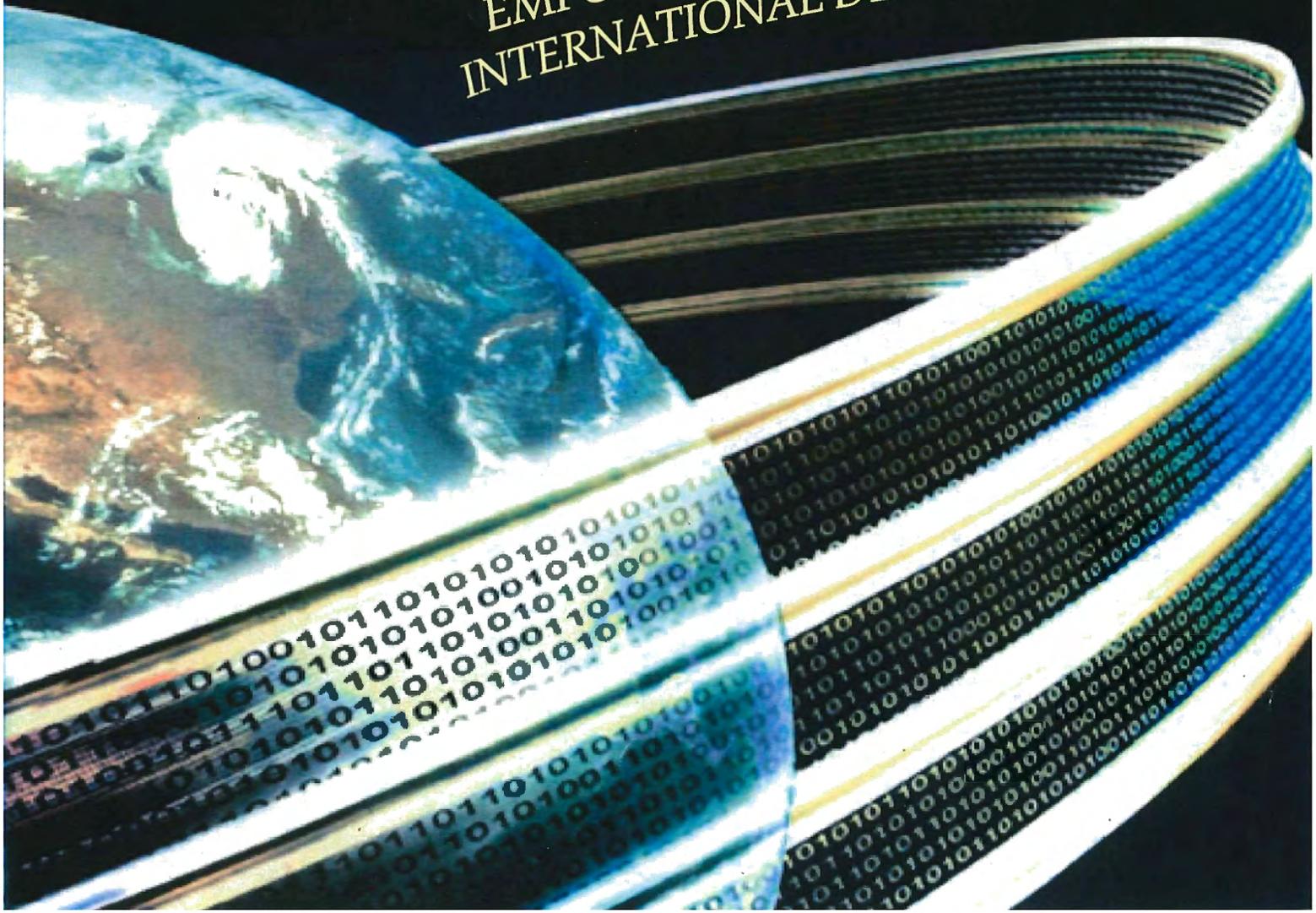


**Joint Enterprise Architecture
Completion and Use Plan
Progress Report**

*EMPOWERING DIPLOMACY &
INTERNATIONAL DEVELOPMENT*



Joint Enterprise Architecture Completion and Use Plan
Progress Report

Department of State-US Agency for International
Development

**Joint Enterprise Architecture
Completion and Use Plan**

**Progress Report
May 31, 2005**

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1. Introduction

This document reports Department of State-USAID Joint Enterprise Architecture (JEA) efforts and progress made in response to OMB's April 2005 comments to the State-USAID Joint EA (JEA) Completion and Use Plan (CUP) submitted in January 2005. In this EA CUP submission, State and USAID summarized a schedule, actions to be taken, and scoring goals for each category of the EA CUP. Collectively, the scheduled actions are intended to elevate the maturity of the JEA plans and processes at both agencies and enable the realization of an actionable JEA. In this document we summarize our joint efforts in the action items and corresponding OMB comments that are relevant to those categories that are either currently due or will be due in the next fiscal quarter.

In formulating our responses, we draw on a number of earlier EA and Joint EA efforts, including the following:

- **Joint EA Version 2 (September 2003)** that was the basis for the OMB's last assessment of Joint EA activities between State and USAID.
- **Applied Joint EA (February 2005)** that was reviewed by OMB, received favorable comments, but was not used to assess Joint EA progress. Specifically it addressed:
 - **Joint EA Governance** approach that this report expands upon.
 - **Unify and Simplify Analysis** that examined program/management areas in the Joint Policy Council (JPC) and the Joint Management Council (JMC) as well as services/processes in information security and telecommunications.
 - **Preliminary Gap Analyses** that resulted in joint recommendations for formulating the joint operational environment in information security and telecommunications services/processes.
- **Business Alignment Analysis** of joint strategic and performance goals with the enterprise business architecture and the Federal Enterprise Architecture (FEA) Reference Models, with a sample product submitted to OMB in March 2005.
- **Findings of the Duplication Action Team (DAT)**, an ongoing Department-wide initiative in conjunction with application and process owners at State to identify and reduce duplicative applications.

The above products bear witness to the progress we have made toward formulating joint performance, transition, and governance between State and USAID for enlarging interagency collaboration through maturing the Joint EA. To date we have gone through both a business and a technical analysis to establish a "joint to-be" model in several key areas that cut across functional and organizational boundaries. Further we have begun planning and developing a strategy for the transition to the new architecture. Our efforts have also resulted in the identification and classification of transitional business needs based on evolving State and USAID needs and reduction of redundant or similar processes that were identified as part of the

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State/USAID collaboration. Similar progress has been made on the technical architectural levels as well.

The activities we are currently performing target the need to encourage and grow the involvement of a broad community of management responsible for selecting the implementation approach to be taken, establishing performance milestones, and monitoring progress against those milestones. We further realize that if this effort is to be a success the Joint EA effort must:

- Make clear the benefits of using the EA as a framework by demonstrating its ability to provide continuing cost effective support of business needs.
- Provide the users with tools such as the EA Repository that will facilitate the use of the linkage between the business requirements and the supporting IT infrastructure.
- Support a Governance structure for the continuing support of management's direction in meeting evolving business needs.
- Tie efforts into all E-Government (E-Gov) Line of Business initiatives to maximize the deployment of common systems and processes.

Chapter 2 that follows addresses joint activities and progress made in response to OMB's comments on five category areas in the EA Completion Plan: architectural approach, strategic direction, data, performance, and security. Each section begins with a summary of our original EA CUP submission and OMB's response to it. We summarize our progress and planned activities in each category in Chapter 2.

Chapter 3, the EA Use Plan, summarizes the status of joint efforts geared toward using EA and elevating awareness of Joint EA within the two agencies. Progress made in the joint repository and the EA integration with Capital Planning and Investment Control (CPIC) process are reported.

2. EA Completion Plan

2.1: Architectural Approach

Current Rating: 3.0 – “The transition plan describes some portions of the changes needed to transition from As-Is to target; and information value chain model (operational views).”

Proposed Rating: 4.0 - “Process for identifying, managing and closing gaps between target and current state is well documented within the EA.”

Proposed Approach: As submitted in the JEA Completion and Use Plan in January 2005, by Q3 FY05:

- Update the EA framework to incorporate FEA reference models.
- Integrate the new framework with Joint Transition Strategy and Architecture Development Approach.

OMB Feedback

- Complete the process of documenting how the agency will create an EA transition strategy. This includes gap analysis, alternatives analysis, gap reduction, risk analysis/management, sequencing of projects over time, and strategies for achieving executive-level stakeholder commitment and buy-in, as well as identifying major impacts on workforce and facilities planning.
- Provide detail on how the agency will transform the Transition Strategy into an actionable sequencing plan, complete with projects, milestones, budgets, and dependencies.

Current Status

There are four areas that form the current focus of the development of the Transition Strategy.

- Numerous bureaus are working within State and USAID, each of which has more or less independently defined its own internal IT support infrastructure. The need to resolve architectural infrastructure differences between the bureaus as well as between State and USAID has been recognized and an Information Security and Telecommunications (IST) activity was initiated to establish, where possible, a common support architecture in these areas.
- Applications which provide functionally similar or overlapping services are known to have been developed over the years. State’s Duplication Action Team (DAT), which includes EA, IT operations, and user representation, is performing an analysis of known applications and systems and providing a series of recommendations for application and system consolidation.
- The possibility of overlaps between State and USAID business processes has been recognized. Consider using State’s Pre-Select process to identify these potential overlaps. In addition, a Joint Business Reference Model (BRM) has

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been developed to identify unique and joint Lines of Business. In addition, the Applied JEA identified areas of potential business collaboration.

