



DEPARTMENT OF THE NAVY
CHIEF INFORMATION OFFICER
1000 NAVY PENTAGON
WASHINGTON DC 20350-1000

21 September 2009

MEMORANDUM FOR DISTRIBUTION

Subj: DEPARTMENT OF THE NAVY ENTERPRISE ARCHITECTURE (DON EA)
COMPLIANCE WAIVER REQUEST AND APPROVAL PROCESS

Ref: (a) DON CIO memo, Release of Department of the Navy Enterprise Architecture Version 1.0, of 31 Jul 09
(b) Department of the Navy (DON) Information Management (IM)/Information Technology (IT) Investment Review Process Guidance of Sep 2009
(c) DON CIO memo, Assessment of Compliance with Department of the Navy Enterprise Architecture as Part of Title 40 / Clinger-Cohen Act (Title 40/CCA) Compliance Confirmation Process, of 21 Sep 2009
(d) SECNAVINST 5000.2D, Implementation and Operation of the Defense Acquisition System and Joint Capabilities Integration and Development System, of 16 Oct 2008

Encl: (1) DON EA Compliance Waiver Request and Approval Process Narrative and Diagram
(2) DON Compliance EA Waiver Request Form

The purpose of this memorandum is to provide guidance for the formal Department of the Navy Enterprise Architecture (DON EA) waiver request and approval process. As is discussed in reference (a), assessment of compliance of Information Technology, including National Security System (IT/NSS) investments with the DON EA will begin on 01 October 2009, as part of three existing processes:

1. Department of the Navy (DON) Information Management (IM)/Information Technology (IT) Investment Review Process reference (b),
2. The Title 40/Clinger-Cohen Act (Title 40/CCA) Compliance Confirmation process, reference (c), and
3. The Mission Area Chief Engineer (MACE) review process, reference (d).

The DON EA Compliance Assessment Tool, which is available from DITPR-DON¹, is to be used for determining the level of compliance of DON IT/NSS investments with the DON EA, as part of the three processes identified above. The tool contains a field for each element of the DON EA, where the Program Manager can note if they have submitted a waiver request for this particular item. The DON EA waiver requests must be submitted for each element of the DON EA that is applicable to the investment, but for which it is not fully compliant.

¹ The URL for DITPR-DON is: <https://www.dadms.navy.mil>. The DON EA Compliance Assessment Tool can be found in the "Ref Docs" section of DITPR-DON.

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COMPLIANCE WAIVER REQUEST AND APPROVAL PROCESS

Enclosure (1) contains the process for documenting, submitting, reviewing, and approving a DON EA waiver request. Enclosure (2) is the DON EA Waiver Request Form, to be used as part of this process.

All DON EA waiver requests shall be submitted to the DON CIO for review and final resolution. DON EA waiver requests shall be submitted to DON CIO via the EII Command IOs/ Marine Corps Systems Command (MARCORSYSCOM), then the applicable Functional Area Manager (FAM) and then the DON Deputy CIO. EII Command IOs/MARCORSYSCOM, FAMs and DON Deputy CIOs shall have the authority to deny requested DON EA waivers, in part or in whole.

As the DON EA implementation and waiver processes continue to mature, the DON CIO expects to delegate DON EA waiver authority to appropriate levels within the DON. This delegation of authority is expected to occur as the DON CIO further refines the waiver process and has verified that individual commands are prepared to manage the waiver process on behalf of the DON CIO.

The detailed content of DON EA v1.0, as released by reference (a), can be accessed at: https://www.intelink.gov/wiki/Department_of_the_Navy_Enterprise_Architecture and the FAM point of contact information is contained in reference (b).

The DON CIO point of contact for the DON EA is Mr. Michael Jacobs, 703 602-6847 michael.b.jacobs@navy.mil.



