

SOCIAL SECURITY ADMINISTRATION

Information Technology (IT) Investment Review Board

CHARTER

May 10, 2017

Table of Contents

- I. Purpose
- II. Mission
- III. Authority
- IV. Membership and Structure
- V. Scope and Responsibilities
- VI. General Operating Procedures
- VII. Approval

I. Purpose

This Charter supersedes previous charters regarding the Social Security Administration's (SSA) Strategic Information Technology Assessment and Review, also known as SITAR, and replaces all previous versions.

This Charter defines the mission, scope and responsibilities, authority, membership, and administration of the SSA's Information Technology (IT) Investment Review Board, hereafter referenced as the Information Technology Investment Review Board (IT IRB). The Charter also defines the responsibilities of IT IRB members.

II. Mission

The Clinger-Cohen Act of 1996, Public Law 104-106, requires that each agency establish an IT capital planning and investment "process for maximizing the value and assessing and managing the risks of the information technology acquisitions of the executive agency." The Federal Information Technology Acquisition Reform Act (FITARA), Public Law 113-291 defines agency CIO involvement with the decision processes and policies related to information technology resources throughout the agency, including IT within programs.

The IT IRB governs the agency's IT investment management process to focus on up-front investment planning, informed investment selection, transparent investment control, and relevant investment evaluation to provide the greatest benefit to the agency's mission. Specifically, the IT IRB shall:

- Assess, support, and make decisions on IT investments that align with and support the agency's mission, goals and objectives, as reflected in the Agency Strategic Plan, Agency Performance Plan, Information Resources Management Strategic Plan, Enterprise Architecture, as well as, legislative and other external mandates.
- Provide senior management oversight, approval/denial, and review of IT investments.
- Recommend and present to the Commissioner of Social Security ("Commissioner") the approved and ranked group of IT investments for resourcing.

III. Authority

The following laws relate to IT governance processes:

- Paperwork Reduction Act (PRA) (Public Law 96-511)
- 40 USC § 11101, 11312-11314, 11317, Clinger-Cohen Act (CCA) of 1996 (Public Law 104-106)
- Government Paperwork Elimination Act (GPEA) (Public Law 105-277)
- Government Performance and Results Act (GPRA) (Public Law 103-62)
- Federal Acquisitions Streamlining Act of 1995 (Public Law 103-355)
- Chief Financial Officers Act of 1990 (Public Law 105-576)
- 44 USC § 3534, 3544 - Federal Information Security Management Act (FISMA) of 2002 (Public Law 107-347)
- Federal Information Technology Acquisition Reform Act (FITARA) (Public Law 113-291)

IV. Membership and Structure

Membership

The membership of the IT IRB includes the Chief Information Officer (CIO), the Chief Financial Officer (CFO), all Deputy Commissioners (DC) and equivalents. The CIO and CFO are permanent members of the IT IRB, and each serves in a dual role as Deputy Commissioner of Systems and Deputy Commissioner of Budget, Finance, Quality, and Management respectively. Each member of the IT IRB will designate an alternate at the Assistant Deputy Commissioner (ADC) or equivalent level to attend IRB meetings and have decision-making authority when attending on behalf of the primary member.

Structure

The Board operates under the authority of the Commissioner.

The CIO is the Chairperson of the IT IRB. In the absence of the CIO, the CIO will designate a Deputy CIO or proxy designee to perform the duties of the IT IRB Chair.

The CIO, as the IT IRB Chair, is responsible for reporting the findings and recommendations of the IT IRB to the Commissioner.

V. **Scope and Responsibilities**

IT Investment Review Board (IT IRB)

The IT IRB is an agency-wide executive board that governs the IT investment management process.

The IT IRB shall:

- Oversee the management of the agency IT investment portfolio.
- Review and set strategic IT investment priorities based on Administration and agency strategic objectives, OMB directives and guidance, agency mission and goals, and available resources.
- Ensure the agency's IT investments individually and collectively optimize mission.
- Assure that the IT investment portfolio meets the business needs of the agency in an effective and efficient manner.
- Review, validate, and make decisions on agency IT investments, taking into consideration available resources, feasibility, and managerial soundness of investments when making decisions.
- Review and consider cost, schedule, and performance baselines (and changes to approved baselines) for IT investments.
- Make IT investment decisions based upon comparisons and tradeoffs among competing priorities. These evaluations may result in a decision to continue, modify, or cancel an investment.
- Communicate clearly IT IRB decisions and actions to all process stakeholders.
- Direct appropriate corrective actions in the event there are identified risks to satisfactory investment performance.
- Identify and leverage opportunities for collaboration with external partners, or between agency components to maximize investment benefits and impact

IT Investment Staff

The agency shall establish and maintain an IT Investment staff. In addition to its work in support of the investment management process, this staff assists the IT IRB in executing its responsibilities.