- An analysis of the data management processes within State is ongoing to address the appropriate structure needed to improve information sharing within State and to promote sharing with USAID. This will also provide the framework for the integration of the FEA Data Reference Model (DRM).

The Joint EA team will use the results of these reviews to identify State, USAID, or joint initiatives that may be of significant interest in moving to the target architecture. The performance criteria for proposed changes and the Transition Strategy for effecting these changes must come primarily from the owners of the business or support area where the change is proposed.

The approach to realizing a transition to the target architecture is shown in figure 1. The "clouds" below the central column labeled "Transition Strategy & Plans" show the analysis and management support needed to effectively define the transition strategy

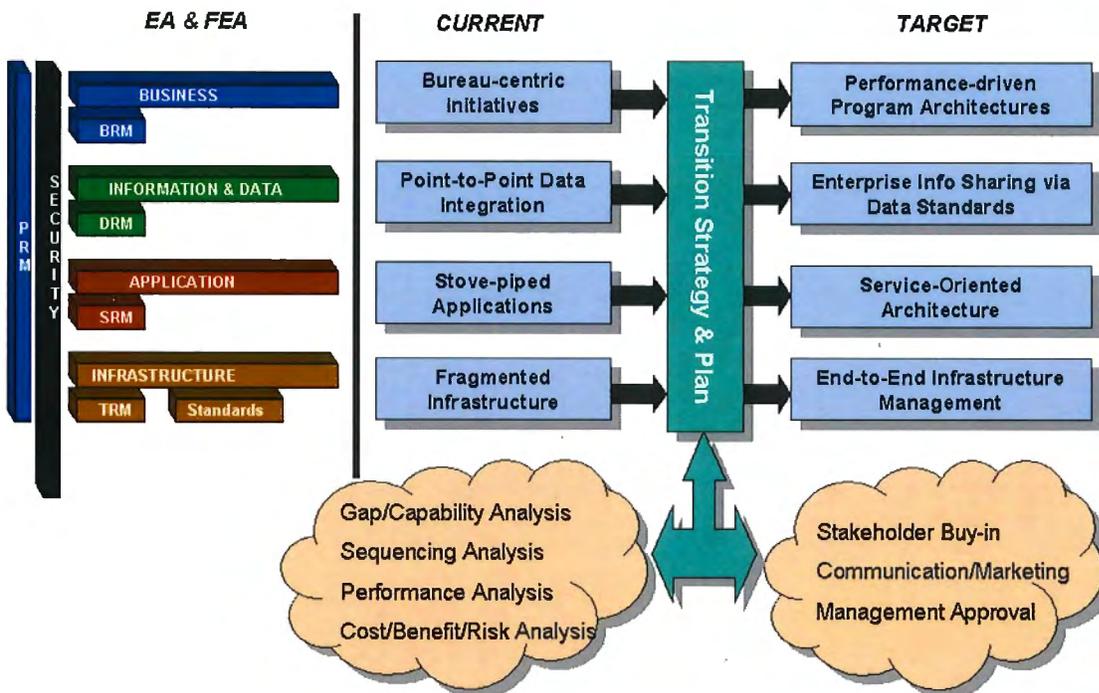


Figure 1 – Major EA Modernization Drivers

Four development phases are planned or currently in progress to build the Transition Strategy through the approach shown in Figure 1 above.

- Phase 1 establishes a transition baseline by using a Redundancy and Gap Analysis to identify major functional transition areas. The Joint EA team has primary responsibility for the development of products resulting from this

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phase. Business and operational process owners provide information, guidance, and support where required.

- Phase 2 selects from among transition alternatives and defines Program and Projects to be included in the Transition Strategy. Attempt to utilize State's Pre-Select Process to define criteria; the joint EA team is responsible for performing an in-depth joint analysis on the basis of the criteria provided by the process owners.
- Phase 3 reviews earlier analyses and business priorities and examines dependencies to create an Enterprise Sequencing Order. Process owners provide guidance to the joint EA team in resolving ordering sequence.
- Phase 4 uses the results of the first three phases to build a Transition Strategy. The Strategy is reviewed by all process owners to determine the impact that may result. The joint EA Team is responsible for the development of the Transition Strategy. Process owners are responsible for ensuring that all needs and priorities have been addressed.

Transition Strategy support in the form of executive level stakeholder commitment and buy-in is a critical factor throughout the conduct of the four phases. Forums such as the Duplication Action Team (DAT) and facilitated sessions are planned to ensure that all stakeholders have a common understanding and commitment to transition decisions.

Additional facilitation, led by the Department's E-Gov PMO currently fosters the development of funded projects that include project sponsors, CPIC owners, project managers, and resource management. The objective of these facilitated sessions is the development of actionable sequencing plans, with projects, milestones, budgets, and dependencies.

Discussions of each of the four phases follow below.

Phase 1. – Establish Transition Baseline

State and USAID have made significant progress in establishing the groundwork to create and implement a joint EA transition strategy and plan. The Joint EA team gathered input from various sources that included management's strategic vision and near-term tactical needs and discussions with operational groups to determine current development directions and constraints. This information was used to establish a set of likely transition targets. Redundancy and Gap Analysis was performed to examine how the various programs would be impacted.

- A joint BRM, which examined all 51 lines of business (LOBs) and 243 Sub-functions defined at the federal level, was developed. Using the Joint Strategic Plan and Joint EA Version 2 Business Architecture, LOBs and Sub-functions were identified that align with State and USAID business processes.
- Based on a "Unify and Simplify" analysis, the Joint Information Security and Telecommunications Architectures are moving toward an integrated To-be, gap analysis, functional prioritization, and migration planning activities.
- The DATs at State worked closely with bureau staff to identify 13 areas of potential application duplication. Currently, teams for the first six of the 13 authorized duplications areas have been formed. The remaining teams will be formed as available bureau resources allow.

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- Two major IT programs supporting the transition to Enterprise Services Implementation are currently underway; Retooling E-Government Across Changing Horizons (REACH) and State Messaging and Archival Retrieval Toolset (SMART).

Additional formatting and structure for the Transition Strategy was specified in the February 2005 Applied Joint EA (JEA).

- The "Transition Strategy and Next Steps" chapter described, at a high level, steps and approaches to perform the transition to the target environment.
- The Applied JEA fully embraced FEA Reference Models and is integrated with the CPIC process.
- Emerging joint business requirements captured new business requirements that had evolved since the release of the Joint EA Version 2 business requirements.
- Recommendations were made to support the transition to the enterprise services framework and to support more mature knowledge management practice.
- Potential joint IT investment projects based on a joint BRM were identified and submitted for consideration as the basis for a more detailed migration plan.

To extend and maintain the resulting baseline a process was developed, and offered to process owners, that supports the identification and evaluation of functionally similar processes with the goal of creating greater operational efficiency through unification and simplification of support activities.

In addition, specific joint investment recommendations have been cited, supporting domestic and overseas administrative functions, as an initial set of "unify and simplify" projects.

Phase 2. – Select from Transition Alternatives

Building on Select-Control-Evaluate processes, use the results to jointly define programs and projects to be included in the Transition Strategy and subsequent Migration Plans. Program and project selection will consider:

- Current business priorities, probable additional short-term urgency of need, availability of staff, and financial resources. The resulting list of candidate programs and projects will be examined to ensure that entries are technically feasible.
- Program and Performance Analyses being conducted to define performance goals for transition targets. Business-level performance analysis currently underway has established linkage between State and USAID programs and performance goals and indicators have been mapped to the joint architecture. This topic is more fully discussed in the Performance section of this document.

Phase 3. – Develop Enterprise Sequencing Order

The results of phase 2 are used to perform a sequencing analysis for defined programs and projects. Selecting and sequencing transition areas requires close

collaboration with process owners to ensure their continued support and commitment to the recommendations offered. Sequencing activities consider a number of criteria:

- When multiple feasible and architecturally compliant technical solutions are available one is selected considering factors such as: cost/benefits/risks and resource requirements.
- Functional dependencies are examined to determine if implementation is constrained by the need to resequence development.
- The sequenced ordering is reviewed with responsible managers to ensure “buy-in” prior to the development of the final Transition Strategy.

At the end of this phase the process/application owner should feel responsible for building the individual implementation plan, which is required after the presentation of the Transition Strategy.

Phase 4. –Develop Transition Strategy

The Transition Strategy is built based on the results of prior analyses. Primary existing elements in it include the results of the State E-Government Program Board Governance process, redundancy and gap analysis, recommended programs/projects, and the sequencing order. Results of redundancy and gap analysis are used to identify areas that require changes in relation to transitioning to the target architecture. Programs/projects to implement necessary changes are then defined and sequenced using criteria based on dependencies, impact, risk, and resource constraints. Managers are asked to conduct a final review of the impact of the strategy on all program areas. The contents of the Transition Strategy has also become part of the Joint EA repository.

