Summary of OMB Enterprise Architecture Assessment Framework v2.0 Criteria

Compiled by Austin Russ, austin.russ@robbinsgioia.com

	Enterprise Architecture Assessment Framework v2.0	1. Initial	2. Managed	3. Utilized	4. Results-Oriented	5. Optimized
1. Completion	1.1 Performance Architecture	ID Areas	Baseline	Target Arch	Transition	Mgt Proc
1. Completion	1.2 Business Architecture	ID BRM	Baseline	Target Arch	Transition	Monitored
1. Completion	1.3 Data Architecture (Information Management)	Data Assets	Exchanges	Target Arch	Data Stds	Procedures
1. Completion	1.4 Service Component Architecture	Appl Inv	Link to SRM	Target Arch	Transition	Svc Reuse
1. Completion	1.5 Technology Architecture	ID TRM	Interop Stds	Target Arch	Transition	Tech Reuse
1. Completion	1.6 Transition Strategy	Method	Gap Analysis	Sequencing	IT Portfolio	Line of Sight
2. Use	2.1 EA Governance and Management	EA Vision	Governance	Compliance	Transition	Remediate
2. Use	2.2 EA Change and Configuration Management	EA Policy	EA CM	Baseline	EA Artifacts	Dynamic Mdl
2. Use	2.3 Federation of Enterprise and Segment Architectures	Bureau EAs	Agency EA	Framework	Standardize LOB	One EA
2. Use	2.4 EA Deployment	EA Artifacts	EA Reposit'y	EA Training	EA Comm.	Integration
2. Use	2.5 CPIC Integration	EA not used	EA Process	Strategy & Budget	Guides Invest	Metrics
3. Results	3.1 Business Driven	Informal	Stakeholders	Questions	Measure v ?	? Drive EA
3. Results	3.2 Collaboration and Reuse	Ad Hoc	Taxonomy	Reuse Proc	Real savings	Ent Reuse
3. Results	3.3 Business Process and Service Improvement	Cust Survey	Metrics	Tracking	Improvement	Continuous
3. Results	3.4 IT Implementation Improvement	Not Aligned	EA in SDLC	Drive SDLC	SOA Plan	SOA realized
3. Results	3.5 E-Gov, LOB, SmartBuy Alignment & Implementation	Opportunities	POA&M	Migrate	Implement	New Oppty
3. Results	3.6 IPv6 Planning	Assign Lead	IP Inventory	Impact Anly	Transition	Backbone

Level: 1 Initial

Informal and ad-hoc EA processes. Practices and artifacts exist but may be incomplete and/or inconsistent.

1 Completion

1.1 Performance Architecture

Agency has identified performance measurement areas and categories based on the FEA PRM.

1.2 Business Architecture

Agency has identified business processes based on the FEA BRM including functions and sub-functions.

1.3 Data Architecture (Information Management)

The agency has partially documented elements of its baseline data architecture including data assets as defined by the DRM.

1.4 Service Component Architecture

Agency has identified its inventory of existing applications and aligned it with the FEA SRM.

1.5 Technology Architecture

Agency has identified technology products and standards currently used at the agency, based on the FEA TRM.

1.6 Transition Strategy

Agency has a well-documented approach/methodology for creating, maintaining, and managing the EA Transition Strategy. This approach typicall includes processes for performing gap analysis, alternatives analysis, and the management of projects over time.

2 Use

2.1 EA Governance and Management

The agency has developed a vision and strategy for EA.

The agency has begun to identify EA tasks, and resource requirements.

Agency has appointed a Chief Architect.

The agency has senior-level sponsorship of its EA Program, and the program is funded.

2.2 EA Change and Configuration Management

Agency has developed an EA policy to guide the development, implementation, and maintenance of EA.

It ensures agency-wide commitment to the development of EA and clearly assigns responsibility to do so.

2.3 Federation of Enterprise and Segment Architectures

Multiple bureau-level architectures exist within the agency. No policies or procedures exist to integrate bureau-level architectures into the agency-wide EA.

2.4 EA Deployment

EA artifacts are available, but dispersed throughout the agency.

Some form of an EA Artifact inventory is available.

2.5 CPIC Integration

Projects and purchases are typically done in isolation at the Bureau/LoB level, resulting in costly purchases and redundant development and training requirements.

Scattered CPIC processes exist for selecting, controlling, and evaluating IT investments.

