



DEPARTMENT OF THE NAVY  
CHIEF INFORMATION OFFICER  
1 000 NAVY PENTAGON  
WASHINGTON DC 20350-1000

1 October 2009

MEMORANDUM FOR DEPARTMENT OF THE NAVY DEPUTY CHIEF  
INFORMATION OFFICER (NAVY)  
DEPARTMENT OF THE NAVY DEPUTY CHIEF  
INFORMATION OFFICER (MARINE CORPS)

Subj: DEPARTMENT OF THE NAVY (DON) INFORMATION MANAGEMENT  
(IM)/INFORMATION TECHNOLOGY (IT) INVESTMENT REVIEW PROCESS  
GUIDANCE

Ref: (a) Department of the Navy (DON) Information Technology (IT) Business System  
Certification and Annual Review Guidance v3.0  
(b) DON CIO Memo of 29 Sep 09, Subj: DON IT Policy Guidance for Fiscal Year 2010.

Encl: (1) Department of the Navy (DON) IM/IT Investment Review Process Guidance v4.0

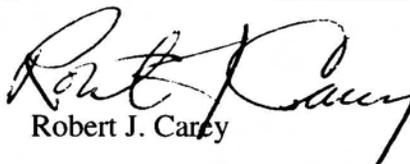
Enclosure (1) is the revised DON IM/IT Investment Review Process Guidance (v4.0), which supersedes reference (a) and which implements the policy changes promulgated by reference (b), as follows:

a. Effective 1 October 2009, the requirements for submission of certification actions and annual reviews that formerly applied only to Defense Business Systems have been extended to all entities registered under the Business Mission Area (BMA) and the Enterprise Information Environment Mission Area (EIEMA) in the Department of Defense Information Technology Portfolio Repository (DITPR)-DON.

b. Also effective 1 October 2009, all entities registered under the BMA and EIEMA in DITPR-DON will be assessed at least once annually against the latest version of the DON Enterprise Architecture (EA). These assessments will be conducted in conjunction with the reviews of certification actions and annual reviews of BMA and EIEMA registered entities discussed in preceding paragraph.

Enclosure (1) may be revised in the future to address changes resulting from revised Office of the Secretary of Defense guidance or improvements in the DON IM/IT Investment Review Process.

Questions or comments may be directed to Ms. Barbara Hoffman, 703-601-0116, [barbara.hoffman@navy.mil](mailto:barbara.hoffman@navy.mil), or Mr. Bob Wagner, 703-607-5671, [robert.m.wagner.ctr@navy.mil](mailto:robert.m.wagner.ctr@navy.mil).

  
Robert J. Caray

Subj: DEPARTMENT OF THE NAVY (DON) INFORMATION MANAGEMENT  
(IM)/INFORMATION TECHNOLOGY (IT) INVESTMENT REVIEW PROCESS  
GUIDANCE

Copy to:

ASN (RD&A)

DASN (C4I/SPACE)

PEO EIS

ASN(M&RA) - CIVILIAN PERSONNEL FAM

ASN(RD&A) - ACQUISITION FAM

ASN(FM&C) - FINANCIAL MANAGEMENT FAM

GC - LEGAL FAM

CNO:

N00N - NAVAL NUCLEAR PROPULSION FAM,

N091 - SCIENTIFIC & TECHNICAL

N093 - MEDICAL FAM

N097 - RELIGIOUS MINISTRIES FAM

N1 - MANPOWER & PERSONNEL; TRAINING & EDUCATION; RESERVE  
AFFAIRS FAMS

N2 - INTELLIGENCE & CRYPTOLOGY FAM

N4 - LOGISTICS & READINESS; TEST & EVALUATION FAMS

N6 - COMMAND, CONTROL & COMMUNICATIONS FAM

INFORMATION WARFARE FAM

MODELING & SIMULATION FAM

WEAPONS PLANNING & CONTROL FAM

METEOROLOGY, OCEANOGRAPHY, GI&S FAM

ENTERPRISE SERVICES FAM

PRECISE TIME AND ASTROMETRY FAM

ADMINISTRATION FAM

N8 - RESOURCES, REQUIREMENTS & ASSESSMENTS FAM

CMC:

ARI - ADMINISTRATION FAM

M&RA - MANPOWER & PERSONNEL FAM, RESERVE AFFAIRS FAM

I - INTELLIGENCE FAM

I&L - LOGISTICS FAM

PP&O - READINESS FAM AND INFORMATION WARFARE FAM

C4 - COMMAND, CONTROL AND COMMUNICATIONS FAM

P&R - RESOURCES, REQUIREMENTS & ASSESSMENTS FAM

MCSC SE&I - MODELING AND SIMULATION FAM

TECOM - TRAINING AND EDUCATION FAM

MCOTEA - TEST AND EVALUATION FAM

MCCDC - SCIENTIFIC AND TECHNICAL FAM

COMUSFLTFORCOM

COMUSNAVEUR

COMPACFLT

Subj: DEPARTMENT OF THE NAVY (DON) INFORMATION MANAGEMENT  
(IM)/INFORMATION TECHNOLOGY (IT) INVESTMENT REVIEW PROCESS  
GUIDANCE

Copy to: (continued)

COMUSNAVSO

USNA

COMUSNAVCENT

COMNAVRESFORCOM

COMNAVAIRSYSYSCOM

BUMED

NETC

COMNAVSEASYSYSCOM

BUMED

NETC

COMNAVSEASYSYSCOM

OPNAVSUPPACT

FLDSUPPACT

COMNAVSUPSYSYSCOM

DIRSSP

CNI

PRESINSURV

COMNAVLEGSVCCOM

NAVPGSCOL

COMNAVFACECOM

COMNAVSAFECEN

BUPERS

NAVWARCOL

ONI WASHINGTON DC

COMNAVSPECWARCOM

COMSPAWARSYSYSCOM

COMNAVDIST

NAVHISTHERITAGECOM

COMOPTEVFOR

COMNAVNETWARCOM

**Department of the Navy (DON)  
Information Management (IM)/Information Technology (IT)  
Investment Review Process  
Guidance**

Version 4.0

1 October 2009



**Table of Contents**

**References** .....6

**Purpose** .....6

**Scope** .....7

[Table 1.](#) DON IM/IT Investment Review Scope .....7

**Business Mission Area (BMA)** .....8

**Defense Business Systems (DBSs)** .....8

**Background** .....8

**Definitions** .....8

            ‘**Certification**’ .....8

            ‘**Defense Business System (DBS)**’ .....9

**Defense Business System ‘Modernization’** .....10

[Figure 1.](#) ‘Program Acquisition’ Cost = ‘Modernization’  
                Costs for New DBSs .....10

            ‘**Tiered Accountability**’ .....11

[Table 2.](#) DBS/Modernization Tier Structure .....12

**Office of the Secretary of Defense (OSD) DBS Certification and  
    Annual Review Processes** .....12

**OSD Certification of DBS Tier 1-3 Modernizations** .....12

**Types of DBS Certifications**.....13

**OSD Annual Review of Tier 1-3 Modernizations** .....14

**DON DBS Pre-Certification and Annual Review Processes** .....14

**Critical Questions to Assist Program Managers (PMs) in  
        Determining if IRB/DBSMC Certification/Approval  
        Is Required** .....14

<a href="#">Table 3.</a> Six Critical Questions for PMs .....	15
<b>DON DBS Tier 1-3 Certification Reporting Requirements .....</b>	<b>16</b>
<a href="#">Table 4.</a> DON DBS Tier 1-3 Certification Reporting Requirements .....	17
<b>DON DBS Tier 1-3 Annual Review Reporting Requirements .....</b>	<b>18</b>
<a href="#">Table 5.</a> DON DBS Tier 1-3 Annual Review Reporting Requirements .....	19
<b>DON DBS Tier 4 Annual Review Reporting Requirements .....</b>	<b>20</b>
<a href="#">Table 6.</a> DON DBS Tier 4 Annual Review Reporting Requirements .....	21
<b>DON Non-Tier DBS Annual Review Reporting Requirements .....</b>	<b>22</b>
<a href="#">Table 7.</a> DON Non-Tier DBS Annual Review Reporting Requirements .....	22
<b>All Other BMA Entities .....</b>	<b>23</b>
<b>DON BMA Non-DBS Tier 1-3 Certification Reporting     Requirements.....</b>	<b>23</b>
<a href="#">Table 8.</a> DON BMA Non-DBS Tier 1-3 Certification Reporting Requirements .....	24
<b>DON BMA Non-DBS Tier 1-3 Annual Review Reporting     Requirements.....</b>	<b>25</b>
<a href="#">Table 9.</a> DON BMA Non-DBS Tier 1-3 Annual Review Reporting Requirements .....	25
<b>DON BMA Non-DBS Tier 4 Annual Review Reporting     Requirements.....</b>	<b>26</b>
<b>DON BMA Non-Tier Non-DBS Annual Review Reporting     Requirements.....</b>	<b>26</b>
<b>Enterprise Information Environment Mission Area (EIEMA) .....</b>	<b>27</b>
<b>DON EIEMA Tier 1-3 Certification Reporting Requirements .....</b>	<b>27</b>
<b>DON EIEMA Tier 1-3 Annual Review Reporting Requirements .....</b>	<b>27</b>

<b>DON EIEMA Tier 4 Annual Review Reporting Requirements .....</b>	<b>28</b>
<b>DON EIEMA Non-Tier Annual Review Reporting Requirements .....</b>	<b>28</b>
<b>DON Business Process for Certification and Annual Review of BMA and EIEMA Tier 1-4 Modernizations and Non-Tier Entities .....</b>	<b>29</b>
<a href="#">Figure 2.</a> DON Process for Pre-Certification/Annual Review of Tier 1-4 Modernizations of Non-Tier DBSs .....	29
<b>DON Approval Authority Review Responsibilities .....</b>	<b>30</b>
<a href="#">Table 10.</a> DON Reviewing Officials for BMA and EIEMA Tier 1-4 Modernizations and Non-Tiers .....	30
<a href="#">Table 11.</a> BMA and EIEMA Certification and Annual Review Responsibilities .....	31
<b>Due Dates for Submission and Review of Pre-Certification and Annual Review Documentation .....</b>	<b>34</b>
<a href="#">Table 12.</a> ‘Notional’ Due Dates for Submission & Review of BMA & EIEMA Certification & Annual Review Documentation .....	34
<b>‘Conditions’ Imposed by Approving Authorities .....</b>	<b>36</b>
<b>Appendices:</b>	
<a href="#">Appendix A.</a> Architecture Compliance and Requirements Traceability (ACART) Tool Usage in DON IM/IT Investment Review Process .....	37
<a href="#">Appendix B.</a> DON EA Compliance Assessment as Part of the DON IM/IT Investment Review Process .....	45
<a href="#">Appendix C.</a> Certification Request Memo for BMA and EIEMA Tiers 1-3 .....	48
<a href="#">Appendix D.</a> Performance Improvements Metrics Table for BMA and EIEMA Tiers 1-4 .....	49
<a href="#">Appendix E.</a> Human Resources Management (HRM) Federal Information Security Management Act (FISMA)/Privacy Impact Assessment (PIA) Compliance Assertion Checklist .....	50

[Appendix F](#). Annual Review Request Memo for BMA and EIEMA  
Tiers 1-3 .....56

[Appendix G](#). Points of Contact for DON Certification Requests  
and Annual Reviews .....57

## References

- A. DON IT Business System Certification and Annual Review Guidance v3.0 of 19 December 2007
- B. Department of Defense (DoD) IT Defense Business Systems (DBSs) Investment Review Process Guidance of 21 January 2009
- C. DON CIO Memorandum of 29 September 2009; Subj: Department of the Navy Information Technology Policy Guidance for Fiscal Year 2010
- D. DON CIO Memorandum of 31 July 2009; Subj: Release of the Department of the Navy Enterprise Architecture Version 1.0
- E. DON CIO Memorandum of 21 September 2009; Subj: Department of the Navy Enterprise Architecture (DON EA) Compliance Waiver Request and Approval Process
- F. DoD Business Enterprise Architecture (BEA): Compliance Guidance - BEA 6.0 - of 14 May 2009
- G. DON Chief Information Officer (CIO) msg, 131555Z Oct 06
- H. DON CIO msg, 161552Z May 07
- I. National Institute of Standards and Technology (NIST) Special Publication 800-59 of August 2003
- J. DoD Financial Management Regulation (FMR), Volume 2B, Chapter 18, paragraph 180105 ([http://www.defenselink.mil/comptroller/fmr/02b/02b\\_18.pdf](http://www.defenselink.mil/comptroller/fmr/02b/02b_18.pdf))
- K. Secretary of the Navy (SECNAV) Memo of 26 August 2005, Subj: "Designation of the DON Business System Modernization Pre-Certification Authority"
- L. DoD FMR, Volume 2A, Chapter 1, paragraph 010112 ([http://www.defenselink.mil/comptroller/fmr/02a/02a\\_01.pdf](http://www.defenselink.mil/comptroller/fmr/02a/02a_01.pdf))
- M. DoD IT Portfolio Repository (DITPR)-DON User Guide

## Purpose

This guide supersedes the DON IT Business System Certification and Annual Review Guidance v3.0 of 19 December 2007 (Reference A). It reflects the changes in the DoD certification and annual review requirements for DBSs promulgated by Reference B. It also reflects the changes in DON IM/IT investment review policy promulgated by Reference C that are effective 1 October 2009, as follows:

- (1) The requirements for submission of certification actions and annual reviews that formerly were required only for DBSs are now extended to all entities registered under the Business Mission Area (BMA) and the Enterprise Information Environment Mission Area (EIEMA) in DoD Information Technology Portfolio Repository (DITPR)-DON as depicted in [Table 1](#).
- (2) In accordance with Reference D (downloadable at <http://www.doncio.navy.mil/>), all entities registered under the BMA and EIEMA in DITPR-DON will be assessed at least once annually against the latest version of the DON Enterprise Architecture (EA). These assessments will be conducted in conjunction with the reviews of certification actions and annual reviews of BMA and EIEMA registered entities discussed in the preceding paragraph. The processes for assessing compliance against DON EA v1.0 and for submission of waivers are addressed in Reference E.

## Scope

[Table 1](#) below provides an overview of the current Certification, Pre-Certification and Annual Review requirements for BMA and EIEMA registered entities which are addressed in greater detail elsewhere in this document. Changes in the scope of reviews effective 1 October 2009 are highlighted in 'yellow'.

<b>DON Information Management (IM)/Information Technology (IT) Investment Review Scope</b>						
<b>Applicability</b>	<b>Certification Required by 10 U.S.C. 2222</b>	<b>Annual Review Required by 10 U.S.C. 2222</b>	<b>Assessment Against DoD BEA Required by OSD</b>	<b>DON PCA Approval Required</b>	<b>Annual Review Required by DON</b>	<b>Assessment Against DON EA Required by DON</b>
<b>BMA:</b>						
DBSs <sup>1/</sup> w/ Modernizations > \$1M	X	X	X	X	X	X
All Other DBSs <sup>1/</sup>	--	X	--	--	X	X
All Other BMA Entities <sup>2/</sup> w/ Modernizations > \$1M	--	--	--	X	X	X
All Other BMA Entities <sup>2/</sup>	--	--	--	--	X	X
<b>EIEMA</b>						
All EIEMA Entities <sup>3/</sup> w/ Modernizations > \$1M	--	--	--	X	X	X
All Other EIEMA Entities <sup>3/</sup>	--	--	--	--	X	X

**Footnotes:**

<sup>1/</sup> Definition of DBS excludes National Security Systems (NSS) and infrastructure

<sup>2/</sup> Includes NSS

<sup>3/</sup> Includes NSS and infrastructure

Table 1. DON IM/IT Investment Review Scope

## **BUSINESS MISSION AREA (BMA)**

### **Defense Business Systems (DBSs):**

**The following section addresses the certification and annual review reporting requirements for DBSs registered under the BMA in DITPR-DON.**

#### **Background**

Effective 1 October 2005, 10 U.S.C. 2222 (as added by section 332 of the Ronald W. Reagan National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2005) prohibits the obligation of funds for any DBS modernization that will have a total cost in excess of \$1 million unless the modernization is first certified by the appropriate OSD or Business Transformation Agency (BTA) Investment Review Board (IRB) and approved by the Defense Business Systems Management Committee (DBSMC). Accordingly, all DON activities developing or modernizing a DBS, the total cost of which will exceed \$1 million, must obtain IRB certification and DBSMC approval of that certification in accordance with the guidance contained herein prior to obligating any funds for such modernization. 10 U.S.C. 2222 also provides that obligation of funding for a DBS modernization that has a total modernization cost in excess of \$1 million in the absence of a prior approved certification is a violation of the Anti-Deficiency Act (ADA), 31 U.S.C. 1341(a)(1).

