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# Governance Structure

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## Concept of Operations Document

IMCEN

*Version 1 Revision 3*

**Prepared by**  
Governance Team  
**Last Revised on**  
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**Table of Contents**

1. Executive Summary \_\_\_\_\_ 3

2. Background and Reason for Establishing the HQDA  
IT Governance \_\_\_\_\_ 4

3. HQDA IT Governance Mission and Goals \_\_\_\_\_ 5

4. Suggested HQDA IT Governance \_\_\_\_\_ 6

    4.1. Concept Description.....6

    4.2. HQDA Governance Process Description .....6

    4.3. Governance Entities, Members, and Their Roles.....8

        4.3.1. The Governance Team.....8

        4.3.2. HQDA Requirements and Technical Review  
Working Group (HRTRWG).....8

        4.3.3. Enterprise Working Group (EWG) .....9

        4.3.4. HQDA IT Services Executive Board (SEB).....9

    4.4. Voting .....10

    4.5. Conflict Resolution.....10

    4.6. Performance Measurements.....11

5. Appendix A – HQDA IT Governance Structure\_\_\_\_\_ 12

6. Appendix B - HQDA Information Technology Services  
Executive Board Charter\_\_\_\_\_ 13

7. Appendix C - GUIDELINES FOR THE HQDA  
Requirements and Technical Review Working Group \_\_\_\_\_ 19

8. Appendix D - GUIDELINES TO THE HQDA  
Enterprise Working Group \_\_\_\_\_ 21

9. Appendix E – IT Requirement Form (ITRF) \_\_\_\_\_ 24

10. Appendix F – HQDA Governance Decision-Making  
Workflow \_\_\_\_\_ 25

# 1. Executive Summary

This Concept of Operations (CONOPS) has been developed to support the Headquarters, Department of the Army Director of Information Management's (HQDA DOIM) Governance Structure in the implementation and management of Information Technology/Information Management (IT/IM) support services. The plan implements the concepts presented in the Chief Information Management (CIO) presentation of 25 August 2001 and conforms to the Army CIO Information Management Implementation Plan and the HQDA DOIM (Directorate of Information Management) Transition Plan. The CONOPS addresses the process by which customer requirements are defined, validated, prioritized, and supported by Board and Working Groups established to provide oversight of the decision-making process.

The HQDA DOIM's approach for implementing centralized oversight of IM/IT services consists of a phased consolidation of desktop support operations, bringing all HQDA elements in the National Capital Region (NCR) under operational and/or technical control (OPCON/TECHCON) of the DOIM NLT 30 September 2002. This approach implements the concepts presented in the CIO Information Management presentation of 25 August 2001, and ensures that the customer community has a participatory role in HQDA IT/IM governance.

The following entities have been established to ensure all HQDA agencies and staff elements who receive IT support services under OPCON/TECHCON of the HQDA DOIM are provided the highest level of support that results in high quality, reliable, and affordable IT systems:

- HQDA IT Services Executive Board (SEB)
- Enterprise Working Group (EWG)
- HQDA Requirements and Technical Review Working Group (HRTRWG)

The HQDA IT Governance structure will address all customer IT requirements/services to include system upgrades, technical refresh, configuration changes, operations and maintenance, new technology requests, system architecture integration, Hardware/Software configuration management, and funding strategies.

## 2. Background and Reason for Establishing the HQDA IT Governance

The Clinger-Cohen Act of 1996 (hereinafter referred to as the Act) states that each government agency “shall design and implement a process for maximizing the value and assessing and managing the risk of the information technology acquisitions” and that the established process “shall provide for the selection of information technology investments.” The Act also states that this process “shall be integrated with the processes for making budget, financial, and program management decisions within the agency.”

The Army CIO has instructed that HQDA IT Governance will provide for such process and will facilitate compliance with the Clinger-Cohen Act. The IT Governance is intended to be the organizational entity that will define and implement the rules, standards, and procedures for IT decision-making within HQDA. The HQDA IT Governance will also define the conflict resolution procedures. It will address the IT needs and requirements of the HQDA Information Management Center customer base that will be significantly increased due to the undergoing realignment of HQDA desktop support services effort. This approach will make it possible for all business units that receive their IT support from the Information Management Support Center (IMCEN) to influence and participate in the decision-making process.

The HQDA IT Governance structure complies with Goal One of the Army Knowledge Management's (AKM) principles – adopt governance and culture change. The AKM governance and culture change goal establishes the Army CIO Executive Board as the top governance body for Army Information Technology. The HQDA IT Governance will ultimately report to the Army CIO Executive Board.

The HQDA IT Governance structure also supports and helps to implement the requirements of the Government Performance Results Act. This act calls for all government agencies to submit annual performance reports addressing the implementation of the performance and financial goals set in the agencies' strategic plans. Establishing the HQDA IT Governance will facilitate achievement of such goals.

The HQDA IT Governance structure strikes a balance between several opposing requirements that HQDA IT managers are facing today – the requirement for a standardized architecture versus the requirement for customized IT solutions for different business units and missions; the requirement for greater flexibility and better and more reliable service versus the need to cut costs and become more financially efficient. The IT Governance will make it possible to set priorities and develop a single policy to address all IT issues.