Robert J. Carey

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Subj: DEPARTMENT OF THE NAVY ENTERPRISE ARCHITECTURE (DON EA)
COMPLIANCE WAIVER REQUEST AND APPROVAL PROCESS

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ASN(M&RA) - CIVILIAN PERSONNEL FAM
ASN(RD&A) – ACQUISITION; MODLING & SUMULATION FAMS
ASN(FM&C) - FINANCIAL MANAGEMENT FAM
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**Subj: DEPARTMENT OF THE NAVY ENTERPRISE ARCHITECTURE (DON EA)
COMPLIANCE WAIVER REQUEST AND APPROVAL PROCESS**

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N2 - INTELLIGENCE FAM
N4 - LOGISTICS & READINESS
N6 -
 **COMMAND, CONTROL & COMMUNICATIONS FAM;
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DC, I&L (LPV) - LOGISTICS FAM
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 **COMMAND, CONTROL AND COMMUNICATIONS FAM
 WEAPONS PLANNING & CONTROL FAM
DC, P&R - RESOURCES, REQUIREMENTS & ASSESSMENTS FAM
CG TECOM - MODELING AND SIMULATION; TRAINING AND EDUCATION FAMS
CG MCOTEA - TEST AND EVALUATION FAM
CG MCWL - SCIENTIFIC AND TECHNICAL FAM
DC, I&L (LPC) - MEDICAL FAM****

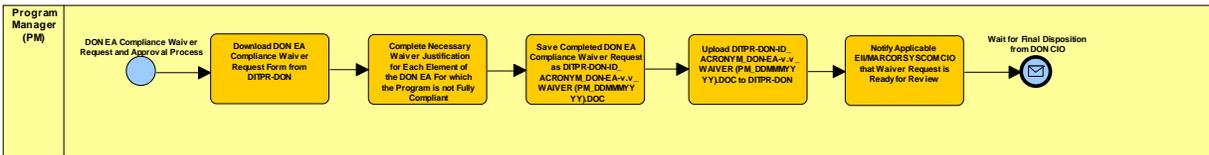
Department of the Navy Enterprise Architecture (DON EA) Compliance Waiver Request and Approval Process

This process outlines the steps associated with requesting and granting a Department of the Navy Enterprise Architecture (DON EA) compliance waiver for the Department of the Navy (DON) investments going through one of the following three DON review processes.

1. Department of the Navy Information Management (IM)/Information Technology (IT) Investment Review Process (previously called the DON Business System Investment Review process). This process requires certification actions and annual reviews on all entities registered under the Business Mission Area (BMA) and the Enterprise Information Environment Mission Area (EIEMA) in the DoD Information Technology Portfolio Repository (DITPR-DON).
2. The Title 40/Clinger-Cohen Act (Title 40/CCA) Compliance Confirmation process. The 1996 Clinger-Cohen Act (CCA) mandated Federal Chief Information Officers to address information management/information technology at the Enterprise level to ensure proper investment in IT programs and that they deliver what is intended. CCA certification is required of all Major Automated Information Systems (MAIS) programs, those in Acquisition Category (ACAT) IAM and ACAT IAC, and those designated as Special Interest Initiatives prior to each milestone approval and before each contract award. Non-MAIS ACAT programs (ACAT ID, IC, II, III and IV) and Abbreviated Acquisition Programs (AAP) for mission-critical or mission-essential IT systems, including National Security Systems, also require CCA confirmation prior to each milestone and contract award.
3. The Mission Area Chief Engineer (MACE) review process (currently under development by ASN RDA CHSENG). MACEs will be developing mission level architectures for the sole use of the acquisition community.