Each individual project’s implementation will follow the Transition Plan. The plans must then be reviewed to evaluate their adherence to the:

- Overall architectural direction established in the JEA
- Compliance with the overall JEA strategy
- Impact on other plans due to changes in either of the above areas

The maintenance of the Transition Strategy will require that new information be captured as business requirements evolve. Capturing emerging requirements and incorporating them as part of the Transition Strategy are two of the next areas of focus for the joint EA.

Planned Activities

The primary goal of the EA Transition Strategy is to guide the planning and execution of IT investments. While the four-phase architectural approach described offers a foundation for a disciplined and repeatable process for developing an EA Transition Strategy, the acceptance, maturing, and implementation of the process requires an orchestrated effort of communication, commitment, collaboration, and maintenance. The State’s and USAID’s joint EA team will focus on two areas concerning the maturation and extension of the Transition Strategy.

Focus Area One: Mature the process to develop actionable EA Transition Strategy

Figure 1 on page 7 shows two “clouds” under the central column labeled Transition Strategy and Plan. The cloud on the left lists the analyses that are performed as part of the four phases described earlier. We use these to define the basic Transition Strategy development process. The cloud on the right defines the managerial buy-in required to make the process a success. The activities required to acquire management buy-in are the first area of focus for our planned activities and are to be conducted in parallel to the development of the four phases described above. These include:

- Obtain management consensus and commitment – An initial buy-in is required as soon as possible if the transition process is to effectively proceed. The joint EA team will develop a strategy and plan to communicate and collaborate with business communities.
- Refine the Transition Strategy process – After collaborating on migration plans we will refine the process to include lessons learned and best practices. Of special interest to the joint EA team is the review and refinement of the recommended redundancy, gap analysis, and sequencing analysis.
- Provide enhanced tools and communication to support the building of the Transition Strategy – We intend to closely examine the accessibility of Transition Strategy information provided to—and received from—the stakeholders that we are working with. We will analyze the repositories that we are currently using to determine the feasibility of consolidating them and providing a uniform retrieval function. This includes the EA repository, DAT information repository, and equivalent USAID repositories.
- Joint EA Governance – The next section of this document reviews the status of the effort now underway to develop a joint State/USAID governance structure. The Transition Strategy will support this function through the preparation of required project/effort objectives, definitions, and tracking information. We are planning to work closely with the Governance organization as it forms in order to make this information accessible as it is needed.

Focus Area Two: Continue joint work on IST Architectures and include USAID in DAT efforts

The second area of focus addresses the need to extend the Transition Strategy in order to keep pace with evolving business needs and availability of more efficient technology. We are first expanding the scope of collaboration between State and USAID to explore the possible extent of joint transition planning that can be performed. We are, in parallel, going to examine the Transition Strategy and impact that a number of ongoing major modernization initiatives will have on the existing Transition Strategy.

- Duplications Analysis – The DATs at State worked closely with bureau staff to identify 13 areas of potential applications duplication. As the application inventories of USAID are captured and mapped to FEA models, State and USAID expect a joint analysis of applications and systems used at both agencies to identify opportunities to further reduce duplications.

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- Infrastructure Support – We are looking at both State and USAID infrastructure services with the objective of establishing a Transition Strategy for current functional support. This includes continued joint efforts in IST Architecture that will lead to joint investment opportunities for providing common infrastructure support services for both agencies.

2.2: Strategic Direction

Current Rating: 3.0 –

- “The EA defines a target architecture.”
- “EA defines change and risk management strategy or approach.”

Proposed Rating: 4.0 –

- The EA defines a transition and sequencing plan.
- EA defines a communications strategy.

Proposed Approach: As submitted in the JEA Completion and Use Plan in January 2005, by 4Q05:

- Develop a joint State-USAID EA governance model to integrate joint EA with CPIC process.
- Develop a joint State-USAID EA Communications Strategy.

OMB Feedback

- The EA transition strategy must be complete and accepted throughout the agency.
- Chapter 3 of the “Practical Guide to Federal Enterprise Architecture” provides guidance on how to develop a formal EA communications strategy.
- Perform EA training through the agency to instruct stakeholders how to use the EA to improve agency mission performance.

Current Status

A Joint EA Governance structure along with an effective communications strategy are critical to the operationalization of the JEA. If the EA does not reflect the business direction of both organizations, it will lose senior management support and project managers may abandon it as being an unnecessary burden. Any successful future business model for State and USAID joint initiatives must include effective and efficient JEA governance ensuring that: priorities are based on broad consensus across the two agencies; and also that JEA compliance is participatory, transparent, and accountable.

Proposed Joint EA Governance: A conceptual To-Be Joint EA Governance process for State and USAID is currently under development. In the broadest sense, Joint EA Governance should be seen both as the exercise of managerial authority to manage the development and implementation of both organizations’ Joint EA, while providing direction and guidance that support their shared mission and business objectives.

An initial Joint EA governance strategy should provide the following:

- Direction, guidance, principles, and procedures that support Joint State/USAID mission and business objectives.
- Joint EA alignment with—and support of—the PMA, OMB guidance, E-Gov Program Board (E-GovPB) & Business Transformation Executive Committee

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(BTEC) decisions, JMC initiatives, CPIC, and State/USAID Strategic and Joint IT Strategic Plans (ITSP).

- Clear policy and guidance for various Joint collaborative initiatives between USAID and State.
- Leverage of existing IT management boards and resources by adjusting charters and procedures as necessary.
- Alignment and coordination with both State and USAID capital planning schedules.

Developing comprehensive governance to support the Joint Enterprise Architecture process will require continuation of the intensive collaboration initiated by State and USAID in November 2004. To this end, the creation of a Joint Enterprise Architecture Subcommittee will facilitate the Joint EA governance process for the two agencies.

The objective of the Joint EA Subcommittee is to provide agency-wide leadership and direction, on behalf of State and USAID for the Joint Enterprise Architecture established between the two agencies.

The Joint Enterprise Architecture Subcommittee, as shown below in Figure 2, is a joint advisory committee, which reports to both State and USAID E-Gov/IT governance structures.

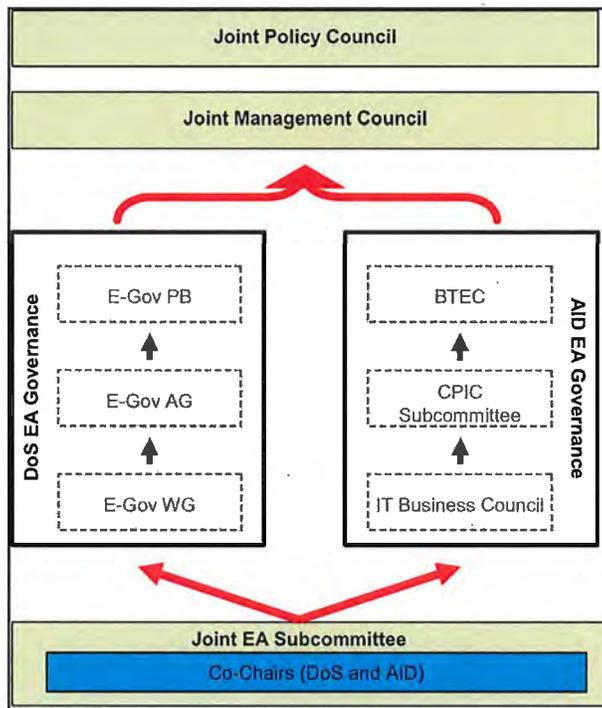


Figure 2: Possible "To-Be" Joint EA Governance Model

The Joint EA Subcommittee will serve the following purposes:

- Act as the governance structure for planning, and advising on resource requirements related to the development and maintenance of the Joint EA products and artifacts.
- Provide immediate oversight of the Joint EA projects and ventures

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- Promote Joint EA development tools that adequately aid in collaboration of State and USAID projects.
- Provide forum for communication between agencies non-joint EA ventures.
- Prioritize and resolve significant policy, strategic and resource issues concerning Joint State/USAID Enterprise Architecture development and governance.

The E-Gov Program Board and its counterpart at USAID review and recommend Joint State/USAID EA issues and progress to:

- Approve or reject recommendations from the E-Gov Advisory Group and E-Gov Working Groups on issues related to Joint EA.
- Provide guidance and direction for the E-Gov Working Group on Joint EA.
- Review projects to ensure they are consistent with baseline and target Joint EA standards and protocols.
- Identify and rank new IT initiatives for the upcoming fiscal year.
- Update the EA and Transition Plan to reflect any changes to the business, data, application, technology, and security architectures.

Current Joint EA Governance: Independent governance processes exist at both State and USAID. The USAID process, however, is currently being revamped to define a transitional process that will be in line with the proposed integrated joint governance process.

