



THE ASSISTANT SECRETARY OF THE NAVY
 (RESEARCH, DEVELOPMENT AND ACQUISITION)
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 WASHINGTON DC 20350-1000

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MEMORANDUM FOR DISTRIBUTION

SUBJECT: Guide for Alignment of Two-Pass/Six Gate Governance and Title 40/Clinger-Cohen Act (Title 40/CCA) Confirmation Processes ("Proactive CCA")

- M. Davis PEO POC
- ^{DON} CIO on IPT (Pro-Active)
- New Procedure List
- Forthcoming (Sweets)
- MDA = IPT Chair
- Para 2 (Gate 4-5-6)
- PPP/~~7~~ Addendums:
 - SCG
 - Critical Analysis
 - AT
 - SERM
 - CISP (Neis)
- Must be done by MSC

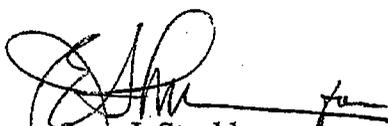
The "Guide for Alignment of Two-Pass/Six Gate Governance and Title 40/Clinger-Cohen Act (Title 40/CCA) Confirmation Processes ["Proactive CCA"]" was produced by DON CIO and DASN (C4I/IO & Space) to provide program managers of our most important Information Technology (IT) programs (Proactive CCA programs) a guide to implement an alignment process that leverages the Department of the Navy (DON) Gate reviews and an iterative confirmation of CCA compliance. The objective of the guide and the "Proactive CCA" process is to insure our key IT programs build in strong compliance with the elements of the CCA from the requirements generation process through development and ultimately product fielding, and that CCA compliance is efficient and withstands OSD review. The expected results of "Proactive CCA" are improvements in the delivery of on-time, on-budget IT programs and their required capabilities.

The attached guide provides a Gate review/CCA alignment process to be used by DON program managers of designated IT programs. The information from this guide will be incorporated into the next update of the SECNAVINST 5000.2. All SYSCOMs, PEOs, ACAT I and ACAT II program managers of designated "Proactive CCA" programs should become familiar with this alignment process and implement it during program development and report CCA status at Gate reviews.

Sep 2011

This "Proactive CCA" designation will be considered for all Pre-MAIS, MAIS, Pre-MDAP, MDAP and selected ACAT II programs. DASN (C4I/IO and Space) and DON CIO will periodically publish a list of those programs selected as "Proactive CCA" programs. The initial list of selected programs is shown in the attached DON CIO memorandum of September 03, 2010. Updates to the list of selected programs will be published periodically.

My point of contact for this process is Dr. John Zangardi, DASN (C4I/IO and Space). He can be reached at (703) 614-6619.


 Sean J. Stackley

**SUBJECT: Guide for Alignment of Two-Pass/Six Gate Governance and Title
40/Clinger-Cohen Act (Title 40/CCA) Confirmation Processes ("Proactive
CCA")**

Attachments:

As stated

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40/Clinger-Cohen Act (Title 40/CCA) Confirmation Processes ("Proactive
CCA")**

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Guide for Alignment of Two-Pass/Six Gate Governance and Title 40/Clinger-Cohen Act (CCA) Compliance Confirmation Processes ("Proactive CCA")

- Ref: (a) ASN (RD&A)/DON CIO Joint Memorandum, Alignment of Two-Pass/Six-Gate Governance and Title 40/Clinger-Cohen Act Compliance Confirmation Processes, of 8 Jul 09
- (b) SECNAVINST 5000.2D, Implementation and Operation of the Defense Acquisition System and the Joint Capabilities Integration and Development System, of 16 Oct 08, Enclosure 4
- (c) DOD Instruction 5000.02, Operation of the Defense Acquisition System, of 2 Dec 08, Chapter 5
- (d) DON CIO Memorandum, Governance and Title 40/Clinger-Cohen Act Compliance Confirmation Processes, of 3 Sep 10

