

**United States
Department of
Commerce**

**Enterprise Architecture
Program Support**

**Enterprise Architecture
Investment Compliance Criteria**

Version 2.0

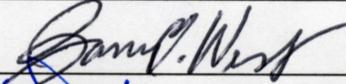
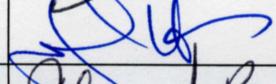
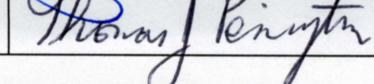
August 27, 2007

Document Revision History

Version	Date	Notes
2.0	August 27, 2007	Major revision to Feb 2000 version

Approvals

This document has been presented to and approved by:

Department of Commerce	Date	Signature
Barry C. West Chief Information Officer	9/25/07	
John W. McManus Chief Technology Officer	9/21/2007	
Thomas J. Pennington Chief Enterprise Architect	9/20/07	

EA Compliance Requirements Checklist

This document defines the minimum criteria for compliance of an investment with the DOC Enterprise Architecture (EA). These criteria will be used as the basis for evaluating EA compliance for all investments submitted to the DOC Enterprise Architecture Review Board. The charter for the EA Review Board is available [here](#).

The criteria are broken down into the five standard categories or views of the EA, the enterprise, business, data, applications, and infrastructure views. Additionally, performance metrics are present in each view, as well as relevant IT Security linkages.

EA compliance requirements

Enterprise view - This is the overall view of the Department, its mission, and the IT Portfolio used to accomplish the mission. The questions below help to determine the fit of a given investment within this overall structure.

1. Does the investment support DOC Strategic Goals and Objectives identified in the [DOC Strategic Plan](#)?
2. What are the requirements and outcomes this investment supports?
3. What identified enterprise capability or performance gap does the investment address?
4. What are the performance metrics that will be used to determine the success of the investment once implemented?
5. How critical is this investment to the success of the DOC mission?

Business View - This view is directed at the specific business area where the investment will be made. The questions here help to determine exactly what business (mission) function is being supported, and that all parties impacted by the investment are participating and informed of what is going on.

1. What line of business and sub-function is the investment part of?
2. What are the performance measures for this investment (from the FEA PRM?)
3. Is all or part of this already being done elsewhere?
4. What are the outputs and outcomes provided by this investment?
5. Who are the stakeholders and customers of this investment?
6. What business processes, internal or external, are dependent on the performance of this investment?
7. What business processes, internal or external, is this investment dependent on?
8. What are the business rules that govern this business process?
9. What is the appropriate security classification for this investment?

Data View - This view describes the data and the information derived from the data in the identified business process. The questions here help to determine the authoritative source of the data, its lifecycle, and final disposition.

1. Is the data used by this process characterized using the [DOC EA template](#), and/or the FEA Data reference model?
2. What is the origin and final disposition of the data?
3. Is the data source authoritative?
4. Is the data archived?
 - a. If so, does it use a shared service?
5. What products and/or services are produced from this data?
6. Are security access levels defined and appropriate controls in place?
7. Are performance metrics defined for this view?

Applications View - This view describes the software system(s) used to implement the business processes and rules.

1. Does the application comply with the DOC Technical Reference Model and Standards Profile?
2. Are interfaces with other systems fully documented?
3. What data is exchanged?
4. Is the chain of dependencies identified?
5. Are standard COTS/GOTS software packages used to construct the applications?
6. Are user roles defined and appropriate security classes and controls identified?
7. Are there other sources (shared service provider, reusable modules) for performing the business tasks that could be more efficiently used?
8. Do any of the components introduce new security risks and if so, are they properly accounted for?
9. Is the application system dependent or independent?
10. Are performance metrics defined for this view?

Infrastructure View - This view describes the hardware, network, and middleware components of the system.

1. Does the investment use existing infrastructure components?
2. Can infrastructure components be consolidated?
3. Have capacity and bandwidth requirements for the application and all downstream systems been accounted for?
4. Does the investment introduce any non-standard infrastructure components?
 - a. If so, is there a waiver from the DOC CIO or other appropriate official?
5. Are there any requirements for the system that conflict with existing security policy?
 - a. If so, is there a remediation plan to cover the issue?
6. Are performance metrics defined for this view?