At State, existing IT and EA governance structure consists of four main boards:

- E-Gov Program Board (PB) - an upper-level advisory entity to the Under Secretary for Management that addresses the full range of E-Government (E-Gov) and Information Technology (IT) investment portfolio and project management activities. The E-Gov PB has three primary purposes:
 - a. Ensure systematic selection, control, and evaluation of all State's E-Gov/IT programs and investments, as required by law and the President's Management Agenda (PMA).
 - b. Drive innovation in the use of technology while effectively managing E-Gov/IT capital decisions.
 - c. Prioritize and resolve significant policy, strategic and resource issues concerning State's investments in E-Gov and IT initiatives.
- E-Gov Advisory Group - provides a business, technical, and investment evaluation of IT initiatives prior to submission to the E-Gov PB, considering potential risk, cost, benefit, alignment with State's Enterprise Architecture, and priority in relation to other investments. In addition, the group identifies issues for E-Gov PB review to ensure senior-level attention.
- E-Gov Program Management Office (E-Gov PMO) - Under the direction of the CIO, serves as the agent of the E-Gov PB and:
 - a. Assist bureaus and posts to conceive, design, cost, implement and manage cross-Department and cross-agency IT projects that address business requirements and user needs.

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- b. Ensures IT proposals meet agency and OMB IT and E-Gov strategic principles including alignment with the Enterprise Architecture and compliance with IT security requirements.
 - c. Provides recommendations to E-Gov PB on State IT proposals.
 - d. Reviews and provides recommendations on OMB 300s to ensure consistency across State business cases and enforce efficiency in program management.
 - e. Provides all necessary support for the E-Gov PB and E-Gov Advisory Group including development of agendas and issues for discussion and decision at E-Gov PB meetings.
 - f. Produces comprehensive briefing materials on issues the E-Gov PB will consider in each meeting.
 - g. Utilizes electronic technologies to augment meetings and ensure transparency and collaboration across State.
 - h. Distributes and shares information with all stakeholders (E-Gov PB members, project managers, business owners, technical panels, etc.).
- E-Gov Working Group: - works as a part of the E-Gov PMO and supports the E-Gov PB and E-Gov Advisory Group by conducting detailed analysis and recommendations concerning specific IT investment portfolio issues. Each E-Gov PB member designates a representative to the working group; business experts may augment the membership of the working group to support the review of specific projects.

The organizational structure and relationship of the Current State IT governance boards is shown in figure 3.

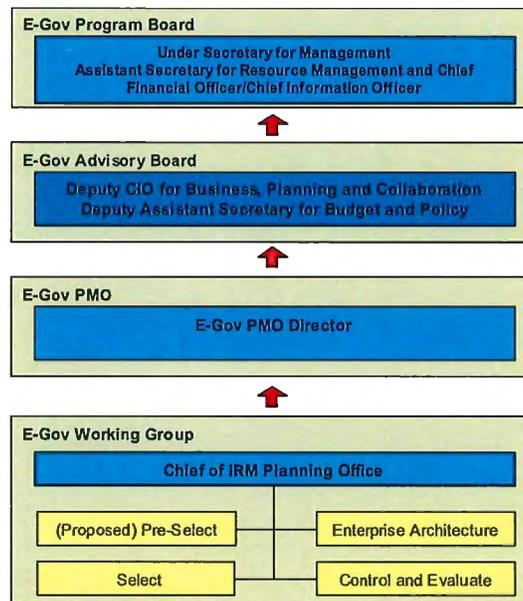


Figure 3: As-Is State IT Governance

USAID is currently in the process of reorganizing its IT and EA governance to more accurately address organizational requirements. The reorganization will facilitate integration of CPIC and EA processes. Prior to this initiative, EA governance and

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development was conducted through an EA subcommittee within the Business Transformation Executive Committee (BTEC). The EA subcommittee has since been dissolved.

The proposed new USAID IT and EA governance is similar to the four layered approach used at State. USAID is also proposing the creation of a Program Management Office (PMO), which would oversee the EA and parts of the CPIC process as depicted below:

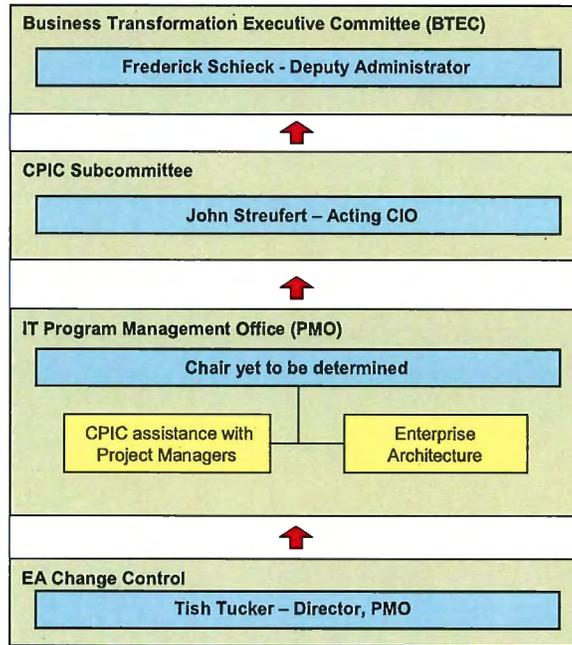


Figure 4: As-Is USAID IT Governance

Based on existing IT and EA governance processes described above, State and USAID have adopted the following ad-hoc JEA governance process for JEA scope, methodology, policy, and artifacts development:

- **Collaborate and Develop:** State and USAID chief architects collaborate and develop Joint EA artifacts and policy.
- **Internal State Department Review by E-Government Program Management Office (E-Gov PMO):** This is a two-part review by both the Planning and EA offices, with final approval by the E-Gov PMO.
- **Internal Review by USAID:** Joint EA artifacts and policy are internally reviewed and approved by USAID. *(Note: The organization to manage USAID EA is currently under development.)*
- **CIO Approval:** State and USAID CIOs resolve any remaining issues and give final approval of Joint EA artifacts and policy.

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Figure 5 shows the sequence of events resulting from this process:

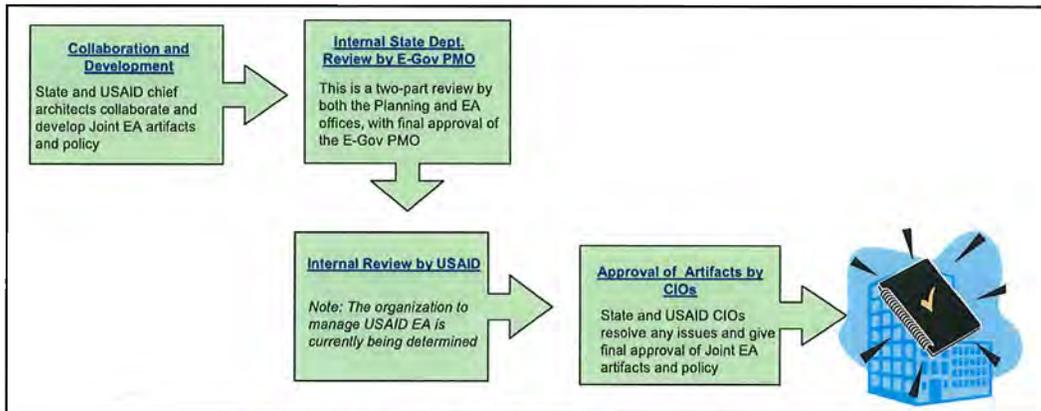


Figure 5: Current Joint EA Governance Structure

Planned Activities

Information Technology Investment Maturity (ITIM) Framework

Integration of EA and capital planning activities will also serve to advance both agencies along GAO's ITIM framework. This framework provides a common structure for discussing and assessing CPIC practices at Federal Agencies. Utilizing this tool will enable State and USAID to evaluate the efficiency of their capital planning activities, realize the interrelations of the phases, and determine opportunities for process improvement. Investigating ITIM requirements would enhance State and USAID Program Managers' competence in establishing OMB-prescribed 'touch points' between current and future IT investments. EA oversight is critical in this process and would serve to formalize basic IT selection processes and further mature IT control processes.

Communications and Marketing

An existing communications and marketing plan is being modified to utilize aspects of both State's Enterprise Architecture and USAID's Project Management Communications Plan and the new outreach concept to keep stakeholders informed and motivated. At State, information concerning the management approval and development schedule of the JEA has already been provided at the monthly Architecture Working Groups (AWG). This will continue as part of the monthly Enterprise Architecture updates of the AWG. This forum has been utilized for the last several years to provide the latest Enterprise Architecture information and solicit feedback.

Although successful in providing information, the AWG did not guarantee that the EA direction was well understood by project managers and that feedback was consistently received. This was determined through an analysis of the Non-Major owners' answers to the EA questions. This has resulted in an expanded communications and marketing concept that introduces a new EA outreach effort to have architects collaborate directly with project managers during the development of budget documentation and periodically during the year to address progress. The Enterprise Architecture team assesses the intention of the project and provides

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appropriate direction as to how the project will migrate to support the "To-be" architecture. This process results in projects, which support the migration to the "To-be" architecture and project managers who are trained and therefore understand the architecture's direction. This new process has been initiated for FY07 Exhibit 300 owners and has been well received by them. This process will eventually be extended to support Non-Major owners as well.

2.3: Data

Current Rating: 3.0 – “Common and defined approach to integrating data with business processes and mission priorities is defined and used throughout the EA.”

Proposed Rating: 4.0 - “The target architecture reflects a Transition Strategy and judgment on the data required for the future state.”