Encl: (1) Nominal Gate Table vs CCA Table

1. Applicability. Reference (a) applies to Information Technology, including National Security Systems, that are pre-Major Automated Information Systems (MAIS), pre-Major Defense Acquisition Program (MDAP), MAIS, MDAP and selected Acquisition Category (ACAT) II programs. The Department of the Navy Chief Information Officer (DON CIO) and the Deputy Assistant Secretary of the Navy (Command, Control, Communications, Intelligence, Information Operations and Space) (DASN(C4I/IO/S)) shall issue periodic memoranda identifying specific programs in the aforementioned categories that will receive proactive DON CIO and DASN (C4I/IO/S) involvement described herein and for the purposes of Title 40/Clinger-Cohen Act (Title 40/CCA) compliance described in references (b) and (c). Reference (d) is the first such memorandum identifying specific programs that will participate in these proactive CCA processes.

2. Scope. Title 40/CCA was established to provide a structured approach to capital investment evaluation and decision-making for information technology, including National Security Systems (hereafter referred to as IT/NSS), investment by the Federal Government. Title 40/CCA requires that the DON CIO assess major DON IT/NSS investments. Such assessments are performed in an effort to achieve these objectives:

- The implementation of effective information systems. For the purposes of the DON implementation of Title 40/CCA, "effective" is defined as systems which are flexible, adaptable, non-proprietary, and are capable of sharing information as appropriate across the Naval Networking Environment (NNE) and Global Information Grid (GIG);
- Identification and tracking of improvements to mission performance;
- Reengineering of business processes before investing in IT/NSS, and
- Accommodation of the fast-paced nature of the IT industry and avoidance of outdated procurement approaches that do not take advantage of competition.

Reference (a) was issued to provide additional guidance on DON implementation of reference (b) and related statutes governing the acquisition of IT/NSS. This would fundamentally be accomplished by close collaboration of the DON CIO and DASN (C4I/IO/S) with selected

programs and a more proactive integration of CCA requirements into the program planning and development process, particularly during the earliest program phases.

By proactively integrating CCA criteria into key IT/NSS programs, during their foundational planning period, the Department can ensure sound IT/NSS decision-making consistent with DOD and DON policy and guidance. An additional outcome will be a more efficient Title 40/CCA Compliance Confirmation process.

3. Responsibilities.

a. DON CIO responsibilities.

(1) Identify key IT/NSS programs and recommend that those programs participate in proactive CCA process described herein. DON CIO and DASN (C4I/IO/S) will jointly agree to the programs that will participate.

DON CIO, with the concurrence of DASN (C4I/IO/S), will issue periodic memoranda identifying specific programs within the aforementioned categories that will receive proactive DON CIO/DASN (C4I/IO/S) involvement.

(2) Identify DON CIO lead point of contact for each key program.

Lead POCs in the DON CIO will be responsible for participating with the Program Office and ensuring that relevant CCA issues are raised and addressed during/throughout the program development process.

(3) Participate in programs identified for proactive CCA process.

DON CIO's close participation with the program, and participation in developing tailored Joint Capabilities Integration and Development System (JCIDS) and Defense Acquisition System (DAS) documents will assure that relevant DOD and DON policies, strategies, plans, standards and architectures have been "built in", resulting in more effective execution of IT/NSS programs.

(4) CCA confirmation for proactive CCA programs.

CCA confirmation is still required prior to a Milestone, and FRP/FD DR in accordance with references (b) and (c). Individual CCA compliance elements will be acknowledged as completed by the DON CIO/DASN (C4I/IO/S) during Gate Reviews. Thus, the CCA confirmation itself will require less processing time prior to the Milestone, FRP/FD DR or contract award.

b. ASN (RD&A) responsibilities.

