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SUBJ/DEPARTMENT OF THE NAVY PUBLIC KEY ENABLEMENT WAIVER REQUEST PROCESS FOR UNCLASSIFIED NETWORKS, PRIVATE WEB SERVERS, PORTALS, AND WEB APPLICATIONS//

REF/A/MSG/DONCIO WASHINGTON DC/262302Z/SEP09// REF/B/DOC/DONCIO/30JUL10//

REF/C/DOC/DOD/01APR04// REF/D/MSG/DONCIO WASHINGTON DC/291445Z/DEC09// REF/E

/DOC/DOD/22AUG08// REF/F/DOC/DOD/ 8JAN09// REF/G/DOC/DOD/24OCT02//  
REF/H/DOC/DOD/05AUG02//

NARR/ REF A IS DON CIO WASHINGTON DC 262302Z SEP 09, DEPARTMENT OF THE NAVY NIPRNET PUBLIC KEY ENABLEMENT WAIVER PROCESS. REF B IS DON CIO MEMO, RELEASE OF DEPARTMENT OF THE NAVY ENTERPRISE ARCHITECTURE VERSION 2.0.000 DATED JULY 30, 2010. REF C IS DOD INST 8520.2 PUBLIC KEY INFRASTRUCTURE (PKI) AND PUBLIC KEY ENABLING (PKE). REF D IS DON CIO WASHINGTON DC 291445Z DEC 09, PUBLIC KEY ENABLEMENT OF DEPARTMENT OF THE NAVY UNCLASSIFIED PRIVATE WEB SERVERS AND APPLICATIONS. REF E IS DOD DIRECTIVE 5230.09 CLEARANCE OF DOD INFORMATION FOR PUBLIC RELEASE. REF F IS DOD INSTRUCTION 5230.29 SECURITY AND POLICY REVIEW OF DOD INFORMATION FOR PUBLIC RELEASE. REF G IS DOD DIRECTIVE 8500.01E, CERTIFIED AS CURRENT ON 23 APRIL 2007, AND ESTABLISHES POLICY AND ASSIGNS RESPONSIBILITIES TO ACHIEVE DEPARTMENT OF DEFENSE (DOD) INFORMATION ASSURANCE (IA) . REF H IS ASD (C4I) MEMO, GUIDANCE AND PROVISIONS FOR DEVELOPING DEPARTMENT OF DEFENSE COMPONENTS PUBLIC KEY ENABLING POLICY COMPLIANCE WAIVER PROCESS.//

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PASSING INSTRUCTIONS:  
CNO - PLEASE PASS TO N2/N6

RMKS/: 1. THIS IS A DON CIO, OPNAV N2/N6, AND HQMC C4 COORDINATED MESSAGE. REF A IS SUPERSEDED BY THIS MESSAGE. WHILE THE REQUIREMENT FOR A WAIVER FOR A SYSTEM THAT IS NOT PUBLIC KEY ENABLED HAS NOT CHANGED, THE PROCESS WAS INCORPORATED INTO THE DEPARTMENT OF THE NAVY (DON) ENTERPRISE ARCHITECTURE (EA) COMPLIANCE ASSESSMENT VIA REF B. SYSTEMS REQUESTING A PKE WAIVER MUST ALSO ASSERT ITS OVERALL COMPLIANCE WITH THE DON EA.

2. PURPOSE. THIS MESSAGE UPDATES GUIDANCE FOR REQUESTING WAIVERS THROUGH THE DOD INFORMATION TECHNOLOGY PORTFOLIO REPOSITORY-DON (DITPR-DON).

3. BACKGROUND. REFS C AND D REQUIRE THAT ALL DON UNCLASSIFIED NETWORKS, PRIVATE WEB SERVERS, PORTALS, AND WEB APPLICATIONS BE ENABLED TO AUTHENTICATE USERS VIA DOD APPROVED PUBLIC KEY INFRASTRUCTURE (PKI) CERTIFICATES. DON UNCLASSIFIED NETWORKS, PRIVATE WEB SERVERS, PORTALS, AND WEB APPLICATIONS ARE NOT CONSIDERED FULLY PUBLIC KEY (PK) ENABLED AND COMPLIANT UNTIL:

A. ALL USERS ELIGIBLE FOR DOD ISSUED OR APPROVED PKI CERTIFICATES ARE AUTHENTICATED VIA CERTIFICATES AND,

B. ACCESS CONTROL MECHANISMS ARE IN PLACE TO GRANT ACCESS TO ONLY USERS THAT HAVE A GOVERNMENT REQUIREMENT AND A "NEED TO KNOW."