### 3. HQDA IT Governance Mission and Goals

**Mission:** The Mission of the HQDA IT Governance structure is to oversee all HQDA Information Technology expenditures and major IT issues by establishing a reliable decision-making mechanism that will provide resolution of priority conflicts, determine investment strategies, and enforce technical and architectural standards.

**Goals:** The goals of the HQDA IT Governance are to:

- Make justifiable, unbiased decisions, and execute IT investments based on established HQDA mission goals and priorities, financial feasibility, and a sound business rationale;
- Eliminate the duplication of effort across all HQDA IT projects to ensure maximum efficiency of Army IT spending;
- Ensure representation of all HQDA Business Units in the IT Governance and address their IT needs and requirements in a timely manner.

The HQDA IT Governance structure is aimed at establishing a flexible, stable process for making IT investment decisions, developing the headquarters IT configuration and architecture policy, as well as providing the best possible support to the HQDA customers.

## **4. Suggested HQDA IT Governance**

### **4.1. Concept Description**

The Governance structure utilizes a process to develop a standardized infrastructure, customize services and solutions, and contain or reduce costs. It is an essential element of the HQDA DOIM in its efforts to provide high quality, innovative, proactive, and cost effective solutions and recommendations within the IT/IM arena. At the same time it allows for greater flexibility, adaptability, reliability, and responsiveness within the IT/IM process. The HQDA IT Governance will link technology to business strategies in order to produce IT decisions that will benefit all of HQDA.

### **4.2. HQDA Governance Process Description**

Through the organization of two working groups and a senior executive board, the HQDA IT Governance structure is responsible for strategic sourcing initiatives and for overseeing costs, architecture, security, configuration change, assets, problems, and capacity. Participants in the process will validate and prioritize requirements, recommend fund allocation, and ensure consistency, effectiveness, and fairness throughout the overall HQDA IT/IM process.

The process encompasses two areas of IT/IM management – Requirements and Technical Evaluation. The purpose of the overall process is to define the deliverables and/or results required to ensure that standardized policies, strategies, changes, equipment, upgrades, etc., are identified and implemented within the HQDA IT/IM environment. The primary products will be consistent IT/IM requirements, policies, investment strategies and integrated architectures for the HQDA.

The process will be initiated by the HQDA customers (organizations) who will submit their IT requirements primarily through their Requirements, Analysis, and Design Customer Liaison, but can also submit through the other HQDA DOIM Divisions (i.e., Business Applications (BA), Customer Support (CS), Enterprise Services (ES), and Installation Services (IS), System Support Services (SSS), and Information Assurance (IA)). All requirements will be captured and managed by an automated requirements database system that will be used to track and report the status of all requirements, and interface to other IMCEN automated systems for funding allocations, acquisition, delivery, installation, and property management. The IMCEN Division Chiefs will form an HQDA Requirements and Technical Review Working Group (HRTRWG), which will be responsible for the initial review and evaluation of requirements. To better structure the requirements submission, an IT Requirements form was developed (Appendix E). The IMO, or his alternate, will complete the form and submit it to IMCEN via email, in writing, or online.

The RADD CL will accomplish an initial review and assessment of the requirement. All requirements that are classified as "Routine" (as outlined in Appendix F) will be approved by the HRTRWG Chair (Chief of RADD). All other requirements (non-Routine) will be assigned one or more Subject Matter Experts (SMEs) within the IMCEN Divisions to begin evaluation in preparation for review by the HQDA working group. The HRTRWG will initially convene once a week to review all non-routine submitted requirements, verify the assignment of SMEs for technical review, and to conduct the initial assessment, evaluation, and prioritization of the requirements. Part of the evaluation and assessment may include testing by the HTITB for impact on the standard architecture.

The working group will have the authority to approve/disapprove customer requests for hardware/software not on the current approved IMCEN list if:

- the requirement has no impact on the Headquarters Enterprise Network (HEN) or the Headquarters Classified Enterprise Network (HCEN); and
- the requirement is under the \$25,000 threshold.

The HQDA DOIM will have the authority to approve/disapprove requirements:

- over the \$25K threshold, but under the \$250,000 threshold; and
- will have an impact on the HEN and/or HCEN.

The HRTRWG can forward the submitted request to the HTITB for testing, or to the Enterprise Working Group (EWG) for assessment of impact (positive or negative) on the HQDA Enterprise. The EWG will convene on a bi weekly basis, or more frequently if required. The EWG will consist of organizations' technical representatives; primarily IMOs. The EWG will forward its recommendation to the Governance entity that initially submitted the request and will notify the HQDA DOIM about its recommendation.

The HQDA DOIM will consider all requests based on the testing results and the HRTRWG and the EWG (if the issues has been forwarded to the EWG by the HRTRWG) recommendations, and will have the authority to approve/disapprove those requests that are below the established threshold (currently \$250,000). The HQDA DOIM will provide written notification to the IMO on approval/disapproval of the request. The HQDA DOIM may also forward requests to the EWG or to the HTITB for an enterprise impact review, testing, and validation of the requirement.

