

**TEMPLATE INSTRUCTIONS - OCTOBER 2004**  
**Defense Information Systems Agency**  
**Clinger-Cohen Act Certification Report to Congress**

1. Prior to the milestone decision authority's approval of a Major Automated Information System(MAIS) Program's milestone, the Program Manager (PM) prepares a report for the Department of Defense (DOD) Chief Information Officer (CIO) to submit to the appropriate congressional defense committee, as a legislative requirement under the DOD Appropriations Act. Deputy Assistant Secretary of Defense (Deputy Chief Information Officer) memorandum of 14 May 2004, "Clinger-Cohen Act Compliance Certification of major Automated Information Systems for FY 2004 provides the statutory authority and guidance for meeting the requirement for this report in FY 2004. (Take Note: These instructions and reporting format will be followed in subsequent fiscal years, until otherwise notified.) This report will accompany the CCA Compliance Table outlined in Enclosure 1.
2. Defense Information Systems Agency (DISA)'s CIO is responsible for assisting the DOD CIO in the development, review, and coordination of this report. It must correlate with the information presented in the CCA Compliance Table, which the DISA CIO and DOD CIO certify before the milestone decision meeting. It must also mirror the information in the Capital Investment Report (a.k.a. 300 Exhibit). The report is to be written in a concise, comprehensive manner, while giving consideration to the audience; i.e., a member of the congressional defense committee who may not have any knowledge of program details. Supporting documentation will be centrally maintained in program management office files. A template follows to assist PMs in its preparation.
3. DISA CIO's CCA certification is required prior to each milestone decision. Without CCA certification, a program risks possible withholding of funding, schedule delay, milestone disapproval, and restrictions on contract awards. There are no waivers to the process.
4. A typical process **timeline** (at a high-level view and more detailed view) is depicted in the flow charts provided at Enclosure 3. ***NOTE: Any variation will be considered and tailored, if necessary, on a case-by-case basis and upon agreement between DOD CIO, PM, and DISA CIO IZPT members.***
5. In the case where there has been no change to the information provided in a previous report, a statement to this effect is acceptable. The DISA CIO will prepare a CCA certification memorandum to the DOD CIO, predicated upon the PM's written notification to the DISA CIO that the information presented in the previous report applies to the milestone action immediately following.
6. The Appendix to the report must show how funding baseline and milestone schedule have been established and maintained since the inception of the program; i.e., program funding by milestone by fiscal year (Table A-1 template); cost linkage of the Acquisition Program Baseline (APB), the Capital Investment Report (CIR), and Economic Analysis (EA) (Table A-2 template), and the approved milestone schedule (Table A-3 template).

**GENERAL NOTES:**

- Ensure early contact with DISA CIO and functional stakeholders.
- Use e-mail to the maximum extent practicable to expedite process activities such as those involving the review, coordination, and transmittal of the report.
- Spell out acronyms and abbreviations at first usage.
- Omit any reference to a document that is not provided with the report.
- Use of "to be determined and "not applicable" are not acceptable without an explanation.
- Omit embedded pictures or embedded documents within the document.
- Provide pertinent and clear information that would not lead to unanswered questions or follow-on inquiries.
- Update the funding and milestone schedule charts, if necessary, to match the Acquisition Program Baseline once approved/signed by the MDA.

**TEMPLATE – OCTOBER 2004**  
**Defense Information Systems Agency**

**FY 200X Department of Defense Appropriations Act - Section XXXX(x) Report**  
**<PROGRAM NAME>**  
**Acquisition Category XXX -- Milestone X, <Block or Phase X>**

**I. INTRODUCTION:** This section addresses the following:

- Statement of the legal requirement that this report meets.
- Statement that the following requirements have been met:
  - Program meets a valid and approved requirement;
  - Program is fully funded;
  - Business Process Reengineering has been completed;
  - Analysis of Alternatives has been completed;
  - Economic Analysis and Calculation of Return on Investment (ROI) has been completed;
  - Performance Measures have been identified and are being managed; and
  - Information Assurance (IA) requirements are being met.
- Provide Acquisition Category designation information such as date of designation memo and by whom.
- Statement that the Defense Information Systems Agency (DISA) Chief Information Officer (CIO) has concurred with the system's being developed in accordance with the Clinger-Cohen Act (CCA) of 1996.
- Statement that the Department of Defense (DOD) CIO has certified as to the program's compliance with the CCA (reference the Acquisition Decision Memorandum (ADM), which typically contains the DOD CIO certification).
- Provide a paragraph describing the mission benefits the system provides and tie the system to DISA strategic plans and objectives, the acquisition strategy, establishment of performance measurement, and adequacy of the information assurance program.