In addition to the above, 10 U.S.C. 2222 also established the following requirements:

- (1) that each DBS, including those with modernization funding of \$1 million or less and those with no modernization funding, be reviewed at least once annually (i.e., at least once every 12 months); and
- (2) that each DBS be identified separately in the IT budget exhibits submitted to Congress, with the funding for development/modernization and operation (i.e., current services) of each DBS also identified separately by appropriation or fund (e.g., Navy Working Capital Fund (NWCF)).

#### **Definitions**

##### **‘Certification’**

The term ‘certification’ in the law refers to the process of assessing, validating and certifying compliance with the latest version of the DoD BEA. While the certification process is focused only on the individual system modernization, the BEA compliance process takes into consideration the full system functionality. In that regard, both the modernization and the system itself must be BEA compliant in order for the modernization to be certified as being compliant with the BEA.

Reference F describes the overarching DoD process for assessing compliance to the DoD BEA. Reference G provides guidance to DON activities on the DON process/procedures for demonstrating BEA compliance. Within the DON, BEA compliance for modernizations that exceed \$1 million is generally assessed

through the Architecture Compliance and Requirements Traceability (ACART) tool (<https://acart.bta.mil/>). The process for ACART usage is in [Appendix A](#). [Note: *The Real Property and Installations Lifecycle Management (RPILM) IRB has imposed additional requirements over-and-above the ACART tool for assessing BEA compliance for systems in their domain (Reference H).*]

For modernizations greater than \$1 million, compliance must be assessed against the latest version of the BEA in conjunction with either a certification request or annual review submission or when required by an IRB. That assessment will result in one of the following BEA compliance determinations:

- (1) Compliant (*Category 'A'*) - Applies if system/modernization is:
  - a. Fully Compliant; or
  - b. Compliant with Conditions (i.e., for systems under development, not currently fully compliant but will be fully compliant at full operating capability (FOC)); or
  - c. Compliant Non-Conflicting (i.e., system/modernization supports no current BEA capabilities, or it is premature in the system's lifecycle to assess it against BEA capabilities).
- (2) Non-compliant but necessary to achieve a critical national security capability or address a critical requirement in an area such as safety or security (*Category 'B'*); or
- (3) Non-compliant but necessary to prevent a significant adverse effect on a project that is needed to achieve an essential capability, taking into consideration alternative solutions for preventing such adverse effect (*Category 'C'*).

Except for the 'compliant non-conflicting' sub-category of BEA compliance, all BEA compliance/non-compliance assertions are made only after assessing BEA compliance through the ACART tool.

### **'Defense Business System (DBS)'**

10 U.S.C. 2222 defines 'defense business system' (DBS) as "an information system, other than a national security system, operated by, for, or on behalf of the DoD, including financial systems, mixed systems, financial data feeder systems, and information technology and information assurance infrastructure used to support business activities such as acquisition, financial management, logistics, strategic planning and budgeting, installations and environment, and human resource management".

A 'national security system' (NSS) is not a DBS. The term 'national security system' is defined in Reference I as any telecommunications or information system used or operated by an agency, contractor of an agency, or other organization on behalf of an agency, the function, operation, or use of which is critical to the direct fulfillment of military or intelligence missions or which involves intelligence activities; involves cryptologic activities related to national security; involves the command and control of military forces; involves

equipment that is an integral part of a weapon or weapons system; or involves the storage, processing or transmission of classified data.

*Shared* infrastructure that supports the general activities of the DON and that is not dedicated to a specific DBS is not a DBS. This includes but is not limited to local area networks, metropolitan area networks, wide area networks and telephone systems. Infrastructure (e.g., a server) that is *dedicated* to an individual DBS is considered part of the DBS. The cost of acquiring such dedicated infrastructure should be included in the certification request for the DBS modernization.

A portal that provides access to a single system is considered part of that DBS and not infrastructure. A portal that has embedded functionality is itself a system and not infrastructure, regardless of how many systems may be accessed through the portal. A portal that provides access to multiple DBSs and that does not have embedded functionality is considered infrastructure and therefore should be reported as a ‘portal’ under the EIEMA.

### Defense Business System ‘Modernization’

For purposes of certification, 10 U.S.C. 2222 defines DBS ‘modernization’ as “the acquisition or development of a new DBS; or any significant modification or enhancement of an existing DBS (other than what is necessary to maintain current services)”. With regard to the above definition, OSD has interpreted the term “significant” with respect to an existing DBS to mean any modification or enhancement of an operational system that will have a total cost in excess of \$1 million.

The statutory threshold (i.e., > \$1 million) for certification by an IRB and approval by the DBSMC applies to the total cost of the discrete modernization effort. This is not necessarily synonymous with the annual modernization cost. A particular modernization effort may be a single year effort, or it may be a multiple year effort which spans the Future Years Defense Program (FYDP) or which extends beyond the years reflected in the FYDP.

For the acquisition or development of a new DBS (i.e., all systems currently in development that have not yet reached full deployment), the total modernization cost is the total ‘program acquisition’ cost, which includes all costs (all appropriations or funds, including NWCF) from program inception (e.g., Milestone B or whenever the program inception is considered to have occurred) through deployment (i.e., excludes steady-state or current services costs), as depicted in Figure 1 below.

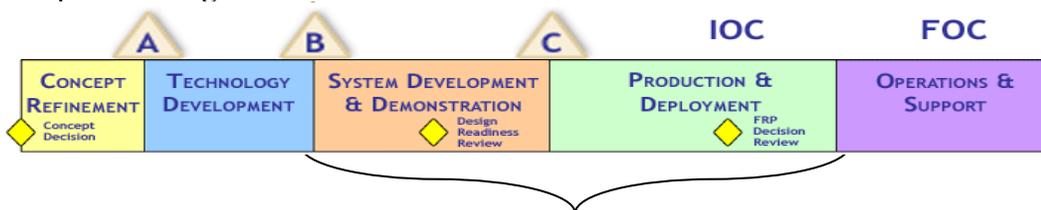


Figure 1. ‘Program Acquisition’ Cost = ‘Modernization’ Costs for New DBSs

For an existing operational DBS, the total modernization cost (all appropriations or funds, including NWCF) is the total cost associated with a specific discrete modification or enhancement.

Since the law requires that the modernization and current services funding for each DBS be reported in the IT budget exhibits and since the definition of DBS ‘modernization’ in the law is equivalent to the definition of ‘development/modernization’ (dev/mod) reflected in Reference J, there should be consistency in the dev/mod figures reported for a DBS in the IT budget exhibits and the modernization costs reported in certification or annual review documentation. Accordingly, it is expected that the DBS modernization figures submitted for certification or annual review will be identical to those reflected in the DON IT budget exhibits for the annual DON, OSD/Office of Management and Budget (OMB) or Presidential budget submissions with the exception of: (1) Changes resulting from budget reductions or realignments in execution; (2) Funding that is provided to the DON for execution by another Military Department or Defense Agency; or (2) Carryover of unobligated balances of multi-year funds (e.g., Other Procurement, Navy (OPN); Procurement, Marine Corps (PMC); Research, Development, Test & Evaluation, Navy (RDT&EN)) from a prior year to the current year for execution purposes. Carryover will *not* be included in funding submitted for re-certification if that carryover had been previously included in a prior approved Certification request for the same modernization (i.e., to avoid duplicative certification of the same funding).

### **‘Tiered Accountability’**

In establishing the requirement for annual review of DBSs, Congress mandated the use of threshold criteria to allow for an appropriate level of DBS review within DoD. Accordingly, Reference B provides for the ‘tier’ structure reflected in the table below for DBSs and DBS modernizations. The concept behind the Tier structure is that the extent of rigor and depth of the certification and annual reviews by the approving authority should be directly related to the system’s acquisition category or the size of the modernization effort. Under the ‘tiered accountability’ concept, OSD certifies and conducts follow-up annual reviews of all Tier 1, 2 and 3 modernizations, as required by statute, and annual reviews of Tier 4 modernizations and Non-Tier DBSs are delegated to the Defense Components. The various Tiers, thresholds and DoD organizations responsible for certifications and annual reviews are shown in [Table 2](#) below.

It should be noted that Tier 1 – 4 classifications are *modernization-specific* and apply only for the duration of the modernization. A Non-Tier classification applies only for the FY(s) that a system has no dev/mod funding. Therefore, Tier classifications may change upon completion/initiation of a modernization effort or over time.

<b>DBS/Modernization Tier Structure/Approving Officials</b>			
<b>Tier</b>	<b>Threshold/Definition</b>	<b>Certification/Approval by:</b>	<b>Annual Review Approval by:</b>
1	DBSs which are active Major Defense Acquisition Programs (MDAP) or Major Automated Information Systems (MAIS) (i.e., Acquisition Category (ACAT) IA (ACAT IAM and ACAT IAC) programs)	OSD	OSD
2	Non-MAIS (or non-MDAP) DBS modernizations with total dev/mod funding of \$10 million or more, or modernizations that have been designated IRB 'special interest' because of their impact on DoD transformation objectives (no dollar threshold)	OSD	OSD
3	Non-MAIS (or non-MDAP) DBS modernizations with total dev/mod funding greater than \$1 million but less than \$10 million	OSD	OSD
4	Non-MAIS (or non-MDAP) DBS modernizations with total dev/mod funding of \$1 million or less	--	Defense Component
Non-Tier	DBSs with no dev/mod funding	--	Defense Component

Table 2. DBS/Modernization Tier Structure/Approving Officials

## **OSD DBS Certification and Annual Review Processes**

### **OSD Certification of DBS Tier 1-3 Modernizations**

By definition, all DBS Tier 1-3 modernizations forwarded to OSD for certification fall in the Business Mission Area (BMA) and therefore fall in one of six BMA Domains (Weapon Systems Lifecycle Management, Materiel Supply and Services Management, Financial Management, Human Resources Management, Real Property and Installations Lifecycle Management, DoD CIO), which are under the purview of the following five IRBs:

- (1) Weapon Systems Lifecycle Management and Materiel Supply and Services Management (WSLM/MSSM) IRB
- (2) Financial Management (FM) IRB
- (3) Human Resources Management (HRM) IRB

- (4) Real Property and Installations Lifecycle Management (RPILM) IRB
- (5) DoD Chief Information Officer (CIO) IRB

The IRBs review the Tier 1-3 certification requests and, for those that are approved, recommend certification to the applicable Principal Staff Assistants (PSAs) who have been designated as certification authorities by the Secretary of Defense, as follows:

- (1) Under Secretary of Defense (USD) (Acquisition, Technology & Logistics) (AT&L) – for WSLM, MSSM and RPILM Domains
- (2) USD (Comptroller (C)) – for FM Domain
- (3) USD (Personnel & Readiness (P&R)) – for HRM Domain
- (4) ASD (NII) – for DoD CIO Domain

Following certification by the designated certification authority, the certification is forwarded to the DBSMC for approval. While the PSAs certify all DBS Tier 1, 2 or 3 modernizations as the designated certification authorities, a modernization is not considered officially certified until that certification has been approved by the DBSMC. DBSMC approval of a certification is promulgated via an Office of the Under Secretary of Defense (Comptroller) memorandum.

Generally, the certification will continue to be effective for the period approved by the IRB provided the scope of the modernization does not change; provided there are no significant cost overruns or schedule slippages; and, provided all ‘conditions’ associated with the certification are satisfied. IRBs may require re-certification or de-certification if a previously certified modernization experiences a significant cost overrun or schedule slippage. Cost overruns and schedule slippages are monitored closely by the IRBs during the annual review process. ‘Conditions’ are follow-on requirements associated with a certification or an annual review which must be satisfied to avoid revocation of the certification.

### **Types of DBS Certifications**

There are three types of certifications, as follows:

- (1) The initial certification of the modernization.
- (2) A re-certification of the same modernization that was initially certified necessitated by increased funding or cost overrun. The funding amounts submitted in the re-certification request should be the amount of the increase (i.e., increment), not the new total.
- (3) A de-certification necessitated by cancellation of the modernization effort, completion of the modernization for a total cost that is more than 10% less than the certified amount, or revocation of the certification by the IRB/DBSMC. The funding amounts submitted in the de-certification request should be the amount of the decrease (i.e., decrement) from the initial certification or preceding re-certification, not the new total.

When re-certifications and de-certifications are initiated in DITPR-DON, they must be ‘associated’ with the initial certification using functionality that exists on

the Certification screen. Even though the funding submitted for re-certification or de-certification must be the amount of the increase or decrease, respectively, the Tier classification assigned to the re-certification or de-certification request must be reflective of the total cost of the modernization effort.

### **OSD Annual Review of DBS Tier 1-3 Modernizations**

Annual reviews of DBS modernizations that have been certified previously are conducted by the IRBs. The DBSMC does not get involved in an annual review of a Tier 1-3 modernization unless the IRB recommends that a modernization be re-certified or de-certified as a result of the annual review. All other annual reviews of DBSs are conducted by the Defense Component under the Tiered Accountability concept.

For a DBS modernization that has received a multi-year certification, annual reviews are conducted by the applicable IRB during each year of the modernization that follows the initial year of certification and during the year following the projected completion of the modernization to ensure that the modernization was completed as planned. In the year a Tier 1-3 modernization is certified (or re-certified/de-certified), the certification review by the IRB satisfies the statutory requirement for an annual review that year. Generally, the annual review that occurs in the year following planned completion of the modernization will be considered the ‘close-out’ annual review if there have been no schedule slippages or cost overruns since the last annual review or preceding certification/re-certification.

### **DON DBS Pre-Certification and Annual Review Processes**

#### **Critical Questions to Assist PMs in Determining if IRB/DBSMC Certification/Approval Is Required**

As discussed above, any DBS modernization effort with total dev/mod costs greater than \$1 million must be certified by an IRB and approved by the DBSMC in accordance with 10 U.S.C. 2222. Furthermore, before such DBS modernizations are forwarded to the IRBs and DBSMC for certification, they must be ‘pre-certified’ by the Defense Component Pre-Certification Authority (PCA), which for the DON is the DON CIO (Reference K). ‘Pre-certification’ refers to the process of reviewing and approving certification requests and pre-certifying their compliance with the BEA at the Defense Component level before they are forwarded to OSD for certification and approval.

The questions in [Table 3](#) have been developed by the DON to assist PMs in determining whether a DBS modernization effort exists that will require certification/approval by the IRB/DBSMC and pre-certification by the DON PCA:

<b>Six Critical Questions for PMs</b>	
1. Is my system considered a 'Defense Business System (DBS)'?	Since the requirement for certification of modernization efforts > \$1 million applies only to DBSs, ensure the system meets the DBS definition.
2. Is the activity/effort I'm planning considered 'development/modernization' (dev/mod)?	Since the definition of DBS modernization is considered to be equivalent to the definition of development/modernization (dev/mod) found in para 180105, Ch 18, Vol 2B, DoD FMR (Ref J), ensure the activity/effort in which you will be engaged meets the definition of dev/mod found in the FMR. If there is doubt whether the effort is considered dev/mod, seek clarification from the Navy Echelon II Comptroller, HQMC P&R or Office of the Assistant Secretary of the Navy (OASN)(Financial Management and Comptroller) (FM&C))(Office of Budget/Fiscal Management Division (FMB)-4).
3. Is my dev/mod effort fully funded, or if only partially funded, does sufficient funding exist to produce a usable end-product which meets the needs of the customer?	Only fully funded or partially funded dev/mod efforts that will produce usable end-products for the customer will be submitted to OSD for certification. Unfunded requirements are irrelevant for certification purposes and will not be included in certification requests. Therefore, unfunded requirements also will not be considered in the dev/mod cost estimates to determine if the \$1 million threshold applies.
4. Do I have the correct 'color of money' (i.e., appropriation(s)) for the dev/mod effort?	The DoD FMR, Vol 2A, Ch 1, para 010212 (Ref L) contains policy regarding the proper appropriation(s) to use for IT dev/mod efforts. If there is doubt concerning the proper appropriation(s) to use for a modernization, seek clarification from the Navy Echelon II Comptroller, HQMC P&R or OASN(FM&C)(FMB-5). If the modernization effort is funded with the wrong 'color of money', it will not be forwarded to OSD for certification because the proper funding is considered to be unfunded.
5. What is scope and length of the funded dev/mod effort and what is the associated dollar value?	The \$1 million threshold applies to the lifecycle of each discrete modernization effort. With the exception of new developments where all costs through FOC are defined as modernization costs, the PM determines the scope and length of the modernization effort and the associated dollar value of that effort. As discussed above, unfunded requirements are not to be considered in the dev/mod cost estimates.