If a requirement is over the \$250,000 threshold, the HQDA DOIM will forward this requirement to the HQDA Services Executive Board (SEB). The Deputy for Information Technology (ITA) will be notified about all issues presented at the SEB prior to the scheduled SEB meeting. The SEB will consist of representative from 10 permanent and 5 rotating HQDA organizations. The SEB members will be at the GS-15/O6 level and will convene once a quarter. The SEB will review all HQDA IT issues and requirements that are over the \$250,000 threshold or will have

a significant impact on the enterprise. The SEB recommendations will be forwarded to the Army CIO for approval. For more details on specific board responsibilities, please refer to the SEB charter in Appendix B. To better understand the relationships between the governance entities, please refer to the diagram in Appendix A.

All administrative issues will be coordinated and executed by the HQDA Governance Team, which will report to the HQDA DOIM. The team will be responsible for ensuring that all stages of the process are implemented correctly.

### **4.3. Governance Entities, Members, and Their Roles**

#### **4.3.1. The Governance Team**

The HQDA DOIM Governance Team will be responsible for organizing meetings of the Governance Structure entities, providing appropriate read-ahead materials, channeling recommendations to appropriate entities, documenting meeting minutes, and preparing written decision justifications for the organizations. The group will also administer the Governance website and use the future requirements tracking system for reporting statuses to the Governance entities and managing the flow of Governance issues. The Governance Team will report to the HQDA DOIM.

#### **4.3.2. HQDA Requirements and Technical Review Working Group (HRTRWG)**

Purpose: Reviews and discusses new IT/IM customer/DOIM requirements for validity, scope, cost, and impact on the HEN and HCEN. Discusses ongoing issues concerning all requirements. Prepares valid requirements for submission to HQDA DOIM.

The group will consist of IMCEN Division Chiefs and will be chaired by the Deputy Director of IMCEN, or as designated by the HQDA DOIM. The working group will meet weekly to discuss all requirements not handled as routine, and received during the week, evaluate, prioritize them, approve/disapprove those that are within their threshold of responsibility, and prepare a recommendation to the HQDA DOIM. The Governance Team will prepare the agenda of items to be submitted for the HQDA Requirements and Technical Review Working Group meetings based on the direction of the Working Group Chair.

The HRTRWG will include the following divisions: Installation Services (IS), Business Applications (BA), Requirements Analysis and Design (RAD), Customer Support (CS), Information Assurance (IA), Systems Support Services (SSS), and Enterprise Services (ES). In addition, the Configuration Management Branch will work closely with the HRTRWG to track requirements throughout the configuration change process.

Decisions on requirements below the threshold set by the Army CIO (currently \$250,000) will be made by the HQDA DOIM based on the Working Group's recommendation. Should

requirements have a significant impact on the HEN or HCEN, they will be forwarded to the Enterprise Working Group for evaluation.

### **4.3.3. Enterprise Working Group (EWG)**

Purpose: Reviews and prioritizes initiatives and requests presented by the HQDA Requirements and Technical Review Working Group (HRTRWG) or the HQDA DOIM. The Working Group consists of functional and/or technical representatives of the member organizations, primarily IMOs.

The Working Group will be chaired by the IMCEN Chief of Customer Support and will meet biweekly. The Working Group will consist of agency representatives of the 10 primary and 5 rotating Working Group member organizations.

The Working Group will address all new initiatives and upgrade/modernization requirements for information technology that are enterprise-wide, affect the end-user interface, or impact existing Service Level Agreements in HQDA. The Working Group will address such requirements from a mission enhancement and impact point of view. Recommendations for approval of initiatives and requirements from the EWG will be submitted through the HQDA DOIM to the HQDA IT Services Executive Board (SEB) for endorsement if the requirement exceeds the \$250,000 threshold. If the requirement is below the \$250,000 threshold, the decision will be taken by the DOIM. The EWG may also recommend denial of a request/requirement based on votes cast by the Working Group members. If a request is not recommended for approval, the Working Group will report its findings to a submitting Governance entity through the Governance Team.

Decisions and recommendations made by the EWG may impact all HQDA organizations that are directly supported by IMCEN as well as all organizations that are under IMCEN's technical control.

### **4.3.4. HQDA IT Services Executive Board (SEB)**

Purpose: Serves as the executive body responsible for recommending actions to the Army CIO that are over the \$250,000 threshold. Makes coordinated recommendations to the Army CIO for HQDA IT/IM requirements, architecture, policy, and investments. This will be an Army CIO Council Corollary, consisting of membership at the GS 15/O6 level.

The Board's responsibilities will include providing final requirements, prioritization, and funding recommendations to the Army CIO Governance structure. The SEB will also ensure that the IT strategy is aligned with the business strategy, i.e., overall Army goals, ensure maximum efficiency of Army IT spending, and make considered decisions about where IT resources should be focused. The Board members will include the agency representative designated by the chiefs of their member organizations.

The Board will meet on a quarterly basis and will be co-chaired by the Administrative Assistant, Office of the Administrative Assistant (OAA) and the Director of the Army Staff (DAS). The Board will consist of Director or Chief level designated representatives of the 10 permanent and 5 rotating Board member organizations. Please refer to Appendix B for the charter.

#### **4.4. Voting**

Voting will be conducted at scheduled meetings amongst those present for the HRTRWG and EWG, and where there is a quorum present for the SEB. A quorum shall consist of 75% of the voting members of the board or working group. SEB – the only chartered entity of the HQDA IT Governance Structure - will have 10 permanent and 5 rotating members; therefore, 12 out of 15 agency representatives must be present to constitute a quorum. If a quorum is not present at a meeting, voting will be postponed until the next scheduled meeting at which a quorum is present.

