

Karen Cheatwood
Section Head, System Inventory Reporting
and Defense Business Certification



2014 Defense Health Information Technology Symposium

System Inventory Reporting and Defense Business Certification



“Medically Ready Force . . . Ready Medical Force”

DHA Vision



“A joint, integrated, premier system of health, supporting those who serve in the defense of our country.”



“Medically Ready Force . . . Ready Medical Force”

Learning Objectives for Defense Business Certification



- Understand threshold for IT initiatives to be included in the DHP certification request each year
- Understand by when certification must be obtained
- Understand consequences of obligating funds prior to receiving DBSMC approval

Agenda



- System Inventory Reporting
 - Laws
 - Business Rules
 - DHA System Inventory Process
- Defense Business Certification
 - Background
 - ADA Violations
 - Problem Statements
 - Timeline

System Inventory Reporting



System Inventory Reporting



- Required by 10 U.S. CODE § 2223 - Information Technology
 - Additional Responsibilities of Chief Information Officers

- Related data required by various additional laws and regulations
 - FISMA, NDAAAs, FMR

System Inventory Reporting



- DoD official systems inventory is housed in the Defense Information Technology Portfolio Repository (**DITPR**)
- MHS official systems inventory is housed in the Defense Health Program Systems Inventory Reporting Tool (**DHP SIRT**)

- DITPR Guidance – What must be reported
 - All operational **IT systems** and those in acquisition process
 - Anything that is DIACAP'd

- FMR - Defense Business Systems must align 1:1 to IT Budget

- DoD CIO/DCMO – DITPR data must be compliant to get DBC Certification
 - DBS Certification data split between DITPR and DITIP but must be able to match up
 - SNaP-IT and DITPR
- DBS must be in DITPR to be Certified
- Data fields and information common to SNaP-IT and DITPR must match exactly

Data Fields that must Match



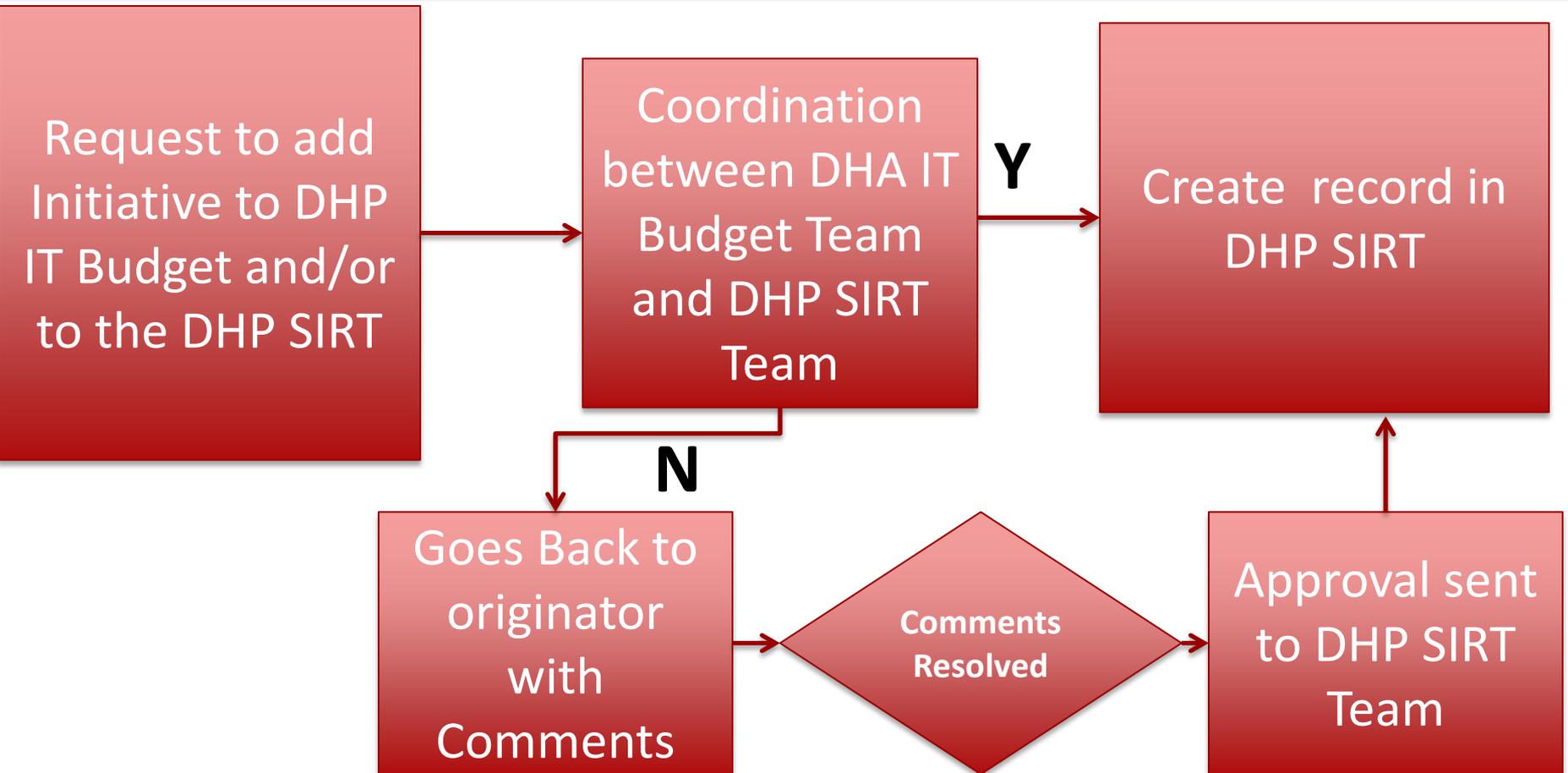
- System Name
- Acronym
- Description
- BIN Number
- Domain/Mission Area
- Component
- DITPR ID
- IT/NSS