<p>6. If the total dev/mod funding for the modernization effort is &gt; \$1 million, do I plan to obligate any portion of that funding in the current (execution) year?</p>	<p>Since the law requires certification of the modernization effort prior to obligation of any dev/mod funding in order to avoid an ADA violation, the requirement for certification is an execution year requirement, i.e., certification must be obtained prior to execution. Therefore, some portion of the modernization must be funded in the execution year in order for the modernization to be submitted for certification for that year. It is important to note that the lead-time is approximately 70-80 days (depending on the IRB) from time of PM submission of a certification request within the DON to DBSMC approval of the certification. Therefore, PMs should submit certification requests approximately 80 days (see <a href="#">Table 12</a> for notional due dates) prior to the planned obligation date for any dev/mod funding.</p>
---	--

Table 3. Six Critical Questions for PMs

### **DON DBS Tier 1-3 Certification Reporting Requirements**

Completion of a certification request for a Tier 1-3 modernization of a DBS is a combination of completion of data elements in the DITPR-DON database (<https://www.dadms.navy.mil/>) and other reporting requirements external to DITPR-DON. After arriving at a determination that a DBS modernization requires certification, the PM must complete DITPR-DON data elements and other external reporting requirements as indicated in [Table 4](#) below. Effective 1 Oct 2009, this includes assessing compliance with the latest version of the DON EA in accordance with Reference D (downloadable at <http://www.doncio.navy.mil/>) and posting the completed forms to the Documents (DOC) section of DITPR-DON. The processes for determining compliance with the DON EA and submission of waiver requests are contained in [Appendix B](#) and Reference E, respectively.

Detailed guidance on completion of DITPR-DON data elements is contained in Reference M, which can be found in the Reference Documents (Ref Docs) section of DITPR-DON.

<b>DBS Tier 1-3 Certifications: DITPR-DON and Other Reporting Requirements</b>	
<b>DITPR-DON Data Elements:</b>	
Core & Related Screens	Ensure all data elements on the Core screen and on all related screens in the Core section (e.g., Lifecycle, MC/ME/MS, Trigger, etc.) are complete and <u>up-to-date</u> .
Trigger Screen	Respond “yes” to the trigger question “ <i>Does the system have any development/modernization (dev/mod) funding (i.e., ‘funded’ efforts only; do <u>not</u> consider unfunded requirements when responding to this question)?</i> ”. A “yes” response will generate a Certification (Cert) screen.
Compliance & Related Screens	Ensure all data elements on all applicable screens in the Compliance section (e.g., FISMA, ETP, SFIS/FFMIA, etc.) are complete and <u>up-to-date</u> . It should be noted that completion of the Budget screen is optional.
Cert & Related Screens	Complete all data elements on the Cert screen and on all related screens (e.g., EV tool) accessible through the Cert screen. Formal submission of a pre-certification request for DON review occurs when the PM has completed all DITPR-DON and other reporting requirements discussed in this table and ‘checks’ the submission block labeled ‘Program Manager’ at the bottom of the Cert screen.
<b>Other Reporting Requirements:</b>	
FISMA Compliance Documentation	Upload current Designated Approval Authority (DAA)-signed Authority to Operate (ATO)/Interim Authority to Operate (IATO) letter to the Documents (DOC) screen of DITPR-DON (accessible via Core or Cert screens).
ACART Reports	Demonstrate compliance to the latest version of the DoD BEA via the ACART tool and post the required ACART reports to the DOC screen of DITPR-DON. It should be noted that this is required for all BEA compliance categories except ‘compliant non-conflicting’. See <a href="#">Appendix A</a> .
DON EA Compliance Reports	Demonstrate compliance to the latest version of the DON EA by completing the DON EA Compliance and Waiver Processes and uploading the compliance spreadsheet and waiver form to the DOC screen in DITPR-DON. See <a href="#">Appendix B</a> .
Independent Economic Analysis (EA)	Required only if the EV tool in DITPR-DON is not utilized. Post the independent EA to the DOC screen in DITPR-DON and manually enter the applicable financial benefits indices from the independent EA into the EV screen in DITPR-DON using the ‘NPV, ROI, BCR’ entry option.
Pre-Certification Request Memo	Required for each Tier 1-3 certification request, memo must be signed by the PM, Command IO and Echelon II Comptroller for Navy activities or by HQMC C4 (DDCIO, MC) for MC activities and posted to the DOC screen in DITPR-DON. See <a href="#">Appendix C</a> for format/content.
Performance Improvements Metrics Table	Required only when the Benefit–Cost Ratio (BCR) and Net Present Value (NPV) indices for both ‘with’ and ‘without other benefits’ reflect a $BCR \leq 1.0$ and/or a $NPV \leq 0.0$ , regardless of whether those indices were input manually or whether the indices

	were produced automatically based on completion of the EV tool. The Performance Improvements Metrics Table must reflect metrics which <u>quantify</u> the performance improvements that will result from the modernization to serve as the business case for the investment. Must be posted to the DOC screen in DITPR-DON. See <a href="#">Appendix D</a> for format/content.
HRM FISMA/PIA Compliance Assertion Checklist	Required only when the system in question falls under the cognizance of the HRM IRB as the Lead IRB or when the system contains Personally Identifiable Information (PII), regardless of the Lead IRB (i.e., the existence of PII makes the HRM IRB a Partner IRB for that system). If a PIA exists for the system, it must be forwarded with the FISMA/PIA Checklist to OSD, but the PIA may not be uploaded to the DOC section of DITPR-DON because of the nature of the information contained therein. See <a href="#">Appendix E</a> .

Table 4. DON DBS Tier 1-3 Certification Reporting Requirements

### **DON DBS Tier 1-3 Annual Review Reporting Requirements**

Annual reviews of modernizations that have been certified previously are conducted by OSD. For multi-year certifications, annual reviews will be conducted by the applicable IRB during each year of the modernization that follows the initial year of certification and during the year following completion of the modernization (i.e., ‘close-out’ annual review).

Completion of an annual review request for a DBS Tier 1-3 modernization is a combination of completion of data elements in the DITPR-DON database (<https://www.dadms.navy.mil/>) and other reporting requirements external to DITPR-DON. Effective 1 Oct 2009, this includes assessing compliance with the latest version of the DON EA in accordance with Reference D (downloadable at <http://www.doncio.navy.mil/>) and posting the completed forms to the Documents (DOC) section of DITPR-DON. The processes for determining compliance with the DON EA and submission of waiver requests are contained in [Appendix B](#) and Reference E, respectively.

Detailed guidance on completion of DITPR-DON data elements is contained in Reference M which can be found in the Ref Docs section of DITPR-DON. The following table shows the DON annual review reporting requirements for Tier 1-3 modernizations:

<b>DBS Tier 1-3 Annual Reviews: DITPR-DON and Other Reporting Requirements</b>	
<b>DITPR-DON Data Elements:</b>	
Core & Related Screens	Ensure all data elements on the Core screen and on all related screens in the Core section (e.g., Lifecycle, MC/ME/MS, Trigger, etc.) are complete and <u>up-to-date</u> .
Compliance & Related Screens	Ensure all data elements on all applicable screens in the Compliance section (e.g., FISMA, ETP, SFIS/FFMIA, etc.) are complete and <u>up-to-date</u> . It should be noted that completion of the Budget screen is optional.
Annual Data & Related Screens	Complete all data elements on the Annual Data screen (accessible thru the Cert/Dashboard screens) and on all related screens (e.g., Review Milestones, Review Funds, Review EV) accessible through the Annual Data screen. Formal submission of an annual review request occurs when the PM has completed all DITPR-DON and other reporting requirements discussed in this table and ‘checks’ the submission block labeled ‘Program Manager’ at the bottom of the Annual Data screen.
<b>Other Reporting Requirements:</b>	
FISMA Compliance Documentation	Upload current Designated Approval Authority (DAA)-signed Authority to Operate (ATO)/Interim Authority to Operate (IATO) letter to the Documents (DOC) screen of DITPR-DON (accessible via Core or Cert screens).
ACART Reports	Demonstrate compliance to the latest version of the DoD BEA via the ACART tool and post the required ACART reports to the DOC screen of DITPR-DON. It should be noted that this is required for all BEA compliance categories except ‘compliant non-conflicting’. See <a href="#">Appendix A</a> .
DON EA Compliance Reports	Demonstrate compliance to the latest version of the DON EA by completing the DON EA Compliance and Waiver Processes and uploading the compliance spreadsheet and waiver form to the DOC screen in DITPR-DON. See <a href="#">Appendix B</a> .
Independent Economic Analysis (EA)	Required only if the EV tool in DITPR-DON is not utilized. Post the independent EA to the DOC screen in DITPR-DON and manually enter the applicable financial benefits indices from the independent EA into the EV screen in DITPR-DON using the ‘NPV, ROI, BCR’ entry option.
Performance Improvements Metrics Table	Required only when the Benefit–Cost Ratio (BCR) and Net Present Value (NPV) indices for both ‘with’ and ‘without other benefits’ reflect a $BCR \leq 1.0$ and/or a $NPV \leq 0.0$ , regardless of whether those indices were input manually or whether the indices were produced automatically based on completion of the EV tool. The Performance Improvements Metrics Table must reflect metrics which <u>quantify</u> the performance improvements that will result from the modernization to serve as the business case for the investment. Must be posted to the DOC screen in DITPR-DON. See <a href="#">Appendix D</a> for format/content.
HRM FISMA/PIA Compliance Assertion	Required only when the system in question falls under the cognizance of the HRM IRB as the Lead IRB or when the system

Checklist	contains Personally Identifiable Information (PII), regardless of the Lead IRB (i.e., the existence of PII makes the HRM IRB a Partner IRB for that system). If a PIA exists for the system, it must be forwarded with the FISMA/PIA Checklist to OSD, but the PIA may not be uploaded to the DOC section of DITPR-DON because of the nature of the information contained therein. See <a href="#">Appendix E</a> .
Annual Review Request Memo	Required for each Tier 1-3 annual review, memo must be signed by the PM, Command IO and Echelon II Comptroller for Navy activities or by HQMC C4 (DDCIO, MC) for MC activities and posted to the DOC screen in DITPR-DON. See <a href="#">Appendix F</a> for format/content.

Table 5. DON DBS Tier 1-3 Annual Review Reporting Requirements

### **DON DBS Tier 4 Annual Review Reporting Requirements**

While the statutory ‘certification’ requirement applies only to DBS modernizations with total costs greater than \$1 million, the statutory requirement for annual review applies to all DBSs. This includes those with \$1 million or less of dev/mod funding (i.e., Tier 4 modernizations). As discussed previously, the Defense Component is responsible for conducting annual reviews (i.e., every 12 months) of the Tier 4 modernizations under the Tiered Accountability concept.

DBS Tier 4 annual review reporting requirements are identical to those for DBS Tier 1-3 certification requests, except they are not forwarded to OSD for approval, and therefore the ACART and HRM FISMA-PIA Checklist requirements do not apply. Final approval of all Tier 4 annual reviews resides with the DDCIOs (Navy and MC) unless the Tier 4 modernization has been designated “special interest” by an IRB in which case the DON PCA will be the final approval authority. IRB-designated “special interest” Tier 4 modernizations may have to assess DoD BEA compliance through ACART and complete the HRM FISMA-PIA Checklist reporting requirement if required to do so by the IRB.

Completion of an annual review request for a DBS Tier 4 modernization is a combination of completion of data elements in the DITPR-DON database (<https://www.dadms.navy.mil/>) and other reporting requirements external to DITPR-DON. Effective 1 Oct 2009, this includes assessing compliance with the latest version of the DON EA in accordance with Reference D (downloadable at <http://www.doncio.navy.mil/>) and posting the completed forms to the Documents (DOC) section of DITPR-DON. The processes for determining compliance with the DON EA and submission of waiver requests are contained in [Appendix B](#) and Reference E, respectively.

Detailed guidance on completion of DITPR-DON data elements is contained in Reference M, which can be found in the Ref Docs section of DITPR-DON. Annual review reporting requirements for DBS Tier 4 modernizations are shown in the following table:

<b>DON DBS Tier 4 Annual Reviews: DITPR-DON and Other Reporting Requirements</b>	
<b>DITPR-DON Data Elements:</b>	
Core & Related Screens	Ensure all data elements on the Core screen and on all related screens in the Core section (e.g., Lifecycle, MC/ME/MS, Trigger, etc.) are complete and <u>up-to-date</u> .
Trigger Screen	Respond “yes” to the trigger question “ <i>Does the system have any development /modernization (dev/mod) funding (i.e., ‘funded’ efforts only; do <u>not</u> consider unfunded requirements when responding to this question)?</i> ”. A “yes” response will generate a Cert screen which is used in the Tier 4 approval process even though Tier 4 modernizations are not ‘certified’ per se (i.e., they are reviewed annually).
Compliance & Related Screens	Ensure all data elements on all applicable screens in the Compliance section (e.g., FISMA, ETP, SFIS/FFMIA, etc.) are complete and <u>up-to-date</u> . It should be noted that completion of the Budget screen is optional.
Cert & Related Screens	Complete all data elements on the Cert screen and on all related screens (e.g., EV tool) accessible through the Cert screen. Formal submission of a Tier 4 annual review request for DON review occurs when the PM has completed all DITPR-DON and other reporting requirements discussed in this table and ‘checks’ the submission block labeled ‘Program Manager’ at the bottom of the Cert screen.
<b>Other Reporting Requirements:</b>	
FISMA Compliance Documentation	Upload current Designated Approval Authority (DAA)-signed Authority to Operate (ATO)/Interim Authority to Operate (IATO) letter to the Documents (DOC) screen of DITPR-DON (accessible via Core or Cert screens).
DON EA Compliance Reports	Demonstrate compliance to the latest version of the DON EA by completing the DON EA Compliance and Waiver Processes and uploading the compliance spreadsheet and waiver form to the DOC screen in DITPR-DON. See <a href="#">Appendix B</a> .
Independent Economic Analysis (EA)	Required only if the EV tool in DITPR-DON is not utilized. Post the independent EA to the DOC screen in DITPR-DON and manually enter the applicable financial benefits indices from the independent EA into the EV screen in DITPR-DON using the ‘NPV, ROI, BCR’ entry option.
Performance Improvements Metrics Table	Required only when the Benefit–Cost Ratio (BCR) and Net Present Value (NPV) indices for both ‘with’ and ‘without other benefits’ reflect a $BCR \leq 1.0$ and/or a $NPV \leq 0.0$ , regardless of whether those indices were input manually or whether the indices were produced automatically based on completion of the EV tool. The Performance Improvements Metrics Table must reflect metrics which <u>quantify</u> the performance improvements that will result from the modernization to serve as the business case for the investment. Must be posted to the DOC screen in DITPR-DON. See <a href="#">Appendix D</a> for format/content.

Table 6. DON DBS Tier 4 Annual Review Reporting Requirements

## DON Non-Tier DBS Annual Review Reporting Requirements

Non-Tier DBSs (i.e., DBSs with no dev/mod funding) are also subject to the annual review requirement. Such annual reviews are the responsibility of the DON.

Completion of an annual review request for a Non-Tier DBS is a combination of completion of data elements in the DITPR-DON database (<https://www.dadms.navy.mil/>) and other reporting requirements external to DITPR-DON. Effective 1 Oct 2009, this includes assessing compliance with the latest version of the DON EA in accordance with Reference D (downloadable at <http://www.doncio.navy.mil/>) and posting the completed forms to the Documents (DOC) section of DITPR-DON. The processes for determining compliance with the DON EA and submission of waiver requests are contained in [Appendix B](#) and Reference E, respectively.