Decisions will be made by a majority vote (i.e., at least 51% of the board or working group members at a meeting where a quorum is present must be in agreement for a recommendation and/or decision to be passed). In case of a tie, the entity Chair will cast the deciding vote. Otherwise the Chair of the entity does not vote.

#### **4.5. Conflict Resolution**

All participating agencies will submit their requirements primarily through their RAD point of contact (Customer Liaison) or to the HQDA IT Governance Team or other IMCEN Division. Agencies will be notified of receipt of all requirements by their respective RAD Customer Liaisons. Agencies must submit all funded (budgeted) or unfunded requirements prior to the acquisition or implementation of any capability. If the requirement is disapproved, the submitting organization will be notified within two working days of disapproval and provided a written justification from the HQDA DOIM as to the reason for the disapproval. A requirement can be disapproved at any level of the governance structure. Any agency that considers a disapproval decision unjustified can appeal to the HQDA DOIM by resubmitting the requirement via the above-mentioned avenues.

HQDA Organizations that program and execute funds from sources outside of the Army (i.e. the National Foreign Intelligence Program) are exempt from submitting funded requirements through the HQDA DOIM for approval. However, these organizations will provide their RADD point of contact major configuration changes to insure compliance with technical and architectural standards.

The HQDA DOIM will be the primary conflict resolution entity within the defined HQDA IT Governance structure. The DOIM will make the final decision on a below-threshold request and forward other requests to the SEB for review and endorsement. If the HQDA DOIM decides that a disapproved requirement should still be considered by the HQDA Services

Executive Board, the HQDA DOIM can include that request in the Board's next meeting agenda. If a customer is not satisfied with the decision or results of the appeal, the issue may be resubmitted with additional justification to address previous concerns of the Governance entities that reviewed and denied the request.

Even if a requirement is approved by the HQDA IT Governance, there is no guarantee that the requirement will be automatically funded. However, unapproved requirements **cannot** be implemented without the Governance structure approval.