DoD CIO Related Data for Compliance

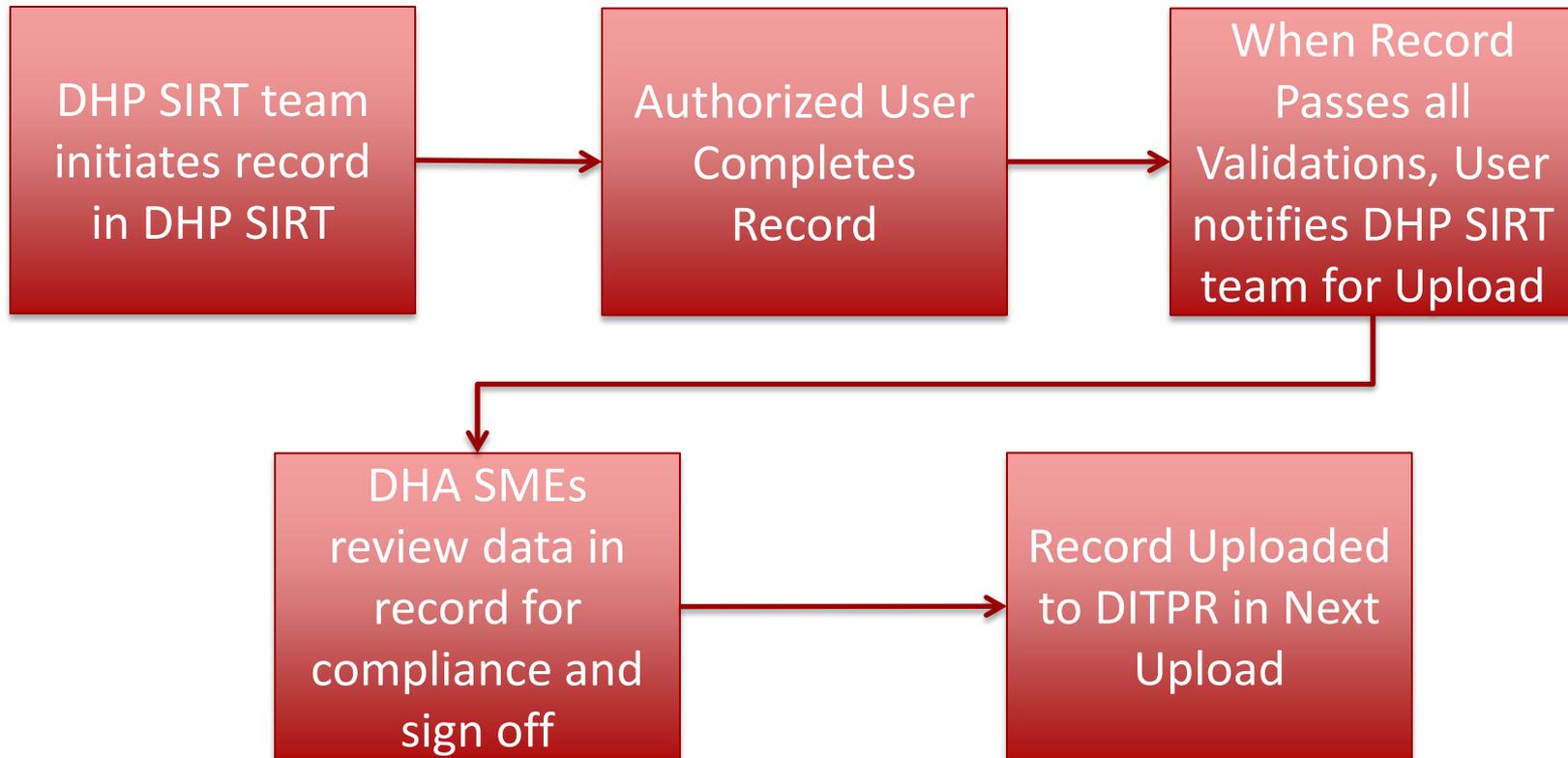


- FISMA
- E-AUTH/PKI
- Privacy
- Interoperability
- Infrastructure
- Records Management
- SFIS
- Lifecycle
- POCs

System Inventory Process Flow



System Inventory Process Flow



Defense Business Certification



Now that your
system is
registered in
DITPR.....



We can move on
to Defense
Business
Certification

Defense Business Certification History

- ❑ NDAA 2005 – Original requirement to certify Modernization and Development (Mod/Dev) funding >\$1 million by the Defense Business System Management Council

- ❑ In 2010 NDAA added the requirement for Business Process Re-engineering (BPR)

Current Status



- NDAA 2012 – expanded the requirement to certify all Defense Business Systems with total **funding >\$1 million** across the Future Years Defense Program (FYDP)
- DHA Director has been appointed PCA for all DHP Funded DBSs. IRBs submit Organizational Execution Plans for each component within their purview as a complete portfolio to the Office of the Deputy Chief Management Officer(ODCMO) for Defense Business Council (DBC)/DBSMC approval
 - MHS is part of P&R Portfolio
 - In 2013 added the requirement that systems requesting Mod/Dev funds >\$1M across the FYDP have a DCMO/DBC **approved Problem Statement** (sections 1-3 of the Business Capability Lifecycle)