EA data is not used to inform IT initiative/system funding decisions

3 Results

3.1 Business Driven

Agency EA program is informal and undefined. Processes and procedures for implementing a business-driven EA program may be incomplete and/or inconsistent across the agency.

3.2 Collaboration and Reuse

Reuse is an ad hoc process and is not fully demonstrated across the agency.

Agency does not structure new development toward reuse.

3.3 Business Process and Service Improvement

Agency has identified stakeholders/customer/user population and conducted a satisfaction survey/needs assessment for improving services for each business segment.

3.4 IT Implementation Improvement

Agency SDLC processes exist, but they are not integrated with EA in any meaningful way.

Agency developers do not align their activities to technical standards or reuse opportunities identified within the EA.

3.5 E-Gov, Line of Business, and SmartBUY Alignment and Implementation

Agency has identified opportunities to align the EA to E-Gov initiatives, LoBs and SmartBUY solutions.

3.6 IPv6 Planning

Agency has assigned an official to lead and coordinate agency planning for IPv6 transition.

Level: 2 Managed

EA processes are planned and managed, and artifacts are complete at least at a high level of definition.

1 Completion

1.1 Performance Architecture

Agency has identified measurement indicators for its baseline architecture and aligned them to baseline processes, services, technology, and data

There is clear traceability to measure and monitor performance throughout the agency EA.

1.2 Business Architecture

Baseline business processes are linked to the layers of the agency's baseline EA including performance, services, technology and data, as well as other business elements such as stakeholders, organizations, facilities, programs, investments and activities and security processes.

1.3 Data Architecture (Information Management)

The agency has partially documented elements of its baseline data architecture including data assets, exchange packages and data suppliers and consumers as defined by the DRM.

1.4 Service Component Architecture

Baseline applications are linked to service components in the FEA SRM, which in turn link to baseline EA elements including performance, process, technology and data and security processes.

1.5 Technology Architecture

Current technology components are linked to the layers of the agency's baseline EA including performance, processes, services and data and security processes.

Interoperability standards are defined at the business function level and are aligned to the TRM and SRM.

1.6 Transition Strategy

Agency has performed a redundancy and gap analysis identifying opportunities for consolidation or reuse and gaps between the baseline and target architectures.

2 Use

2.1 EA Governance and Management

Agency has established an EA Governance Committee or other group for directing, overseeing, or approving EA activities.

Internal and external stakeholders are identified based on their involvement in EA related activities and needed information.

The agency has selected an EA Framework and implemented a tool/repository capable of supporting the chosen framework.

2.2 EA Change and Configuration Management

A configuration management system exists to manage and maintain the EA. A configuration management system includes the storage media, the procedures, and the tools for accessing the system.

2.3 Federation of Enterprise and Segment Architectures

Agency EA governance process has established integration policies and processes providing a mechanism to link bureau-level EAs to the agency-level EA.

2.4 EA Deployment

An EA Repository exists within the agency. It houses the agency's EA artifacts and models and is readily accessible to the agency's EA user community.

2.5 CPIC Integration

Agency begins to streamline its CPIC process and integrate it with its EA Framework and process.

The agency IT investment review process identifies the business needs for identified IT projects fitting within its architecture

3 Results

3.1 Business Driven

Business and technology stakeholders are identified for each architecture/business segment.

3.2 Collaboration and Reuse

Agency EA is accurately aligned to the FEA reference models and profiles and agency services and service components are cataloged for reuse.

Agency enterprise assets are classified according to a standardized taxonomy in order to identify similarities.

Dependencies within EA have been identified and documented.

3.3 Business Process and Service Improvement

Agency has identified and documented business process/service improvement metrics (including baseline and target) for each architecture/business segment and metrics are linked to transition strategies, implementation plans, strategic goals etc.

Roles and responsibilities are assigned for performance measurement activities for improving each business segment.

3.4 IT Implementation Improvement

EA integrated in SDLC methodologies.

Agency programmers and developers are aware of agency EA including technical standards, reuse strategy and interoperability standards.

3.5 E-Gov, Line of Business, and SmartBUY Alignment and Implementation

Agency has developed a Plan of Action and Milestones (POA&M) for implementing E-Gov initiatives, LoB and SmartBUY solutions.

