



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

14 February 2011

MEMORANDUM FOR DISTRIBUTION

Subj: PROCESS FOR REQUESTING WAIVERS FOR CONTINUED USE OF
UNSUPPORTED COMMERCIAL OFF THE SHELF SOFTWARE

Ref: (a) SECNAVINST 5230.15 of 10 Apr 2009
(b) Release of Department of the Navy Enterprise Architecture Version 2.0.000
of 30 Jul 2010
(c) Department of the Navy Enterprise Architecture Usage and Applicability Guide
of 01 Oct 2010

Encl: (1) Detailed Process for Requesting a Waiver for Continued Use of Unsupported COTS
Software

This memorandum provides guidance on the process to request a waiver for continued use of unsupported Commercial Off the Shelf (COTS) software.

In accordance with reference (a), COTS software utilized in the Department of the Navy (DON) is required to be supported throughout its fielded lifecycle. This requirement includes COTS software integral to a larger Information Technology program or system, including National Security Systems (IT/NSS). Therefore, Program Managers (PM), Echelon II Command Information Officers (Navy only), and Functional Area Managers (FAM) must ensure that adequate plans are in place, and Resource Sponsors must ensure that funding is identified, for COTS software components to be supported throughout its fielded lifecycle.

PMs and DON organizations which require continued use of COTS software, which is no longer vendor supported, must request and receive a waiver to reference (a). These waivers are to be requested in accordance with the procedures provided in enclosure (1).

Reference (a) is also applicable to all Open Source Software (OSS) in use across the DON. OSS will be evaluated on a case-by-case basis depending on the actual OSS application(s) in use and whether the OSS is maintained by contracted support. Continued use of any OSS application version with identified vulnerabilities will require a waiver. Waivers for continued use of OSS are also to be requested in accordance with the procedures provided in enclosure (1).

Current and authoritative information about the DON EA and its associated compliance process can be found at: <https://www.intelink.gov/wiki/DONEA>. The DON CIO point of contact (POC) for COTS software waiver requests integral to a program or system is Mr. Richard Lynch, richard.lynch@navy.mil, 703-602-6419. The DON CIO POC for stand-alone COTS

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software waiver requests is Ms. Trish VanBelle, trish.vanbelle@navy.mil, (703) 602-6705. The Navy POC is Mr. Michael Cricchio, michael.cricchio1@navy.mil, (571) 256-8510. The Marine Corps POC is Ms. Robin Thomas, robin.a.thomas@usmc.mil, (703) 693-3488.



Terry A. Halvorsen

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Detailed Process for Requesting a Waiver for Continued Use of Unsupported COTS Software

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COTS Software Integral to a Program or System:

PMs responsible for programs or systems that require continued use of COTS software, which is no longer vendor supported, must request and receive a waiver to reference (a). Waivers for all unsupported COTS software, integral to a program or system, shall be requested via the Department of the Navy Enterprise Architecture (DON EA) waiver process. These waiver requests are to be submitted via the Department of the Navy's variant of the Department of Defense IT Portfolio Repository (DITPR-DON). Waiver request status and final disposition can be tracked in DITPR-DON.

As part of the DON EA compliance assertion process and in accordance with references (b) and (c), programs and systems which make use of COTS software must identify all application versions currently in use. This identification is to be done via the "Map" function in DITPR-DON, which allows for an association to be made between DON Application and Database Management System (DADMS) registered COTS software applications and a DITPR-DON registered program or system. The MAP tab can be found under the "COMPL>" tab of each DITPR-DON program or system. The mapping should reflect all current versions of associated COTS software (child applications) in use by the program or system, including the application version(s) for which a waiver is required and other application version(s) which are also in use by the program or system. As an alternative to use of the DITPR-DON Map function, programs and Commands may make use of "Master Record" as the mechanism for identifying all COTS software application versions currently in use by a DITPR-DON registered program or system.

Waiver requests must include a detailed justification, the planned end date for usage of the unsupported application version, risk mitigation plans for use of the unsupported application, and operational impact to the program or system if use of the application is not continued. For any COTS software under contracted extended support, a copy of the contract agreement or vendor invoice must be provided. Similarly, for any software under internal Department of the Navy (DON) or third party support, a copy of the internal DON agreement or other documentation and/or third party contract for support must be provided. This documentation should specify the dates and range of support. The waiver request should also include additional formal documentation and/or references which validate that the program or system has incorporated adequate lifecycle planning necessary to maintain support of all COTS software components throughout the fielded life of the program or system. Examples of such documentation include the program's lifecycle sustainment planning chapter of the Technical

Development Strategy (TDS) and Acquisition Strategy (AS) or budget information that documents funding for support and refresh of COTS software components. This documentation may be submitted at the time of the waiver request, via the DITPR-DON "Doc" tab.

Prior to extending the Last Date Allowed (LDA) in DADMS for any unsupported COTS software, which is a component of a larger IT/NSS program or system, FAMs shall ensure a waiver has been submitted and approved via the DON EA waiver process in DITPR-DON.

Standalone COTS Software:

For COTS applications that are stand-alone in nature and are not integral to a program or system, a waiver must be requested by submitting a memorandum signed by the Echelon II Command Information Officer (for Navy) or the S6/G6 (for Marine Corps) to the applicable FAM, with copy to the DON Chief Information Officer (CIO) and the applicable DON Deputy CIO. This memorandum should state the requirement for continued usage of the unsupported COTS software, include a Plan of Action and Milestones (POA&M) for migration to a supported version or alternative product, identify an end date for usage of the unsupported application version, and the operational impact associated with discontinuing use of the application. For software under contracted extended support or support provided by an internal DON or third-party provider, a copy of the contract or agreement must be provided, which specifies the dates and range of support.