Proposed Approach: As submitted in the JEA Completion and Use Plan in January 2005, by Q1 FY06 “Incorporate FEA DRM into the JEA.”

OMB Feedback

Document how projects/initiatives defined in the target architecture and Transition Strategy comply and align with data elements and information exchange packages defined in the agency’s enterprise data model.

Current Status

The Information and Data Architecture is maturing to provide a validated and more thorough categorization and definition of State and USAID’s data. A detailed plan is under development to coordinate this effort with State’s Data Management office, outlining data architecture tiers and corresponding areas of responsibility, including linkages to the DRM and other models within the Joint Enterprise Architecture. The four-phased approach we will follow meets OMB requirements and is described below.

Phase 1 – Further Elaborate Information and Data Architecture

We are utilizing the FY07 Exhibit 300 investment “Select” process to baseline State and USAID’s data architecture as it pertains to major projects. Coupled with our previous efforts developing information categories, we will assemble a complete list of Information Subject Areas and Information Types. This phase is currently under development and involves collaborative working sessions with Exhibit 300 owners to elicit details on program information flows and data types, as well as to influence business cases with EA target architectures and transition plan recommendations. Cross-validation of application data types will also be performed for those systems associated with each major investment.

The draft information categorization document is scheduled for release on June 30, 2005. The product will show how the Information Subject Areas and Information Types are linked to the Joint Enterprise Architecture Business layers, which in turn are linked to the BRM. This will be the first phase of implementing the DRM.

Planned Activities

Phase 2 – Provide Linkage of the Information Subject Areas and Information Types to Lower Levels of the Data Architecture (Enterprise-wide Entities and Attributes)

The top three levels of data categorization will provide linkages to the Enterprise-wide Entities & Attributes. The joint EA team will support State’s Data Management office in the expansion of the Enterprise Metadata Repository, which will serve as the Enterprise Data Registry. This registry of data standards will include the following:

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- Data Categories/Objects
- Logical Data Models with Enterprise-wide Entities & Attributes
- Community of Practice Registration & Collaboration
- Data Security Classification
- Naming Conventions
- XML Schemas and Transformations

The Enterprise Data Registry will facilitate a foundational Service-Oriented Architecture (SOA) by providing necessary data standards for data transport and exchange on the enterprise service bus. The SOA effort is currently in the planning and early pilot stages.

Phase 3 – Completely Link State and USAID Applications to the Information and Data Architecture Layer. Implement the Next Phase of the DRM.

Similar to Phase 1 above, we will examine FY07/08 Non-Major investments to baseline State and USAID's data architecture as they pertain to non-major projects. This phase will also involve collaborative working sessions with project owners to elicit details on program information flows and data types, as well as to influence business cases with EA target architectures and transition plan recommendations. Cross-validation of application data types will also be performed for those systems associated with each non-major investment.

As the final DRM volumes are released, we will begin mapping our data-related work products into the appropriate areas of the Data Reference Model. We will focus on facilitating data interoperability through logical data modeling of DRM data elements, and making data easily accessible through contextual categorization and taxonomy development.

Phase 4 - Complete Incorporation Of The DRM In Two Phases, Focusing On Core Mission Area Information Exchanges And Support Area Information Exchanges.

In order to effectively exchange and access information, DRM Information Exchange Packages will be identified to support Communities of Practice. We will begin with Core Mission Area Information Exchanges where we can add greatest value to the support of State's E-Diplomacy mission and USAID's Knowledge For Development (KfD) mission. We will follow this effort by examining the Support Area Information Exchanges, which involve State and USAID's back office capabilities. We will include in this effort close examination of OMB Line of Business Architecture developments and data architecture standards that may emerge.

2.4: Performance

Current Rating: 1.0 – “EA conceptually defines performance measures.”

Proposed Rating: 4.0 – “EA defines detailed performance measures and links them to all technical and service layers of the architecture to provide a clear relationship between performance measures and technical and service layers.”

Proposed Approach: As submitted in the JEA Completion and Use Plan in January 2005, by Q2 FY05 “Create an initial mapping of State and USAID Performance Plan and Report objectives and measures/indicators to the Joint Strategic Plan for incorporation into JEA governance.”

OMB Feedback

Start the process of aligning performance metrics to applicable elements of the EA. The action identified in the plan seems appropriate, but does not specify how the performance measures/indicators will be mapped to the EA. All major elements of the EA should have one or more associated performance metrics (e.g., a business process or application/service component should have a related performance metric).

Current Status

This section identifies the performance goals and measures that have been associated with the Joint Strategic Objectives and Goals and the activities identified in the Joint Business Architecture. It also relates how the Joint Strategic Objectives and Goals and the Joint Business Architecture are associated with each of the FEA Reference Models.

A four-phased approach that meets OMB’s requirements is described below. As a part of the description of the phases, supporting material is provided in Appendix A and B to demonstrate the progress that has been made to date. The phases include:

- **Phase 1** – Link Joint Strategic Plan to Joint Performance Plan, Business Architecture, and BRM. This phase has been completed and results included. This effort has resulted in the complete mapping of all the Performance and Business elements. (Note: the materials within Appendix A completes the effort and builds on the initial example of Performance Metrics alignment provided to OMB in March 2005 to demonstrate their scope, direction, and quality).
- **Phase 2** – Ensure Current FY07 300’s reflect Joint Strategic Goals and Objectives for State and USAID. This phase is currently in progress. Interim FY07 Exhibit 300 Line of Sight diagrams have been included in Appendix B. These Line of Sight (LOS) diagrams show linkage from all of the Performance elements associated with a major IT project to all of the elements associated with: a) Business, Information, Applications, and Infrastructure Layers of the FEAF framework; and b) OMB FEA BRM, DRM, SRM, and TRM.
- **Phase 3** - Ensure FY07 53’s reflect Joint Strategic Goals and Objectives from State and USAID. This phase is currently in progress. Sample FY07 Non-Major LOS diagrams were developed to test the viability of their use and are included in Appendix C. These LOS Diagrams show linkage from all of the Performance elements associated with a non-major IT project to all of the elements associated with: a) Business, Information, Applications, and

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Infrastructure Layers of the FEAF framework; and b) OMB FEA BRM, DRM, SRM, and TRM.

- **Phase 4** - Mapping BRM/BA to DRM has been planned as the final phase of performance metric development. This phase has not yet been initiated.

The artifacts in Appendices A, B, and C are being delivered to OMB in response to OMB feedback and, in addition, to demonstrate State and USAID's progress that we believe provides the basis for elevating the current assessment from level 1 to level 4.

PREVIOUS OMB ASSESSMENT
Level 1: EA conceptually defines performance measures
INTERIM STATE/USAID SELF ASSESSMENTS
Level 2: <i>EA links performance measures to some portions of the architecture segments</i>
Level 3: <i>EA defines detailed performance measures and links them to service and technical portions of the architecture</i>
TARGET OMB MAY 31 ASSESSMENT
Level 4: <i>EA defines detailed performance measures and links them to all technical and service layers of the architecture to provide a clear relationship between performance measures and technical and service layers</i>

Additional detail concerning the development status of the qualifying artifacts is presented in the following discussion of the four Performance metrics development phases.

Phase 1 – Link Joint Strategic Plan to Joint Performance Plan, Business Architecture, and BRM

As a result of having completed this phase State and USAID have associated or mapped all Joint Strategic Plan Strategic Objectives and Goals to:

- Performance Goals and Performance Indicators of the Joint Performance Plan.
- All of the lowest level sub-functions of the Joint Business Architecture (BA).
- Each Business Area and appropriate Line of Business and sub-functions of the FEA BRM.

