21 September 2009

MEMORANDUM FOR DISTRIBUTION

Subj: ASSESSMENT OF COMPLIANCE WITH DEPARTMENT OF THE NAVY ENTERPRISE ARCHITECTURE AS PART OF TITLE 40/CLINGER-COHEN ACT (TITLE 40/CCA) COMPLIANCE CONFIRMATION PROCESS

Ref: (a) DON CIO memo, Release of Department of the Navy Enterprise Architecture Version 1.0, of 31 Jul 09
(b) ASN (RD&A) and DON CIO memo, Alignment of Two-Pass/Six-Gate Governance and Title 40/Clinger-Cohen Act (Title 40/CCA) Compliance Confirmation Processes, of 08 Jul 09
(c) SECNAVINST 5000.2D, Implementation and Operation of the Defense Acquisition System and the Joint Capabilities Integration and Development System, of 16 Oct 08

Encl: (1) DON EA Compliance Assessment Process as Part of Title 40/CCA Compliance Confirmation

The purpose of this memorandum is to provide guidance on the requirement that all Department of the Navy (DON) Information Technology, including National Security System (IT/NSS) investments, requesting Title 40/Clinger-Cohen Act (Title 40/CCA) Compliance Confirmation, be compliant with the Department of the Navy Enterprise Architecture (DON EA). As discussed in reference (a), assessment of compliance with the DON EA, as part of the Title 40/CCA Compliance Confirmation process, will begin on 01 October 2009.

Program Managers shall follow the process described in enclosure (1) to assert the level of compliance of their program with the DON EA, in preparation for requesting Title 40/CCA Compliance Confirmation. The present process for Title 40/CCA package review will be used to formally document concurrence with the Program Manager's assertion of their program's level of compliance with the DON EA and that the Program Manager has requested and obtained any required DON EA compliance waivers. Program Managers shall be responsible for compliance with the version of the DON EA that is current at the time they submit their completed DON EA Compliance Assessment, as described in enclosure (1).

The Assistant Secretary of the Navy (Research, Development & Acquisition) and the DON CIO jointly released reference (b), which: 1) identifies a more proactive approach to assessing compliance of ACAT I and selected ACAT II programs with the tenets and requirements of Title 40/CCA; and 2) aligns this approach with the Two-Pass/Six-Gate Governance process, as identified in reference (c). As part of this more proactive and aligned approach, compliance with the EA is to be incorporated into all applicable DON level programs that require Joint Capabilities Integration and Development System (JCIDS) and Defense Acquisition System (DAS) planning and documentation.

Subj: ASSESSMENT OF COMPLIANCE WITH DEPARTMENT OF THE NAVY
ENTERPRISE ARCHITECTURE AS PART OF TITLE 40/CLINGER-COHEN ACT
(TITLE 40/CCA) COMPLIANCE CONFIRMATION PROCESS

A determination regarding compliance with the DON EA will be made by the DON CIO, in preparation for formal Gate and Milestone reviews.
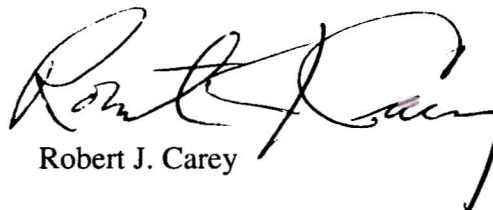
In accordance with reference (c), Title 40/CCA Compliance Confirmation for ACAT III and below programs has been delegated to the DON Deputy Chief Information Officer (Marine Corps) for the Marine Corps and to Echelon II Command Information Officers (EII Command IO) for the Navy. The DON Deputy CIO (Marine Corps) and EII Command IOs shall assess the level of compliance of ACAT III and below programs with the DON EA, as part of their normal Title 40/CCA Compliance Confirmation procedures. The results of these assessments shall be reported quarterly to DON CIO as part of the existing ACAT III and below Title 40/CCA Compliance Confirmation reporting requirement.

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

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

The detailed content of DON EA v1.0, as released by reference (a), can be accessed at: https://www.intelink.gov/wiki/Department_of_the_Navy_Enterprise_Architecture

The DON CIO point of contact for the DON EA is Mr. Michael Jacobs, michael.b.jacobs@navy.mil, 703 602-6847 and the DON CIO point of contact for Title 40/CCA is Ms. Barbara Hoffman, barbara.hoffman@navy.mil, 703 601-0116.