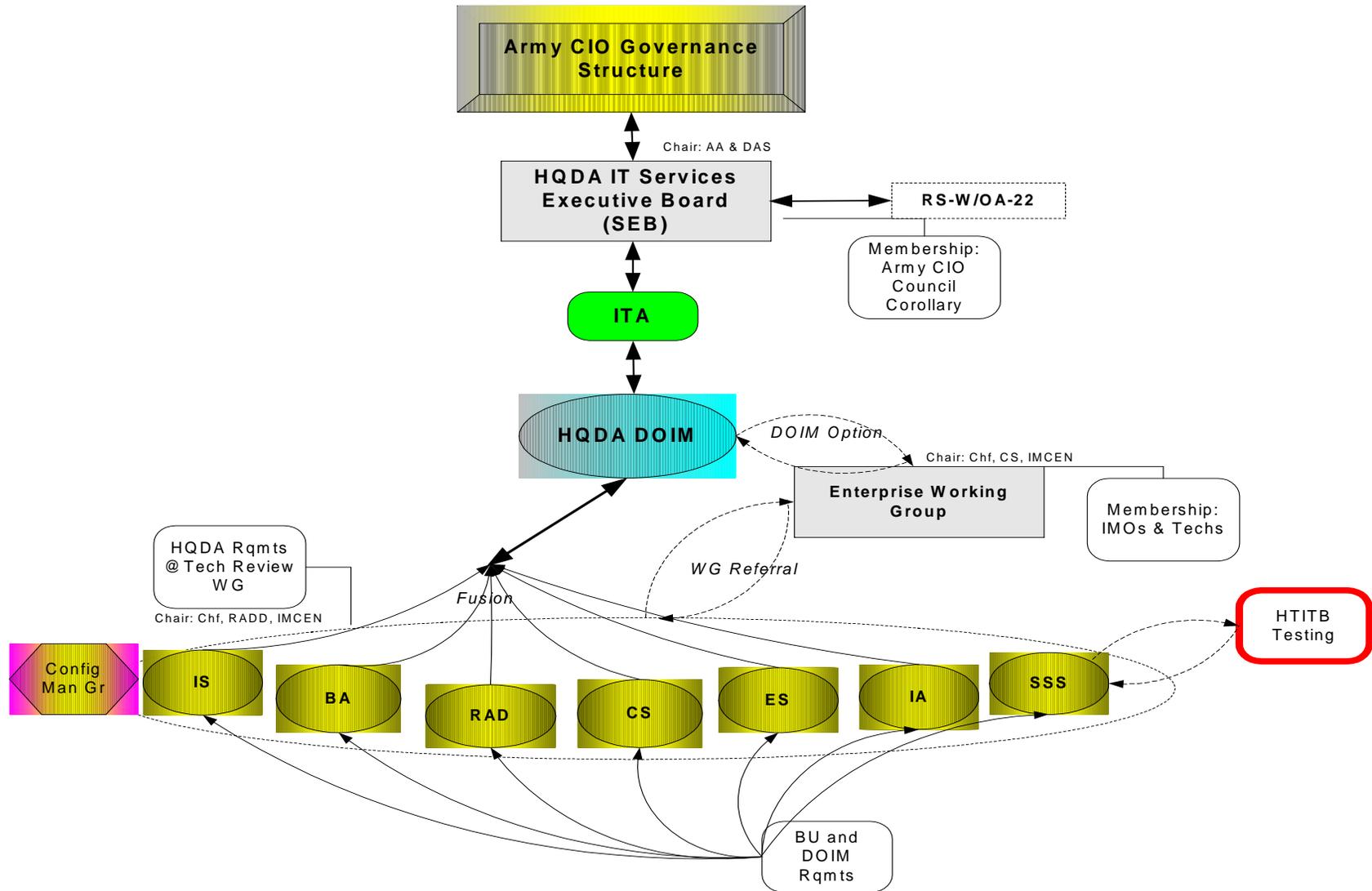
## 4.6. Performance Measurements

The Army CIO will be responsible for the overall supervision, performance measurement, and evaluation of the HQDA IT Governance structure through the HQDA DOIM. Member organizations may provide input to the HQDA DOIM for inclusion in the evaluation of the HQDA IT Governance structure's performance. The Deputy HQDA DOIM will be the immediate supervisor of the HQDA DOIM Governance Team. The effectiveness of the HQDA IT Governance structure will be measured and evaluated based on the following criteria:

- Timeliness of the responses to organizations' requests and of the issue resolution;
- Responsiveness and professionalism of the HQDA DOIM Governance Team in assisting organizations to prepare for board and working group presentations;
- Consistency and continuity in board and council meetings and presence of all or most of the members. All the decisions that are made by the governance structure entities must be made by the majority of the vote and with sufficient member presence;
- Quality of the documentation of board and council meeting minutes, agendas, recommendations, decision justifications, and read-ahead materials;
- Unbiased, unprejudiced, and equal treatment of all member organizations.

Every member organization may submit comments, suggestions, and/or complaints about the effectiveness of the HQDA IT Governance structure to the HQDA DOIM. At their discretion, the Army CIO and the HQDA DOIM may poll HQDA organizations regarding the effectiveness of the structure.

# 5. Appendix A – HQDA IT Governance Structure



## 6. Appendix B - HQDA Information Technology Services Executive Board Charter

1. **Name of Organization** – HQDA Information Technology Services Executive Board (SEB)
2. **Date Established** – 26 September 2002
3. **Date Terminated** – Continuing
4. **Established by the Order of** - Administrative Assistant to the Secretary of the Army
5. **Category and Type of Organization** – Permanent Board for the executive oversight of the HQDA IT decision-making process
6. **Authority** – The Information Technology Services Executive Board was established under the authority of the Army CIO Governance structure
7. **Purpose** – To receive, consider, and prioritize technical and functional requirements submitted by the HQDA DOIM. Recommend endorsement or other feasible solution for implementation of approved technical requests to the Army CIO Governance structure.
8. **Objective** - To make unbiased decisions and recommend execution of technical and functional initiatives based on established HQDA and Army Knowledge Management (AKM) goals and priorities, financial feasibility, and existing HQDA technical standards.
9. **Scope** – The Board will address all new technical and functional requirements and initiatives submitted by the HQDA DOIM (most of them will be above the \$250,000 threshold, however, DOIM can forward to the SEB some requirements that are below the threshold, but considered to have a significant impact on the HQDA enterprise). The Board will address such requirements from the prioritization and evaluation point of view. The Board will make appropriate changes and/or corrections to recommendations submitted by the DOIM and forward them to the Army CIO Governance structure. If a request is denied, the board will provide a written justification to the submitting organization.  
Board decisions and recommendations may impact all HQDA organizations that are directly supported by IMCEN as well as all organizations that are under IMCEN's technical direction.
10. **Organization and Composition:**

- a. Board Chair – the Board will be co-chaired by the Administrative Assistant, Office of the Administrative Assistant (OAA) and the Director of the Army Staff (DAS).
  - b. Members – There will be 10 permanent and 5 rotating members. The 5 rotating members will be representatives from HQDA organizations that are not included in the list of the 10 permanent member organizations. The following organizations will provide the permanent members: G1, G2, G3, G4, G6, G8, OAA, SAALT, ASAFM, and the 1108<sup>th</sup> Brigade. The following organizations will provide the rotating members: ACSIM, ASACW, ASAI&E, CSA, AAA, TIG, TSG, OCLL, OCPA, OGC, and TJAG. The organizations providing the rotating members will be selected on a random basis for a one-year term. The organization representatives to the Executive Board must be civilian personnel ranking GS-15 or higher, military personnel ranking Colonel or higher.
  - c. **Board Member Qualifications** - The above-mentioned organizations shall designate individuals who are in charge of their overall operations. The Board members are not required to possess technical expertise, since both, technical and functional staff will previously analyze the issues considered by the Board. The board members must represent the entire organization and be authorized to make decisions on behalf of the entire organization.
  - d. **Alternate Members** – Each organization shall designate an alternate board member to represent the organization if the primary member is unable to attend the board meetings. At least one of the designated representatives must attend the board meetings for the organization's vote to be counted. To be counted or considered, votes, recommendations, and suggestions must be submitted at SEB meetings or through electronic means managed by the HQDA DOIM IT Governance Team. In the absence of the primary member, the alternate member shall represent the entire organization and shall be authorized to make decisions on behalf of the entire organization
  - e. **Organizations that Do Not Have a Permanent or a Rotating Member on the Board** – Such organizations' requirements will be forwarded to the SEB for approval after they are considered by the HQDA DOIM and/or the EWG. The organizations cannot contact the SEB directly.
  - f. **Other Representatives** – The SEB may invite other subject matter experts to observe or participate in board meetings depending on the issue at hand. These subject matter experts will not participate in voting.
11. **Board Responsibilities** – The SEB will:
- a. Review submitted technical initiatives and requirements for technical and financial feasibility;
  - b. Review submitted technical initiatives and requirements for duplication of effort and disapproves requests that appear to be duplicative;
  - c. Discuss and vote on issues submitted for the board's resolution;