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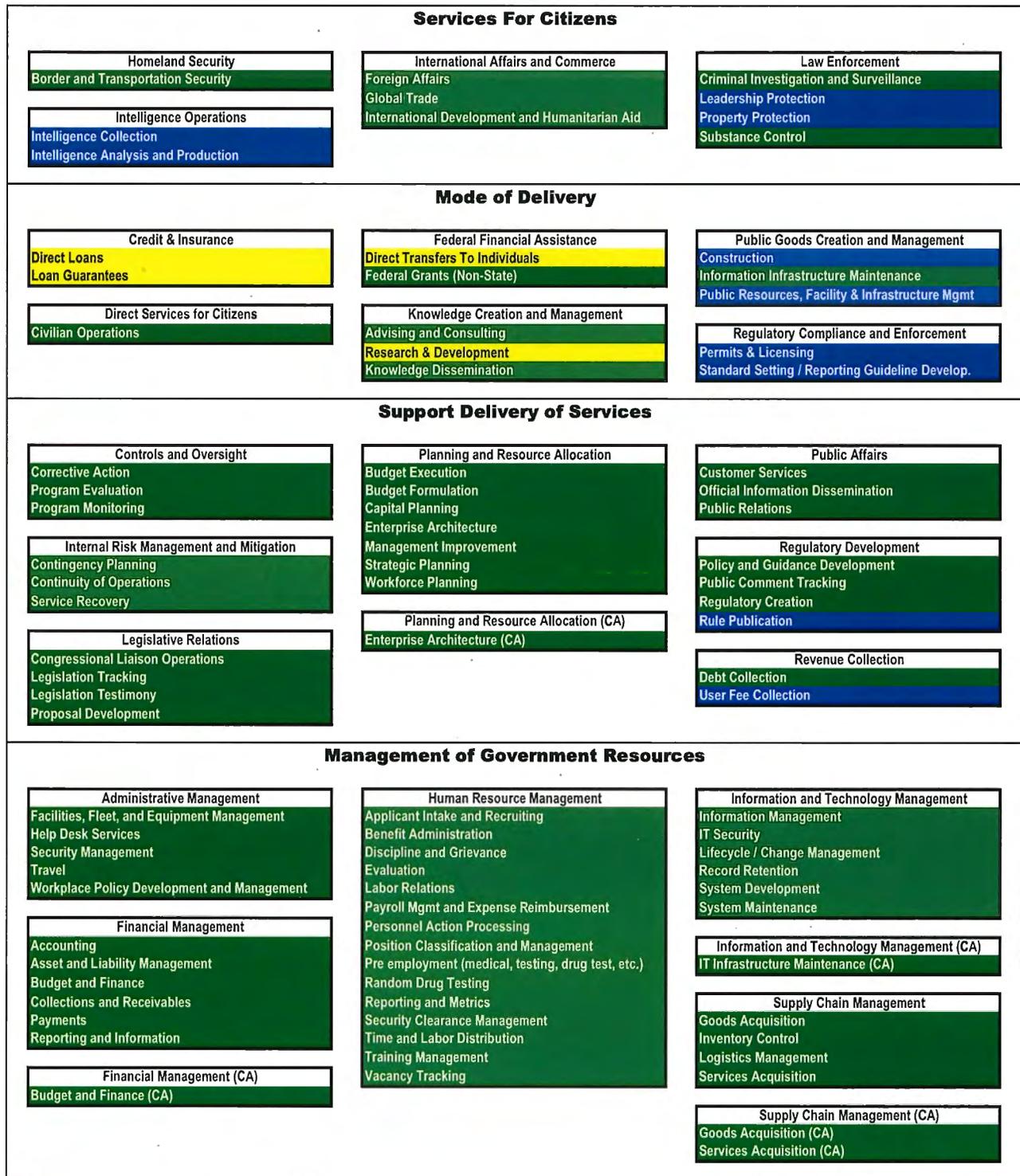
The EA Team developed the initial mappings that were passed to State's and USAID's Strategic Planning organizations for review. Corrections and comments for improvement to the mappings were made and additional issues and inconsistencies resolved as they were identified during the reconciliation process. The artifacts presented in Appendix A are the result of this effort. The completion of this phase has resulted in the following associations and linkages:

Item Mapped	Source	PRM Line of Sight Diagram Areas				
		Strategic Outcome	Mission and Business Results	Customer Results	Processes and Activities	Technology
Strategic Objective and Goal	JSP	X				
Performance Goal	JSP	X				
Initiative/Program	JPP	X				
Strategic Measurement Indicator	JPP	X				
BRM Business Area, LOB, Sub-function	JEA		X			
All Joint Business Architecture Sub-functions	JEA				X	

These mappings are being used to create the FY07 Exhibit 300 and Non-Major Line of Sight Diagrams as earlier described in phases two and three.

As a by-product of this effort, the Joint State-USAID BRM has been verified. As a result, an update was made to the February 2005 Applied Joint Enterprise Architecture Joint State-USAID BRM. The mappings on the performance spreadsheets in Appendix A correspond with the Lines of Business and Sub-functions on the following updated Joint State-USAID BRM:

Joint State-USAID Business Reference Model



 = Joint State-USAID

 = State Only

 = USAID Only

Phase 2 – Ensure Current FY07 300’s Reflect Joint Strategic Goals and Objectives at State and USAID

This phase develops a LOS diagram for each State, USAID (under USAID Direction/resources), and Joint Exhibit 300. The tasks within this phase require the EA Team to:

- Draft a preliminary LOS diagram by using FY06 or preliminary FY07 Exhibit 300 submissions.
- Set up and conduct an interview with the associated Business Sponsor and Program Manager to complete and verify the preliminary LOS diagram.
- Reconcile discrepancies and ensure the diagram as a whole accurately reflects the information mapped to the different sections.
- Obtain final agreement with the Business Sponsor and Program Manager that the LOS diagram for their Exhibit 300s are correct, and adequately portray the purpose of the initiative/program.

The following table illustrates the associations between the source of the information extracted and the five sections of the LOS diagram populated with the extracted information.

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Item Mapped	Source	PRM Line of Sight Diagram Areas				
		Strategic Outcome	Mission and Business Results	Customer Results	Processes and Activities	Technology
Joint Strategic Objective and Goal	JSP	X				
Joint Performance Goal	JSP	X				
Initiative/Program	JPP	X				
Strategic Measurement Indicator	JPP	X				
Appropriate BRM Business Area, LOB, Sub-function	JEA (Processes and Activities), Exhibit 300 (Technology)		X			X
Appropriate Joint Business Architecture Sub-functions	Business Architecture within the JEA (for Processes and Activities), Exhibit 300 (for Technology)				X	X
Appropriate PRM Measurement Category, Measurement Indicator, Baseline, and FY Planned Improvement to Baseline	Exhibit 300 (and Bureau Performance Plans where there are blanks)		X	X	X	X
Appropriate Information Categories, Subject Areas, and Subject Types as identified in the Joint Information Architecture	Exhibit 300, Information Architecture within the JEA				X	
Appropriate SRM Service Domain, Service Type, Service Component	Exhibit 300 (and ITAB database where there are blanks or inconsistencies)				X (manual)	X (automated)
Appropriate TRM Service Area, Service Category, Service Standard, Service Specification	Exhibit 300 (and ITAB database where there are blanks or inconsistencies)					X
Appropriate Applications from the Applications Inventory/Architecture that are required for this initiative/program	Applications Architecture within the JEA, ITAB database					X
Appropriate Technology from the Infrastructure Architecture that are required for this initiative/program	Infrastructure Architecture within the JEA, ITAB database					X
Joint EA Business Requirement that this initiative/program works toward achieving	To-Be section of the Business Architecture within the JEA				X	
Joint EA Enterprise-wide Solution that this program/initiative works toward achieving	Transition Plan within the JEA				X	X
Appropriate Information Security Measures, Mechanisms, or Controls within the Information Security Architecture that are required for this initiative/program	Information Security Architecture Segment within JEA				X	X

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These mappings were used to build the Exhibit 300 LOS diagrams that are provided in Appendix B. The complete set of LOS diagrams for each FY07 State and Joint Exhibit 300 is expected to be completed by June 10, 2005, at which time they will be passed to Business Sponsors and Program Managers for final vetting. The subset in Appendix Y is provided as input for the EA assessment as a demonstration and proof of:

- The process used to produce them.
- The ability to illustrate how the technology supports, enables, or improves the movement towards achieving the associated Strategic Objective and Goal and/or improve the performance and product or service of the underlying business activities.
- The ability to use them to make intelligent investment decisions.

Phase 3 - Ensure FY07 Non-Majors Reflect Joint Strategic Goals and Objectives at State and USAID

This phase provides an LOS diagram for each FY07 Non-Major. To achieve this the EA team is:

1. Drafting a preliminary LOS diagram by using FY07 Non-Major submissions (there are approximately 100 submissions currently).
2. Setting up and conducting an interview with the associated Business Sponsor and Program Manager to complete and verify the preliminary LOS diagram.
3. Reconciling discrepancies and ensuring the diagram as a whole "makes sense" based on the information mapped to the different sections.
4. Obtaining final agreement with Business Sponsor and Program Manager that the LOS diagram for their Non-Majors is correct, accurate, and adequately portrays the purpose of the initiative/program.

The table described in Phase 2 above is being used to create the LOS diagrams for the Non-Majors. The Non-Major LOS Diagrams provided in Appendix C do not represent a complete set for State and USAID. This subset is provided as a sample of the artifacts being produced and for the EA assessment as a demonstration and proof of:

- The process used to produce them.
- The ability to illustrate how the technology supports, enables, or improves the movement towards achieving the associated Strategic Objective and Goal and/or improves the performance and product or service of the underlying business activities.
- The ability to use them to make intelligent investment decisions.

The complete set of LOS diagrams for each State, USAID (Under USAID Direction/resources), and Joint Non-Major is scheduled for distribution to Business Sponsors and Program/Project Managers for review and vetting by September 30, 2005.

Planned Activities

Phase 4 - Map BRM/BA to DRM

This phase focuses on mapping the State and USAID information categories, subject areas, and types to the Joint Business Architecture sub-functions.

Since the Joint Business Architecture is already mapped to BRM (as discussed in Phase 1 above), this phase will identify the relationships between the Information Architecture (IA) and the Business Architecture (BA). The information categories, subject areas, and types will undergo a harmonization process and be mapped to the FEA Data Reference model (DRM), in accordance with forthcoming guidance.

2.5: Security

Current Rating: 2.0 – “EA Aligns security standards to the TRM.”

Proposed Rating: 3.0 - “Security Standards are integrated within portions of the components/applications/and technologies.”

Proposed Approach: As submitted in the JEA Completion and Use Plan in January 2005, by Q3 FY05 “Identify State and USAID Security Standards as they apply to components, applications, and technologies.”