Detailed guidance on completion of DITPR-DON data elements is contained in Reference M, which can be found in the Ref Docs section of DITPR-DON. DON annual review reporting requirements for Non-Tier DBSs are shown in the following table:

<b>DON Non-Tier DBS Annual Reviews: DITPR-DON and Other Reporting Requirements</b>	
<b>DITPR-DON Data Elements:</b>	
Core & Related Screens	Ensure all data elements on the Core screen and on all related screens in the Core section (e.g., Lifecycle, MC/ME/MS, Trigger, etc.) are complete and <u>up-to-date</u> .
Trigger Screen	Respond “no” to the trigger question “ <i>Does the system have any development /modernization (dev/mod) funding (i.e., ‘funded’ efforts only; do <u>not</u> consider unfunded requirements when responding to this question)?</i> ”. A “no” response will generate a System Review (Sys-Rev) screen.
Compliance & Related Screens	Ensure all data elements on all applicable screens in the Compliance (Compl) section (e.g., FISMA, ETP, SFIS/FFMIA, etc.) are complete and <u>up-to-date</u> . It should be noted that completion of the Budget screen is optional.
System Review Screen	Formal submission of a Non-Tier annual review request occurs when the PM has completed all DITPR-DON and other reporting requirements discussed in this table and ‘checks’ the submission block labeled ‘Program Manager’ on the Sys-Rev screen.
<b>Other Reporting Requirements:</b>	
FISMA Compliance Documentation	Upload current DAA-signed ATO/IATO letter to the DOC screen of DITPR-DON (accessible via Core or Cert screens).
DON EA Compliance Reports	Demonstrate compliance to the latest version of the DON EA by completing the DON EA Compliance and Waiver Processes and uploading the compliance spreadsheet and waiver form to the DOC screen in DITPR-DON. See <a href="#">Appendix B</a> .

Table 7. DON Non-Tier DBS Annual Review Reporting Requirements

**All Other BMA Entities (i.e., non-DBSs):**

**The following section addresses the certification and annual review reporting requirements for all other entities (i.e., non-DBS, including NSS) registered under the BMA in DITPR-DON.**

**DON BMA Non-DBS Tier 1-3 Certification Reporting Requirements**

The internal DON certification process (including the Tier 1-3 thresholds) and reporting requirements for BMA non-DBS Tier 1-3 modernizations are identical to those for DBSs, except BMA non-DBS Tier 1-3 certifications are not forwarded to OSD for approval, and therefore the ACART and HRM FISMA-PIA Checklist requirements do not apply.

Completion of a certification request for a Tier 1-3 modernization of a non-DBS under the BMA is a combination of completion of data elements in the DITPR-DON database (<https://www.dadms.navy.mil/>) and other reporting requirements external to DITPR-DON. Please refer to [Table 8](#) below for the certification reporting requirements for BMA non-DBS Tier 1-3 modernizations. Effective 1 Oct 2009, these requirements include assessing compliance with the latest version of the DON EA in accordance with Reference D (downloadable at <http://www.doncio.navy.mil/>) and posting the completed forms to the Documents (DOC) section of DITPR-DON. The processes for determining compliance with the DON EA and submission of waiver requests are contained in [Appendix B](#) and Reference E, respectively.

Detailed guidance on completion of DITPR-DON data elements is contained in Reference M, which can be found in the Reference Documents (Ref Docs) section of DITPR-DON.

<b>BMA Non-DBS Tier 1-3 Certifications: DITPR-DON and Other Reporting Requirements</b>	
<b>DITPR-DON Data Elements:</b>	
Core & Related Screens	Ensure all data elements on the Core screen and on all related screens in the Core section (e.g., Lifecycle, MC/ME/MS, Trigger, etc.) are complete and <u>up-to-date</u> .
Trigger Screen	Respond “yes” to the trigger question “ <i>Does the system have any development/modernization (dev/mod) funding (i.e., ‘funded’ efforts only; do <u>not</u> consider unfunded requirements when responding to this question)?</i> ”. A “yes” response will generate a Certification (Cert) screen.
Compliance & Related Screens	Ensure all data elements on all applicable screens in the Compliance section (e.g., FISMA, ETP, SFIS/FFMIA, etc.) are complete and <u>up-to-date</u> . It should be noted that completion of the Budget screen is optional.
Cert & Related Screens	Complete all data elements on the Cert screen and on all related screens (e.g., EV tool) accessible through the Cert screen. Formal submission of a pre-certification request for DON review occurs when the PM has completed all DITPR-DON and other reporting requirements discussed in this table and ‘checks’ the submission block labeled ‘Program Manager’ at the bottom of the Cert screen.
<b>Other Reporting Requirements:</b>	
FISMA Compliance Documentation	Upload current Designated Approval Authority (DAA)-signed Authority to Operate (ATO)/Interim Authority to Operate (IATO) letter to the Documents (DOC) screen of DITPR-DON (accessible via Core or Cert screens).
DON EA Compliance Reports	Demonstrate compliance to the latest version of the DON EA by completing the DON EA Compliance and Waiver Processes and uploading the compliance spreadsheet and waiver form to the DOC screen in DITPR-DON. See <a href="#">Appendix B</a> .
Independent Economic Analysis (EA)	Required only if the EV tool in DITPR-DON is not utilized. Post the independent EA to the DOC screen in DITPR-DON and manually enter the applicable financial benefits indices from the independent EA into the EV screen in DITPR-DON using the ‘NPV, ROI, BCR’ entry option.
Pre-Certification Request Memo	Required for each Tier 1-3 certification request, memo must be signed by the PM, Command IO and Echelon II Comptroller for Navy activities or by HQMC C4 (DDCIO, MC) for MC activities and posted to the DOC screen in DITPR-DON. See <a href="#">Appendix C</a> for format/content.
Performance Improvements Metrics Table	Required only when the Benefit–Cost Ratio (BCR) and Net Present Value (NPV) indices for both ‘with’ <u>and</u> ‘without other benefits’ reflect a $BCR \leq 1.0$ and/or a $NPV \leq 0.0$ , regardless of whether those indices were input manually or whether the indices were produced automatically based on completion of the EV tool. The Performance Improvements Metrics Table must reflect metrics which <u>quantify</u> the performance improvements that will result from the modernization to serve as the business case for the investment. Must be posted to the DOC screen in DITPR-DON. See <a href="#">Appendix D</a> for format/content.

Table 8. DON BMA Non-DBS Tier 1-3 Certification Reporting Requirements

## DON BMA Non-DBS Tier 1-3 Annual Review Reporting Requirements

The internal DON annual review process and reporting requirements for BMA non-DBS Tier 1-3 modernizations are identical to those for DBSs, except BMA non-DBS Tier 1-3 annual reviews are not forwarded to OSD for approval, and therefore the ACART and HRM FISMA-PIA Checklist requirements do not apply.

Completion of an annual review request for a non-DBS Tier 1-3 modernization under the BMA is a combination of completion of data elements in the DITPR-DON database (<https://www.dadms.navy.mil/>) and other reporting requirements external to DITPR-DON. Please refer to [Table 9](#) below for the annual review reporting requirements for BMA non-DBS Tier 1-3 modernizations. Effective 1 Oct 2009, these requirements include assessing compliance with the latest version of the DON EA in accordance with Reference D (downloadable at <http://www.doncio.navy.mil/>) and posting the completed forms to the Documents (DOC) screen of DITPR-DON. The processes for determining compliance with the DON EA and submission of waiver requests are contained in [Appendix B](#) and Reference E, respectively.

Detailed guidance on completion of DITPR-DON data elements is contained in Reference M which can be found in the Ref Docs section of DITPR-DON.

<b><u>BMA Non-DBS Tier 1-3 Annual Reviews: DITPR-DON and Other Reporting Requirements</u></b>	
<b><u>DITPR-DON Data Elements:</u></b>	
Core & Related Screens	Ensure all data elements on the Core screen and on all related screens in the Core section (e.g., Lifecycle, MC/ME/MS, Trigger, etc.) are complete and <u>up-to-date</u> .
Compliance & Related Screens	Ensure all data elements on all applicable screens in the Compliance section (e.g., FISMA, ETP, SFIS/FFMIA, etc.) are complete and <u>up-to-date</u> . It should be noted that completion of the Budget screen is optional.
Annual Data & Related Screens	Complete all data elements on the Annual Data screen (accessible thru the Cert/Dashboard screens) and on all related screens (e.g., Review Milestones, Review Funds, Review EV) accessible through the Annual Data screen. Formal submission of an annual review request occurs when the PM has completed all DITPR-DON and other reporting requirements discussed in this table and ‘checks’ the submission block labeled ‘Program Manager’ at the bottom of the Annual Data screen.
<b><u>Other Reporting Requirements:</u></b>	
FISMA Compliance Documentation	Upload current Designated Approval Authority (DAA)-signed Authority to Operate (ATO)/Interim Authority to Operate (IATO) letter to the Documents (DOC) screen of DITPR-DON (accessible via Core or Cert screens).
DON EA Compliance Reports	Demonstrate compliance to the latest version of the DON EA by completing the DON EA Compliance and Waiver Processes and uploading the compliance spreadsheet and waiver form to the

	DOC screen in DITPR-DON. See <a href="#">Appendix B</a> .
Independent Economic Analysis (EA)	Required only if the EV tool in DITPR-DON is not utilized. Post the independent EA to the DOC screen in DITPR-DON and manually enter the applicable financial benefits indices from the independent EA into the EV screen in DITPR-DON using the ‘NPV, ROI, BCR’ entry option.
Performance Improvements Metrics Table	Required only when the Benefit–Cost Ratio (BCR) and Net Present Value (NPV) indices for both ‘with’ <u>and</u> ‘without other benefits’ reflect a $BCR \leq 1.0$ and/or a $NPV \leq 0.0$ , regardless of whether those indices were input manually or whether the indices were produced automatically based on completion of the EV tool. The Performance Improvements Metrics Table must reflect metrics which <u>quantify</u> the performance improvements that will result from the modernization to serve as the business case for the investment. Must be posted to the DOC screen in DITPR-DON. See <a href="#">Appendix D</a> for format/content.
Annual Review Request Memo	Required for each Tier 1-3 annual review, memo must be signed by the PM, Command IO and Echelon II Comptroller for Navy activities or by HQMC C4 (DDCIO, MC) for MC activities and posted to the DOC screen in DITPR-DON. See <a href="#">Appendix F</a> for format/content.

Table 9. DON BMA Non-DBS Tier 1-3 Annual Review Reporting Requirements

#### **DON BMA Non-DBS Tier 4 Annual Review Reporting Requirements**

Completion of an annual review request for a non-DBS Tier 4 modernization under the BMA is a combination of completion of data elements in the DITPR-DON database (<https://www.dadms.navy.mil/>) and other reporting requirements external to DITPR-DON. Please refer to [Table 6](#) for the annual review reporting requirements for BMA non-DBS Tier 4 modernizations, since the reporting requirements are identical to those for Tier 4 DBSs. Effective 1 Oct 2009, these requirements include assessing compliance with the latest version of the DON EA in accordance with Reference D (downloadable at <http://www.doncio.navy.mil/>) and posting the completed forms to the Documents (DOC) section of DITPR-DON. The processes for determining compliance with the DON EA and submission of waiver requests are contained in [Appendix B](#) and Reference E, respectively.

Detailed guidance on completion of DITPR-DON data elements is contained in Reference M, which can be found in the Ref Docs section of DITPR-DON.

#### **DON BMA Non-Tier Non-DBS Annual Review Reporting Requirements**

Completion of an annual review request for a Non-Tier non-DBS under the BMA is a combination of completion of data elements in the DITPR-DON database (<https://www.dadms.navy.mil/>) and other reporting requirements external to DITPR-DON. Please refer to [Table 7](#) for the annual review reporting requirements for BMA

Non-Tier non-DBSs, since the reporting requirements are identical to those for Non-Tier DBSs. Effective 1 Oct 2009, these requirements include assessing compliance with the latest version of the DON EA in accordance with Reference D (downloadable at <http://www.doncio.navy.mil/>) and posting the completed forms to the Documents (DOC) section of DITPR-DON. The processes for determining compliance with the DON EA and submission of waiver requests are contained in [Appendix B](#) and Reference E, respectively.

Detailed guidance on completion of DITPR-DON data elements is contained in Reference M, which can be found in the Ref Docs section of DITPR-DON.

## **ENTERPRISE INFORMATION ENVIRONMENT MISSION AREA (EIEMA)**

**The following section covers the certification and annual review reporting requirements for all entities registered under the EIEMA in DITPR-DON.**

### **DON EIEMA Tier 1-3 Certification Reporting Requirements**

Completion of a certification request for a Tier 1-3 modernization under the EIEMA is a combination of completion of data elements in the DITPR-DON database (<https://www.dadms.navy.mil/>) and other reporting requirements external to DITPR-DON. Please refer to [Table 8](#) for the certification reporting requirements for EIEMA Tier 1-3 modernizations, since the reporting requirements are identical to those for BMA non-DBSs. Effective 1 Oct 2009, these requirements include assessing compliance with the latest version of the DON EA in accordance with Reference D (downloadable at <http://www.doncio.navy.mil/>) and posting the completed forms to the Documents (DOC) section of DITPR-DON. The processes for determining compliance with the DON EA and submission of waiver requests are contained in [Appendix B](#) and Reference E, respectively.

Detailed guidance on completion of DITPR-DON data elements is contained in Reference M, which can be found in the Reference Documents (Ref Docs) section of DITPR-DON.

### **DON EIEMA Tier 1-3 Annual Review Reporting Requirements**

Completion of an annual review request for a Tier 1-3 modernization under the EIEMA is a combination of completion of data elements in the DITPR-DON database (<https://www.dadms.navy.mil/>) and other reporting requirements external to DITPR-DON. Please refer to [Table 9](#) for the annual review reporting requirements for EIEMA Tier 1-3 modernizations, since the requirements are identical to those for BMA non-DBSs. Effective 1 Oct 2009, these requirements include assessing

compliance with the latest version of the DON EA in accordance with Reference D (downloadable at <http://www.doncio.navy.mil/>) and posting the completed forms to the Documents (DOC) section of DITPR-DON. The processes for determining compliance with the DON EA and submission of waiver requests are contained in [Appendix B](#) and Reference E, respectively.

Detailed guidance on completion of DITPR-DON data elements is contained in Reference M which can be found in the Ref Docs section of DITPR-DON.

#### **DON EIEMA Tier 4 Annual Review Reporting Requirements**

Completion of an annual review request for a Tier 4 modernization under the EIEMA is a combination of completion of data elements in the DITPR-DON database (<https://www.dadms.navy.mil/>) and other reporting requirements external to DITPR-DON. Please refer to [Table 6](#) for the annual review reporting requirements for EIEMA Tier 4 modernizations, since the reporting requirements are identical to those for Tier 4 DBSs. Effective 1 Oct 2009, these requirements include assessing compliance with the latest version of the DON EA in accordance with Reference D (downloadable at <http://www.doncio.navy.mil/>) and posting the completed forms to the Documents (DOC) section of DITPR-DON. The processes for determining compliance with the DON EA and submission of waiver requests are contained in [Appendix B](#) and Reference E, respectively.

Detailed guidance on completion of DITPR-DON data elements is contained in Reference M, which can be found in the Ref Docs section of DITPR-DON.