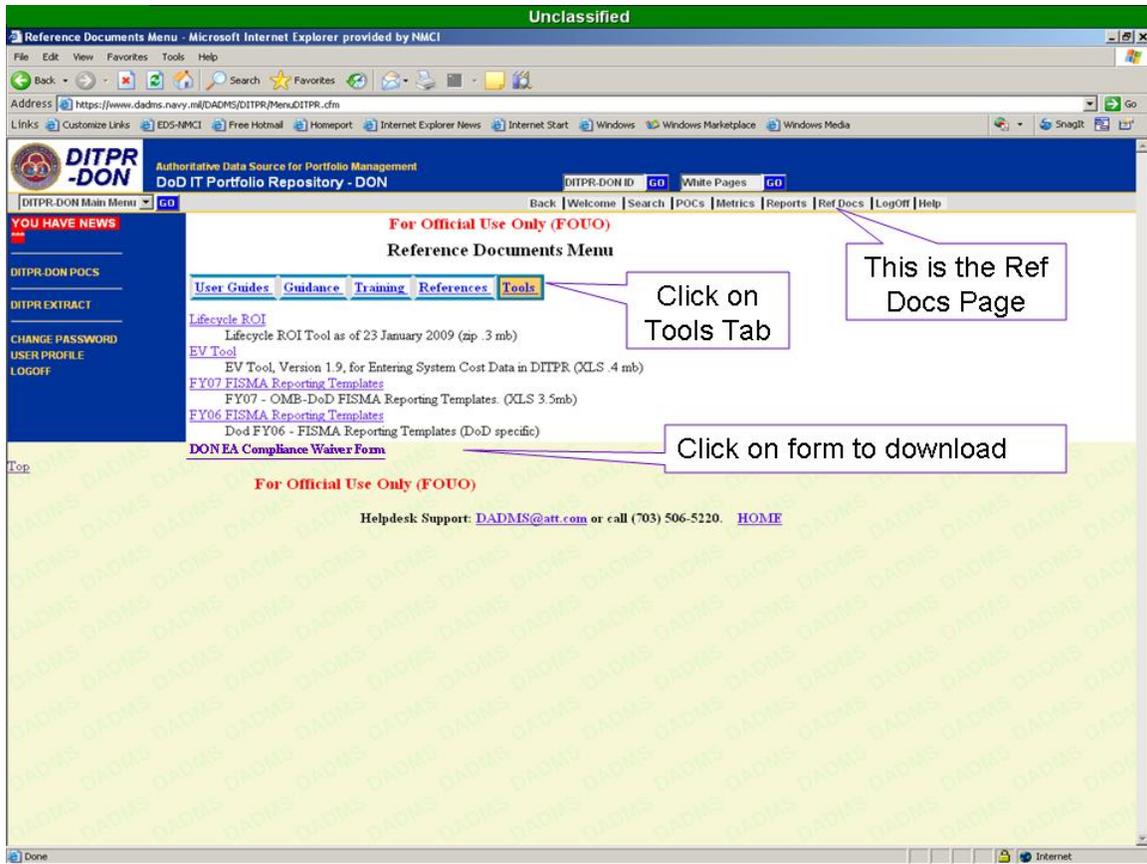
Start:

Program Office:



DON EA Compliance Waiver Request and Approval Process (Program Office)