OMB Feedback

Action identified in the plan is appropriate. Alignment to components, applications, and technologies is addressed. There should be a clear line of sight between security standards and the applications/services/components they support or constrain.

Current Status

The Department and USAID have developed an approach to identify and align all components, applications, and technologies to provide a clear line of sight between adopted Department and USAID security standards and the applications/services/components that they support or constrain.

The first step in the Department’s and USAID’s efforts to achieve the above level of EA maturity was conducted through the analysis of the various security functions that protect both the Department and USAID. The results, which assessed their current capabilities and recommended a path ahead towards an alignment of capabilities between the Department and USAID, were provided in the February 2005 Applied JEA submission. Within the Information Security Architecture Section of the Applied Joint Enterprise Architecture, the Department and USAID identified the functional area that address this area: Security Services.

Security Services address processes, to include appropriate policies, executed to maintain the integrity of the Department’s and USAID’s security layers (i.e. confidentiality, integrity, access control, non-repudiation, identification and authentication, audit, and system availability.) These processes address: *Firewalls, Intrusion Detection and Prevention, Identification and Authentication systems, Digital Signature, Anti-Virus Email Filtering, Scanning and SPAM control, Patch Management, Audit Trail Capture and Analysis.*

The next step was to indicate the security applications, technologies, and their standards that support these functions:

The source for these standards is the Joint Enterprise Architecture V2 (September 2003), the IT Change Control Board (ITCCB), and the Information Technology Applications Baseline (ITAB), along with submissions from USAID.

The Department conducted a data call to validate and update the security standards to reflect the Department’s current standards and their associated line of sight to the applications/services/components they support and constrain. The results represent an “As-is” of security technologies and their standards supporting the Security Services functional area which as addressed in the Applied Joint Enterprise Architecture needs to evolve both internally and jointly.

Planned Activities

The Department is moving toward a To-Be information security architecture based on an evolved Risk Management process. This was identified in the Applied JEA submission and data on the As-Is evolving risk management process at State is being collected with the plan to submit it to the same rigorous joint analysis as the previous functional components of Information Security and Telecommunications architectures had undergone.

The plan would be to establish a joint assessment and alignment recommendation of the evolving risk management process that would drive the evolution of the security standards. The development of this Risk Management process will provide a better line of sight between security standards and the applications/services/components they support and will allow the joint standards to become more identified and aligned with both the Department's To-Be Architecture and its Joint State/USAID Enterprise Architecture.

The Department continues to work with USAID to identify Joint Security Standards and their alignment with the Joint Information Security Architecture Security Services within the Applied JEA that will move the Department and USAID toward the identified joint alignment levels. The Department's efforts in identifying the clear line of sight are not complete and continue to evolve, as does its Enterprise Architecture. The Department's Enterprise Architecture Office continues to work with the security standard process owners in ensuring that new security standards and components, applications, and technologies that support the Department's business requirements are in line with the Department's architecture approach and framework.

Security Standards

The following table addresses the current Department (Blue) and USAID (Yellow) Security Standards and the Applications/Technologies/Components they support.

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Security Services within IST Segment	Security Standard	Authoritative Source/Guidance	Application/Component/Technology Alignment
Authentication	Two-Factor Authentication - RSA SecurID	FIPS 140-2	Remote Access to AIDNet
Biometrics	Smartcard Token and Biometric	HSPD 12, FIPS 201, HIPAA, E-Sign, GPEA	OpenNet
Biometrics	Scanner/Reader	HSPD 12, FIPS 201, HIPAA, E-Sign, GPEA	OpenNet, PKI/BLADE program
Digital Signature	RSA (1024 bit or longer) for digital signature and Key Exchange	Department of State X.509 Certificate Policy, HIPAA, E-Sign, GPEA, FIPS 196, NIST SP 800-25	OpenNet PKI Program
Digital Signature	Signing Forms	GPEA, E-Gov, HIPAA, E-Sign, GPEA, FIPS 196, NIST SP 800-25	OpenNet, E-Forms-(Support Services-Forms Management)
Digital Signature	PKI Certificate and digital signature as it applies to this application	NIST SP 800-32, HIPAA, E-Sign, GPEA, FIPS 196, NIST SP 800-25	Cross-agency The Immigrant Visa Control and Reporting (Business Analytical Services- Reporting) . Immigration Visa Allocation Management System (Back Offices Services-Data Management) web site.
Public Key Infrastructure	Provides Confidentiality, Authentication, Integrity, and Non-Repudiation	HIPAA, E-Sign, GPEA, FIPS 196, NIST SP 800-25	OpenNet and Cross-agency, Travel Document Issuance System (Back Office Services- Document Production), New electronic passports (Support Services-Security Management).
Public Key Infrastructure	Provides Confidentiality, Authentication, Integrity, and Non-Repudiation	HIPAA, E-Sign, GPEA, FIPS 196, NIST SP 800-25	Cross-agency International Parental Child Abduction (IPCA).
Public Key Infrastructure	Provides Confidentiality, Authentication, Integrity, and Non-Repudiation	NIST 800-15, 800-32, 800-56(draft), 800-57 (draft), ADS 545	Entrust PKI Application on AIDNet
Encryption	STU/STE Secure Voice Encryption	Adheres to all DoD STU/STE directives	Cross-Agency Secure Voice Capability
Encryption	Defense Switch Program(DRSN)	Adheres to all DISA/NSA DRSN directives	Cross-Agency Secure Voice Capability
Encryption	Secure Wireless Cell Phone (Sectera)	Adheres to all NSA directives	Cross-Agency Secure Voice Capability
Encryption	Type 1	FIPS 140-2, NSTISSI 4000, NSTISSI 4005, NSTISSI 4004, 12 FAM 660, 550, 554.2, 5 FAH-6	Enterprise-Wide
Encryption	Type 3	FIPS 140-2, 5 FAH 6	AIDNet firewalls, VPNs, and Datacryptors
Encryption	Type 3	FIPS 140-2, 5 FAH 6	OpenNet OpenNet
Encryption	SSL/HTTPS Web Based	FIPS 140-2, SSL, SSH-2 FISMA, HIPAA, E-Sign, GPEA	OpenNet OpenNet for NetVCR, UTT, IEMS
Encryption	DES Encryption Router Blade	FIPS 140-2, 12 FAM 600	OpenNet OpenNet
Encryption	Encrypted VPN	FIPS 140-2, HIPAA, E-Sign, GPEA	OpenNet OpenNet
Encryption	Encrypted VPN - Site-to-Site (Nokia Checkpoint Appliances)	FIPS 140-2, HIPAA, E-Sign, GPEA	AIDNet Perimeter Protection
Encryption	SSL/HTTPS Web Based - Transport Layer Security (TLS) v1.0	FIPS 140-2, SSL, TLS, FISMA, HIPAA, E-Sign, GPEA, ADS 545	AIDNet, Remote Access
Access Controls	RSA/ACE Secure ID	FIPS 140-2, HIPAA, E-Sign, GPEA	OpenNet OpenNet. One-Time Password for Routers

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Access Controls	IP Filtering Routers	ADS 545, NIST 800-41, Router Security Configuration Guide Report Number: C4-040R-02	AIDNet Network routing infrastructure protection
Access Controls	Web Content Filtering Services	ADS 545, NIST 800-41	AIDNet Protection
Anti-Virus	Symantec AntiVirus Corporate Edition (SAVCE) Desktop/Laptop/Server Virus Scanner	5 FAM 731 and 5 FAM 846	OpenNet, Classnet All Servers and Workstations.
Anti-Virus	Trend Micro InterScan VirusWall - SMTP Scanning	5 FAM 731 and 5 FAM 846	OpenNet, ClassNet perimeter.
Anti-Virus	Trend Micro InterScan Messaging Security Suite (IMSS) SMTP Scanning	5 FAM 731 and 5 FAM 846	OpenNet perimeter
Anti-Virus	Trend Web Security Suite (IWSS) HTTP hostile mobile code Scanning	5 FAM 731 and 5 FAM 846	OpenNet perimeter
Anti-Virus	Trend Micro ScanMail for Microsoft Exchange Servers, and eManager	5 FAM 731 and 5 FAM 846	OpenNet All internal Exchange Servers
Anti-Virus	FinJan SurfinGate that detects hostile mobile code scanning	5 FAM 731 and 5 FAM 846	OpenNet All internal Exchange Servers
Anti-Virus	Trend Micro Spam Prevention Solution (SPS)	5 FAM 731 and 5 FAM 846	OpenNet OpenNet perimeter
Anti-Virus	Mail Gateway	ADS 545, NIST Security Issues for Telecommuting, NIST 800-41, 800-45	AIDNet Perimeter gateway
Anti-Virus	Enterprise Anti-Virus (Antigen)	ADS 545, NIST 800-36	AIDNet Exchange Servers
Anti-Virus	Enterprise Anti-Virus (E-Policy Orchestrator)	ADS 545, NIST 800-36	AIDNet Workstations
Auditing and Reporting	Baseline Toolkit (BTK). Policy Enforcement tool, Change management tool.	FISMA	OpenNet
Auditing and Reporting	ISS Real Secure - Policy Enforcement Scanner	FISMA	OpenNet
Auditing and Reporting	Security Information Management-netForensics	ADS 545, NIST 800-12, 800-14, 800-18	AIDNet enterprise-wide
Auditing and Reporting	Enterprise Risk Management - Skybox View	ADS 545, NIST 800-30	AIDNet enterprise-wide
Firewalls	Application layer firewall	5 FAM 847, NIST 800-41	OpenNet and ClassNet perimeter and Enclave support
Firewalls	Gateway firewall	5 FAM 847, NIST 800-41	OpenNet and ClassNet perimeter and Enclave support
Firewalls	Stateful Packet Inspection firewall	5 FAM 847, NIST 800-41	OpenNet and ClassNet perimeter and Enclave support
Firewalls	Proxy firewall	5 FAM 847, NIST 800-41	OpenNet and ClassNet perimeter and Enclave support
Firewalls	Firewalls - Nokia Checkpoint Appliances	ADS 545, NIST 800-41	AIDNet enterprise-wide network perimeter protection
Network Intrusion Detection Systems	Network Intrusion Detection System (NIDS)	12 FAM 622.4, OMB Circular A-130, NSTISSI 503, Information Technology Security (ITSEC Common Criteria)	OpenNet and ClassNet perimeter and Enclave support

