

U.S. DEPARTMENT OF LABOR



DOL Information Technology Program Review Board Process Overview

Version 0.2
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Office of the Chief Information Officer

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Revision History

Version	Date	Author	Description of Changes
0.1	January 26, 2014	OCIO	Initial draft
0.2	March 11, 2016	OCIO	Final

I. Introduction

This document provides an overview of the Department of Labor (DOL) Program Review Board (PRB) process. It defines the authority, purpose, membership, roles and responsibilities of the PRB. The PRB is an authoritative body chaired by the DOL Chief Information Officer (CIO) and is consistent with the CIO's authority and responsibility in the context of the Clinger-Cohen Act of 1996, and the FITARA Act which became law in December 2014.

The PRB reviews, assesses, supports, and provides management guidance on DOL projects which are designed to deliver Information Technology (IT) services. Management guidance may include strategies, tactical recommendations, and/or corrective actions. The PRB seeks to improve IT project and service quality, effectiveness and efficiency, and to ensure that IT investment risks are reduced to an acceptable level by completing assessments at key project milestones.

The OCIO Division of IT Administration, Policies and Procedures (DITAPP) owns and manages the PRB process to include: obtaining and disseminating project deliverables, meeting logistics, action items follow-up, and capturing and posting minutes. The OCIO DITAPP Division Director serves as the Executive Secretariat for the PRB meetings.

II. Background and Purpose

In fiscal year 2013, Department wide IT PRBs were constituted by the OCIO to help the successful implementation of enterprise-wide IT projects: DOL Cloud Email, HR Works, and the Acquisition Management System (AMS). The OCIO also established internal PRBs comprised of OCIO representatives for select internal OCIO projects.

In consideration of the consistent set of positive outcomes for these projects in the 2013 through 2016 timeframe¹, and guidance from OMB in FY 2016 to apply the same oversight to all DOL projects, including but not limited to Agency IT projects, DOL is instituting the PRB process more broadly.

The PRB reviews projects at given milestones associated with phases of the DOL System Development Life Cycle Management (SDLCM). Reviews ensure that departmental, technical, program, and project risks are mitigated to an acceptable level to allow the project to proceed to the next life cycle phase.

It is important to note that the PRB function is not that of an Investment Review Board (IRB). The PRB does not authorize funding for a given project and does not assess the financial merit of the project except in the context of:

¹ All DOL enterprise and OCIO internal projects which have applied the IT PRB process have been completed successfully, on-time and within budget, as is documented through the PRB minutes and findings.

1. Verification that the project has completed required OMB IT investment and Electronic Capital Planning and Investment Control (eCPIC) actions and deliverables, and
2. Analysis of whether the project is under or over spent in terms of the planned vs. actual technical deliverables completed.

The PRB process supports and does not supersede the IT Management Framework and existing established DOL policies, including the DOL SDLCM Manual, and Capital Planning and Investment Control (CPIC).

III. Objectives

The primary goal of the DOL IT PRB is to improve the quality and management of the DOL portfolio of IT investments, specifically by ensuring that DOL IT projects deliver the technical results expected, and are completed on schedule and within budget. The objectives of a Program Review Board are to:

- Improve the overall level of IT project success and productivity
- Improve IT service quality and effectiveness
- Ensure that risk is reduced to an acceptable level
- Ensure open and frequent communications across DOL
- Recommend strategies for and facilitating closure of issues, actions, and decisions necessary for project success

The PRB process is also used to verify that the DOL IT investment portfolio is aligned with the Department's IT strategy, the DOL Enterprise Roadmap, and Information Resource Management Strategic Plan.

IV. Project Selection Criteria

IT projects are selected for PRB review consistent with the DOL SDLCM IT investment categorizations, which are; major, non-major, migration, or funding transfer investments. Refer to the [IT CPIC Guide](#) for additional details.