1. Download the DON EA Compliance Waiver Request Form template from the *Reference Doc* area in DITPR-DON.

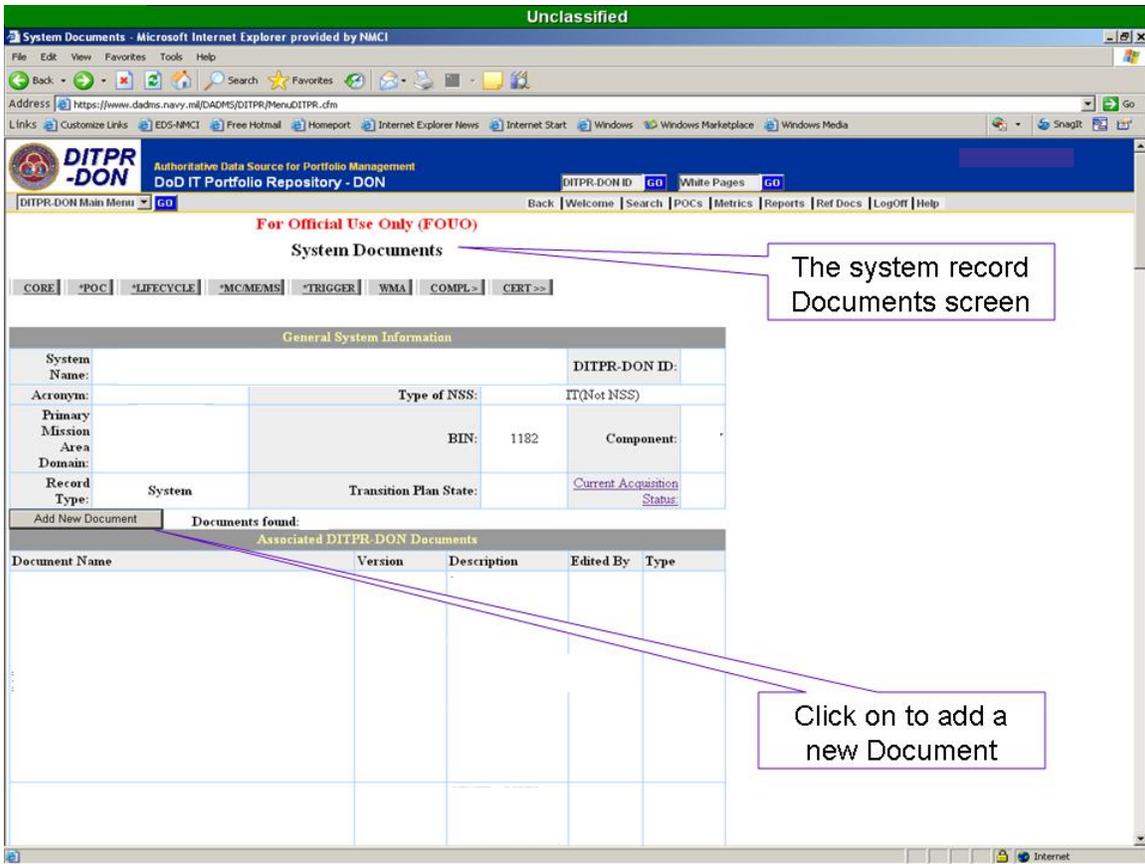


2. Complete the DON EA Compliance Waiver Request Form, for each applicable element of the DON EA, for which the investment is not fully compliant. Please note that waivers requested should match one-for-one, with the completed “waiver request notification fields” from the DON EA Compliance Assessment Tool. Once completed, save the DON EA Compliance Waiver Request Form using the following naming convention (the DON EA Compliance Waiver Request Form will change name according to the owner/reviewer and their sign-off date):

DITPR-DON-ID_ACRONYM_DON-EA-v.v_WAIVER (PM_DDMMYYYY).DOC

DITPR-DON-ID is the system’s identification number in DITPR-DON, and ACRONYM is your system’s acronym in all capital letters, as it is identified in DITPR-DON. Replace the “v.v” to reflect the version of the DON EA associated with the requested waiver, and finally the date should indicate the waiver request form completion date. Please do not forget to include “PM” before the date as it identifies the current status of the document in the submission and review process.

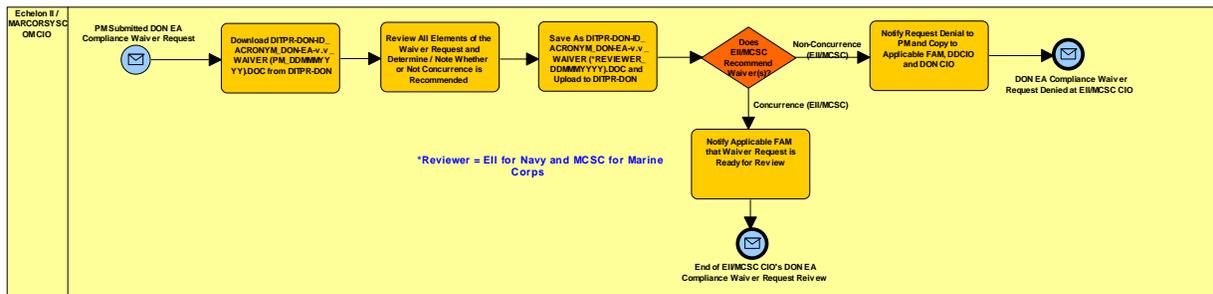
3. Upload the completed DON EA Compliance Waiver Request Form to the *DOCS* screen of the investment’s record in DITPR-DON.



4. After the waiver request form is completed and uploaded to DITPR-DON, the Program Manager shall notify via email the applicable Echelon II/MARCORSYSCOM Command Information Officer (Command IO) that the waiver request is ready for review.

Echelon II Command IO/MARCORSYSCOM Command IO Review:

[The Echelon II/MARCORSYSCOM Command IO has the authority to deny the waiver request in whole or in part. The Echelon II/MARCORSYSCOM Command IO must state his concurrence/non-concurrence for each element of the requested waiver in the Echelon II / MARCORSYSCOM Command IO section of the form.]



DON EA Compliance Waiver Request and Approval Process (EII/MCSC)

1. Download the PM submitted DON EA Compliance Waiver Request from DITPR-DON and start the review process.
2. Review all elements of the waiver request and determine and note, in the Echelon II/MARCORSYSCOM Command IO review section of the form, if concurrence is warranted or not.
3. Once the Echelon II/MARCORSYSCOM Command IO review section has been completed, save the file in accordance with the naming convention below and then upload it back to DITPR-DON.