Sample text for this section follows --

"This report contains information required by Section XXXX(x) of the Fiscal Year (FY) 200X Department of Defense (DOD) Appropriations Act. This section requires the DOD Chief Information Officer (CIO) to certify that each major automated information system is being developed in accordance with the Clinger-Cohen Act (CCA) of 1996 (40 U.S.C. 1401 et seq.) prior to Milestone (MS) A approval, MS B approval, full rate production approval, or their equivalent. The statute also stipulates that the notification to the Congressional Defense Committee include the funding baseline and milestone schedule for each system covered by the certification and confirmation that the following steps have been taken with respect to the system:

- A. Business process reengineering;
- B. Analysis of alternatives;
- C. An economic analysis that includes a calculation of the return on investment;
- D. Performance measures; and
- E. An information assurance strategy consistent with the Department's Global Information Grid.

The DOD Component CIO has certified via memorandum, dated <Day Month Year>, that the <Program Name> is being developed in accordance with the precepts of the CCA. The DOD CIO certified in the Acquisition Decision Memorandum (ADM), dated <Day Month Year>, as to the <Program Name>'s compliance with the CCA. The <Program Name> Program Manager (PM) demonstrated compliance with the CCA in a CCA Compliance Table, which links the CCA requirements delineated in the DOD 5000 with the applicable governance documentation. This report encapsulates the information in the CCA Compliance Table relative to the above steps, and it provides an Appendix containing the funding baseline and milestone schedule associated with <Milestone X, Block or Phase X> activities."

**II. OVERVIEW:** Provide a three or four paragraph description of the mission need, key requirements, objectives, goals, and priorities, and description of program governance. Describe other key elements as appropriate.

- Describe and discuss each of the following:
  - Statement of Mission Need (from the Initial Capabilities Document (ICD) (formerly the Mission Needs Statement (MNS)) and/or the Capability Development Document (CDD) (formerly the Operational Requirements Document (ORD))
  - Key Requirements, objective, goals and priorities (from the CDD (or ORD) and/or the Test and Evaluation Master Plan (TEMP)
  - Program Governance (from Program Management Charter and/or Program Management Plan)
  - Acquisition Strategy summary.
  - Status of the program including Management Reviews and milestone reviews completed; technical reviews completed; milestone decision approvals; current program activities; expected date of next milestone review; use of functional groups and integrated product teams; degree to which the following have been used in the program: risk management, quality improvement/performance monitoring, lessons learned, and cost as an independent variable (CAIV) analyses.

**III. REQUIREMENTS:** In the subsections below, discuss how the program meets each of the following five steps.

A sample introduction follows –

The following paragraphs address the five key business areas necessary to determine CCA certification for the <Program Name>:

**A. Business Process Reengineering (BPR):**

- Prepare a summary of steps taken to achieve dramatic improvements in critical performance measures; i.e., cost, quality, service, and speed.
- Reflect rethinking of what the organization should be doing and how best to do it.
- Focus on the organization's business processes.

- Describe actions taken to streamline or reengineer the business processes before the decision was made to invest in the new IT system.
- Identify and describe the governance process through which the program executive leadership manages change.
- Describe how the program mission has been aligned with strategic goals. List and describe mission critical processes and how they have been mapped to the system.  
Identify the gaps between current performance and functional **proponent/user** needs to which the system responds (i.e., mission shortfalls). Describe current performance benchmarks. Have the gaps been defined in terms of functional requirements?
- Answer the following questions and provide the rationale.
  - Can the process be eliminated?
  - Can the process be accomplished more efficiently by other federal organizations, (e.g. another component or even another organization within the same component)?
  - Can the process or system be outsourced in part or entirely?
- Briefly describe the current process, the need to change, and expected benefits of the change.
- Identify cost savings whenever possible.
- Describe the Program Governance Structure. Identify the governance process through which program executive leadership manages change.
- Describe and summarize specific Program BPR results. Restate the mission outcomes, measures, and rationale.

