: Information resources used for the collection, processing, maintenance, transmission, or dissemination of information, whether automated or manual.

Life Cycle: The stages of an information system, from selection and development, through implementation, to termination.

Significant Information Systems: Information systems that affect more than one Principal Office; are important to the Department's mission; have high development, operation, or maintenance costs; are significant in the administration of Department programs, finances, or other operations; and/or are otherwise significant because of the costs, benefits, or risks involved.