- d. Recommend prioritization of approved HQDA technical initiatives and business requirements to Army CIO Governance structure;
  - e. Provide guidance for written justification of disapprovals to the HQDA DOIM IT Governance Team. The HQDA DOIM IT Governance Team will prepare and send the justification to the submitting organization.
12. **Member Responsibilities.** The permanent and rotating members of the SEB (or their designated alternates) will:
- a. Attend the regularly scheduled and special meetings called by the Chair. Only one organization representative (primary or alternate) is required to attend the meetings. The alternate representative may attend the meeting together with the primary only on a space-available basis;
  - b. Review submitted read-ahead material on issues presented to the Board prior to the meetings;
  - c. Provide information about the issues discussed or reviewed at the Board meetings to appropriate members of their organizations as needed;
  - d. Review and consider proposed initiatives at the Board meetings based on overall Army needs and financial feasibility;
  - e. Provide recommendations and/or cast a vote at the Board meetings regarding the initiatives without bias or prejudice;
  - f. Prioritize technical initiatives and requirements based on overall AKM goals and needs; and
  - g. Defend the SEB position in future deliberations.
13. **Chair Responsibilities.** The Chair of the SEB will:
- a. Serve as the leader of the Board;
  - b. Convene the Board quarterly or more frequently as needed;
  - c. Coordinate and facilitate the submission of the Board's recommendations to the Army CIO Governance structure;
  - d. Facilitate coordination and communication among supporting working groups and boards and interfacing organizations;
  - e. Report on SEB activities to the Army CIO Governance structure;
  - f. Cast the deciding vote in case of a tie; and
  - g. Execute its functions without any bias or prejudice.
14. **HQDA DOIM IT Governance Team.** The HQDA DOIM IT Governance Team will:
- a. Receive and prepare requirements submitted by organizations, DOIM or the EWG for the Board's meetings. Request additional information and clarifications from a submitting entity in case a requirement is not clear;
  - b. Prepare meeting agendas and conduct pre-briefings for the Chair;
  - c. Prepare read-ahead material for Board members and disseminate the material prior to Board meetings;

- d. Take meeting minutes in the established format and disseminate the minutes among the Board members after the meetings; and
- e. Other duties may include various administrative tasks to support the SEB operations.

15. **Definitions.**

*Technical Initiative/Requirement* – a funded or an unfunded IT technical need.

*IT Services* – resources and activities employed in the acquisition, development, collection, processing, integration, transmission, dissemination, media replication, distribution, use, retention, storage, retrieval, maintenance, access, disposal, security and management of information. IT refers to any equipment or interconnected system or subsystem that includes computers, ancillary equipment, software, firmware and support services.

*Submitting Organization* – an HQDA organization that has a technical IT initiative or requirement that requires approval.

*SEB Recommendation* – a written decision based on the votes cast by the SEB members that is submitted to the Army CIO Governance structure for endorsement.

*SEB Prioritization* – a written decision based on the votes cast by the SEB members that prioritizes HQDA IT initiatives and requirements and is a part of the SEB recommendation.

*OPCON (Operational Control)* – the authority to perform those functions of command over subordinate forces, involving organizing and employing commands and forces, assigning tasks, designating objectives and giving authoritative direction necessary to accomplish the mission. It includes authoritative direction over all aspects of operations and training necessary to accomplish missions assigned to the command.

*TECHCON (Technical Control)* – the authority for one organization to issue and enforce policy and authoritative direction concerning the use of techniques, procedures, standards, configurations, designs, devices and systems to another organization to accomplish a specific missions (s). TECHON does not include command authority or include authoritative direction for logistics or matters of administration discipline, internal organization or unit training.