Robert J. Carey

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2

Subj: ASSESSMENT OF COMPLIANCE WITH DEPARTMENT OF THE NAVY
ENTERPRISE ARCHITECTURE AS PART OF TITLE 40/CLINGER-COHEN ACT
(TITLE 40/CCA) COMPLIANCE CONFIRMATION PROCESS

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Subj: ASSESSMENT OF COMPLIANCE WITH DEPARTMENT OF THE NAVY
ENTERPRISE ARCHITECTURE AS PART OF TITLE 40 / CLINGER-COHEN ACT
(TITLE 40/CCA) COMPLIANCE CONFIRMATION PROCESS

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PEO SUB
PEOASWASM
PEOTACAIR
PEOUAVNSTRKWPNS
PEO JSF
MARCORSYSCOM
ASN(M&RA) - CIVILIAN PERSONNEL FAM
ASN(RD&A) – ACQUISITION; MODLING & SUMULATION FAMS
ASN(FM&C) - FINANCIAL MANAGEMENT FAM
GC - LEGAL FAM
CNO:
     N00N - NAVAL NUCLEAR PROPULSION FAM
     N091 - SCIENTIFIC & TECHNICAL FAM; TEST & EVALUATION FAMS
     N093 - MEDICAL FAM
     N1 – PERSONNEL MANAGEMENT; TRAINING & EDUCATIONL FAM
     N2 – INTELLIGENCE FAM
     N4 - LOGISTICS & READINESS
     N6 –
       COMMAND, CONTROL & COMMUNICATIONS FAM;
       INFORMATION OPERATIONS FAM;
       WEAPONS PLANNING & CONTROL FAM;
       ENTERPRISE SERVICES FAM
     N8 - RESOURCES, REQUIREMENTS & ASSESSMENTS FAM
     N84 – METEOROLOGY, OCEANOGRAPHY, GI&S; PRECISE TIME &
       ASTRONOMY FAMS
CMC:
     DC, M&RA – PERSONNEL MANAGEMENT FAM FAM
     HQMC, C4/CIO – ENTERPRISE SERVICES FAM
     HQMC, I Dir, Intel - INTELLIGENCE FAM
     DC, I&L (LPV) - LOGISTICS FAM
     DC, PP&O (PS) – READINESS; INFORMATION OPERATIONS FAMS
     DC, CD&I/MCCDC –
       COMMAND, CONTROL AND COMMUNICATIONS FAM
       WEAPONS PLANNING & CONTROL FAM
     DC, P&R - RESOURCES, REQUIREMENTS & ASSESSMENTS FAM
     CG TECOM - MODELING AND SIMULATION; TRAINING AND EDUCATION
FAMS
     CG MCOTEA - TEST AND EVALUATION FAM
     CG MCWL - SCIENTIFIC AND TECHNICAL FAM
     DC, I&L (LPC) – MEDICAL FAM

DON EA Compliance Assessment Process as Part of Title 40/CCA Compliance Confirmation

Introduction

This document describes the Department of the Navy Enterprise Architecture (DON EA) Compliance Assessment process as part of Title 40/Clinger-Cohen Act (Title 40/CCA) Compliance Confirmation.

Process Overview

As is described in reference (a), the Department of the Navy Chief Information Officer (DON CIO) is the approval authority within the Department of the Navy (DON) for Title 40/CCA Compliance Confirmations and is directly responsible for reviewing ACAT I and II programs for Title 40/CCA compliance. As is also described in reference (a), approval of Title 40/CCA Compliance Confirmation for ACAT III and below programs has been delegated to DON Deputy Chief Information Officer (Marine Corps) (DON DCIO (Marine Corps)) for the Marine Corps and to Echelon II Command Information Officers (EII Command IO) for the Navy. Compliance of programs, of all ACAT levels, with the DON EA shall be assessed as part of the standard Title 40/CCA Compliance Confirmation review and sign-off process. Sign-off, by all reviewers, on CCA packages shall formally document concurrence with the Program Manager's assertion of the level of compliance of their program with the DON EA and that all required DON EA compliance waivers have been obtained. [A graphical representation of CCA Confirmation and DON EA Compliance Processes are shown in the last section of this document]

1. Program Manager Asserts Level of Compliance with the DON EA

In order to demonstrate compliance with the DON EA, in preparation for requesting Title 40/CCA Compliance Confirmation, the Program Manager shall assert the level of compliance of their program with the DON EA.