3.6 IPv6 Planning

Agency has completed an inventory of existing routers, switches, hardware firewalls, and other IP-compliant devices and technologies.

Level: 3 Utilized

EA processes and products are documented, understood, and are being used in at least some agency decision-making activities.

1 Completion

1.1 Performance Architecture

Agency has identified measurement indicators for its target architecture and aligned them to target processes, services, technology and data.

There is clear traceability to measure and monitor performance throughout the agency EA.

1.2 Business Architecture

Target business processes are linked to the layers of the agency's target EA including performance, services, technology and data, as well as other business elements such as stakeholders, organizations, facilities, programs, investments and activities and security processes.

Segment architectures have been defined for all agency lines of business, including mission-critical business segments as well as administrative or common/shared lines of business.

Target business architecture is aligned to the agency strategic plan and the IRM strategic plan.

1.3 Data Architecture (Information Management)

The agency has created a high-level target data architecture that identifies opportunities for information sharing and consolidation.

When applicable and required by law and policy, the agency has prepared and published inventories of the agency's major information holdings and dissemination products, and otherwise made them available for use by all interested and authorized parties including other agencies and as appropriate, the general public, industry, academia, and other specific user groups.

1.4 Service Component Architecture

Target service components are linked to the layers of the agency's target EA including performance, process, technology and data and security processes.

1.5 Technology Architecture

Target technology components are linked to the layers of the agency's target EA including performance, processes, services and data and securit processes.

Interoperability standards are defined at the business function level and are aligned to the TRM and SRM.

1.6 Transition Strategy

Agency has defined programs and projects in support of its target architecture and has a documented sequencing plan integrating program and project dependencies, performance improvement, security planning activities, staffing, and facilities plans, and enterprise transition states.

2 Use

2.1 EA Governance and Management

EA Governance Committee or other group meets on a regular basis and makes decisions related to directing, overseeing, and approving EA activities within the agency.

The Committee follows a formal process for holding, conducting, and recording meetings.

The EA Compliance process is followed consistently throughout the agency.

The Governance Committee reports compliance on a regular basis.

2.2 EA Change and Configuration Management

The agency has established an EA baseline that serves as the basis for further development, and can be changed only through the change contrc procedures.

The agency's configuration management process is used to review and accept changes to the work products and document any necessary changes.

As changes are made, the baseline is updated and archived.

2.3 Federation of Enterprise and Segment Architectures

Enterprise and bureau-level Eas are using a standard EA framework and modeling standards.

The Enterprise EA accurately reflects the bureau-level EAs.

The EA is integrated with strategic and capital planning processes.

2.4 EA Deployment

The agency's architecture is well defined and communicated.

Training is available and provided throughout the agency to increase the awareness and understanding of the EA concepts and processes.

2.5 CPIC Integration

The agency's EA Program is integrated with strategic planning and budgeting processes.

The agency's policies and procedureş specify the relationship of its architecture to its IT decision-making processes and criteria.

3 Results

3.1 Business Driven

The agency has begun to develop a vision for EA by identifying key business questions/business needs the EA (architecture/business segment) needs to answer and address.

3.2 Collaboration and Reuse

Agency has process in place for driving and ensuring reuse and a process or tool for measuring cost savings/avoidance as a result of reuse.

3.3 Business Process and Service Improvement

Agency monitors and tracks progress towards meeting the projected business process/service metrics.

Business process improvement measures are tracked and well documented and available via a centralized repository.

Agency demonstrates improved services and mission outcomes.

3.4 IT Implementation Improvement

Agency is using the EA to drive the SDLC and processes.

SDLC processes are a reflection of EA framework and standards.

3.5 E-Gov, Line of Business, and SmartBUY Alignment and Implementation

Agency is conducting EA alignment and migration activities and measuring progress against its POA&Ms.

3.6 IPv6 Planning

Level: 3 Utilized

EA processes and products are documented, understood, and are being used in at least some agency decision-making activities.

Agency has performed an impact analysis to determine fiscal and operational impacts and risks of migrating to IPv6.

Level: 4 Results-Oriented

EA processes are measured for effectiveness against a set of established performance criteria.

1 Completion

1.1 Performance Architecture

Incremental improvements in agency performance measures are included as milestones in the EA Transition Strategy.

1.2 Business Architecture

Business target architecture informs transition planning and investment decision-making.

Transition strategy demonstrates transformation from baseline to target business architecture.