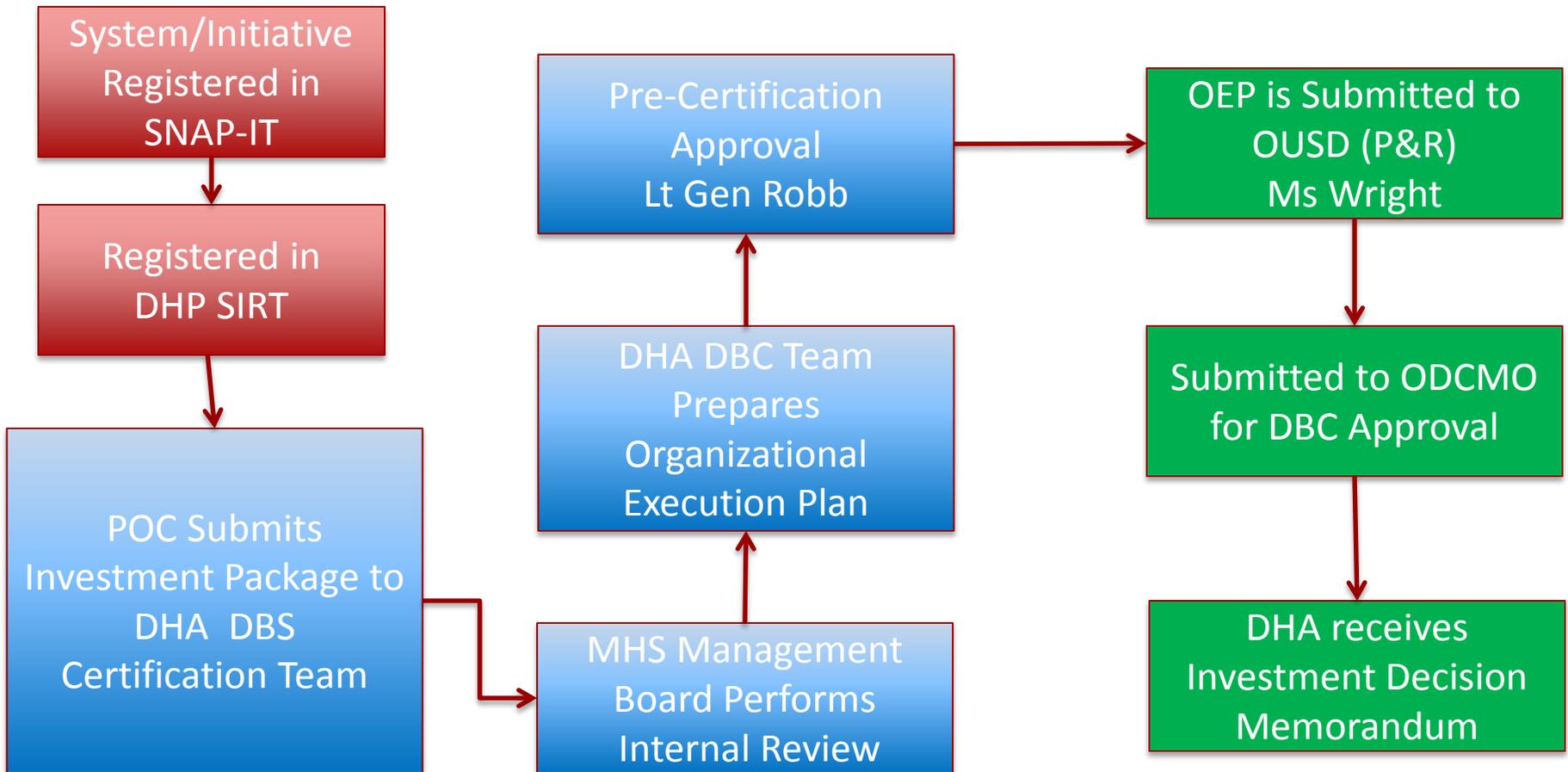
Failure to certify your Defense Business funding **prior to obligating** your funds results in an Anti-deficiency Act Violation

- Total funds must be certified across the MHS, not based on each individual instance (e.g., MTF implementation)