1.1.   Download DON EA Compliance Assessment Tool (DECAT) from DITPR-DON

The Program Manager shall download the DON EA Compliance Assessment Tool (DECAT) from the Tool Tab on the *Reference Documents Screen* section in DITPR-DON. [See DITPR-DON Reference Documents and Document Page Screen Shots Section]

1.2.   Populate the DECAT

The Program Manager shall complete the DECAT by first asserting the applicability of each element in the DON EA to the Program and second, 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 formal submission of the Title 40/CCA compliance package.** Reference (b) further describes the DON EA compliance waiver request and approval process.

1.3.   Save Completed DECAT

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

*DITPR-DON-ID_ACRONYM*_DON-EA-v.v_DECAT_*DDMMMYYYY*.XLS

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.

1.4.   Upload Completed DECAT to DITPR-DON

The Program Manager shall upload the completed DECAT, and if applicable the DON EA Compliance Waiver Request, using the upload function located on the *DOCS* screen in DITPR-DON. [See section 5 DITPR-DON Reference Documents and Document Page Screen Shots]

As part of the Program's Title 40/CCA Compliance Package, the Program Manager shall identify that they have submitted a completed DECAT to the Program's entry in DITPR-DON. This is to be identified as part of Item 8 of the DoDINST 5000.02 CCA Compliance Table, "consistency with the Global Information Grid policies and architecture," as the confirmation that the DECAT has been uploaded to the system record in DITPR-DON.

If a DON EA Compliance Waiver is required, the Program Manager should also identify that they have submitted and obtained the necessary waiver, under Item 8 of the CCA Compliance Table.

2. DON EA Compliance Review Process

As is mentioned above, the DON EA compliance review process shall be accomplished as part of standard Title 40/CCA Compliance Confirmation review and sign-off process. Sign-off, by all reviewers, on CCA 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.

References

(a) SECNAVINST 5000.2D, Implementation and Operation of the Defense Acquisition System and the Joint Capabilities Integration and Development System, of 16 Oct 08
(b) DON CIO memo, Department of the Navy Enterprise Architecture (DON EA) Waiver Request and Approval Process, of 21 September 2009.

DITPR-DON Reference Documents and Document Page Screen Shots

Reference Documents Page

System Documents Page

Graphical representations of CCA Confirmation and DON EA Compliance Processes
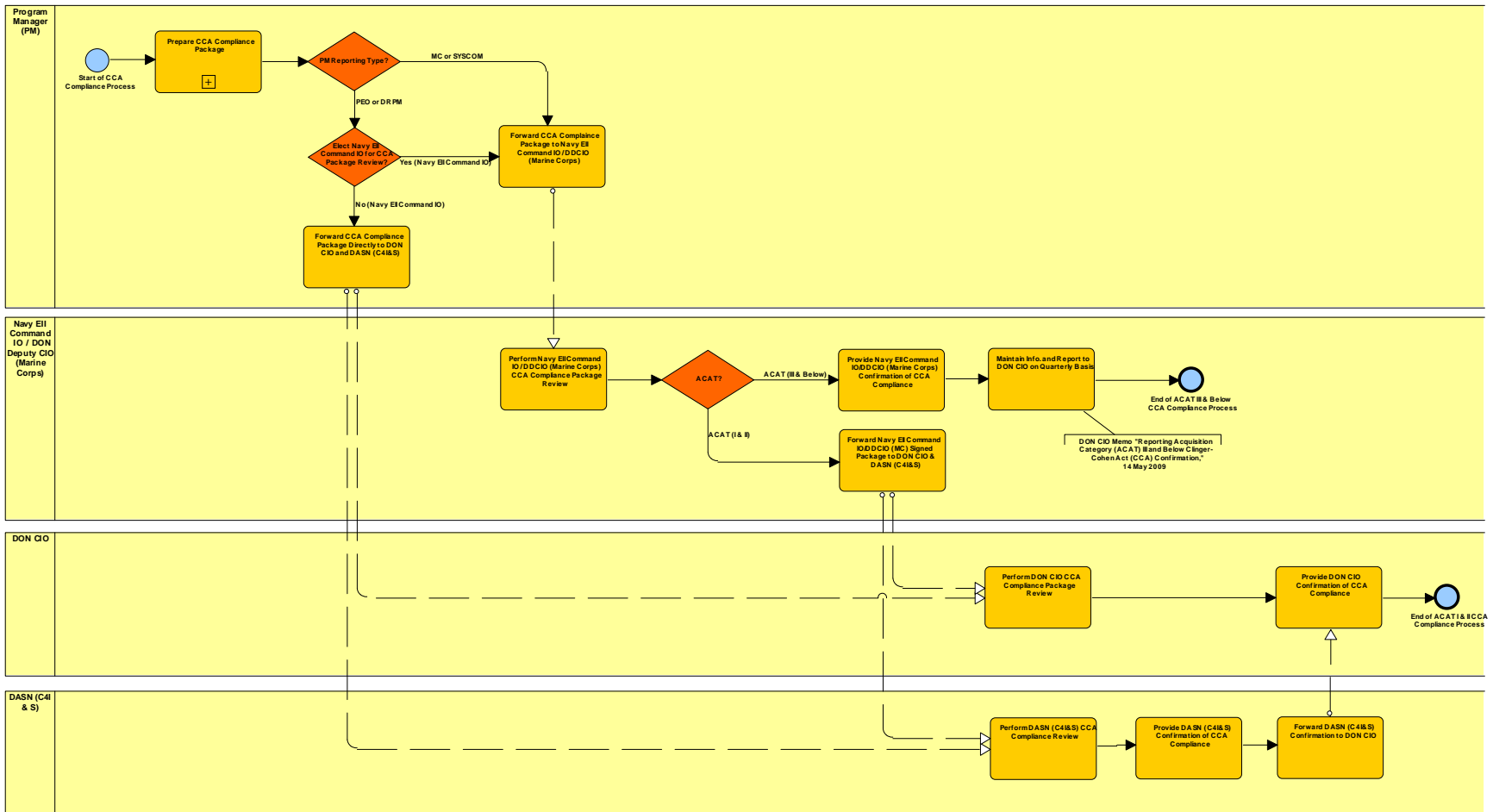
DON EA Compliance in CCA Confirmation Process