Selected investments demonstrate alignment to target business architecture.

1.3 Data Architecture (Information Management)

The target data architecture identifies mechanisms for information dissemination and classification within the agency.

Where applicable, the agency is using data standards to fulfill mission needs and meet the requirements of law and policy and has published the nature and use of such standards centrally for access by all interested parties, including the general public.

Where data standards are applicable, the agency has adopted voluntary standards or Federal Information Processing Standards; and, where existing standards are not available, has followed prescribed policies (i.e., OMB Circular A-119) for developing unique standards.

1.4 Service Component Architecture

Service component target architecture informs transition planning and investment decision-making.

Transition Strategy demonstrates transformation from baseline to target service component architecture.

Standardization and reuse of service components is supported through agency SDLC and CPIC policy and procedures.

The Transition Strategy informs agency investment planning and execution by providing specific investment recommendations as part of the CPIC process.

1.5 Technology Architecture

Technology target architecture informs transition planning and investment decision-making. Transition Strategy demonstrates transformation from baseline to target technology architecture.

Standardization and reuse of technology components is supported through agency SDLC and CPIC policy and procedures.

The Transition strategy informs agency investment planning and execution by providing specific investment recommendations as part of the CPIC process.

1.6 Transition Strategy

Agency shows clear linkage between programs and projects in the EA Transition Strategy and the initiatives in the agency investment portfolio.

2 Use

2.1 EA Governance and Management

EA Governance Committee manages and monitors the agency EA using the enterprise transition strategy and IT investment project plans.

The EA Governance Committee identifies any risks to EA implementation and develops a plan to mitigate them.

The agency captures metrics to measure the progress against the established EA plans.

Goals are being set for the future of the EA Program Plan.

Alignment to the EA standards has become common practice throughout the agency.

The compliance process is reviewed and updated when deficiencies or enhancements to the process are identified.

2.2 EA Change and Configuration Management

The agency's configuration management process evaluates EA artifacts to determine any discrepancies between them and the approved baseline

2.3 Federation of Enterprise and Segment Architectures

Agency has begun to standardize its common processes/LoBs across bureaus (e.g., finance, human resources, IT).

The agency has identified common re-usable architecture components and technologies.

2.4 EA Deployment

An EA Communication process is in place and being followed.

The communication process is updated as necessary and the content of communications materials is updated periodically.

2.5 CPIC Integration

Enterprise Architecture is used to guide development and acquisition of investments/systems.

The agency captures metrics to measure the savings in resources, including time and money.

Costs and benefits, including benefits across agency boundaries, are considered in identifying projects.

3 Results

3.1 Business Driven

EA artifacts and activities are designed and measured against the business questions/needs assessment in support of the agency mission.

3.2 Collaboration and Reuse

Agency can demonstrate realized cost savings/avoidance through reuse of components.

3.3 Business Process and Service Improvement

EA program measured for effectiveness against the business process/service improvement criteria.

Agency demonstrates improvements to business processes and customer services and mission outcomes.

3.4 IT Implementation Improvement

Agency has a documented plan for evolving to a Service Oriented Architecture for various business segments.

3.5 E-Gov, Line of Business, and SmartBUY Alignment and Implementation

Agency is implementing the common solution and/or migrating towards the common solution; duplicative and redundant systems are being shut down; resources realigned from administrative to more strategic focused work.

Agency demonstrates real cost savings and cost avoidance as a result of EA program implementation.

3.6 IPv6 Planning

Level: 4 Results-Oriented

EA processes are measured for effectiveness against a set of established performance criteria.

Agency has developed an IPv6 transition plan and integrated this plan with the agency EA transition strategy.

Level: 5 Optimized

EA processes continuously drive business improvement within the agency. Demonstrable improvements in efficiency, cost savings and service quality.

1 Completion

1.1 Performance Architecture

Agency has documented its performance measurement processes and aligned them with other management processes including Capital Planning and Investment Control (CPIC), strategic planning, Systems Development Life Cycle (SDLC), and IRM (info. Resource mgt.)

Performance measurement indicators and processes are monitored, measured, and updated on a regular basis.

1.2 Business Architecture

Business architecture is monitored, measured, and updated on a regular basis.