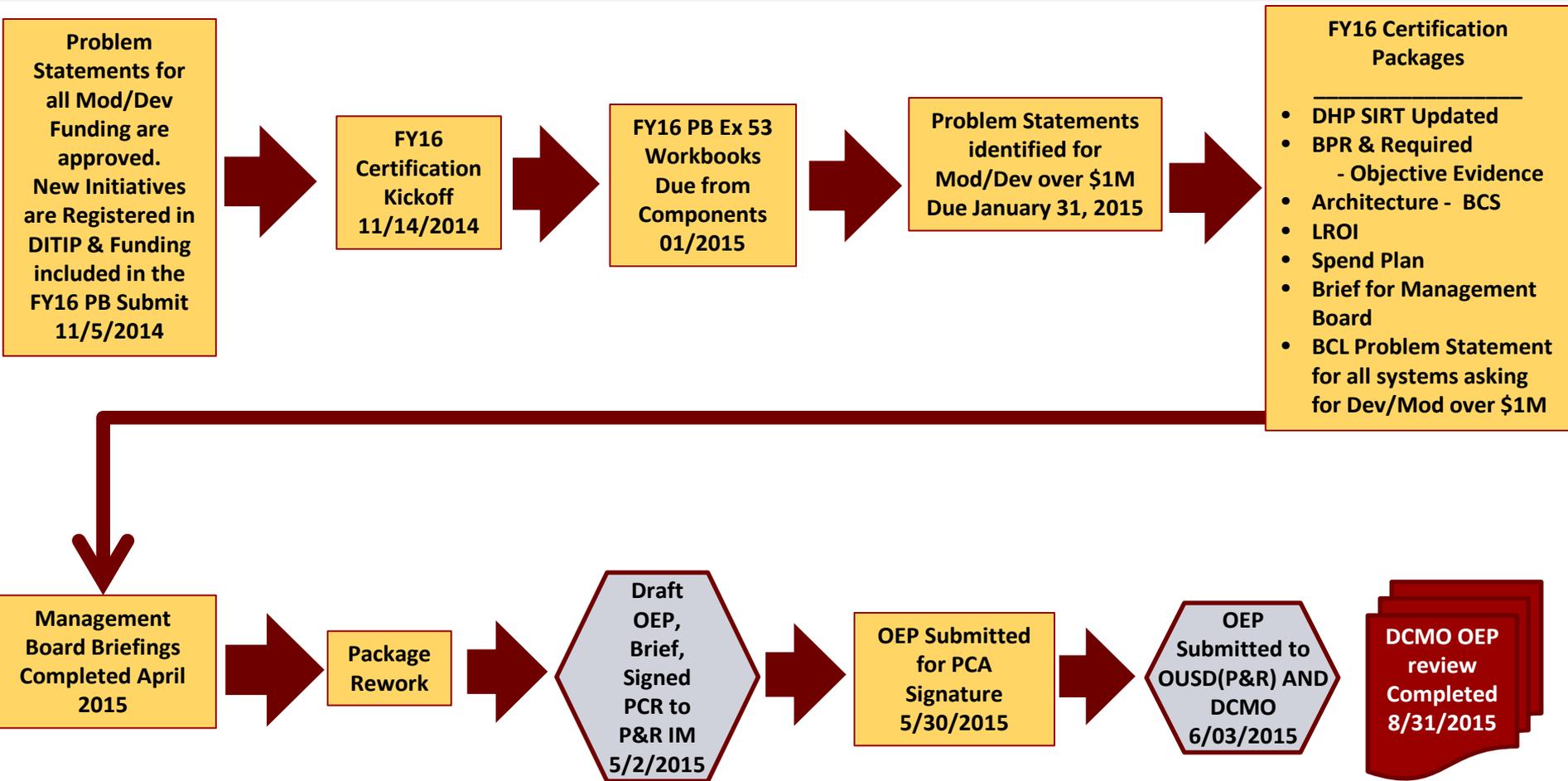
- The ADA violation consequences
 - ❑ An officer or employee who violates 31 U.S.C. § 1341(a) “shall be subject to appropriate administrative discipline including...suspension from duty without pay or removal from office”