**B. Analysis of Alternatives (AoA):** This subsection identifies all alternatives considered, analysis conducted to derive the feasible alternatives, and the analysis conducted to justify the preferred alternative that would satisfy valid mission need.

- Describe and update the business case for IT **funding** to support core functional requirements identified in the BPR process (described above) and needed to meet mission needs.
- Answer each of the following questions to determine if the capital investment is in the best interest of the DOD.
  - Does the investment in a major capital asset support **core/priority** mission functions that need to be performed by the Federal Government? Provide a summary of the answer including why it is so.
  - Does the investment need to be undertaken by the requesting agency because no alternative private sector or governmental source can better support the functions? Provide summary of the answer including why it is so.
  - Does the investment support work processes that have been simplified or otherwise redesigned to reduce costs, improve effectiveness, and make maximum use of commercial off-the-shelf technology?
  - Describe the methods of evaluation (i.e., What method and criteria were used to assess the alternatives?). Identify acceptable methodology and calculations.
    - DISA Mission Requirements.
    - Key performance **parameters/measures**.
    - DODDISA technical requirements including information assurance.
    - DODDISA architecture requirements including information assurance.
    - GAO's criteria for comparing and ranking projects; i.e., risk, performance, schedule, cost, organizational impact, contribution to mission effectiveness, and cost benefit contribution.

- Briefly provide a comparison for each alternative including the status quo and use of commercial off-the-shelf software/government off-the-shelf software.
  - Describe the process, describe the benefits, describe shortfalls, and summarize how well each met the evaluation criteria.
  - Be sure to use simple formulas with one clearly defensible option.
  - Include the following elements considered in ROI calculation: improvements to mission performance, resource savings or qualitative mission benefits, and, if possible, provide an overall ROI for each increment of an incremental or evolutionary acquisition program.
- Provide the AoA recommendation and justification.
  - Identify affordability analysis that the preferred alternative is consistent with cost section of the Acquisition Program Baseline and the Capital Investment Report (i.e., the IT 300 Exhibit).
  - Identify through clear analysis the alternative selected.

**C. Economic Analysis (EA):** This subsection summarizes the economic analysis completed to date.

- Provide the current projected return on investment (ROI) for the preferred alternative. Does the ROI support the investment in the preferred alternative?
- Identify the elements that were considered in the ROI including mission improvements, resource savings, and qualitative mission benefits.
- For an incremental or evolutionary acquisition, provide an overall ROI for the Program Block or Phase.
- Provide information that is consistent with the mission benefits of the capabilities to be provided and achieved (e.g., Measures of Effectiveness (MOEs)).
- Ensure the ROI is broad enough to capture all organizations, activities, etc., benefiting from the investment.
- Summarize the ROI analysis. Consider the following in calculating and describing return on investment (ROI): improvements to mission performance, resource savings or qualitative mission benefits, and, if possible, provide an overall ROI for each increment of an incremental or evolutionary acquisition program.

**D. Mission Performance Measures:** This subsection describes measurable performance indicators used to systematically track the process in achieving predetermined goals.

- Describe each mission performance measure and how it will be accounted for to measure program progress and for post deployment evaluation.
- Describe each mission performance measure and how it will be accounted for to measure program progress and for post-deployment evaluation. Focus on outcome-based versus output-based measures associated with business-related performance measures.
- Link the performance measures to DOD strategic goals and objectives (refer to Acquisition Program Baseline (APB)).
- Describe how the performance measures are being applied for evaluation of mission accomplishment.
- Ensure acquisition performance measures are being used.
- Ensure there is a balance of meaningful measures; i.e., Balanced Scorecard Concept.