16. **Recommend Approval.**

**Permanent Members:**

\_\_\_\_\_  
G1

\_\_\_\_\_  
Date

\_\_\_\_\_  
G2

\_\_\_\_\_  
Date

\_\_\_\_\_  
G3

\_\_\_\_\_  
Date

\_\_\_\_\_  
G4 Date \_\_\_\_\_

\_\_\_\_\_  
G6 Date \_\_\_\_\_

\_\_\_\_\_  
G8 Date \_\_\_\_\_

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OAA Date \_\_\_\_\_

\_\_\_\_\_  
SAALT Date \_\_\_\_\_

\_\_\_\_\_  
ASAFM Date \_\_\_\_\_

\_\_\_\_\_  
1108th Signal Brigade Date \_\_\_\_\_

**Rotating Members:**

\_\_\_\_\_  
ACSIM Date \_\_\_\_\_

\_\_\_\_\_  
ASACW Date \_\_\_\_\_

\_\_\_\_\_  
ASAI&E Date \_\_\_\_\_

\_\_\_\_\_  
CSA Date \_\_\_\_\_

\_\_\_\_\_  
AAA Date \_\_\_\_\_

\_\_\_\_\_  
TIG Date \_\_\_\_\_

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TSG Date \_\_\_\_\_

\_\_\_\_\_  
OCLL Date \_\_\_\_\_

\_\_\_\_\_  
OCPA

\_\_\_\_\_  
Date

\_\_\_\_\_  
OGC

\_\_\_\_\_  
Date

\_\_\_\_\_  
TJAG

\_\_\_\_\_  
Date

## 7. Appendix C - GUIDELINES FOR THE HQDA Requirements and Technical Review Working Group

1. **Name of Organization** - HQDA Requirements and Technical Review Working Group (HRTRWG)
2. **Date Established** - 26 September 2002
3. **Date to be Terminated** - Continuing
4. **Membership** - Representatives from the following IMCEN Divisions/Branches: Requirements Analysis and Design, Business Applications, Customer Support, Enterprise Services, Installation Services, Information Assurance and System Support Services.
5. **Authority** - AR 25-1
6. **Scope** - The HRTRWG will be the primary entrance point for review of new Information Technology/Information Management (IT/IM) HQDA customer requirements. The submitted requirements will be address the following areas:
  - a. Purpose
  - b. Targeted Audience
  - c. Impact on Mission
  - d. Technical Feasibility
  - e. Cost
7. **Purpose** - The HRTRWG reviews the submitted requirements and makes recommendations to the HQDA DOIM. Their recommendations will address AKM Goal compliance, HQDA DOIM policy, practices and procedures; near-term and long-term plan, broad functional and technical direction, and procurement resources, if known.

The Working Group will provide advice and make recommendations to the HQDA DOIM based upon information/justification submitted by the requestor as well as taking into consideration HQDA mission, priorities, standards and resources.

The HRTRWG will meet once a week to discuss all new and old business and be responsible for presenting and/or reviewing pertinent documentation in preparation to make a sound recommendation to the HQDA DOIM.

8. **Organization and Composition** - The HRTRWG will be chaired by the Chief, Requirements Analysis Division (RAD) or designee, and will be composed of designated representatives of the following Divisions/Branches:
  - a. Requirements Analysis and Design (RAD)
  - b. Business Applications (BA)
  - c. Customer Support (CS)
  - d. Enterprise Services (ES)
  - e. Installation Services (IS)
  - f. Information Assurance (IA)
  - g. System Support Services (SSS)
9. **HRTRWG Member Responsibilities** - The HRTRWG:
  - a. Review HQDA IT/IM requirements;
  - b. Present requirements to the working group;
  - c. Participate in weekly meetings to review IT/IM requirements;
  - d. Provide recommendation on actions supporting the requirement to the HQDA DOIM;
  - e. Forward requirement to EWG based upon enterprise impact;
  - f. Notify customer of approval/disapproval/status.
10. **Chair Responsibilities.** The Chair of the HRTRWG will:
  - a. Serve as the leader of the Working Group;
  - b. Convene the Working Group weekly or, as needed;
  - c. Coordinate and facilitate the submission of the Working Group's recommendations to the HQDA DOIM;
  - d. Facilitate coordination and communication among supporting working groups and boards and interfacing organizations;
  - e. Cast the deciding vote in case of a tie;
  - f. Execute its functions without any bias or prejudice to particular organizations and their members.

## 8. Appendix D - GUIDELINES TO THE HQDA Enterprise Working Group

1. **Name of Organization** – HQDA Enterprise Working Group (EWG)
2. **Date Established** – 09/26/02
3. **Date Terminated** – Continuing
4. **Category and Type of Organization** – Permanent Working Group to provide enterprise-wide oversight to IT requirements for organizations serviced by IMCEN or under IMCEN technical control.
6. **Authority** – AR 25-1
7. **Purpose** – To receive, validate, and prioritize IT requirements forwarded to the group by the HRTRWG or the HQDA DOIM as well as assess the impact of business initiatives on the existing IT infrastructure, end-user interface, and Service Level Agreements, and provide a recommendation to the submitting Governance entity (HRTRWG or the HQDA DOIM).
8. **Objective** - To make unbiased, fair and equitable decisions, and recommend execution of initiatives based on established HQDA and Army Knowledge Management (AKM) goals and priorities, financial feasibility, and compatibility with existing HQDA IT standards.
9. **Organization and Composition:**
  - a. **Working Group Chair** – Chief, Customer Support Division, IMCEN.
  - b. **Working Group Members** – There will be 10 permanent and 5 rotating members. The 5 rotating members will be representatives of other HQDA organizations that are not included in the list of the 10 permanent member organizations. The following organizations will provide the permanent members: G1, G2, G3, G4, G6, G8, OAA, SAALT, ASAFM, and the 1108th Signal Brigade. The following organizations will provide the rotating members: ACSIM, ASACW, ASAI&E, ASBCA, CSA, AAA, TIG, TSG, OCLL, OCPA, OGC, TJAG. The organizations providing the rotating members will be selected on a random basis for a one-year term.
  - c. **Member Qualifications** - The above-mentioned organizations shall designate individuals who are knowledgeable about the HQDA IT environment and their respective organization's IT infrastructure. The Working Group members are required to be business savvy and able to comprehend technical issues in order to understand requirements presented

to the EWG and make sound business decisions. The ideal candidates will be the organizations' IMOs or personnel who are fulfilling IMO-like duties.