Prepare CCA Compliance Package

Complete CCA Compliance Table
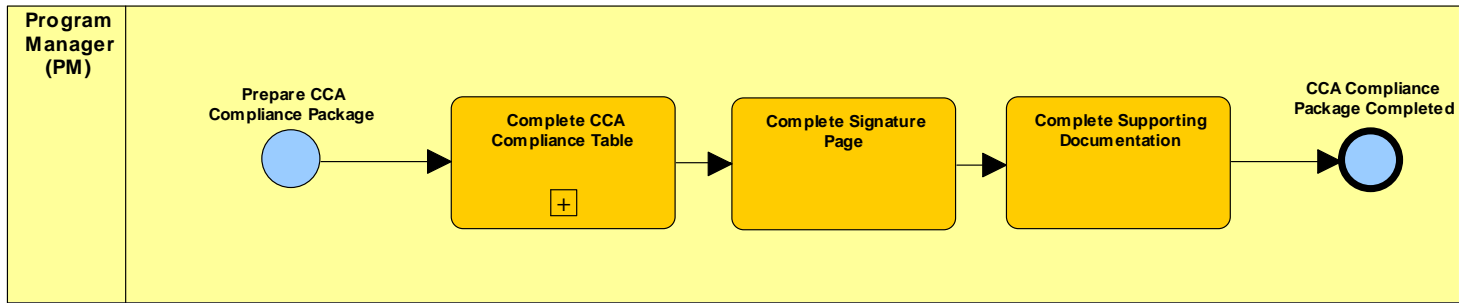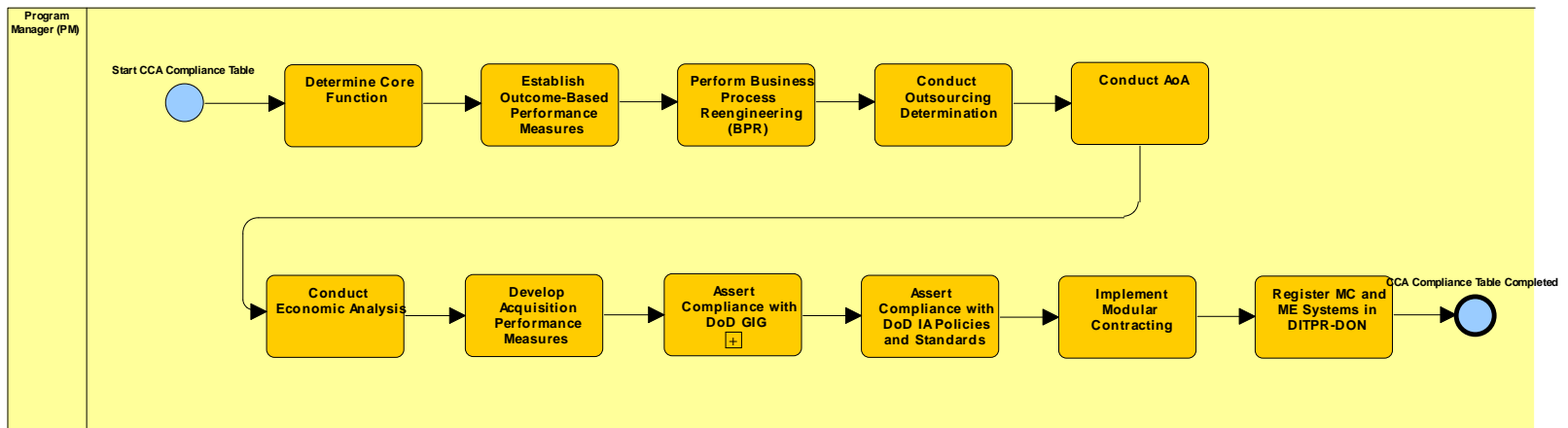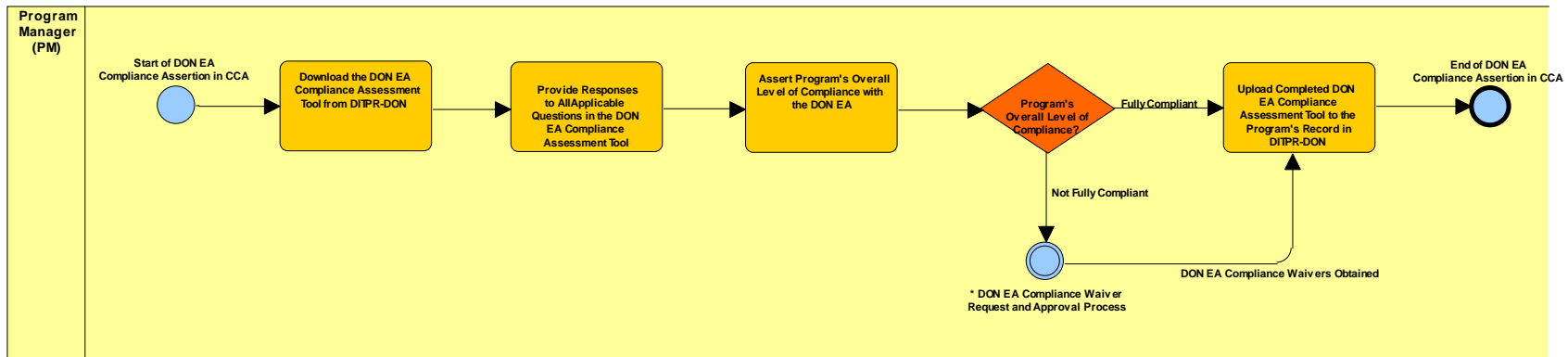
Enclosure (1)

Program Manager (PM)

Start Assertion of DoD GIG Compliance → **Assert Compliance with DON EA** [+] → ***Identify DON EA Compliance Assessment Tool (DECAT) Submission As Part of DoD GIG Compliance** → **Assertion of DoD GIG Compliance Completed**

Assert Compliance with DoD GIG

Program Manager (PM)

Start of DON EA Compliance Assertion in CCA → **Download the DON EA Compliance Assessment Tool from DITPR-DON** → **Provide Responses to All Applicable Questions in the DON EA Compliance Assessment Tool** → **Assert Program's Overall Level of Compliance with the DON EA** → **Program's Overall Level of Compliance?**

- Fully Compliant → **Upload Completed DON EA Compliance Assessment Tool to the Program's Record in DITPR-DON** → **End of DON EA Compliance Assertion in CCA**
- Not Fully Compliant → *** DON EA Compliance Waiver Request and Approval Process** → DON EA Compliance Waivers Obtained → **Upload Completed DON EA Compliance Assessment Tool to the Program's Record in DITPR-DON**

Assert Compliance with DON EA

Enclosure (1)