The ASN (RD&A) is the Department of the Navy Acquisition Executive. ASN (RD&A) has authority, responsibility and accountability for all acquisition functions and programs, and for enforcement of DOD acquisition procedures, including those related to CCA. As part of the proactive CCA process and the Gate review process, ASN (RD&A) Chairs Gates 4 through 6 (except for a Gate 6-Sustainment, in which case ASN (RD&A) is a co-chair with CNO/CMC or

designee; or Gate 6-CPD that is chaired by CNO/CMC or designee). Within the ASN (RD&A) organization, review and coordination of CCA confirmations and the proactive CCA process requirements is delegated to DASN (C4I/IO/S).

c. Deputy Assistant Secretary of the Navy (C4I/IO/S) responsibilities.

(1) Partner with DON CIO to jointly agree to key IT/NSS programs that will participate in the proactive CCA process described herein.

To implement reference (a) and its policy of early and continuous participation in program planning/execution, DASN (C4I/IO/S) will issue periodic memoranda identifying which specific programs will receive proactive CCA involvement.

(2) Identify DASN (C4I/IO/S) lead point of contact for each key program.

(3) Participate in programs identified for proactive CCA process.

DASN (C4I/IO/S) will participate with designated proactive CCA programs to ensure the reference (c) CCA compliance elements are clearly and sufficiently addressed.

DASN (C4I/IO/S) representatives will, in coordination with DON CIO representatives, acknowledge completion of various CCA compliance elements during appropriate Gate Reviews. DASN (C4I/IO/S) will coordinate with other DASNs, as appropriate, to accomplish this acknowledgement.

d. Resource Sponsor responsibilities.

Reference (a) directs Resource Sponsors, for proactive CCA programs, to invite the DON CIO/DASN (C4I/IO/S) POCs to appropriate WIPTs and IPTs in support of Gate 1, 2 and 3 activities (Pass 1). The Resource Sponsor should coordinate with the DON CIO/DASN (C4I/IO/S) POCs for input and review of capability needs documents, such as ICDs, CDDs, CPDs, and CONOPS while in development and prior to signature. This will ensure appropriate enterprise level IT policies and plans have been reflected and make certain the CCA compliance elements and tenets of CCA are adequately addressed during the earliest stages of program formulation.

e. PM responsibilities.

Reference (a) directs PM's, for proactive CCA programs, to invite the DON CIO and DASN (C4I/IO/S) POCs to appropriate WIPTs and IPTs. In addition, PMs will coordinate development of DAS documents, such as APBs, Acquisition Strategies, Acquisition Plans, ISPs, IA Strategies, RFPs, etc., with the DON CIO/DASN (C4I/IO/S) POCs for input and review while in development and prior to signature. This will ensure appropriate enterprise level IT policies and plans have been reflected and make certain that the CCA compliance elements and the tenets of CCA are adequately addressed during the earliest stages of program formulation.

f. PEO/SYSCOM responsibilities.

For proactive CCA programs under their cognizance, PEO/SYSCOMs shall ensure that PMs are complying with reference (a). SYSCOM Command Information Officers shall provide assistance to PMs of proactive CCA programs, when requested.

g. ACT Coordinator responsibilities.

As discussed in reference (a), DON CIO/DASN (C4I/IO/S) shall be invited participants to relevant ACT meetings for proactive CCA programs.

h. WIPT Coordinator responsibilities.

As discussed in reference (a), DON CIO/DASN (C4I/IO/S) shall be invited participants to WIPT meetings for proactive CCA programs.

4. Gate Reviews and Title 40/CCA Integration. One key objective of reference (a) is to better integrate the Gate Review and CCA Confirmation processes. Enclosure (1) shows the integration of the Two-Pass/Six-Gate Review Process with the CCA confirmation process. For proactive CCA programs, CCA compliance elements detailed in subparagraphs c. and d. below will be considered as entrance and exit criteria for the respective Gates and the Gate Review brief will contain information that describes how the program meets the relevant CCA compliance items aligned to that respective Gate Review.

a. The CCA confirmation process as detailed in reference (b) will still apply to proactive CCA programs. Under this process, the CCA Table is completed to demonstrate in which documents, and where specifically in those documents, CCA compliance elements are demonstrated.