#### 4. DEFINITION OF TERMS.

A. REF C DEFINES A PRIVATE WEB SERVER AS ANY DOD OWNED, OPERATED, OR CONTROLLED WEB SERVER THAT PROVIDES ACCESS TO SENSITIVE INFORMATION THAT HAS NOT BEEN REVIEWED AND APPROVED FOR PUBLIC RELEASE IN ACCORDANCE WITH REFS E AND F.

B. SENSITIVE INFORMATION IS DEFINED IN REF E, PARA E2.1.U1.

5. WAIVER PROCESS. REFS C, D, AND H REQUIRE THAT ALL NON-COMPLIANT DON UNCLASSIFIED NETWORKS, PRIVATE WEB SERVERS, PORTALS, AND WEB APPLICATIONS OBTAIN A WAIVER. SIPRNET PRIVATE WEB SERVERS ARE NOT REQUIRED TO BE PK ENABLED AT THIS TIME. THE APPROPRIATE DON DEPUTY CHIEF INFORMATION OFFICER (NAVY OR MARINE CORPS) (DDCIO) SHALL BE RESPONSIBLE FOR ESTABLISHING AND EXECUTING A PKE WAIVER PROCESS THAT INCLUDES THE FOLLOWING:

A. COVER LETTER, WITH THE DDCIO APPROVAL OR DISAPPROVAL FOR THE REQUESTED WAIVER, THAT PROVIDES THE FOLLOWING SYSTEM INFORMATION:

- (1) SYSTEM NAME.
- (2) DITPR-DON NUMBER.
- (3) WAIVER CATEGORY AND REQUIRED INFORMATION.
- (4) EXPLANATION OF TECHNICAL OR ADMINISTRATIVE ISSUES.
- (5) OPERATIONAL IMPACT ASSESSMENT IF THE ASSET IS DISCONNECTED FROM THE NETWORK
- (6) DESCRIPTION OF ANY RISK MITIGATION CONTROLS IN PLACE.

B. WAIVER REQUEST MEMO, SIGNED BY THE RESOURCE SPONSOR.

C. PLAN OF ACTION AND MILESTONES (POA&M) TO IMPLEMENT PKE.

6. IMPLEMENTATION. INDIVIDUAL WAIVER PACKAGES MUST BE UPLOADED AS A SINGLE FILE TO THE DITPR-DON. IN ACCORDANCE WITH REF C, DON CIO IS REQUIRED TO REPORT ALL ENDORSED WAIVERS TO THE DOD CIO WITHIN 15 DAYS OF APPROVAL.

7. PKE WAIVER CRITERIA. PER REF H, A DON PK ENABLEMENT WAIVER REQUEST MAY BE CONSIDERED FOR THE FOLLOWING REASONS.

A. LEGACY SYSTEM BEING REPLACED WITH A PK ENABLED SYSTEM. A WAIVER MAY BE GRANTED FOR UP TO ONE YEAR FOR ANY SYSTEM THAT IS BEING PHASED OUT AND REPLACED BY A PK ENABLED SYSTEM. WAIVER REQUEST MEMOS MUST INCLUDE THE NAME, EVIDENCE THAT THE REPLACEMENT SYSTEM IS PROPERLY PK ENABLED, AND DITPR-DON ID NUMBER OF THE REPLACEMENT SYSTEM. THE POA&M MUST INCLUDE THE TIMELINE FOR THE REPLACEMENT.

B. COST OF ENABLING. WAIVERS MAY BE GRANTED FOR UP TO ONE YEAR WHEN THE COST OF ENABLING A SYSTEM OR APPLICATION IS CONSIDERED UNREASONABLE WHEN COMPARED WITH THE COSTS ASSOCIATED WITH ENABLING SUBSTANTIALLY SIMILAR SYSTEMS OR APPLICATIONS. THE WAIVER REQUEST MUST SPECIFICALLY DETAIL THE COSTS ASSOCIATED WITH ENABLING THE SYSTEM OR APPLICATION, AS WELL AS IDENTIFY SUBSTANTIALLY SIMILAR APPLICATIONS OR SYSTEMS AND THE COSTS ASSOCIATED WITH ENABLING THOSE SYSTEMS OR APPLICATIONS. IT SHALL ALSO INCLUDE AN EXPLANATION OF WHY THE COSTS

EXCEED THOSE FOR SIMILAR SYSTEMS OR APPLICATIONS. THE WAIVER REQUEST MEMO SHALL ALSO INCLUDE EITHER A REPLACEMENT PLAN OR A COST EFFECTIVE APPROACH TO ACHIEVE COMPLIANCE.