The IT Investment Staff shall:

- Provide expertise, information, and advice to the agency and the IT IRB on the IT Investment process (ITIP), relevant policies, regulations, and public law.
- Prepare and submit assessments and status reports on investment proposals and current investments for IT IRB review and consideration.

- Document IRB issues, actions, and decisions, and ensures resolution of issues, completion of actions, and communication of decisions.
- Deliver specific feedback from the IT IRB to executive sponsors and stakeholders about IRB decisions.
- Utilize ITIP Online and IMT to share information about the agency IT process, investment proposals, and current portfolio.
- Maintain meeting logistics.

VI. Meetings

- A. Investment Decision Session – This monthly meeting takes place during the final week of the month. During this meeting, the IT IRB will:
 - Review new investment proposals and approve or deny the proposals
 - Review “in-flight” investments with a +/-10% variance and consider corrective action plans
- B. Attendance – The monthly meeting requires the attendance of the CIO and CFO or their designees. The meeting will not occur if the CIO or CFO are not present. The designated alternate IT IRB members can attend IT IRB meetings.
- C. Background Materials and Communication – The IT Investment staff will document deliberations and key decisions at all meetings to establish an official record of the IT IRB proceedings. The IT Investment staff will document and distribute meeting minutes or decision memoranda to the IT IRB and meeting attendees. In addition, the IT Investment staff should communicate results of any decisions to those affected by the decision. This may include investment sponsors, project managers, and others.
- D. Preparing for IT IRB Meetings – The IT Investment staff and sponsoring components are responsible for updating investment documentation and maintaining current investment data in the system of record. The IT Investment staff will prepare and disseminate guidance, agenda, and supporting materials to the IT IRB members at least 72 hours in advance of the IT IRB meetings. Members should review the materials and effect necessary coordination with stakeholders to ensure they understand any concerns or issues regarding investments under consideration.

VII. General Operating Procedures

- A. Meeting. The IT IRB will meet as described above. Virtual meetings may occur when IT IRB decisions are required and a regular meeting is impractical. Periodically, voting IT IRB members may invite sponsors, subject matter experts, and other advisors to attend IT IRB meetings. When the IT IRB requests additional information or clarification, the assigned resource must return the information to the IT IRB by the assigned date or no more than seven business days after the meeting adjourns.

- B. Voting. IT IRB primary or alternate members must be present in the meeting to vote. Only the primary member or their designated alternate may vote, not both. IT IRB members should cast their votes in the investment decision session whenever possible, but no later than 15 business days after the meeting adjourns. The CIO and CFO or their designees must be present for voting to take place (participation via teleconference or video conference qualifies as actual presence). The IT IRB may also choose to conduct its voting electronically via email. The IT Investment Staff will collect the votes and report the outcome.
- C. Quorum. A quorum is required for the IT IRB to vote on proposals. A quorum requires five voting members, and must include the CIO and CFO.
- D. Decision-making. All IT IRB decisions to select investments shall require majority agreement of the Board. Failure to reach majority approval shall be a decision not to approve the investment. In accordance with FITARA, the CIO and CFO both have a significant role in the agency's IT budget planning and execution decisions, and therefore have the right to veto IT IRB decisions.

In the event of a tied vote, the CIO will have tie-breaking authority. The CIO is required to report to the Commissioner when tie-breaking events occur.

- E. Appeal Process. In the event the sponsor receives an unfavorable decision, the appeal process requires sponsors to resubmit the investment to the IT IRB for reconsideration at least once before escalating to the Commissioner.

VIII. Approval

This Charter is effective upon signature and shall remain in effect until replaced, superseded, or upon written termination notice.



Acting Commissioner
Social Security Administration

7/15/17

Date