 - ❑ In addition, an officer or employee who “**knowingly and willfully**” violates the ADA section 1341 “shall be fined not more than \$5,000, imprisoned for not more than 2 years, or both

System Registration and Annual Certification Process



Notional Timeline for FY16 OEP Preparation



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PROBLEM STATEMENTS



**Slow and
Steady.....**

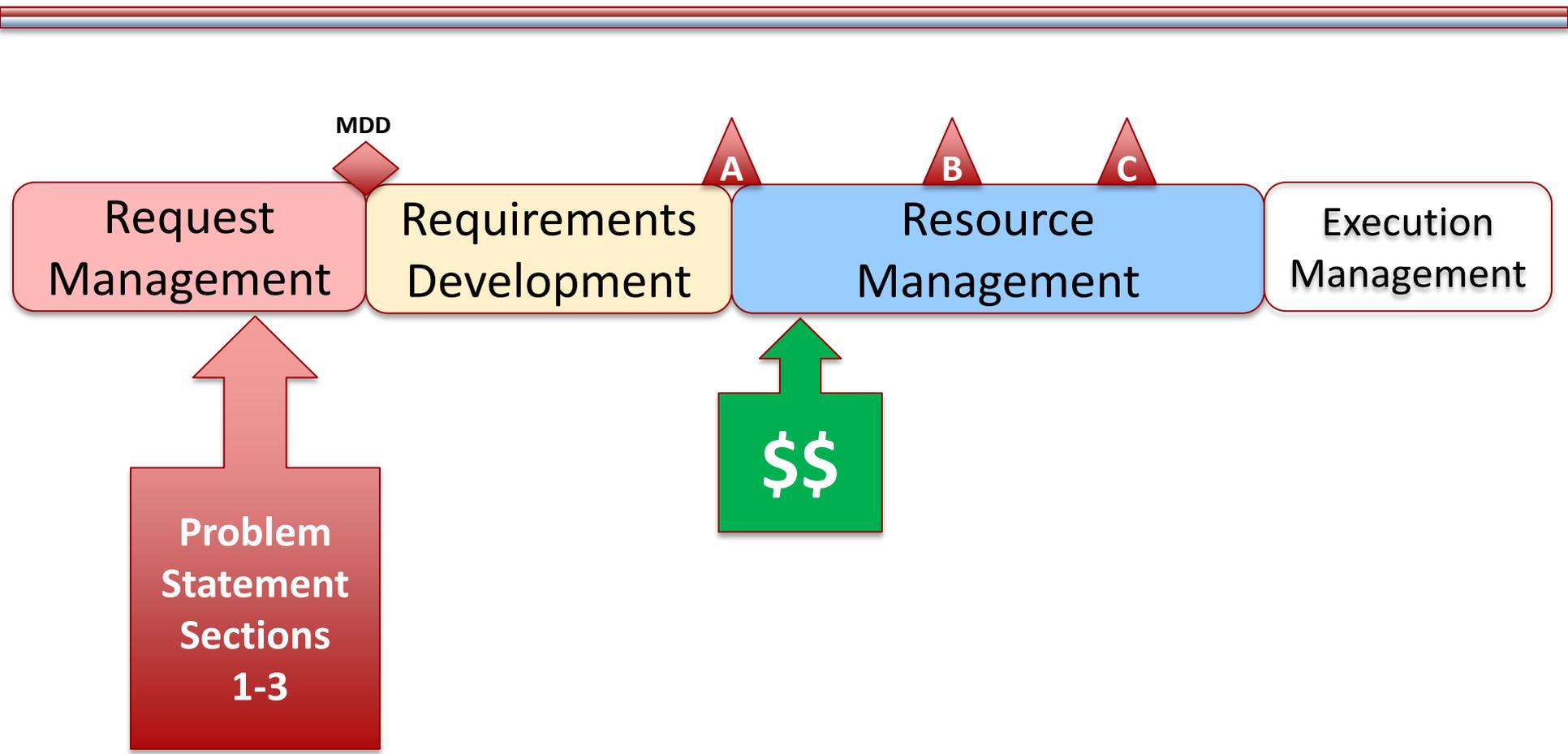
Do you need to submit a Problem Statement?