b. Proactive CCA programs will, through the Gate Review process, demonstrate incremental CCA compliance, so that the CCA Table that is required at each milestone and FRP DR/FD DR is, essentially, completely validated at the various Gate Reviews prior to the Milestone. Specific implementation will depend on whether program initiation for the proactive CCA program is MS A or MS B.

c. For Proactive CCA programs whose program initiation is at MS A, the CCA compliance elements in reference (c) would nominally be addressed as follows within the Gate Review structure:

(1) Gate 1. It would be expected that the following CCA compliance elements would be acknowledged by the DON CIO and DASN (C4I/IO/S) at the Gate Review:

- Make a determination the acquisition supports core, priority functions of the Department.
- Establish outcome-based performance measures linked to strategic goals (initially KPPs and KSAs, but MOEs at later gates).
- Redesign the processes the system supports to reduce costs, improve effectiveness and maximize the use of COTS technology.

- Register Mission-Critical and Mission-Essential systems with the DOD CIO.

(2) Gate 2. It would be expected that the following CCA compliance elements would be acknowledged by the DON CIO and DASN (C4I/IO/S) at the Gate Review:

- Determine no private sector or Government source can better support the function.

- Conduct an Analysis of Alternatives.

(3) Gate 3. It would be expected that the following CCA compliance elements would be acknowledged by the DON CIO and DASN (C4I/IO/S) at the Gate Review:

- Conduct an Economic Analysis that includes a calculation of the return on investment; or, for non-AIS programs, conduct a Life Cycle Cost Estimate (LCCE).

- Develop clearly established measures and accountability for program progress.

- Ensure that the acquisition is consistent with Global Information Grid policies and architecture, to include relevant standards; ensure that the acquisition complies with the DON Enterprise Architecture.

- Ensure that the program has an Information Assurance Strategy that is consistent with DOD policies, standards, and architectures, to include relevant standards.

- To the maximum extent practicable, modular contracting has been used and the program is being implemented in phased, successive blocks, each of which meets part of the mission need and delivers a measurable benefit, independent of future blocks.

(4) Gate 4. It would be expected that all CCA compliance elements would be acknowledged by the DON CIO and DASN (C4I/IO/S) at the Gate Review.

(5) Gate 5. It would be expected that all CCA compliance elements would be acknowledged by the DON CIO and DASN (C4I/IO/S) at the Gate Review as completed.

(6) Gate 6. It would be expected that all CCA compliance elements would be acknowledged by the DON CIO and DASN (C4I/IO/S) at the Gate Review. At Gate 6 prior to MS C or FRP DR or FD DR, the PM will identify any changes or additions to the information related to any of the CCA compliance elements to allow for updated acknowledgements.

d. For proactive CCA programs whose program initiation is at MS B, the CCA compliance elements in reference (c) would nominally be addressed as follows within the Gate Review structure in order to insure that all CCA compliance elements have been acknowledged as completed prior to MS B:

(1) Gate 1. It would be expected that the following CCA compliance elements would be acknowledged by the DON CIO and DASN (C4I/IO/S) at the Gate Review:

- Make a determination the acquisition supports core, priority functions of the Department.

- Establish outcome-based performance measures linked to strategic goals (such as MOEs, not KPPs).
- Redesign the processes that the system supports to reduce costs, improve effectiveness and maximize the use of COTS technology.
- Register Mission Critical and Mission Essential system with the DOD CIO.

(2) Gate 2. It would be expected that the following CCA compliance elements would be acknowledged by the DON CIO and DASN (C4I/IO/S) at the Gate Review:

- Determine no private sector or Government source can better support the function.
- Conduct an Analysis of Alternatives.