C. OTHER UNDUE HARDSHIP. WAIVERS MAY BE GRANTED FOR UP TO ONE YEAR UNDER CIRCUMSTANCES WHERE THE REQUESTER CAN CLEARLY DEMONSTRATE THAT UNDUE HARDSHIP WOULD OCCUR BY IMMEDIATELY COMPLYING WITH THE REQUIREMENTS. THE WAIVER REQUEST MEMO SHALL DETAIL THE UNIQUE CIRCUMSTANCES REQUIRING THE NEED FOR A WAIVER, INCLUDING A DESCRIPTION OF THE SYSTEM OR APPLICATION'S CRITICALITY TO SUPPORTING THE WARFIGHTER OR MISSION ACCOMPLISHMENT. THE REQUEST SHALL ALSO PROVIDE A PLAN FOR RESOLVING THE ISSUES REQUIRING THE NEED FOR THE WAIVER.

8. WAIVER RENEWAL. THE DON CIO IS THE APPROVAL AUTHORITY FOR ALL RENEWAL REQUESTS. SYSTEMS OR APPLICATIONS NOT COMPLETING IMPLEMENTATION OF THE POA&M IDENTIFIED IN THE ORIGINAL APPROVED WAIVER REQUEST PACKAGE SHALL REINITIATE THE PROCESS FROM THE BEGINNING. THE DDCIO (NAVY) OR DDCIO (MARINE CORPS) SHALL REVIEW THE PACKAGE AND PROVIDE A RECOMMENDATION VIA ENDORSEMENT TO DON CIO.

9. THE SYSTEM TYPES IDENTIFIED BELOW, WHILE NOT PKE COMPLIANT, HAVE KNOWN CHALLENGES. ALTHOUGH NOT EXEMPT FROM PKI REQUIREMENTS, TO SIMPLIFY THE WAIVER PROCESS, THE SERVICE DDCIO WILL DECIDE IF A WAIVER PACKAGE IS REQUIRED. SERVICES WILL PROVIDE ADDITIONAL GUIDANCE FOR ADDRESSING THESE SYSTEMS AND APPLICATIONS.

A. USERS INELIGIBLE FOR DOD APPROVED PKI CERTIFICATES. NETWORKS, PRIVATE WEB SERVERS, PORTALS, OR APPLICATIONS SUPPORTING USERS NOT ELIGIBLE FOR DOD PKI CERTIFICATES MAY BE CONSIDERED FOR A WAIVER WHEN ALL PKI ELIGIBLE USERS ARE AUTHENTICATED VIA PKI CERTIFICATES.

B. STAND-ALONE SYSTEMS OR CLOSED NETWORKS. NETWORKS, PRIVATE WEB SERVERS, PORTALS, OR APPLICATIONS OPERATING IN STAND-ALONE OR ISOLATED ENVIRONMENTS MAY BE CONSIDERED FOR A WAIVER WHEN THEY ARE WITHOUT ACCESS TO CERTIFICATE REVOCATION LISTS (CRLS) OR CERTIFICATE VALIDATION RESOURCES.

C. TACTICAL / DEPLOYED ENVIRONMENT. PKI AUTHENTICATION REQUIREMENTS MAY NOT BE CURRENTLY APPLICABLE TO SOME NETWORKS, PRIVATE WEB SERVERS, PORTALS, OR APPLICATIONS THAT ARE SOLELY INTENDED FOR OPERATION IN A TACTICAL OR DEPLOYED ENVIRONMENT WHERE INFRASTRUCTURE COMPONENTS ARE NOT YET AVAILABLE. WHILE LACK OF INFRASTRUCTURE CURRENTLY PREVENTS ENFORCEMENT OF PKI AUTHENTICATION, THE REQUIRED HARDWARE AND SOFTWARE SHOULD BE PROVIDED TO ENSURE CONTINUED ACCESS TO PK ENABLED RESOURCES AND ENABLE COMPLIANCE UPON FIELDING OF THE INFRASTRUCTURE COMPONENTS.

10. SERVICE SPECIFIC IMPLEMENTATION POLICY WILL BE RELEASED UNDER SEPARATE CORRESPONDENCE WITHIN 45 DAYS OF THIS MESSAGE.

11. REQUEST WIDEST DISSEMINATION OF THIS MESSAGE.

12. RELEASED BY TERRY A. HALVORSEN, DEPARTMENT OF THE NAVY CHIEF INFORMATION OFFICER.//