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Network Intrusion Detection Systems	Host Intrusion Detection System (HIDS)	IATF, 12 FAM 622.4, OMB Circular A-130, NSTISSI 503, Information Technology Security (ITSEC Common Criteria).	OpenNet All Servers.
Network Intrusion Detection Systems	Network Intrusion Detection System (NIDS)	NIST 800-31, OMB Circular A-130,	AIDNet protection
Network Intrusion Detection Systems	Host Intrusion Detection System (HIDS)	NIST 800-31, OMB Circular A-130,	AIDNet protection
State Only			
USAID Only			
Joint			

3. EA Use Plan

As we reported in the EA Completion Plan chapter, State and USAID have focused on changing their joint EA activities into a purposeful and results-oriented joint initiative. In the "Architectural Approach section," we have strengthened the joint process of developing an actionable Transition Strategy to guide both agencies toward achieving the target environment with an optimized investment strategy aligned with JEA, FEA, and E-Government (E-Gov) Line of Business initiatives.

In the "Strategic Direction section," we proposed an enabling and efficient joint governance model leveraging current IT governance processes used at both agencies. Our joint activities in "Data," "Performance," and "Security" have produced information in relation to business goals and strategies, performance targets and metrics, and data and security standards that provide business and technical communities of both agencies with knowledge and insight to make an informed decision.

In this chapter, we describe the joint activities in which we are engaged, to make the Enterprise Architecture both useful and used. As OMB advised, an EA repository product is an effective tool for identifying redundancies in processes and applications as well as examining gaps in IT capabilities. Here we report the progress made in the joint EA repository effort to build line of sight information and develop an interface for management access to that information.

Progress made in integrating EA with the CPIC process are then summarized. State's EA efforts to reach out to project managers and coach them on aligning their projects with joint EA, FEA, E-Gov initiatives and line of business architectures are also described. The EA focus here is to make sure all IT investments link to recommendations and projects defined in the target architecture and EA transition strategy.

3.1: Joint Repository for Line of Sight Information

The value of a tool such as an EA repository is in its capability to help enable the organization, processing, analysis, and reporting of business and technology information and thus to help identify gaps and redundancies in an agency's programs and initiatives. State and USAID have collaborated in a developing joint repository capability to support modeling, linking, and analysis of enterprise artifacts.

As depicted in the high-level architecture below, the Joint EA Repository is based on a common metamodel to facilitate sharing and interoperability of artifacts information both at the enterprise level and the bureau level.

The Joint Repository interface will provide a holistic view of the enterprise and help assess both organizations' current capabilities, design a plan for improvement, and prioritize and manage necessary initiatives.

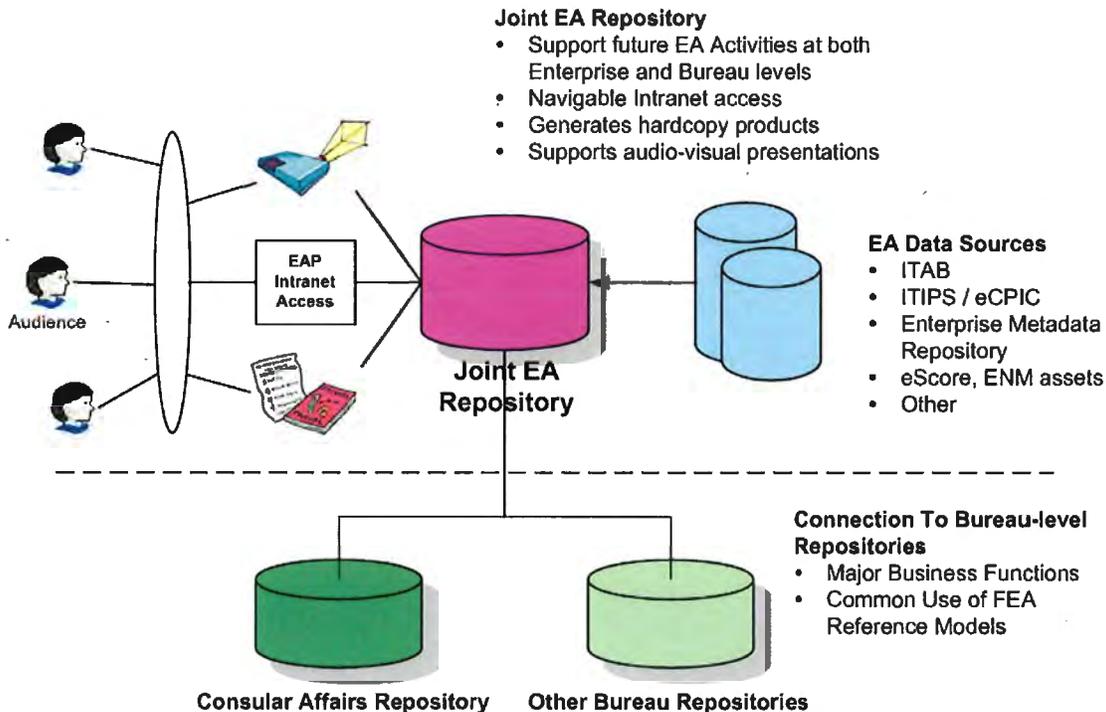


Figure 7: Joint EA Repository - High-Level Solution Architecture

Current Activities

Current repository activities include:

- Collaborating with USAID and several bureaus at State to develop an integrated and centralized enterprise-level repository that enables line of sight analysis both between agencies and between the enterprise and each bureau. Activities include developing a shared metamodel and sharing artifacts across bureau and agency boundaries.

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- Developing a repository web portal to support outreach and project management support activities. The repository web portal includes reports and diagrams to support line of sight and duplication activities, training and education, and marketing and outreach.

Planned Activities

In support of ongoing Joint EA efforts, the repository will grow and evolve to meet the following activities and projects:

- Line of sight efforts via the joint EA repository will continue to include Information Security and Telecommunications (IST) processes and services for identifying gaps and redundancies, designing joint processes, and defining potential joint projects.
- Mapping and dissecting applications and systems of two agencies will continue based on FEA Reference Models and the joint to-be architecture.
- The joint EA repository will interface with CPIC systems, FISMA reporting systems, asset management systems, bureau EA systems, performance and program management systems to establish a holistic view of enterprise-wide portfolio management.
- The joint EA repository will accommodate an intranet portal that will provide reports, analytical results, diagrams, and visual models to help answer business/management questions.

The repository, though, in itself is not ideal for widespread use and access for everyone in the business and technical communities—the repository is primarily a tool for architects. Our challenge, then, is to develop compelling and relevant ways to extend the organizational and storage capabilities of the repository in business-relevant ways—in ways that can support project management and to guide the organization's migration from As Is to To Be.

To this end, the EA team has initiated three basic long-term projects. The goal of each project is to extend the power and utility of the repository from that of an architect's tool to that of a change agent within the organization.

The three general projects are as follows:

- Develop a sophisticated report set that meets the business and technical needs of our user community and advances the To Be goals of the EA. This standard report set will be tailored to the priorities of the business and technical communities as well as support the EA priorities listed earlier in this document. Specifically, the report set will support the EA team's architectural approach, the linkages required for performance monitoring and evaluation, including the line of sight activities and the linkages to the JSP and strategic goals. This report set can be modified and adapted to support any change in approach or priority.
- Develop ad hoc uses of the EA to support specific projects, Exhibit 300 submissions, and other project management activities in a personalized, customized way. These ad hoc uses can include customized reports, drawn from the repository, to illustrate components of an Exhibit 300 or 53 submission. The repository will also be a critical component in developing the support documents and collateral needed to support project managers to develop their IT projects or

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to answer specific EA-related questions from management or other interested parties.

- Extend the repository to a user-friendly web interface—a portal—that can both effectively present targeted and relevant repository information and add value, through analysis and explanation, to the data and information stored in the repository. The portal will evolve to become the central information and analysis location bringing together project managers, the business community, and the wealth of information maintained and stored in the repository.