E. **Information Assurance (IA):** This subsection describes the IA program for the system.

- Identify the program IA Strategy and its level of consistency with DOD policies, standards, and architectures. Identify security features, practices, procedures, and architectures of the system that accurately mediate and enforce DOD security policies.
- Specifically address the following:
  - Describe the security features, practices, procedures and architecture of the system that mediate and enforce the DOD security policy (DOD Directive 8500.1, DOD Information Assurance, and DOD Instruction 8500.2, Information Assurance Implementation).
  - How do the features of the **proposed/developed** system support the DOD policies, standards, and architectures, e.g.,  
What are the provisions for the restoration of information systems by incorporating protection, detection and recovery capabilities?  
How were the IA attributes built into the program from the beginning? (DOD 5000 series)
  - What is the status of security accreditation (DOD Instruction 5240.40, Defense Information Technology Security Certification and Accreditation Process (DITSCAP))?

**TEMPLATE – OCTOBER 2004**  
**Defense Information Systems Agency**

**FY 200X Department of Defense Appropriations Act - Section XXXX(x) Report**  
**<PROGRAMNAME>**  
**Acquisition Category XXX, Milestone X, Block or Phase X**

**Appendix -- Funding Baseline and Milestone Schedule**

Table A-1 below presents the Program's funding levels, as they have existed at each Program Review.

MS	Actual Date		FY__	TOTAL							
A	MTH YR	Required									
		Funded									
B	MTH YR	Required									
		Funded									
C		Required									
		Funded									
X, Block/Phase		Required									
		Funded									
X, Block/Phase		Required									
		Funded									
<b>Summary</b>											

**Table A-1: <Program Name> Program Funding (\$ in Millions)**

**Table A-2 below presents the cost linkage among the Program Management Plan (PMP)/Acquisition Program Baseline (APB), as applicable, the Capital Investment Report (CIR), as applicable, and the Economic Analysis (EA).**

MS	FY	PMP/APB			CIR		EA
		Required	Funded	LCCE	Funded	LCCE	LCCE
A							
B							
C							
X, Block/Phase							

**Table A-2: <Program Name> PMP/APB, IT-431300, and EA Cost Linkage (\$ in Millions)**

Table A-3 below presents the projected and actual dates for Program Milestones.

<b>Milestone Schedule Table</b>					
<b>Completed</b> <i>Milestone award history</i>		<i>Future dates (Q/FY) for projected Milestones at the time of each Milestone award</i>			
<b>Milestone</b>	<b>Date (mm/yy)</b>	<b>MS B*</b>	<b>MS CIFDD*</b>	<b>FDD*</b>	<b>FDD*</b>

- *Notional nomenclature. Actual milestone names may vary, and there may be more than four for any given program.*

**Table A-3: Approved <Program Name> Milestone Schedule**

**FY 200X Department of Defense Appropriations Act – Section XXXX(x) Report**

**Defense Information Systems Agency**

**PROGRAM NAME**

**Acquisition Category XXX – Milestone X, Block <or Phase> X**

**Coordination/Approval**

*Typed Name & Signature:*

*Date:*

**PREPARED BY:**

Program Manager or Deputy Program Manager

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\_\_\_\_\_

**COORDINATED BY:**

Component Acquisition Executive or Designee

\_\_\_\_\_

\_\_\_\_\_

Chief Financial Executive or Designee

\_\_\_\_\_

\_\_\_\_\_

Director, Procurement & Logistic, or Designee

\_\_\_\_\_

\_\_\_\_\_

Chief, Defense Information Technology Contracting  
Organization, or Designee

\_\_\_\_\_

\_\_\_\_\_

Chief Information Assurance Executive or Designee

\_\_\_\_\_

\_\_\_\_\_

Chief, Strategic Business Unit, Strategic  
Planning and Information Directorate, or Designee

\_\_\_\_\_

\_\_\_\_\_

Chief, Information Assurance Division, Office of  
the Chief Information Officer, or Designee

\_\_\_\_\_

\_\_\_\_\_

Chief, Information Technology Division, Office of  
the Chief Information Officer, or Designee

\_\_\_\_\_

\_\_\_\_\_

General Counsel or Designee

\_\_\_\_\_

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**CERTIFIED BY:**

Chief Information Officer (CIO) or Deputy CIO

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