In addition to the SDLCM investment categorization, selection is based on:

- Project scope, size, and complexity
- Project visibility
- Significant program or policy implications
- Mission criticality
- The number of agencies that the services delivered by the project will support
- Legislative, Presidential or departmental priority

V. Membership

The PRB membership is designed to provide subject matter expertise, objectivity, and broad perspective. The composition of the PRB includes department level IT security, governance, engineering, and operations as well as agency subject matter experts, sponsors and stakeholders. The PRB includes the following standing and additional members as identified in the table below:

Table 1 – PRB Membership

Standing Members	Names
Chief Information Officer (PRB Chair)	Dawn M. Leaf
Director, OCIO Division of IT Administration, Policies and Procedures (PRB Executive Secretariat)	Cheryle A. Greenaugh
Director, OCIO Division of IT Acquisitions	Claire Ward
Director, OCIO Division of IT Governance	Pete Sullivan
Director, OCIO Division of Advanced Technology / Chief Technology Officer or representative	Ashit Talukder
Director, OCIO Division of Application and Platform Services or representative	Varies by project
Director, OCIO Division of Infrastructure Services	Louis Charlier
Director, OCIO Division of Information Assurance / Chief Information Security Officer	Tonya Manning
Director, OCIO Division of Systems Engineering or representative	Varies by project
Rotating Members	Names
Agency Executive Project Sponsor	Varies by project
Senior Agency Representatives (Two Business Managers, Two Technical Managers, nominated by the Enterprise Implementation Committee)	Varies by project

VI. Responsibilities

PRB member responsibilities include:

- Reviewing materials prior to the PRB meetings
- Attending PRB meetings and actively supporting the purpose and functions of the PRB
- Identifying specific issues, action items and recommendations, related to those program deliverables, based on their respective areas of expertise

Table 2 lists the responsibilities of the PRB standing and rotating members.

Table 2 – Responsibilities of PRB Members

PRB Members	Role	Responsibilities
Chief Information Officer	Chair	<ul style="list-style-type: none"> • Chair and provide guidance to facilitate the operation of the PRB • Establish the agenda for each PRB • Ensure transparency, neutrality, objectivity, and accuracy in the PRB process • Summarize the basis for determination that the project risk is acceptable such that the project moves to its next phase • Direct the formation of “Tiger Teams” or working groups to ensure that additional assessment is completed as required to resolve issues and close action items • As necessary, brief or escalate issues to the Assistant Secretary for the Office of the Assistant Secretary for Administration and Management (OASAM), respective Agency executives, and/or the Deputy Secretary of the Department of Labor
Director, OCIO Division of IT Policies and Procedures	Executive Secretariat	<ul style="list-style-type: none"> • Manage PRB related processes, and ensures that participants are aware of and complete actions consistent with their respective roles • Coordinate, and forward to the Project Manager, the data call of documents, briefings, interviews, and presentations needed for the review • Schedule PRB meetings • Confirm that briefing materials are complete • Distribute the meeting agenda and material 3-5 working days before each scheduled PRB meeting

PRB Members	Role	Responsibilities
		<ul style="list-style-type: none"> Complete and distribute PRB meeting minutes Track PRB action items and corrective actions
Director, OCIO Division of IT Acquisitions	Standing Member	<ul style="list-style-type: none"> Serve as the acquisitions subject matter expert Provide IT strategic sourcing and acquisition expertise that results in streamlined purchasing and implementation of complex solutions
Director, OCIO Division of IT Governance	Standing Member	<ul style="list-style-type: none"> Serve as the Federal capital planning and IT investment process Provide IT Governance oversight to ensure compliance with OMB guidance and reporting requirements
Director, OCIO Division of Advanced Technology / Chief Technology Officer	Standing Member	<ul style="list-style-type: none"> Evaluate IT investments based on DOL IT strategy and enterprise architecture Balance and match policy-related considerations with technology, innovation, and IT strategy
Director, OCIO Division of Systems Engineering	Standing Member	<ul style="list-style-type: none"> Evaluate IT investments based on DOL IT enterprise infrastructure Balance and match policy-related considerations with engineering best practices
Director, OCIO Division of Application and Platform Services	Standing Member	<ul style="list-style-type: none"> Evaluate IT investments based on software and platform integration Balance and match policy-related considerations with software and platform services best practices
Director, OCIO Division of Infrastructure Services	Standing Member	<ul style="list-style-type: none"> Evaluate IT investments based on maintainability Balance and match policy-related considerations with operations best practices including but not limited to configuration management
Director, OCIO Division of Information Assurance / Chief Information Security Officer	Standing Member	<ul style="list-style-type: none"> Serve as a Federal Information Security Management Act and Federal cyber Security subject matter expert Provide DOL level IT Security oversight to ensure that federal requirements are met Ensure IT Security Compliance