Are you requesting to certify \$1M or greater of Dev/Mod dollars in the current OEP?	Yes	Continue to next question
	No	No Problem Statement required for this submission
Do you have a previously DBC-approved Problem Statement, less than 36 months old, that covers the Enhancements?	Yes	Continue to next question
	No	Submit updated Problem Statement for approval 90 days prior to certification package submission
Were significant changes made to the previously approved Problem Statement?	Yes	Submit updated Problem Statement for approval 90 days prior to certification package submission
	No	No New/Updated Problem Statement required for this submission

Problem Statements

Business Capability Lifecycle



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How does DBS Certification provide value to the MHS?



DBS Value



Cost Savings. Streamlines health IT driven business costs by helping the Enterprise leverage IT systems while consistently supporting the DoD medical mission. DBS empower business owners, resource managers, and CIOs to prevent spending on non-strategic, redundant or wasteful investments.



Visibility into Defense Health Program (DHP) IT Spending. Provides visibility into business operations (sustainment and modernizations) of all IT spending. The information helps MHS leaders make sound and timely decisions about IT spending from a holistic perspective.



Regulatory Compliance. Ensures MHS business systems comply with internal and external regulations, 2012 NDAA, BEA, MHS EA compliance, Privacy Act of 1974, HIPAA, and IA requirements.



Accountability. Helps MHS leaders review and track progress of investments in effectively executing MHS investment strategies.

MHS System Inventory Reporting and Defense Business Certification Points of Contact



- DITIP & SNaP-IT
 - Karen Cheatwood
Karen.cheatwood@dha.mil
 - Al Terkhorn
Alton.terkhorn@dha.mil
- System Inventory
 - Lynne Zetterholm
Lynne.zetterholm.ctr@dha.mil
 - Briana Hall
briana.hall.ctr@dha.mil
- Defense Business Certification
 - Karen Cheatwood
Karen.cheatwood@dha.mil
 - Carol Fielder
Carol.fielder@dha.mil
 - Kate Sorensen
Katrina.sorensen.ctr@dha.mil

Service's Reach-back Points of Contact



- Navy

- Kim Baldwin
Kimberly.Baldwin.ctr@med.navy.mil

- Air Force

- Patricia Edmond
patricia.d.edmond.ctr@mail.mil
- Chuck Redmond
charles.b.redmond.ctr@mail.mil

- Army

- Chris Hastedt
–William.c.hastedt2.civ@mail.mil
- Kat Leard
–kathleen.a.leard.civ@mail.mil
- Erik Rabe
erik.f.rabe4.civ@mail.mil

Learning Objectives Answered



Question 1 – The threshold for IT initiatives to be included in the DHP certification request each year?