(3) Gate 3. It would be expected that the following CCA compliance elements would be acknowledged by the DON CIO and DASN (C4I/IO/S) at the Gate Review:

- Conduct an Economic Analysis that includes a calculation of the return on investment; or, for non-AIS programs, conduct a Life Cycle Cost Estimate (LCCE).
- Develop clearly established measures and accountability for program progress.
- Ensure that the acquisition is consistent with Global Information Grid policies and architecture, to include relevant standards; ensure that the acquisition complies with the DON Enterprise Architecture.
- Ensure that the program has an Information Assurance Strategy that is consistent with DOD policies, standards, and architectures, to include relevant standards.
- To the maximum extent practicable, modular contracting has been used and the program is being implemented in phased, successive blocks, each of which meets part of the mission need and delivers a measurable benefit, independent of future blocks.

(4) Gate 4. It would be expected that all CCA compliance elements would be acknowledged by the DON CIO and DASN (C4I/IO/S) at the Gate Review.

(5) Gate 5. It would be expected that all CCA compliance elements would be acknowledged by the DON CIO and DASN (C4I/IO/S) at the Gate Review.

(6) Gate 6. It would be expected that all CCA compliance elements would be acknowledged by the DON CIO and DASN (C4I/IO/S) at the Gate Review. At Gate 6 prior to MS C or Full Rate Production Decision Review (FRP DR) or Full Deployment Decision Review (FD DR), the PM will identify any changes or additions to the information related to any of the CCA compliance elements to allow for updated acknowledgements.

5. Review and Update. The contents of this guide will be reviewed on an annual basis and updated as necessary by DON CIO and DASN (C4I/IO/S). At each update of the SECNAVINST 5000.2 series, all aspects of this guide will be reviewed for inclusion, as appropriate. The DON CIO point of contact is Geoff Sheffer, geoff.sheffer@navy.mil, and the DASN (C4I/IO/S) point of contact is Bill Martin, bill.martin@navy.mil.

Nominal Gate Table vs CCA Table

This table is intended to show at which Gates the various CCA compliance elements would expect to be initially completed and addressed. CCA compliance elements from the individual gates would apply when a combined gate review is conducted. Keep in mind, this is a nominal chart and it may vary from program to program and it may vary depending on the program initiation milestone. Though this table is a nominal picture, and generally represents the most common situation in which program initiation at MS B - per references (b) and (c), all CCA compliance elements must be demonstrated for the CCA confirmation at each milestone, contract award or FRP/FD DR.

| | Gate 1 | Gate 2 | Gate 3 | Gate 4 | Gate 5 | Gate 6 |
|--|--------|--------|--------|--------|--------|--------|
| 1. Core Function Determination: Make a determination that the acquisition supports core, priority functions of the Department | X | | | | X | X |
| 2. Outcome-based Performance Measures: Establish outcome-based performance measures, sometimes referred to as measures of effectiveness, which are linked to strategic goals. | X | | | | X | X |
| 3. BPR: Redesign the process that the system supports to reduce costs, improve effectiveness and maximize the use of COTS technology | X | | | | X | X |
| 4. No Private or Government Source Can Better Support the Function: Determine that no private sector or government source can better support the function | | X | | | X | X |

| | Gate 1 | Gate 2 | Gate 3 | Gate 4 | Gate 5 | Gate 6 |
|---|--------|--------|--------|--------|--------|--------|
| 6. Economic Analysis: An Economic Analysis has been conducted that includes a calculation of the return on investment; or for non-AIS programs, a Life-Cycle Cost Estimate (LCCE) has been conducted. | | | | X | | |
| 7. Acquisition Measures: There are clearly established measures and accountability for program progress. | | | | X | | |
| 8. GIG Architecture Consistency: The acquisition is consistent with the Global Information Grid policies and architecture, to include relevant standards. The acquisition is also compliant with the current version of the DON Architecture. | | | X | | | |
| 9. IA Strategy: The Program has an Information Assurance strategy that is consistent with DOD policies, standards and architectures, to include relevant standards. | | | X | | | |
| 10. Modular Contracting Employed: To the maximum extent practicable, (1) modular contracting has been used, and (2) the program is being implemented in phased, successive increments, each of which meets part of the mission need and delivers measurable benefit, independent of future increments. | | | X | | | |
| 11. IT System Registration: The system being acquired is registered in DITPR-DON. | X | | | | | |