1.3 Data Architecture (Information Management)

When applicable and required by law and policy, the agency has: 1) documented procedures to ensure information is properly managed (i.e., created, collected, categorized, inventoried, preserved, disseminated, searched for, retrieved, and shared) in a manner consistent with applicable information policies and procedures; 2) implemented such policies; and 3) prepared and published inventories and otherwise made them available for use by all interested and authorized parties including other agencies and as appropriate, the general public, industry, academia, and other specific user groups.

Where applicable, the agency is using data standards to fulfill mission needs and meet the requirements of law and policy and has published the nature and use of such standards centrally for access by all interested parties, including the general public.

Where data standards are applicable, the agency has: 1) adopted voluntary standards or Federal Information Processing Standards; 2) where existing standards are not available, has followed prescribed policies (i.e., OMB Circular A-119) for developing unique standards; 3) has documented procedures to ensure information is managed (i.e., created, collected, categorized, inventoried, preserved, disseminated, and searched for, retrieved, and shared) in a manner consistent with any applicable standards; and 4) has documented procedures to ensure IT investments and acquisitions comply with any applicable standards as well as other associated policies and procedures.

1.4 Service Component Architecture

Service component architecture is updated on a regular basis and service component sharing and reuse within and across agencies is monitored and measured.

Service components available agency-wide.

EA provides capabilities to help enhance and improve interoperability and information sharing.

1.5 Technology Architecture

Technology architecture is updated on a regular basis and technology standardization and reuse within and across agencies is monitored and measured.

A well-defined process for technology insertion within the agency exists.

Technology components available agency-wide.

EA provides capabilities to help enhance and improve interoperability and information sharing.

1.6 Transition Strategy

Performance management has been incorporated in the agency Transition Strategy and Sequencing Plan and the agency is measuring progress towards achieving its target architecture.

There is a clear line of site established between PART scores, Programs, investments and agency EA.

2 Use

2.1 EA Governance and Management

The EA Governance Committee ensures EA compliance throughout the agency.

If non-compliance is identified, the Committee is responsible for developing a plan to resolve the issues.

2.2 EA Change and Configuration Management

The agency's EA is a dynamic model that represents changes to the agency's constraints and business drivers.

The agency has a formal process for defining and implementing changes to the architecture.

This process recognizes both internally and externally prompted change, and provides for continuous capture and analysis of change proposals and informed decision-making about whether to make changes.

2.3 Federation of Enterprise and Segment Architectures

The agency has one centralized EA used by all bureaus and organizations.

There is no redundancy between architectural elements (processes, information, services and technology) found at the enterprise and bureau levels and represented in the agency EA.

The agency EA is integral to strategic and capital planning and systems development.

2.4 EA Deployment

Use of the EA Repository and its web interface is integrated with CPIC, SDLC, and strategic planning processes.

2.5 CPIC Integration

Information gathered during the compliance process is used to proactively identify changes needed in the EA and drive the development of IT business cases for new IT investments.

Architecture metrics are used to drive continuous process improvements.

3 Results

3.1 Business Driven

Business improvement opportunities are continuously identified and progress towards meeting the needs is demonstrated; business questions/needs are driving the EA program, transition strategies etc. in alignment with the strategic mission and executive direction of the agency

3.2 Collaboration and Reuse

Enterprise-scale reuse occurring consistently within agency; demonstrating direct and tangible returns to an agency's EA investment. Reuse can include systems and technologies.

Documented cost savings and avoidance from the reuse of services and service technology components.

3.3 Business Process and Service Improvement

Agency optimizes use of stakeholder/customer/user business needs to continuously inform decision-making and resource allocation.

Through performance measurement and reporting, relevant trends and anomalies are identified, corrective actions are taken, and cost savings/avoidance data calculations inform business/budget decision-making.

3.4 IT Implementation Improvement

Level: 5 Optimized

EA processes continuously drive business improvement within the agency. Demonstrable improvements in efficiency, cost savings and service quality.

Agency has implemented a Service Oriented Architecture (SOA) and is realizing the benefits.

3.5 E-Gov, Line of Business, and SmartBUY Alignment and Implementation

EA program is continuously driven by common solution strategies including E-Gov initiatives, LoBs and SmartBUY solutions.

Agency is continuously identifying new opportunities to leverage cross-agency initiatives such as LoBs and SmartBuy.

3.6 IPv6 Planning

Agency has migrated its network backbone to IPv6, and provided a capability for all its networks to interface with this backbone.