- A. \$1M
- B. \$200K
- C. >\$1 Across the FYDP
- D. \$10M across the FYDP

Question 2 – Certification must be obtained before what?

- A. A procurement action can be initiated
- B. Funds are obligated in support of a Defense Business System/Initiative
- C. The President's Budget is submitted

Question 3 – The consequence of obligating funds prior to receiving DBSMC approval results in an Anti-Deficiency Act Violation . **True**

Evaluations



Please complete your evaluations

Acronyms



- ADA: Anti-Deficiency Act
- BCL: Business Capability Lifecycle
- BCS: BEA Compliance System
- BEA: Business Enterprise Architecture
- BIN: Budget Initiative Number
- BPR: Business Process Re-engineering
- CIO: Chief Information Officer
- DBC: Defense Business Council
- DBS: Defense Business System
- DBSMC: Defense Business Systems Management Committee
- DCMO: DoD Deputy Chief Management Officer
- DHA: Defense Health Agency
- DHP: Defense Health Program
- DHP SIRT: Defense Health Program Systems Inventory Reporting Tool
- DIACAP: DoD Information Assurance Certification and Accreditation Process
- DITIP: DoD Information Technology Investment Portal
- DITPR: Defense Information Technology Portfolio Repository
- E-AUTH: E-Authentication
- FISMA: Federal Information Security Management Act

Acronyms (Continued)



- FMR: Financial Management Regulation
- FYDP: Future Years Defense Program
- HIPAA: Health Insurance Portability and Accountability Act
- IA: Information Assurance
- IM: Information Management
- IRB: Investment Review Board
- LROI: Life Cycle Return on Investment
- MHS: Military Health System
- NDAA: National Defense Authorization Act
- NSS: National Security System
- OEP: Organizational Execution Plan
- OUSD(P&R): Office of the Under Secretary of Defense for Personnel & Readiness
- PB: President's Budget
- PCA: Pre-Certification Authority
- PCR: Portfolio Certification Request
- PKI: Public Key Infrastructure
- SFIS: Standard Financial Information Structure
- SME: Subject Matter Expert
- SNaP-IT: Select and Native Programming Data Input Systems for Information Technology

Defense Business Certification

Title 10 U.S.C. section 2222



- 'CONDITIONS FOR OBLIGATION OF FUNDS FOR COVERED DEFENSE BUSINESS SYSTEM PROGRAMS.—Funds available to the Department of Defense, whether appropriated or non-appropriated, may not be obligated for a defense business system program that will have a total cost in excess of \$1,000,000 over the period of the current future-years defense program submitted to Congress under section 221 of this title unless—
 - ❑ the appropriate pre-certification authority for the covered defense business system program has determined that—
 - the defense business system program is in compliance with the enterprise architecture developed under subsection (c) and appropriate business process re-engineering efforts have been undertaken to ensure that—
 - the business process supported by the defense business system program is or will be as streamlined and efficient as practicable; and
 - the need to tailor commercial-off-the-shelf systems to meet unique requirements or incorporate unique requirements or incorporate unique Interfaces has been eliminated
 - ❑ the defense business system program is necessary to achieve a critical national security capability or address a critical requirement in an area such as safety or security; or
 - ❑ the defense business system program is necessary to prevent a significant adverse effect on a project that is needed to achieve an essential capability, taking into consideration the alternative solutions for preventing such adverse effect;
- the covered defense business system program has been reviewed and certified by the investment review board established under subsection (g); and
- “(3) the certification of the investment review board under paragraph (2) has been approved by the Defense Business Systems Management Committee established by section 186 of this title.
- “(b) OBLIGATION OF FUNDS IN VIOLATION OF REQUIREMENTS.—The obligation of Department of Defense funds for a covered defense business system program that has not been certified and approved in accordance with subsection (a) is a Anti-Deficiency Act violation

Contact Information



Karen Cheatwood

Section Head (Acting): System Inventory and
Defense Business Certification

Karen.cheatwood@dha.mil

Carol Fielder

Program Analyst: Defense Business Certification

Carol.fielder@dha.mil

This is Your DHA



Thank You For All Your Efforts!



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