- d. **Alternate Members** – Every organization shall designate an alternate Working Group member to represent the organization if the primary member is unable to attend the Working Group meetings. At least one of the designated representatives must attend the Working Group meetings for the organization's vote to be counted. To be counted or considered, votes, recommendations, and suggestions must be submitted at EWG meetings or through electronic means managed by the HQDA DOIM IT Governance Team.
  - e. **Other Representatives** – The EWG may invite subject matter experts to observe or participate in Working Group meetings depending on the issue at hand. These subject matter experts will not participate in voting. In addition, RAD Customer Liaison's may attend the Working Group meetings to provide additional insight to their agency's requirement.
10. **Working Group Responsibilities** – The EWG will:
- a. Review initiatives and requirements forwarded by the HRTRWG or the HQDA DOIM.
  - b. Review initiatives that may result in a significant technical impact on the HEN or HCEN.
  - c. Review submitted initiatives and requirements for duplication of effort and provide alternative solutions, if they exist;
  - d. Discuss and vote on issues submitted for the working group's resolution;
  - e. Recommend prioritization of approved HQDA initiatives and requirements;
  - f. Recommend approval of technical initiatives and submit prioritization of initiatives to the submitting Governance entity;
  - g. Provide guidance for written justification of disapprovals to the HQDA DOIM IT Governance Team. The HQDA DOIM IT Governance Team will prepare and send the justification to the appropriate RAD Customer Liaison for further presentation to the customer.
11. **Member Responsibilities.** The permanent and alternate members of the EWG will:
- a. Attend the regularly scheduled and special meetings called by the Chair. Only one organization representative (primary or alternate) is required at the meeting. The alternate representative may attend the meeting together with the primary only on a space-available basis;

- b. Review submitted read-ahead material on issues presented to the Working Group prior to the meetings;
  - c. Provide information about the issues discussed or reviewed at the Working Group meetings to appropriate members of their organizations as needed;
  - d. Review and consider proposed initiatives and requirements at the Working Group meetings for soundness and financial feasibility;
  - e. Provide recommendations and/or cast a vote at the Working Group meetings regarding the initiatives without bias or prejudice;
  - f. Prioritize initiatives and requirements based on overall AKM goals and needs;
  - g. Defend the EWG position in future deliberations.
12. **Chair Responsibilities.** The Chair of the EWG will:
- a. Serve as the leader of the Working Group;
  - b. Convene the Working Group bi weekly or more frequently as needed;
  - c. Coordinate and facilitate the submission of the Working Group's recommendations to the HRTRWG or the HQDA DOIM;
  - d. Facilitate coordination and communication among supporting working groups and Working Groups and interfacing organizations;
  - e. Cast the deciding vote in case of a tie;
  - f. Execute responsibilities without any bias or prejudice to particular organizations or their members.

# 9. Appendix E – IT Requirement Form (ITRF)

## IT Requirement Form

ITR Number <small>(assigned automatically)</small>	Amendment <small>-- (assigned automatically)</small>	Status <small>(from db)</small>	Date Entered <small>(assigned automatically)</small>
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### Agency Information

Acronym <small>(Selected from a dropdown list)</small>	Office Symbol <small>(from db)</small>	Name of Agency <small>(from db, based on the selection in Acronym)</small>
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IMO Last Name <small>(from db)</small>	First Name <small>(from db)</small>	Prefix <small>(from db)</small>	Work Phone <small>(from db)</small>	Email <small>(from db)</small>
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CL Last Name <small>(from db)</small>	First Name <small>(from db)</small>	Prefix <small>(from db)</small>	Work Phone <small>(from db)</small>	Email <small>(from db)</small>
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### Requirement POC

Last Name <small>(enter 1st few chars)</small>	First Name <small>(from db)</small>	Prefix <small>(from db)</small>	Work Phone <small>(from db)</small>	Email <small>(from db)</small>
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Building <small>(from db)</small>	Room <small>(from db)</small>
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### Requirement Information

Requirement Name <small>(Entered by submitter)</small>
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Priority <small>(Select from a picklist)</small>	Date Required <small>(Select from a Calendar)</small>	Funding Source <small>(Agency, IMCEN, Other)</small>
---	--	---

Actual Cost (if known) <small>Input field</small>
--

Estimated Cost <small>(Select from a picklist) &lt; \$2,500, \$2,500 -- \$25,000, \$25,000 -- \$100,000, &gt; \$100,000</small>
--

### Requirement Description

<small>(Entered by submitter)</small>
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### Justification

<small>(Entered by submitter)</small>
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### Comments

<small>(Entered by submitter / reviewer(s))</small>
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Attach Additional Info <small>(Displays "Choose file" dialog box)</small>	Browse
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Submit Requirement
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