For Navy:

DITPR-DON-ID_ACRONYM_DON-EA-v.v_WAIVER (EII_CIO
_DDMMYYYYY).DOC

For Marine Corps:

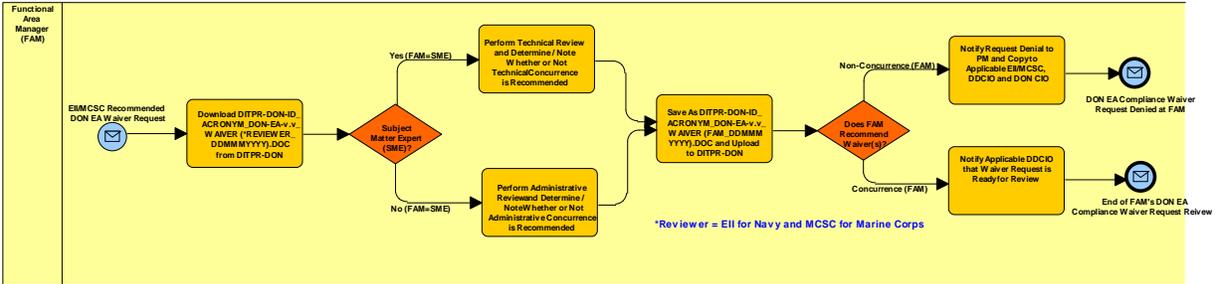
DITPR-DON-ID_ACRONYM_DON-EA-v.v_WAIVER (MCSC_CIO
_DDMMYYYYY).DOC

[Note: The only changes in the filename should be the owner of the document (“PM” -> “EII_CIO” or “MCSC_CIO”) and the review completion date which was changed from the PM submission date.]

4. If any part of the request is concurred with, the Echelon II/MARCORSYSCOM Command IO shall notify by email the applicable FAM that the waiver request is ready for review. *[See Enclosure (3) of the DON EA Waiver Memorandum for FAM POC list.]*
5. If the Echelon II/MARCORSYSCOM Command IO has denied the request in its entirety, then the Echelon II/MARCORSYSCOM Command IO shall notify by email the Program Office and courtesy copy the applicable Functional Area Management (FAM), DON Deputy Chief Information Officer (Navy) POC: michael.cricchio@navy.mil or DON Deputy Chief Information Officer (Marine Corps): brandi.halleckson@usmc.mil and the DON Chief Information Officer (CIO). *[DON CIO POC Robert.s.lewis1.ctr@navy.mil, alternate POC fumie.wingo.ctr@navy.mil]*

Functional Area Manager (FAM) Review:

[The FAM has the authority to deny the waiver request in whole or in part. The FAM must state his concurrence/non-concurrence for each element of the requested waiver in the FAM section of the form.]



DON EA Compliance Waiver Request and Approval Process (FAM)

1. Download the Echelon II/MARCORSYSCOM Command IO reviewed DON EA Compliance Waiver Request from DITPR-DON and start the review process.
2. Since the FAM is not a Subject Matter Expert (SME) on all elements of the DON EA, the FAM should perform a technical review for only those items where they are a SME and they should perform an administrative review for items where they are not a SME.
 - a. For a FAM technical review, review all applicable elements of the waiver request for concurrence. Check the FAM technical concurrence review box, sign and date the form. This will indicate that a technical concurrence review has been performed for this particular element and the request is ready to be forwarded to the applicable DON Deputy CIOs (Navy or Marine Corps) and DON CIO for review.
 - b. For all items where the FAM is not a SME, the FAM should perform an administrative review, checking for adherence to procedure and general completeness of the submission. Check the FAM administrative review box, sign and date the form. This will indicate that the FAM is officially aware of the request and an administrative review has been performed for this particular element and the request is now ready to be forwarded to the applicable DON Deputy CIO (Navy or Marine Corps) and DON CIO for review.
3. Once the FAM review section has been completed, save the file in accordance with the naming convention below and then upload it back to DITPR-DON.