#### **DON EIEMA Non-Tier Annual Review Reporting Requirements**

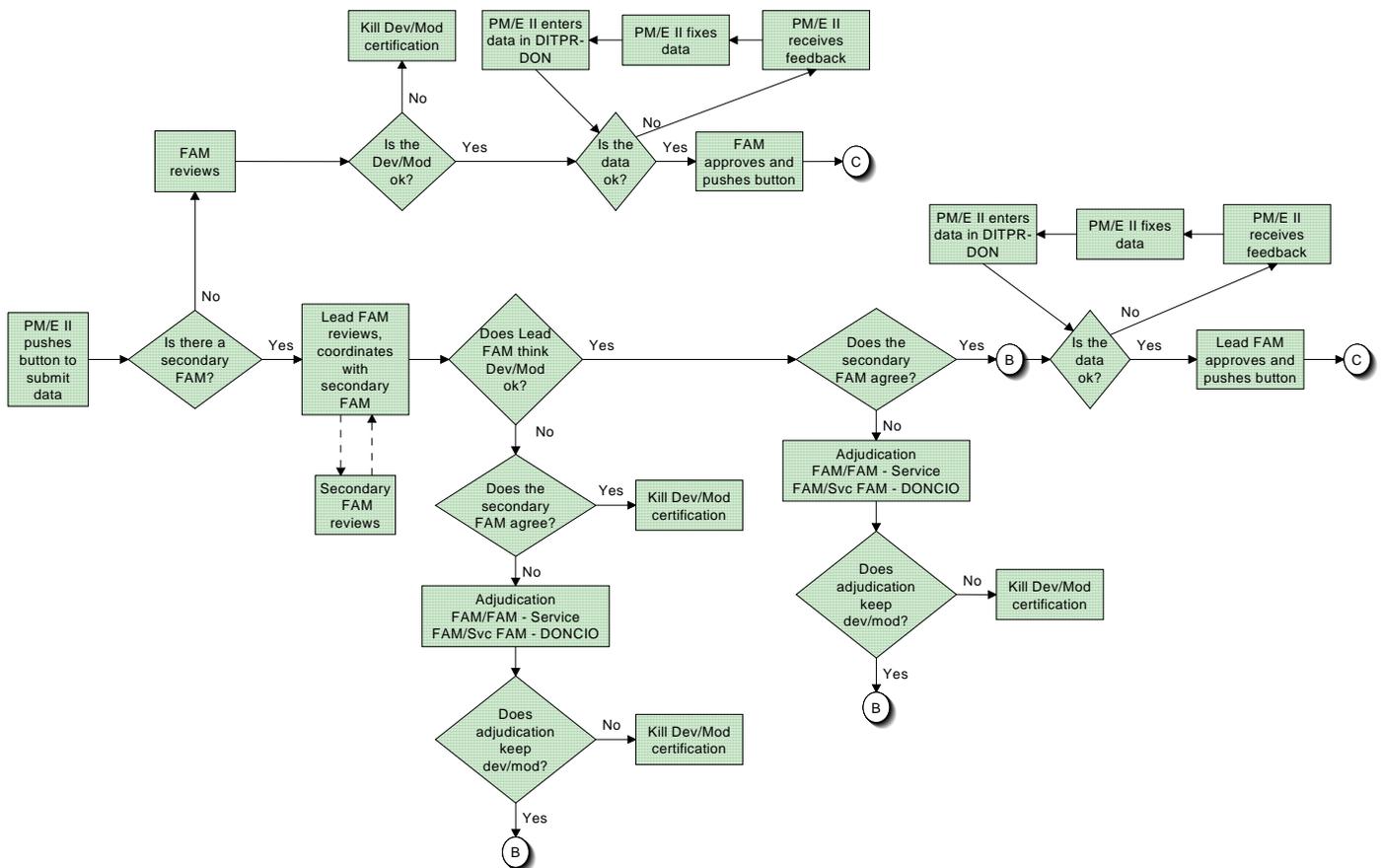
Completion of an annual review request for a Non-Tier entity under the EIEMA is a combination of completion of data elements in the DITPR-DON database (<https://www.dadms.navy.mil/>) and other reporting requirements external to DITPR-DON. Please refer to [Table 7](#) for the annual review reporting requirements for EIEMA Non-Tier entities, since the reporting requirements are identical to those for Non-Tier DBSs. Effective 1 Oct 2009, these requirements include assessing compliance with the latest version of the DON EA in accordance with Reference D (downloadable at <http://www.doncio.navy.mil/>) and posting the completed forms to the Documents (DOC) section of DITPR-DON. The processes for determining compliance with the DON EA and submission of waiver requests are contained in [Appendix B](#) and Reference E, respectively.

Detailed guidance on completion of DITPR-DON data elements is contained in Reference M, which can be found in the Ref Docs section of DITPR-DON.

**DON BUSINESS PROCESS FOR CERTIFICATION/ANNUAL REVIEW OF BMA AND EIEMA TIER 1-4 MODERNIZATIONS AND NON-TIER ENTITIES**

Figure 2 below shows the DON business process for certification and annual review of BMA and EIEMA Tier 1-3 modernizations where the Lead Functional Area Manager (FAM) is either an OPNAV or a MC FAM. This same process also applies to the review of BMA and EIEMA Tier 4 modernizations and Non-Tier entities where the Lead FAM is an OPNAV or a MC FAM, with the following exceptions: (1) The DON Deputy CIO (DDCIO) (Navy or MC) is the final reviewing official for all BMA and EIEMA Tier 4 modernizations and Non-Tier entities; and (2) BMA Tier 4 modernizations and Non-Tier non-DBSs and EIEMA Tier 1-4 modernizations and Non-Tier entities are not forwarded to OSD for review/approval.

Since situations where the Lead FAM is either an OPNAV or a MC FAM comprise the majority of entities registered in DITPR-DON, the business process depicted in Figure 2 below applies to most entities registered under the BMA and EIEMA.



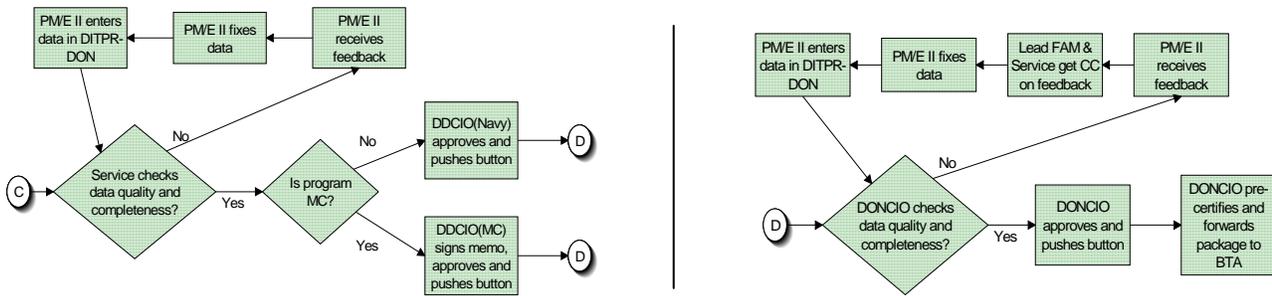


Figure 2. DON Process for Pre-Certification/Annual Review of Tier 1-4 Modernizations & Non-Tier DBSS

The business process for entities under the purview of a SECNAV FAM differs from Figure 2 above only in the sequence reviewing officials perform their reviews. In that regard, the DDCIO (Navy or MC) will perform its review of a BMA or EIEMA Tier 1-4 modernization or Non-Tier entity under the cognizance of a SECNAV FAM prior to the applicable SECNAV FAM performing its review.

### DON Approval Authority Review Responsibilities

The DON reviewing officials for BMA and EIEMA Tier 1-4 modernizations and Non-Tier entities are reflected in [Table 10](#) below.

<b>DON Reviewing Officials for BMA and EIEMA Tier 1-4 Modernizations &amp; Non-Tiers</b>						
<b>FAM Lead</b>	<b>All Tiers 1-4 &amp; Non-Tiers</b>					
	<b>Tiers 1-3</b>			<b>Tier 4s &amp; Non-Tiers</b>		
	<b>1st Reviewer</b>	<b>2<sup>nd</sup> Reviewer</b>	<b>Final Review</b>	<b>1st Reviewer</b>	<b>2<sup>nd</sup> Reviewer</b>	<b>Final Review</b>
<b>If Lead FAM is OPNAV or MC FAM:</b>	OPNAV or MC FAM	DDCIO (Navy or MC)	DON CIO (as DON PCA)	OPNAV or MC FAM	--	DDCIO (Navy or MC)
<b>If Lead FAM is SECNAV FAM:</b>	DDCIO (Navy or MC)	SECNAV FAM	DON CIO (as DON PCA)	DDCIO (Navy or MC)	--	SECNAV FAM

Table 10. DON Reviewing Officials for BMA and EIEMA Tier 1-4 Modernizations and Non-Tiers

Approvals of BMA and EIEMA Tier 1-4 modernizations and Non-Tier entities are accomplished sequentially by approving officials, with approval by the preceding approval authority required before approval can be granted by a subsequent approval authority.

In reviewing their reviews of BMA and EIEMA Tier 1-4 modernizations and Non-Tier entities, Lead and Stakeholder FAMs, the DDCIOs (Navy, MC) and DON CIO will each perform only the reviews reflected as either ‘value added’ (VA) or ‘non-value-added but business essential’ (NVA-BE) in [Table 11](#) below. Areas shown as ‘non-value-added’ (NVA) will not be reviewed. The review responsibilities shown in [Table 11](#) reflect the results of the past Lean Six Sigma effort that focused on eliminating non-value-added work and improving the effectiveness and efficiency of the DON Tier 1-3 pre-certification process.

<b>BMA and EIEMA Certification and Annual Review Responsibilities</b>							
<b>BMA and EIEMA Tier 1-4 and Non-Tier Data Elements/Reporting Requirements</b>	<b>Reviews by:</b>						
	<b>Lead FAM</b>	<b>Stakeholder FAM</b>	<b>DDCIO (Navy)</b>		<b>DDCIO (MC)</b>		<b>DON CIO</b>
			<b>For Tiers 1-4</b>	<b>For Non-Tiers</b>	<b>For Tiers 1-4</b>	<b>For Non-Tiers</b>	<b>For Tiers 1-3</b>
<b>DITPR-DON:</b>							
Core Screen	VA	NVA-BE	NVA-BE	NVA-BE	NVA-BE	NVA-BE	NVA-BE
POC Screen	VA	NVA-BE	NVA-BE	NVA-BE	NVA-BE	NVA-BE	NVA-BE
Lifecycle Screen	VA	NVA-BE	NVA-BE	NVA-BE	NVA-BE	NVA-BE	NVA-BE
MC/ME/MS Screen	VA	NVA-BE	NVA-BE	NVA-BE	NVA-BE	NVA-BE	NVA-BE
Trigger Screen	VA	NVA-BE	NVA-BE	NVA-BE	NVA-BE	NVA-BE	NVA-BE
Compliance Screens:							
FISMA Screen	NVA-BE	NVA	VA	VA	VA	VA	NVA-BE
E-Auth Screen	NVA	NVA	VA	VA	VA	VA	NVA-BE
Interoperability Screen	NVA	NVA	VA	VA	VA	VA	NVA-BE
PIA/PA Screen	NVA	NVA	VA	VA	VA	VA	NVA-BE
SFIS/ FFMIA Screen	NVA	NVA	NVA	NVA	NVA-BE	NVA-BE	NVA-BE
	VA (only if FM FAM is Lead FAM)	VA (only if FM FAM is Stakeholder FAM)					
ETP Screen	VA	NVA-BE	NVA-BE	NVA-BE	NVA-BE	NVA-BE	NVA-BE
PKI Screen	NVA	NVA	VA	VA	VA	VA	NVA-BE
Map Screen	VA	VA	NVA	NVA	NVA	NVA	NVA-BE
Budget Screen (optional; if completed, validate against NITE/STAR)	NVA if not completed	NVA if not completed	NVA if not completed	NVA if not completed	NVA if not completed	NVA if not completed	NVA if not completed
	VA if completed	NVA-BE if completed	NVA-BE if completed	NVA-BE if completed	NVA-BE if completed	NVA-BE if completed	NVA-BE if completed
Arch Screen	VA	VA	NVA-BE	NVA-BE	NVA-BE	NVA-BE	NVA-BE
Certification Screen & Assoc Screens (n/a for Non-Tiers)	VA	NVA-BE	VA	n/a	VA	n/a	VA
Legacy Screen	VA	NVA-BE	NVA-BE	n/a	NVA-BE	n/a	NVA-BE
EV Screen	VA	NVA-BE	NVA-BE	n/a	NVA-BE	n/a	NVA-BE

<b><u>BMA and EIEMA Certification and Annual Review Responsibilities (cont'd)</u></b>							
<b>BMA and EIEMA Tier 1-4 and Non-Tier Data Elements/Reporting Requirements</b>	<b>Reviews by:</b>						
	<b>Lead FAM</b>	<b>Stakeholder FAM</b>	<b>DDCIO (Navy)</b>		<b>DDCIO (MC)</b>		<b>DON CIO</b>
			<b>For Tiers 1-4</b>	<b>For Non-Tiers</b>	<b>For Tiers 1-4</b>	<b>For Non-Tiers</b>	<b>For Tiers 1-3</b>
Dashboard Screen							
Milestones Screen	VA	NVA-BE	NVA-BE	n/a	NVA-BE	n/a	NVA-BE
Risks Screen	VA	NVA-BE	NVA-BE	n/a	NVA-BE	n/a	NVA-BE
Annual Data Screen for Tiers 1-3 & all Assoc. Screens	VA	NVA-BE	VA	n/a	VA	n/a	VA
Annual Data Screen for Tier 4s & all Assoc. Screens	VA	NVA-BE	VA	n/a	VA	n/a	n/a
Sys-Rev Screen (n/a for Tiers 1-4)	VA	NVA	n/a	VA	n/a	VA	n/a
<b>Other Regs:</b>							
Check IT Budget (NITE/STAR) entries against Dev/mod \$ on Cert Screen and Dev/mod & Ops entries in EV Tool (n/a for Non-Tiers)	VA	NVA	NVA-BE	n/a	NVA-BE	n/a	NVA-BE
HRM FISMA/PIA Compliance Checklist ( <a href="#">Appendix E</a> ) (n/a for non-HRM Tier 4s and Non-Tier systems)	NVA	NVA	VA	n/a	VA	n/a	VA
Pre-Certification Request Memo ( <a href="#">Appendix C</a> ) (n/a for Tier 4s & Non-Tiers)	VA	NVA	NVA-BE	n/a	NVA-BE	n/a	NVA-BE
Performance Improvements Metrics Table <sup>1/</sup> ( <a href="#">Appendix D</a> ) (n/a for Non-Tiers)	VA	NVA	NVA-BE	n/a	NVA-BE	n/a	NVA-BE
Independent Economic Analysis <sup>2/</sup> (n/a for Non-Tiers)	VA	NVA	NVA-BE	n/a	NVA-BE	n/a	NVA-BE
Annual Review Request Memo ( <a href="#">Appendix E</a> ) (n/a for Tier 4s & Non-Tiers)	VA	NVA	NVA-BE	n/a	NVA-BE	n/a	NVA-BE
DON EA Compliance Spreadsheet ( <a href="#">Appendix B</a> ) (incl Waiver Form, if applicable)	VA	VA	VA	VA	VA	VA	VA
ACART Reports ( <a href="#">Appendix A</a> ) (n/a for Tier 4s & Non-Tiers)	VA	VA	NVA-BE	n/a	NVA-BE	n/a	NVA-BE

**Footnotes:**

<sup>1/</sup> Required when the Benefit–Cost Ratio (BCR) and Net Present Value (NPV) indices for both ‘with’ and ‘without other benefits’ reflect a  $BCR \leq 1.0$  and/or a  $NPV \leq 0.0$ , regardless of whether those indices were input manually or whether the indices were produced automatically based on completion of the EV tool.

<sup>2/</sup> Required only for Tiers 1-4 and only if EV tool is not completed in DITPR-DON.

Table 11. BMA and EIEMA Certification and Annual Review Responsibilities

In reviewing/approving BMA and EIEMA Tier 1-4 modernizations and Non-Tier entities, the Lead OPNAV, MC or SECNAV FAM will:

- (1) Ensure that all stakeholder FAM concerns are considered/addressed prior to approval/disapproval of a certification request or an annual review.
- (2) Perform all assigned 'VA' and 'NVA-BE' reviews (see [Table 11](#)).
- (3) For all BMA DBS Tier 1-3 modernizations, validate PMs' DoD BEA compliance assertions.
- (4) Review PMs' DON EA compliance assessments for all BMA and EIEMA registered entities.
- (5) Approve a BMA or EIEMA Tier 1-4 modernization only if supported by a strong business case, i.e., only if supported by either (a) an EV analysis which reflects a  $BCR > 1.0$  and/or a  $NPV > 0.0$  'with' or 'without other benefits'; or (b) in the absence of an EV analysis that shows positive financial benefits, metrics which quantify the performance improvements that will result from the investment.
- (6) Base approval of an annual review of a BMA or EIEMA Non-Tier entity, at least in part, on whether customer needs continue to be met by the entity.
- (7) Ensure FAM review of BMA and EIEMA Tier 4 modernizations and Non-Tier entities are conducted annually (i.e., every 12 months).
- (8) Incorporate each approved modernization/DBS into the FAM investment portfolio/Transition Plan as 'core' (or target), 'interim' or 'legacy' with planned 'black-out' dates for each legacy system and corresponding implementation dates for each core (or target) system.
- (9) Inform the applicable Navy Echelon II Command, HQMC P&R, DDCIO and resource sponsor when a modernization has been disapproved, so funding for the disapproved modernization can be recouped or realigned during budget execution, budget formulation or the Program Objective Memorandum (POM)/Program Review (PR) processes, as applicable.