PRB Members	Role	Responsibilities
Agency Executive Project Sponsor	Member	<ul style="list-style-type: none"> • Serve as the stakeholder business liaison • Provide DOL oversight to ensure that federal and department policy, guidance and legal requirements are satisfied • Ensure that approved customer requirements are being met • Resolve issues and approve or coordinate customer actions in order to move the project forward
Senior Agency Representatives <i>(4 Executives assigned through the DOL Enterprise Implementation Committee as appropriate depending on the IT Project)</i>	Member	<ul style="list-style-type: none"> • Provide DOL oversight to ensure that federal and department policy, guidance and legal requirements are satisfied • Suggest policy and technical solutions and action items based on DOL Agency experience base

VII. Meeting Structure and Deliberation Process

PRB meetings begin with opening remarks from the Chair, followed by an update on action items (as applicable) by the Executive Secretariat. Subsequently the project briefing is delivered by the presenter (typically the Project Manager) with no interruptions. After the briefing, the Chair initiates a round-robin question and answer session for PRB members, then for all other attendees. If there are additional questions but the meeting allotted time is insufficient, the attendees are able to email their comments and questions to the Executive Secretariat.

Optionally, the Chair may hold a closed session after the question and answer session for PRB members only, for the purpose of deliberation. Deliberations may result in recommendations for project approval to continue as planned, additional project action items or conditions of approval, a project pause or stop, or additional PRB or stakeholder meetings.

In some cases the issues may be determined to be management or process issues which are outside of the control of the project, and external action items and recommendations may be presented and tracked on behalf of the project by the PRB. After the PRB, working groups/Tiger Teams may be established, minutes will be recorded, and the results of each PRB session, including issues, action items and recommendations will be available for review. The expectation is that there will often be general agreement, but not necessarily unanimity.

All issues, action items and recommendations will be considered by the DOL CIO in the context of the impact on Department Level IT Services of project success and risk. As necessary, the CIO may brief or escalate issues to the Assistant Secretary for the OASAM, Agency Executives, and/or the Deputy Secretary of the Department of Labor.

VIII. PRB Milestone Meeting and Corresponding SDLCM Phase

Reviews may occur during or at the end of each SDLCM phase. The PRB supports the project by identifying and resolving issues, removing roadblocks that impede progress, and providing recommendations and action items to facilitate this. PRB meetings will be scheduled to assess projects and the deliverables listed below. Project Managers are responsible for preparing and providing all applicable SDLCM artifacts for the specific investment's threshold/categorization. Table 3 below provides a list of the different PRB meetings and the corresponding SDLCM phase:

Table 3 – Responsibilities of PRB Members

PRB Milestone Meeting	Corresponding SDLCM Phase
Project Initiation Review	Conceptual Planning
Requirements Readiness Review	Planning and Requirements
Design Readiness Review	Design
Test Readiness Review	Development and Test
Production Readiness	Implementation
Post Implementation Review	Operations and Maintenance

IX. References

DOL Enterprise Roadmap v4.0, May 2015

Information Resource Management Strategic Plan, May 29, 2015

DOL IT Capital Planning and Investment Control (CPIC) Guide – Managing IT Investments v4.0, September 2014

DOL Systems Development Life Cycle Management (SDLCM) Manual v2.4, July 2014

Information Technology Management Reform Act (ITMRA) (Division E) and the Federal Acquisition Reform Act (FARA) (Division D) signed into law, and subsequently designated the *Clinger Cohen Act of 1996 (CCA)*, encompassing both.

Federal Information Technology Acquisition Reform Act (FITARA) into law, December 19, 2014.