DITPR-DON-ID_ACRONYM_DON-EA-v.v_WAIVER (FAM_DDDMMYYYY).DOC

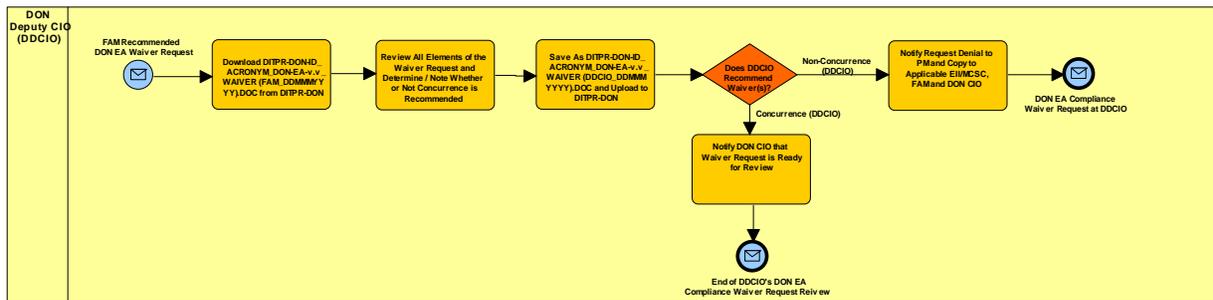
[Note: The only changes in the filename should be the owner of the document (“EII_CIO” or “MCSC_CIO” -> “FAM”) and the review completion date which was changed from the “EII_CIO” or “MCSC_CIO” review date.]

4. During the FAM technical concurrence review, if any part of the request is concurred with, the FAM shall notify by email the applicable DON Deputy CIO (Navy or Marine Corps) that the waiver request is ready for review. [DON Deputy CIO (Navy) POC: michael.cricchio@navy.mil or DON Deputy CIO (Marine Corps): brandi.halleckson@usmc.mil]

- If the FAM has denied the request in its entirety based on the technical concurrence review, then the FAM shall notify by email the Program Office and courtesy copy the applicable Echelon II/MARCORSYSCOM Command IO, and the DON CIO. [DON CIO POC Robert.s.lewis1.ctr@navy.mil, alternate POC fumie.wingo.ctr@navy.mil]

DON Deputy CIO Review:

[The DON Deputy CIO has the authority to deny the waiver request in whole or in part. The DON Deputy CIO must state his concurrence/non-concurrence for each element of the requested waiver in the DON Deputy CIO section of the form.]



DON EA Compliance Waiver Request and Approval Process (DDCIO)

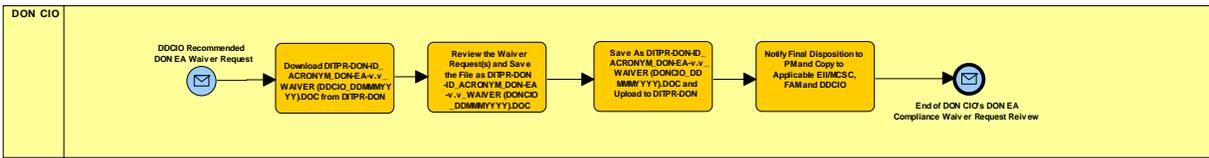
- Download the FAM reviewed DON EA Compliance Waiver Request from DITPR-DON and start the review process.
- Review all elements of the waiver request and determine and note, in the DON Deputy CIO review section of the form, if concurrence is warranted or not.
- Once the DON Deputy CIO review section has been completed, save the file in accordance with the naming convention below and then upload it back to DITPR-DON.

DITPR-DON-ID_ACRONYM_DON-EA-v.v_WAIVER
(DDCIO_DDMMMYYY).DOC

[Note: The only changes in the filename should be the owner of the document (“FAM” -> “DDCIO”) and the review completion date which was changed from the FAM review date.]

- If any part of the request is concurred with, the DON Deputy CIO shall notify by email the DON CIO that the waiver request is ready for final review. [DON CIO POC Robert.s.lewis1.ctr@navy.mil, alternate POC fumie.wingo.ctr@navy.mil]
- If the DON Deputy CIO has denied the request in its entirety, then the DON Deputy CIO shall notify by email the Program Office and courtesy copy the applicable Echelon II/MARCORSYSCOM Command IO, FAM and the DON CIO.

DON CIO:



DON EA Compliance Waiver Request and Approval Process (DON CIO)

1. Download the DON EA Compliance Waiver Request from DITPR-DON and start the review and final disposition process.
2. The DON CIO will make the final waiver disposition determination. Once the DON CIO disposition is completed, the file shall be upload back to DITPR-DON as follows:

DITPR-DON-ID_ACRONYM_DON-EA-v.v_WAIVER
(DONCIO_DDMMYYYY).DOC

[Note: the only changes in the file name should be the owner of the document (“DDCIO” -> “DONCIO”) and the disposition completion date which was changed from the DDCIO review date.]