In reviewing/approving BMA and EIEMA Tier 1-4 modernizations and Non-Tier entities, the DDCIO (Navy, MC) will:

- (1) Perform all assigned 'VA' and 'NVA-BE' reviews (see [Table 11](#)).
- (2) Ensure dev/mod funding associated with a disapproved modernization is recouped or realigned, as appropriate, to provide for the maximum effective utilization of such funds.
- (3) Adjudicate any unresolved Lead/Stakeholder OPNAV or MC FAM issue(s) with respect to a BMA or EIEMA Tier 1-4 modernization or Non-Tier entity.
- (4) Ensure DDCIO reviews of BMA and EIEMA Tier 1-4 modernizations and Non-Tier entities are conducted annually (i.e., every 12 months).
- (5) Review PMs' DON EA compliance assessments for all BMA and EIEMA registered entities.
- (6) Approve PMs' DON EA compliance assertions (without exception of all waiver requests which will be forwarded to the DON CIO for approval) for BMA and EIEMA Tier 4 modernizations and Non-Tier entities where the Lead FAM is an OPNAV or MC FAM.

- (7) Function as the final approval authority for all annual reviews of BMA and EIEMA Tier 4 modernizations and Non-Tier entities where the Lead FAM is an OPNAV or MC FAM.

In reviewing/approving BMA and EIEMA Tier 1-3 modernizations, the DON CIO will:

- (1) Perform all assigned ‘VA’ and ‘NVA-BE’ reviews (see [Table 11](#)).
- (2) Function as the final DON approval authority for all BMA and EIEMA Tier 1-3 certification requests and annual reviews.
- (3) Ensure DON CIO review of BMA and EIEMA Tier 1-3 modernizations are conducted at least once annually (i.e., every 12 months).
- (4) Approve PMs’ DON EA compliance assertions for BMA and EIEMA Tier 1-3 modernizations.
- (5) As DON PCA, review, approve and forward documentation on BMA DBS Tier 1-3 certification requests and annual reviews to the applicable IRB for certification/review.
- (6) Coordinate the resolution of IRB issues concerning certification requests or annual reviews of BMA DBS Tier 1-3 modernizations.
- (7) In addition to the above, DON CIO will be the final approval authority on all DON EA compliance waiver requests, regardless of the BMA or EIEMA tier classification (Reference E).

**DUE DATES FOR SUBMISSION AND REVIEW OF BMA AND EIEMA TIER 1-4 AND NON-TIER CERTIFICATION AND ANNUAL REVIEW DOCUMENTATION**

Because the IRBs normally have different deadlines for submission of certification requests and annual review documentation for BMA DBS Tier 1-3 modernizations, the due dates for PM submission of such documentation for internal DON review will necessarily vary by BMA domain, as reflected in the following table. Also, the notional due dates shown below reflect the need to provide DON approval authorities sufficient time for in-depth review of the documentation for BMA DBS Tier 1-3 certifications and annual reviews for it is forwarded to OSD. Accordingly, PMs and DON approval authorities will make every effort to adhere to the notional due dates for BMA DBS Tier 1-3 modernizations reflected in [Table 12](#).

<b>BMA and EIEMA Tier Classification</b>	<b>IRB Notional Due Date</b>	<b>PMs Submit NLT:</b>	<b>1st Level Review Completed NLT:</b>	<b>2<sup>nd</sup> Level Review Completed NLT:</b>	<b>Final Review Completed NLT:</b>
<b>For BMA DBS Tiers 1-3:</b>					
WSLM/MSSM & RPILM IRBs/Domains	14 <sup>th</sup> day of the month preceding the month of certification or annual review	30 days prior to the IRB deadline	21 days prior to the IRB deadline	14 days prior to the IRB deadline	7 days prior to the IRB deadline

<b>BMA and EIEMA Tier Classification (cont'd)</b>	<b>IRB Notional Due Date</b>	<b>PMs Submit NLT:</b>	<b>1st Level Review Completed NLT:</b>	<b>2<sup>nd</sup> Level Review Completed NLT:</b>	<b>Final Review Completed NLT:</b>
FM IRB/Domain	10 <sup>th</sup> day of the month preceding the month of certification or annual review	30 days prior to the IRB deadline	21 days prior to the IRB deadline	14 days prior to the IRB deadline	7 days prior to the IRB deadline
HRM IRB/Domain	20 <sup>th</sup> day of the month preceding the month of certification or annual review	30 days prior to the IRB deadline	21 days prior to the IRB deadline	14 days prior to the IRB deadline	7 days prior to the IRB deadline
<b>All Other (non-DBS) BMA Tiers 1-3 and All EIEMA Tiers 1-3</b>		For initial review, as determined by FAM or DDCIO; or not later than 10 ½ months following date of preceding annual review.	For initial review, 2 weeks after PM submission; or after initial annual review, within 11 months of the preceding annual review	For initial review, 2 weeks after 1 <sup>st</sup> Reviewer's approval; or after initial annual review, within 11 ½ months of the preceding annual review	For initial review, 2 weeks after 2 <sup>nd</sup> Reviewer's approval; or after initial annual review, within 12 months of the preceding annual review
<b>All BMA and EIEMA Tier 4s and Non-Tiers</b>		For initial review, as determined by FAM or DDCIO; or not later than 11 months following date of preceding annual review.	For initial review, 2 weeks after PM submission; or after initial annual review, within 11 ½ months of the preceding annual review		For initial review, 2 weeks after 1 <sup>st</sup> Reviewer's approval; or after initial annual review, within 12 months of the preceding annual review

Table 12. 'Notional' Due dates for Submission & Review of BMA & EIEMA Certification & Annual Review Documentation

## **'CONDITIONS' IMPOSED BY APPROVAL AUTHORITIES**

'Conditions' may be imposed by any DON or OSD approval authority associated with any BMA or EIEMA certification action or annual review. A 'condition' is a follow-on requirement which, if not satisfied, may result in the revocation of a prior approved certification or disapproval of an annual review submission.

Conditions levied by an IRB or the DBSMC on a BMA DBS Tier 1-3 modernization are recorded by the IRB on the Certification (Cert) screen in DITPR, along with due dates. That information is then downloaded from DITPR to DITPR-DON. Conditions that have not been satisfied are considered 'open' and will appear as such on the Annual Review Dashboard that is created for the annual review of a previously certified Tier 1-3 modernization.

PMs will ensure that all conditions are satisfied by the due dates established by approval authorities. For conditions levied by a DON approval authority (i.e., FAM, DDCIO, DON CIO), PMs will submit documentation required to meet the condition via memo directly to the approval authority who levied the requirement, with copies to the other DON approval authorities and local Command officials as required. For conditions levied by an IRB or the DBSMC on a DBS Tier 1-3 modernization, PMs will submit the required documentation via memo to the DON CIO, with copies to the DON approval authorities and local Command officials as required. DON CIO will forward the documentation to the applicable IRB for approval and closure of the condition.

## **Appendix A. Architecture Compliance and Requirements Traceability (ACART) Tool Usage in the Department of Navy (DON) Information Management / Information Technology (IM/IT) Investment Review Process**

### **Purpose**

The purpose of this document is to guide a DON Program Management Office (PMO) through the steps of asserting how a DON Defense Business System (DBS) supports and complies with the DoD Business Enterprise Architecture (BEA) using the Defense Business Transformation Agency's (BTA) Architecture Compliance and Requirements Traceability (ACART) Tool.

### **Scope**

Within the DON, DoD BEA compliance for a DBS modernization that exceeds \$1 million (i.e., Tiers 1-3 only) is assessed through the ACART tool (<https://businesstransformationagency.info/Login/Login.aspx>) (except in cases where the compliance assertion is 'compliant non-conflicting').

### **Start**

#### **Step 1: Perform FAM Operational Activity Taxonomy Mapping (DITPR-DON)**

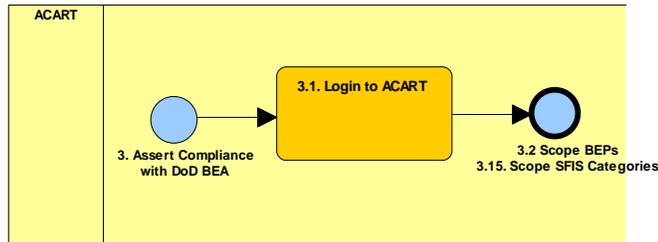
Perform FAM Operational Activity Taxonomy mapping for each DON BMA and EIEMA entity in the DITPR-DON ARCH Tab. The PMO Subject Matter Experts (SMEs) compare the System's existing operational architecture and requirements documentation against the list of FAM Operational Activities in DITPR-DON. The selections for the FAM Operational Activities are time dependant, in that they fall into two categories captured by DITPR-DON: what the system currently supports, or "Current," and what it will support in the future, or "Future," or "Both."

#### **Step 2. Perform BEA Operational Activity & System Function Mappings (DITPR-DON)**

Perform BEA Operational Activity Taxonomy mapping for BMA DBSs and non-DBS entities only in the DITPR-DON ARCH Tab. Based on the FAM Operational Activities selections from step 1, recommended BEA Activities will be displayed. Verify these pre-selections are accurate and add any other applicable Operational Activities by comparing the System's existing operational architecture and requirements documentation against the list of BEA Operational Activities in DITPR-DON. The selections for the BEA Operational Activities are time-dependent, in that they fall into three categories: (1) what the system currently supports, or "current"; (2) what it will support at a future point-in-time, or "future"; or (3) "both."

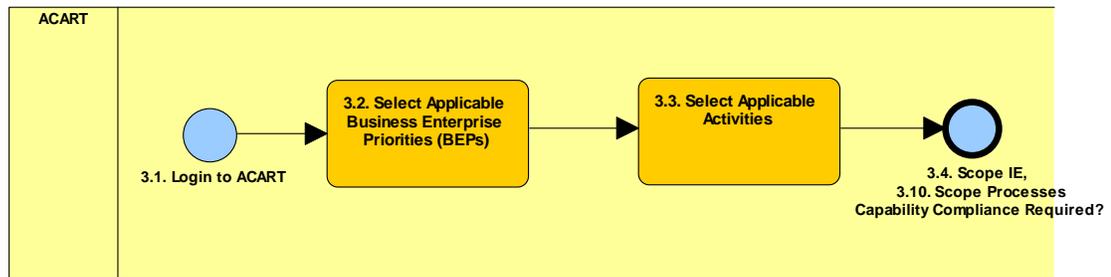
After the mappings have been selected and saved in DITPR DON, click on the Print View button to generate a report from the GIG System Operational Activities Screen. These mappings will be used to check off the identical ones in ACART to start the DoD BEA Compliance process. (**IMPORTANT** – When saving the report file, select the third option in the second drop down box as "HTML Only" file.)





### 3.1. Login to ACART

### Step 3.2. Scope BEPs (ACART)



### 3.2. Scope BEPs and 3.3. Scope Activities

Click BEP link on the left navigation structure and select all the Business Enterprise Priorities (BEPs) that are applicable to your system. You can explain the reason for your selection in the User Comments section on the right. The ACART User Guide highly recommends selecting all BEPs when you scope the system for the first time to ensure all applicable activities will be filtered out. When you are finished selecting/reviewing the BEP scoping page, click SAVE. Otherwise your work on this page will be lost.

**Acquisition Visibility (AV)**  
**Common Supplier Engagement (CSE)**  
**Financial Visibility (FV)**  
**Materiel Visibility (MV)**  
**Personnel Visibility (PV)**  
**Real Property Accountability (RPA)**

### Business Enterprise Priorities (BEPs)

### Step 3.3. Scope Activities (ACART)

Click Activities link on the left navigation structure and select all Activities that are exactly as shown in the DITPR-DON report generated in Step 2. You can explain the reason for your selection in the User Comments section on the right. When you are finished selecting/reviewing the Activities scoping page, click SAVE. Otherwise your work on this page will be lost.

Note: ACART does not categorize Operational Activities as either “Current,” “Future,” or “Both” as is the case with DITPR-DON. Since the Operational Activities are only being selected based on applicability not compliance, the timeframe does not matter. The timeframe for compliance will be addressed later when the System is asserting compliance with the following:

- Information Exchange Business Rules
- Data Attribute Business Rules
- Data Synonym Business Rules
- Laws, Regulations and Policies (LRP)
- OV-6a Process-related Business Rules
- SFIS Checklist (if applicable)
- RPIR Checklist (if applicable)
- Capabilities (if applicable)
- System Functions (if applicable)

### **Step 3.4. Scope Information Exchanges (ACART)**

Click the Information Exchanges link on the Navigation Structure and select all Information Exchanges that are applicable to your system. You should explain the reason for your selection in the User Comments section on the right. When you are finished selecting/reviewing the Information Exchange scoping page, click SAVE. Otherwise your work on this page will be lost.

### **Step 3.5. Assert Level of Compliance for IE Business Rules (ACART)**

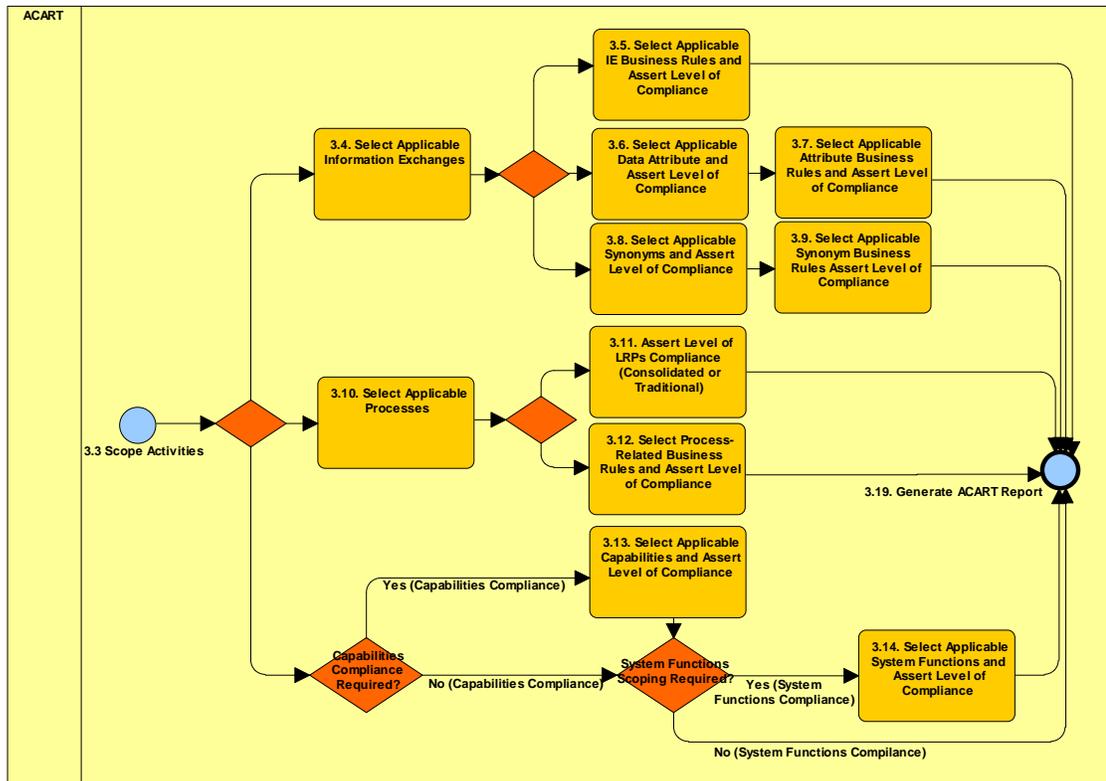
Click the Information Exchange Business Rules link under Information Exchanges on the Navigation Structure.