3. The DON CIO shall notify by email the Program Office and courtesy copy the applicable Echelon II/MARCORSYSCOM Command IO, FAM and DON Deputy CIO of the final disposition of the Waiver Request.

For questions regarding DON EA compliance waivers: DON CIO government POC is Michael Jacobs Michael.b.jacobs@navy.mil 703-602-6848 supported by: Robert.s.lewis1.ctr@navy.mil, alternate POC fumie.wingo.ctr@navy.mil].

Department of the Navy Enterprise Architecture (DON EA) Compliance Waiver Request Form

DON EA Compliance Waiver Request General Information

Date:	<Insert Date>
System Name:	<Insert System Name>
System Acronym:	<Insert System Acronym>
DITPR-DON ID:	<Insert DITPR-DON ID>

Check all elements that you are requesting a waiver from DON EA Compliance (Note: The number assigned to each rule corresponds to the rule number used in DON EA v1.0. The rules #3, #8, #12, #14, #16, and #17 are excluded from DON EA v1.0) :

- 1. Internet Protocol (IP) v6 Capable
- 2. DON Federal Desktop Core Configuration Compliance (FDCC)
- 4. Management of Records in DON IM/IT System
- 5. Acquisition of a DON Records Management Application (RMA)
- 6. DON Use of Electromagnetic Spectrum in DON IM/IT Investment
- 7. DON Utilization of DoD Mandated Enterprise Services
- 9. ~~DON Implementation of Public Key Infrastructure (PKI) and Public Key Enabling (PKE)*~~
- 10. DON Mission Assurance Category (MAC) Selection
- 11. DON IM/IT Investment Selection of Mission Criticality
- 13. ~~DON Certification and Accreditation (C&A) of Systems and Networks*~~
- 15. DON Encryption of Data at Rest (DAR)
- 18. DON Software Certificate Minimization
- 19. ~~PK Enablement of DON Private Webservers and Applications*~~
- 20. COTS Software Fielding Within DON

*A waiver to the requirement for the elements #9, #13, and #19 may not be granted as part of the DON EA waiver process

PM Completes the following section for each waiver request checked above

Element #: <Insert Element #>	
Reason for Waiver Request:	< For each rule that a waiver is requested, state the reason for waiver request>
Planned Compliance Date:	<Enter estimated compliance date, if applicable>
Planned Compliance Event:	<State the event which will trigger the system to become compliant>

Echelon II / MARCORSSCOM (EII/MCSC) Recommendation and Comments

<For each element of the waiver request, the EII/MCSC must state its recommendation and provide related comments>

Date: <DD MMM YYYY>

Functional Area Manager (FAM) Recommendation and Comments

<For each element of the waiver request, the FAM must state its recommendation and provide related comments>

Technical Review Administrative Review Date: <DD MMM YYYY>

DON Deputy CIO (DDCIO) Recommendation and Comments

<For each element of the waiver request, the DDCIO must states its recommendation and provide related comments>

Date: <DD MMM YYYY>

DON CIO Final Disposition and Comments

<For each element of the waiver request, the DON CIO must state its disposition and provide related comments>

Date: <DD MMM YYYY>

PM Completes the following section for each waiver request checked above	
Element #:	
Reason for Waiver Request:	
Planned Compliance Date:	
Planned Compliance Event:	
Echelon II / MARCORSSYSCOM (EII/MCSC) Recommendation and Comments	
Date:	
Functional Area Manager (FAM) Recommendation and Comments	
Technical Review <input type="checkbox"/>	Administrative Review <input type="checkbox"/>
Date:	
DON Deputy CIO (DDCIO) Recommendation and Comments	
Date:	
DON CIO Final Disposition and Comments	
Date:	

PM Completes the following section for each waiver request checked above	
Element #:	
Reason for Waiver Request:	
Planned Compliance Date:	
Planned Compliance Event:	
Echelon II / MARCORSSYSCOM (EII/MCSC) Recommendation and Comments	
Date:	
Functional Area Manager (FAM) Recommendation and Comments	
Technical Review <input type="checkbox"/>	Administrative Review <input type="checkbox"/>
Date:	
DON Deputy CIO (DDCIO) Recommendation and Comments	
Date:	
DON CIO Final Disposition and Comments	
Date:	

If you have more waivers to request than space provided, please copy a blank section (“Element #” through “DON CIO Final Disposition and Comments”) and paste it here.