Select all Information Exchange Business Rules that are applicable to your system and assert the level of compliance as **Compliant, Planned Compliant** or **Not Compliant** (if **Planned Compliant** is selected, click on the calendar icon to select an estimated compliance date and enter remarks in the text box as necessary). You should explain the reason for your selection in the User Comments section on the right. When you are finished selecting/reviewing the Information Exchange assertion page, click SAVE. Otherwise your work on this page will be lost.

### **Step 3.6. Assert Level of Compliance for Data Attribute (ACART)**

Click the Data Attributes link under Information Exchange Business Rules on the Navigation Structure.

Select all Data Attributes that are applicable to your system and assert the level of compliance as **Compliant, Planned Compliant** or **Not Compliant** (if **Planned Compliant** is selected, click on the calendar icon to select an estimated compliance date and enter remarks in the text box as necessary). You should explain the reason for your selection in the User Comments section on the right. When you are finished selecting/reviewing the Data Attributes assertion page, click SAVE. Otherwise your work on this page will be lost.



### 3.4. Scope IE through 3.14. Assert Compliance with BEA System Functions

#### Step 3.7. Assert Level of Compliance for Attribute Business Rules (ACART)

Click the Attribute Business Rules link on the Navigation Structure.

Select all Attribute Business Rules that are applicable to your system and assert the level of compliance as **Compliant**, **Planned Compliant** or **Not Compliant** (if **Planned Compliant** is selected, click on the calendar icon to select an estimated compliance date and enter remarks in the text box as necessary). You should explain the reason for your selection in the User Comments section on the right. When you are finished selecting/reviewing the Attributes Business Rules assertion page, click SAVE. Otherwise your work on this page will be lost.

#### Step 3.8. Assert Level of Compliance for Synonyms (ACART)

Click the Data Synonyms link under Information Exchanges on the Navigation Structure.

Select all Data Synonyms that are applicable to your system and assert the level of compliance as **Compliant**, **Planned Compliant** or **Not Compliant** (if **Planned Compliant** is selected, click on the calendar icon to select an estimated compliance date and enter remarks in the text box as necessary). You should explain the reason for your selection in the User Comments section on the right. When you are finished selecting/reviewing the Data Synonyms assertion page, click SAVE. Otherwise your work on this page will be lost.

#### Step 3.9. Assert Level of Compliance for Synonym Business Rules (ACART)

Click the Synonyms Business Rules link under Data Synonyms on the Navigation Structure.

Select all Synonyms Business Rules that are applicable to your system and assert the level of compliance as **Compliant**, **Planned Compliant** or **Not Compliant** (if **Planned Compliant** is selected, click on the calendar icon to select an estimated compliance date and enter remarks in the text box as necessary). You should explain the reason for your selection in the User Comments section on the right. When you are finished selecting/reviewing the Synonym Business Rules assertion page, click SAVE. Otherwise your work on this page will be lost.

### **Step 3.10. Scope Applicable Processes (ACART)**

Click the Processes link on the left navigation structure and select all the Processes that are applicable to your system. You should explain the reason for your selection in the User Comments section on the right. When you are finished selecting/reviewing the Processes scoping page, click SAVE. Otherwise your work on this page will be lost.

### **Step 3.11. Assert Level of Compliance for Consolidated or Traditional LRPs (ACART)**

#### **Consolidated LRPs**

When the Consolidated LRP Compliance method is selected, the summary of applicable BEA-related laws, regulations and policies (LRPs) at the process level will be displayed.

Click the LRP – Consolidated link on the left navigation structure. For each process selected, document whether the entire LRP list is **Compliant**, **Planned Compliant** or **Not Compliant** and provide an explanation in the notes section. If **Planned Compliant** is selected, enter an estimated compliance date along with remarks to be included in the compliance plan. When you are finished selecting/reviewing the LRP-Consolidated assertion page, click SAVE. Otherwise your work on this page will be lost.

#### **Traditional LRPs**

When the Traditional LRP Compliance method is selected, all applicable BEA related laws, regulations and policies that impact the development of your system will be displayed.

Click the LRP – Traditional link on the left navigation structure. For each LRP selected, document whether the entity is **Compliant**, **Planned Compliant** or **Not Compliant** in the assertions/remarks column and provide an explanation in the notes section. If **Planned Compliant** is selected, enter an estimated compliance date along with remarks to be included in the compliance plan. When you are finished selecting/reviewing the LRP – Traditional assertion page, click SAVE. Otherwise your work on this page will be lost.

### **Step 3.12. Assert Level of Compliance for Process-Related Business Rules (ACART)**

Click the Process-Related Business Rules link on the Navigation Structure.

Select all Process-Related Business Rules that are applicable to your system and document whether the entity is **Compliant**, **Planned Compliant** or **Not Compliant** in the assertions/remarks column and provide an explanation in the notes section. If **Planned Compliant** is selected, enter an estimated compliance date along with remarks to be included in the compliance plan. When you are finished selecting/reviewing the Process Related Business Rules assertion page, click SAVE. Otherwise your work on this page will be lost.

### Step 3.13. Scope Capabilities (ACART)

Not all systems require Scoping of Capabilities. If it does not apply to your system, jump to Step 3.14.

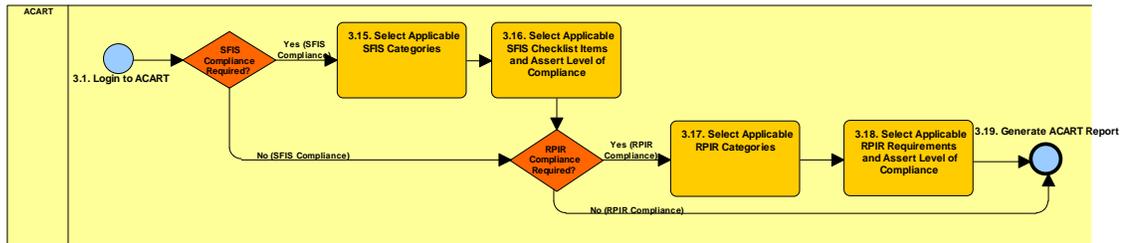
If it is applicable to your system, click the Capabilities link on the Navigation Structure and select all Capabilities that are applicable to your system. You should explain the reason for your selection in the comments/notes section. When you are finished selecting/reviewing the Capabilities scoping page, click SAVE. Otherwise your work on this page will be lost.

### Step 3.14. Scope System Functions (ACART)

Not all systems require Scoping of System Functions. If it does not apply to your system, jump to Step 3.15.

If it is applicable to your system, click the System Functions link on the Navigation Structure and select all System Functions that are applicable to your system. You should explain the reason for your selection in the comments/notes section. When you are finished selecting/reviewing the System Functions scoping page, click SAVE. Otherwise your work on this page will be lost.

### Step 3.15. Scope SFIS Categories (ACART)



#### 3.15. Scope SFIS Categories through 3.18. Assert Compliance with RPIR Requirements

If the Standard Financial Information Structure (SFIS) compliance requirement does not apply to your system, jump to Step 3.17.

If it is applicable to your system, click the SFIS Category link in the Navigation Structure; select all categories that apply to your system; and enter comments as appropriate. When you are finished selecting SFIS categories, click SAVE.

### Step 3.16. Assert Level of Compliance for SFIS Checklist Items (ACART)

Click the SFIS Checklist link in the Navigation Structure. Select all SFIS Checklist items that are applicable to your system and assert the level of compliance as **Compliant**, **Planned Compliant** or **Not Compliant** (if **Planned Compliant** is selected, enter an estimated date of compliance date along with remarks to be included in the compliance plan. When you are finished selecting/reviewing the SFIS Checklist assertion page, click SAVE. Otherwise your work on this page will be lost.

### **Step 3.17. Scope Applicable RPIR Categories (ACART)**

If the Real Property Inventory Requirements (RPIR) compliance requirement does not apply to your system, jump to Step 3.19.

If it is applicable to your system, click the RPIR Category link in the Navigation Structure; select all categories that apply to your system; and enter comments as appropriate. When you are finished selecting RPIR categories, click SAVE.

### **Step 3.18. Assert Level of Compliance for RPIR Checklist Items (ACART)**

Click the RPIR Checklist link in the Navigation Structure. Select all RPIR Checklist items that apply to your system and assert the level of compliance as **Compliant**, **Planned Compliant** or **Not Compliant** (if **Planned Compliant** is selected, enter an estimated date of compliance date along with remarks to be included in the compliance plan). When you are finished selecting/reviewing the RPIR Checklist assertion page, click SAVE. Otherwise your work on this page will be lost.

### **Step 3.19. Generate Report (ACART)**

Before switching back to DITPR-DON, you will need to generate the following report using the ACART Report Generator. Click Report on the ACART Tool Bar. Enter the information as follows and click Run Report:

1. Select current version of BEA as the Container
2. Select your system (shown in acronym)
3. Keep both unchecked
4. Select an Excel format

Save the report using the following file name convention:

*DITPR-DON\_ID\_ACRONYM\_BEAv.v\_ACART\_REPORT\_DDMMYYYY*

DITPR-DON\_ID is your 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 BEA used for the assessment, and finally, the date should indicate the compliance report completion date.

The generated report must be uploaded to the DOC section of DITPR-DON.

## Appendix B. DON EA Compliance Assessment Process as Part of Department of the Navy (DON) Information Management/Information Technology (IM/IT) Investment Review Process Guidance

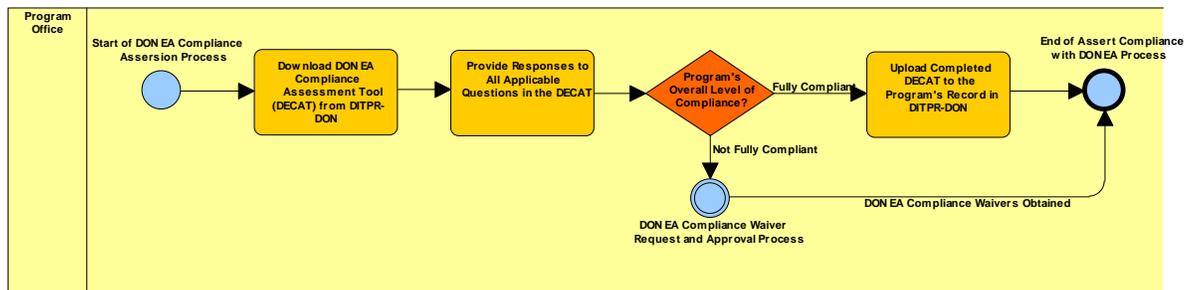
### Introduction

This document describes the process for assessing compliance with the Department of the Navy Enterprise Architecture (DON EA) as part of the Department of the Navy (DON) Information Management (IM)/Information Technology (IT) Investment Review Process.

### Process Overview

Assessment of compliance with the DON EA shall be performed as part of the review process. Sign-off by all DON reviewing/approving officials for all BMA and EIEMA Tier 1 – 4 investments and Non-Tier systems formally documents concurrence with the Program Manager's assertion of compliance with the DON EA and, if applicable, that all required DON EA compliance waivers have been obtained.

### Program Manager Asserts Level of Compliance with the DON EA



Assert Compliance with DON EA Process

### **Download DON EA Compliance Assessment Tool (DECAT) from DITPR-DON**

The Program Manager shall download the DON EA Compliance Assessment Tool from the *Reference Doc* section in DITPR-DON.

### **Populate the DECAT**

The Program Manager shall complete the DECAT by asserting the applicability of each element in the DON EA to the Program and by asserting whether or not the Program is compliant with each of the applicable elements.

If the program is not fully compliant with all applicable elements of the DON EA, a waiver for each non-compliant element must be obtained from DON CIO, ***prior to final approval of a***

**certification request or an annual review request.** Reference E further describes the DON EA compliance waiver request and approval process.

### **Save Completed DECAT**

Once completed, save the DECAT file using the following naming convention:

*DITPR-DON-ID\_ACRONYM\_DON-EA-v.v\_DECAT\_DDMMYYYYY.XLS*

The “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 used for the assessment, and finally, the date should indicate the compliance report completion date.

### **Upload Completed DECAT to DITPR-DON**

The Program Manager shall upload the completed DECAT, and if applicable a DON EA Compliance Waiver Request, using the upload function located on the *DOCS* screen in DITPR-DON.

In conjunction with submission of the system’s certification or annual review request, the Program Manager shall indicate in the comment textbox on the CERT or Annual Data screen that the DECAT has been uploaded to DOC section of DITPR-DON.

If a DON EA Compliance Waiver is required, the Program Manager should also identify that the necessary waiver has been submitted in the textbox on the CERT or Annual Data screen.

### **DON EA Compliance Assertion Review and Confirmation Process**

As discussed above, the DON EA compliance review process shall be accomplished as part of the DON IM/ IT Investment Review Process. Sign-off by all reviewers on certification and annual review packages shall formally document concurrence with the Program Manager’s assertion of compliance with the DON EA and that all required DON EA compliance waivers have been obtained. Final confirmation of compliance with the DON EA shall be granted by DON CIO for all BMA and EIEMA Tier 1-3 investments. For all BMA and EIEMA Tier 4 investments and Non-Tier entities, confirmation of compliance with the DON EA shall be granted by the applicable DON Deputy CIO.

Although the DON Deputy CIOs are authorized to confirm compliance with the DON EA for BMA and EIEMA Tier 4 investments and Non-Tier entities, it should be noted that all waivers for compliance with the DON EA must be approved by DON CIO.

### **Perform FAM Review**

The FAM shall review the Program Manager’s DECAT posted in the DOC section of DITPR-DON. FAM approval of the certification or annual review request shall connote concurrence with the Program Manager’s assertion of compliance with the DON EA.

The FAM shall use the textbox on the CERT or Annual Data screen (and the *SYS-REV* screen for non-tier reviews) to indicate concurrence or non-concurrence with the Program Manager’s DON

EA Compliance Assertion. The FAM shall include any appropriate and specific comments justifying their concurrence or non-concurrence.

#### **Perform DON Deputy CIO Review**

The applicable DON Deputy CIO shall review the Program Manager's DECAT posted in the DOC section of DITPR-DON. The DON Deputy CIO approval of the certification or annual review request shall connote concurrence with the Program Manager's assertion of compliance with the DON EA.

The DON Deputy CIO shall use the textbox on the CERT or Annual Data screen (and the *SYS-REV* screen for non-tier reviews) to indicate concurrence or non-concurrence with the Program Manager's DON EA Compliance Assertion. The DON Deputy CIO shall include any appropriate and specific comments justifying their concurrence or non-concurrence.

The DON Deputy CIOs shall be the final approval authority for confirmation of compliance with the DON EA for all BMA and EIEMA Tier 4 investments and Non-Tier entities.

#### **Perform DON CIO Review**

The DON CIO is the final DON EA confirmation of compliance approval authority for all BMA and EIEMA Tier 1-3 investments and is the DON approval authority for all DON EA waiver requests.

It is stressed that the DON will not forward DBS Tier 1-3 certification requests to OSD for certification approval unless compliance with the DON EA has been confirmed or, alternatively, unless a waiver (if applicable) has been approved.

#### **Notification of DON EA Compliance Disposition**

There are three types of notification records based on Tier and investment area:

1. For Tier 1-3 DBSs, the DON Pre-Certification Authority (PCA) memoranda that forward certification and annual review requests to OSD and that are posted to the DOC section of DITPR-DON will document the official approved DON EA compliance assertion.
2. For all other BMA and all EIEMA Tier 1-3 investments, the official approved DON EA compliance assertion will be documented in a DON CIO memorandum that will be uploaded to the DOC section of DITPR-DON.
3. For all Tier 4 investments and Non-Tier entities, final approval by the applicable DDCIO in DITPR-DON will serve as official notification of the approved DON EA compliance assertion.

## Appendix C. Certification Request Memo for BMA and EIEMA Tiers 1-3

MEMORANDUM FOR THE DEPARTMENT OF NAVY (DON) PRE-CERTIFICATION AUTHORITY (PCA)

Subj: REQUEST FOR PRE-CERTIFICATION OF THE MODERNIZATION OF [BMA or EIEMA ENTITYNAME] BY THE DON PCA

Ref: (a) Department of the Navy (DON) Information Management (IM)/Information Technology (IT) Investment Review Process Guidance (v4.0) of 1 October 2009

In accordance with reference (a), the [Command name] requests pre-certification of the modernization of [BMA or EIEMA entity name] in order to obtain approval to obligate \$X.XXX million in Fiscal Year(s) (FY(s)) XXXX [through XXXX] [*Should agree with FY(s) and \$ reflected on the Certification Dashboard in the DoD IT Portfolio Repository – Department of Navy (DITPR-DON).*].

All data elements in DoD IT Portfolio Repository – Department of Navy (DITPR-DON) have been completed, and all external reporting requirements have been posted to DITPR-DON.

This memo serves to certify the accuracy of all information in DITPR-DON. Furthermore, a review and assessment of the economic viability (EV) analysis associated with the modernization of [entity name] confirms that the assumptions are valid and the costs and benefits are supportable and fairly represented.

*[Following paragraph applies to re-certification actions only.]* Since the most recent certification, there have been [no changes or changes] to the schedule/milestones [and/or cost] of the modernization. *[Discuss any schedule/milestones slippages since the most recent certification and steps taken to prevent a reoccurrence. For cost growth, discuss the nature of the cost growth and steps taken to prevent a reoccurrence.]*

The [Command name] point of contact for this pre-certification request is [individual's name, DON email address, office phone number].

---

Program Manager

---

Navy Echelon II Command Information Officer

---

Navy Echelon II Command Comptroller

*Note: DDCIO (MC) Pre-certification Request Memos may differ from above in terms of format and signature(s).*

**Appendix D. Performance Improvements Metrics Table for BMA and EIEMA Tiers 1-4**

<b>Performance Improvements Metrics Table for BMA or EIEMA Tier 1-4 Modernizations</b>				
<b>Narrative Descriptions of the Performance Improvements Resulting from the Investment</b>	<b>‘As Is’ (baseline (pre-Performance Improvement)) Metric</b>	<b>‘To Be’ (post-Performance Improvement) Metric</b>	<b>% Performance Improvement</b>	<b>FY in which Performance Improvement will be achieved</b>
<u>Example:</u> Reduction in the number of misplaced inventory items per year	1000 misplaced inventory items per yr	250 misplaced inventory items per yr	75% reduction in misplaced inventory items	FY09

Notes:

1. This table is required only for Tier 1-4 investments and only when the Benefit–Cost Ratio (BCR) and Net Present Value (NPV) indices for both ‘with’ and ‘without other benefits’ in the EV tool reflect a  $BCR \leq 1.0$  and/or a  $NPV \leq 0.0$ , regardless of whether those indices were input manually to the EV tool based on an independent economic analysis or whether the indices were produced automatically based on completion of the EV tool.
2. **All performance improvements must be quantified.**
3. At least one performance metric must be identified for the modernization, but the performance metrics reported should represent all the significant performance improvements that will result from the investment.
4. Metrics must be relevant to the function(s) performed by the entity/modernization.

## Appendix E. HRM FISMA/PIA Compliance Assertion Checklist

System Name:

System Acronym:

Date: (mm/dd/yyyy)

*I hereby assert that the information contained in this document is complete and accurate.*

---

(DON PCA (DON CIO) Signature)

**1. Is this system in the DoD Information Technology Portfolio Registry (DITPR)?**

- YES – DITPR ID (*Note: This DITPR ID #, not DITPR-DON ID*):
- NO – (*Include the reason for not having this system in DITPR*) (*See note 1*)

**2. Is this system operational?**

- YES – Date system became operational (mm/dd/yyyy)
- NO – Date system is projected to become operational (mm/dd/yyyy)

**3. Have you completed the Federal Information Security Management Act (FISMA) Process? (Located in DITPR)**

- YES – I certify that an initial FISMA process was accurately completed for this system
- YES – I certify that an annual review of this systems FISMA information has been performed and appropriately updated
- NO – (*Include the reason for not having completed a FISMA Process*) (*See note 2*)

**4. What level of accreditation does the system have?**

- Authority To Operate (ATO) – (*Include a copy of the ATO letter*)
- Interim Authority To Operate (IATO) – (*Include a copy of the IATO letter*)
- None – (*Include the reason for not having an ATO or IATO*) (*See note 3*)

**5. Have you completed a Privacy Impact Assessment / Privacy Act (PIA/PA) template?**

- YES – (*Include a copy of PIA/PA template*)

NO – *(Include the reason for not having completed a PIA/PA template) (See note 4)*

**6. Does this system collect, update, maintain, or exchange “Personally Identifiable Information” (PII)?**

YES – *(Complete Table 1 of the HRM FISMA/PIA Compliance Assertion Checklist)*

NO – *(Finished – Checklist is complete)*

**7. Does this system have a System of Records Notice (SORN) on file w/DoD Privacy Office?**

YES – SORN effective date:            *(mm/dd/yyyy)*      SORN ID:

NO – *(Include the reason for not having filed a SORN for this system) (See note 5)*

**TABLE 1 – PERSONALLY IDENTIFIABLE INFORMATION**

<b>PII APPLICABLE INFORMATION</b>	<b>IS PII COLLECTED INTO YOUR SYSTEM? (Check all that apply)</b>	<b>IS PII UPDATED IN YOUR SYSTEM? (Check all that apply)</b>	<b>IS PII MAINTAINED IN YOUR SYSTEM? (Check all that apply)</b>	<b>IS PII EXCHANGED BY OR WITH YOUR SYSTEM (*) (List Name of Exchanging System)</b>	<b>IS THE SYSTEM BEING CERTIFIED THE AUTHORITATIVE SOURCE FOR THE IDENTIFIED PII? (Yes/No)</b>
<b>Name (Person)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Other Names Used</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Social Security Number (SSN)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Truncated SSN</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Drivers License</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Other ID Number</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Citizenship</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Legal Status</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Gender/Sex</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Race/Ethnicity</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Birth Date</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Mailing/Home Address</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Mailing/Office Address</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Home Phone Numbers</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Office Phone Numbers</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Personal EMAIL Address</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Business EMAIL Address</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Place of Birth</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Mother's Maiden Name</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Father's Middle Name</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Marital Status</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Spouse Information</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Child Information</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Vehicle Identifiers</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Medical Data</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Disability Information</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Financial Information</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Employment Information</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

<b>Military Records</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Law Enforcement Data</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Emergency Contact</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Inductions Information</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Professional Certificates</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Biometrics</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Security Clearance</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Electronic Data Interchange Personal Identifier (EDIPI)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Others - Specify</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Yes <input type="checkbox"/> No <input type="checkbox"/>

**\*Complete Table 2 for each system exchanging PII with the system being considered for certification.**



**Note 2:** For a certification package to be forwarded to the Certification Authority for consideration for funds, the system that is operational must have certify they have accurately completed their FISMA process.

**Note 3:** For a certification package to be forwarded to the Certification Authority for consideration for funds, the system must have an Authority To Operate (ATO) or and Interim Authority To Operate (IATO) in place prior to becoming operational.

**Note 4:** For a certification package to be forwarded to the Certification Authority for consideration for funds, the system must have a completed Privacy Impact Assessment/Privacy Act (PIA/PA) template.

**Note 5:** For a certification package to be forwarded to the Certification Authority for consideration for funds, the system must have an approved System Of Records Notification (SORN) in the Federal Register.

**Note 6:** Include an approved Interface Capability Document (ICD)/System Interface Agreement (SIA) or a plan for ensuring and ICD/SIA is in place prior to implementation of the information exchange.

**Note 7:** If system owner is external to DoD, include an assertion letter signed by the system owner stating that the system is in compliance with 5 USC 552a “Privacy Act of 1974”, OBM M-03-22 “OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002” and provide a copy of their System Of Records Notice.

**Note 8:** For a certification package to be forwarded to the Certification Authority for consideration for funds to develop/support an interface, **the interfacing DoD system** must be in DITPR.

**Note 9:** For a certification package to be forwarded to the Certification Authority for consideration for funds to develop/support an interface, **the interfacing system** must have an approved SORN.

**Appendix F. Annual Review Request Memo for BMA and EIEMA Tiers 1-3**

MEMORANDUM FOR THE DEPARTMENT OF NAVY (DON) PRE-CERTIFICATION AUTHORITY (PCA)

Subj: REQUEST FOR ANNUAL REVIEW OF THE MODERNIZATION OF [BMA or EIEMA ENTITY NAME]

Ref: (a) Department of the Navy (DON) Information Management (IM)/Information Technology (IT) Investment Review Process Guidance (v4.0) of 1 October 2009

The [Command name] requests annual review of the modernization of [BMA or EIEMA entity name] in accordance with the guidance in reference (a).

All data elements in the DoD IT Portfolio Repository – Department of Navy (DITPR-DON) have been completed, and all external reporting requirements have been posted to DITPR-DON.

This memo serves to certify the accuracy of all information in DITPR-DON. Furthermore, a review and assessment of the economic viability (EV) analysis associated with the modernization of [entity name] confirms that the assumptions are valid and the costs and benefits are supportable and fairly represented.

Since the most recent certification [or preceding annual review], there have been [no changes or changes] to the schedule/milestones [and/or cost] of the modernization. *[Discuss any schedule/milestones slippages since the most recent certification/annual review and steps taken to prevent a reoccurrence. For cost growth, discuss the nature of the cost growth and steps taken to prevent a reoccurrence.]*

The [Command name] point of contact for this annual review request is [individual's name, DON email address, office phone number].

\_\_\_\_\_  
Program Manager

\_\_\_\_\_  
Navy Echelon II Command Information Officer

\_\_\_\_\_  
Navy Echelon II Command Comptroller

*Note: DDCIO (MC) Annual Review Request Memos may differ from above in terms of format and signature(s).*

## Appendix G. Points of Contact for DON Certification Requests and Annual Reviews

Questions/issues concerning the Certification and Annual Review processes may be referred to the following individuals:

### SECNAV FAM POCs:

- SECNAV Acquisition FAM POC: CDR James Melone, 703-693-4071, [james.melone@navy.mil](mailto:james.melone@navy.mil).
- SECNAV Civilian Personnel FAM POC: Mr. Eddie Williams, 757-396-7870, [eddie.williams2@navy.mil](mailto:eddie.williams2@navy.mil).
- SECNAV Financial Management FAM POC: Ms. Beverly Veit, 202-685-6703, [beverly.veit@navy.mil](mailto:beverly.veit@navy.mil).
- SECNAV Legal FAM POC: Mr. Michael Bowman, 703-819-1037, [michael.bowman@navy.mil](mailto:michael.bowman@navy.mil).

### Navy FAM POCs:

- USN Command & Control FAM POC: Mr. Mike Cricchio, 703-601-1711, [michael.cricchio1@navy.mil](mailto:michael.cricchio1@navy.mil).
- USN Enterprise Services (ES) FAM POC: Mr. Mike Cricchio, 703-601-1711, [michael.cricchio1@navy.mil](mailto:michael.cricchio1@navy.mil).
- USN Information Operations FAM POC: Mr. Randy Summers, 757-417-6752 ext 4, [randy.summers@navy.mil](mailto:randy.summers@navy.mil).
- USN Intelligence FAM POC: Mr. Michael Chadwell, 703-601-5026, [michael.chadwell@navy.mil](mailto:michael.chadwell@navy.mil).
- USN Logistics/Readiness FAM POC: Mr. Matt Weden, 703-604-9992, [matt.weden@navy.mil](mailto:matt.weden@navy.mil).
- USN Medical FAM POC: Mr. Verlin Hardin, 202-762-3220, [verlin.hardin@med.navy.mil](mailto:verlin.hardin@med.navy.mil).
- USN Meteorology/Oceanography FAM POC: Mr. Doug Burns, 228-688-5248, [douglas.burns@navy.mil](mailto:douglas.burns@navy.mil).
- USN Military Personnel FAM POC: CAPT John McDowell, 703-695-4581, [john.k.mcdowell@navy.mil](mailto:john.k.mcdowell@navy.mil).
- USN Modeling & Simulation FAM POC: Mr. John Moore, 202-781-1685, [john.s.moore3@navy.mil](mailto:john.s.moore3@navy.mil).
- USN Naval Nuclear Propulsion FAM POC: Mr. Robert Gordon, 202-781-6202, [robert.t.gordon1@navy.mil](mailto:robert.t.gordon1@navy.mil).
- USN Precise Time/Astronomy FAM POC: Mr. William Tangren, 202-762-1422, [bjt@aa.usno.navy.mil](mailto:bjt@aa.usno.navy.mil).
- USN Resources, Reqs, Assessments FAM POC: Mr. John Graveen, 703-695-5893, [john.graveen@navy.mil](mailto:john.graveen@navy.mil).
- USN Science & Technology FAM POC: Mr. Mike Rogers, 703-696-0710, [michael.d.rogers@navy.mil](mailto:michael.d.rogers@navy.mil).
- USN Test & Evaluation FAM POC: Mr. Gary Lynch, 301-342-7117, [garnet.lynch.ctr@navy.mil](mailto:garnet.lynch.ctr@navy.mil).
- USN Training and Education FAM POC: Mr. Joel Hulett, 703-695-3416, [joel.hulett1@navy.mil](mailto:joel.hulett1@navy.mil).

- USN Weapons Planning & Control FAM POC: Mr. Mike Cricchio, 703-601-1711, [michael.cricchio1@navy.mil](mailto:michael.cricchio1@navy.mil).

MC FAM POCs:

- USMC Enterprise Services FAM POC: Ms. Brandi Halleckson, 703-693-9970, [brandi.halleckson@usmc.mil](mailto:brandi.halleckson@usmc.mil).
- USMC Logistics FAM: LtCol Mark Adams, 703-695-6138, [mark.adams@usmc.mil](mailto:mark.adams@usmc.mil).
- USMC Military Personnel FAM: Mr. James Kenkel, 703-784-0099 [james.kenkel@usmc.mil](mailto:james.kenkel@usmc.mil).
- USMC Modeling & Simulation FAM: *VACANT*
- USMC Test & Evaluation FAM: Mr. Matthew Lua, 703-432-0937, [matthew.a.lua@usmc.mil](mailto:matthew.a.lua@usmc.mil).
- USMC Training & Education FAM: LtCol John Wasek., 703-784-6816, [john.wasek@usmc.mil](mailto:john.wasek@usmc.mil).
- USMC Installations & Environment (I&E) Lead: Mr. Roger Welborn, 703-784-2088, [roger.d.welborn@usmc.mil](mailto:roger.d.welborn@usmc.mil).

Navy:

DDCIO (Navy):

- Tiers 1-4 & Non-Tiers: Mr. Mike Cricchio, 703-601-1711, [michael.cricchio1@navy.mil](mailto:michael.cricchio1@navy.mil).

Marine Corps:

DDCIO (Marine Corps):

- Portfolio Management Lead: Ms. Brandi Halleckson, 703-693-9970, [brandi.halleckson@usmc.mil](mailto:brandi.halleckson@usmc.mil).

MCBEO (Marine Corps Business Enterprise Office):

- Business Transformation Support: Mr. Milt Finch, 703-614-5714, [milton.d.finch.ctr@usmc.mil](mailto:milton.d.finch.ctr@usmc.mil).

AAUSN

- Tiers 1-4 & Non-Tiers: Mr. Charles Johnson, 703-695-6071, [charles.c.johnson@navy.mil](mailto:charles.c.johnson@navy.mil).

DON CIO:

- BMA Tiers 1-3: Mr. Bob Wagner, 703-607-5671, [robert.m.wagner.ctr@navy.mil](mailto:robert.m.wagner.ctr@navy.mil).
- EIEMA Tiers 1-3: Mr. Steve Beaulieu, 703-602-6812, [stephen.beaulieu.ctr@navy.mil](mailto:stephen.beaulieu.ctr@navy.mil).
- DoD BEA & DON EA Compliance Assessments: Mr. Rob Lewis, 703-601-0048, [robert.s.lewis1.ctr@navy.mil](mailto:robert.s.lewis1.ctr@navy.mil).

OASN(FM&C)(FMB-4):

- IT Budget Exhibits (NITE/STAR, SNaP-IT/'dev/mod' determinations): Mr. Brian Baker, 703-692-4841, [brian.w.baker@navy.mil](mailto:brian.w.baker@navy.mil).