California Technology Agency

Enterprise Architecture

Developers Guide
Version 1.7

SIMM Section 58A

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Revision History

REVISION HISTORY			
REVISION	DATE OF RELEASE	OWNER	SUMMARY OF CHANGES
Initial Release (v0.1)	1/21/2009	OCIO–LAM	EA template collection instructions for Technical and Business Templates
Initial Release (v0.2)	1/28/2009	OCIO–LAM	Incorporate Comments from EAC
Initial Release (v0.3)	1/29/2009	OCIO–LAM	Incorporate Comments from OCIO – Remove Service Reference Model
Initial Release (v0.4)	1/30/2009	OCIO–LAM	Incorporate Additional Comments from OCIO
Initial Release (v0.5)	2/2/2009	OCIO–LAM	Submission Section added.
Initial Release (v0.6)	2/17/2009	OCIO–LAM	EAC comments added.
Initial Release (v0.7)	2/23/2009	OCIO–LAM	OCIO Policy Committee comments and additional EAC feedback
Initial Release (v0.8)	3/06/2009	OCIO–LAM	Final review comments from OCIO and EAC
Initial Release (v0.9)	4/1/2009	OCIO–LAM	Final review comments from ITCEC
Initial Release (v1.0)	4/14/2009	OCIO-LAM	Ready for Publishing
Initial Release (v1.1)	4/29/2009	OCIO-LAM	Realigned BRM, TRM taxonomy to be consistent with FEA structure. Changes include pull downs in templates and Reference Models in the templates.
Initial Release (v1.2)	6/4/2009	OCIO-LAM	First Draft SRM inclusion through SRM dev workgroup.
Initial Release (v1.3)	7/30/2009	OCIO-LAM	Internal Workgroup Review
Initial Release (v1.4)	1/20/2010	OCIO-SRM	Internal Workgroup Review
Initial Release (v1.5)	03/10/2010	OCIO-LAM	Draft to go to EAC.
Initial Release (v1.6)	04/05/2010	OCIO-LAM	Response to comments from EAC. Reviewed April 5th at EAC will go to ITCEC
Release (v1.7)	12/10/2010	OCIO-LAM/EMA	Added Compliance Component clarity for variance and requests for modification to standards. Compliance Component templates have also been modified to versions 1.1. Changed OCIO references to CaTA.

Approvals

NAME	ROLE	DATE

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EXECUTIVE SUMMARY

The California Technology Agency (CaTA)[1] for the State of California provides leadership for the State's information technology programs and works collaboratively with other information technology leaders throughout state government. The CaTA's role, therefore, is as a strategic planner and architect for the State's information technology programs and as a leader in formulating and advancing a vision for that program.

There is a growing demand for the State of California to conduct its business differently. California has a significant challenge to redesign its business approaches and processes. Its greatest challenge is to implement an IT environment that supports a new business model, one that builds an IT infrastructure that connects agencies to each other and their customers, one which provides appropriate access to information from any place, at any time. This new business model includes: (1) coordinated service delivery across agencies; (2) citizen–centric one stop shopping; (3) more planned and coordinated partnerships with external organizations; and (4) streamlined administrative business processes.

The Enterprise Architecture (EA) is a process that can be used to facilitate these necessary changes within the state. EA establishes the statewide roadmap to achieve the business mission and goals by improving the performance of its core business processes within an efficient information technology (IT) environment.

The EA process begins by having Agencies and departments work collaboratively to facilitate a unified vision that supports current and new business. The unified vision uses well established EA methods and frameworks developed by the National Association of State Chief Information Officers (NASCIO) and Federal Enterprise Architecture (FEA). This document provides Agencies and departments with the instructions needed for implementing these methods and frameworks in order to produce the blueprints needed for achieving this vision.

[1] Effective January 1, 2011, the Office of the State Chief Information Officer (OCIO) is renamed the California Technology Agency (CaTA).

1 Introduction

1.1 Purpose

The CaTA prepared the Enterprise Architecture Developers Guide (EADG) to assist Agencies and departments in providing the information needed to establish the State of California Enterprise Architecture (SCEA). This EADG provides Agencies and departments with the instructions on how to use the CaTA provided tools for creating a consistent set of deliverables that model the Agencies and departments business and supporting technical infrastructure. The deliverables will be furnished to CaTA for refreshing the SCEA.

1.2 Background

As described in Government Code Section 11545, the CaTA has responsibility for guiding the application of IT in California State government. This includes establishing and enforcing state IT strategic plans, policies, standards, and EA.

Key areas described in Section 2.3 of the May 15, 2008, *Supplemental Report of the 2007 Budget Act Item 0502–001–9730 1* (Supplemental Report) address refreshing the SCEA, and establishing standards for the development of Agency–level EA.

As such the CaTA is taking an industry standards approach to refreshing the SCEA by adopting the NASCIO methods and the FEA framework.

NASCIO Methodology
NASCIO defines EA as: Enterprise Architecture is a management engineering discipline that presents a holistic, comprehensive view of the enterprise including strategic planning, organization, relationships, business process, information, and operations.

Framework for Federal Enterprise Architecture
The FEA framework is used to classify all architecture artifacts. The FEA is constructed through a collection of interrelated “reference models” designed to facilitate cross–agency analysis and the identification of duplicative investments, gaps, and opportunities for collaboration within and across State Agencies.

1.3 Roles and Responsibilities

While the CaTA anticipates refinement of the EA artifacts over time, the departments and agencies are encouraged to develop and submit the EA information in the form of the prescribed templates discussed below. Instructions

for completing these templates are explained in Section 4, EA Development Tools Instructions.

1.3.1 Agency[2]

Agencies will work with their respective departments to aid in documenting their business and technology. Agencies will be responsible for consolidating their respective department's relevant EA data and furnishing it in the rollup templates provided.

Each Agency at minimum is expected to submit the following templates to the CaTA in an EA Proposal Package:

OCIO_004_Agency_Business_Rollup_Template.xls
OCIO_006_Agency_Technology_Rollup_Template.xls
OCIO_008_Agency_Services_Rollup_Template.xls

Each of their respective department's templates:

OCIO_001_Business_Template.xls
OCIO_003_Technology_Template.xls
OCIO_005_Services Template.xls

1.3.2 Departments that report to an Agency Secretary

Each department is responsible for documenting their EA by using the templates and instructions outlined in this document. Each department reporting to an Agency Secretary will submit the completed templates to their respective Agency.

OCIO_001_Business_Template.xls
OCIO_003_Technology_Template.xls
OCIO_005_Services_Template.xls

1.3.3 Constitutional Offices and other Entities

Constitutional Offices and other entities not reporting to an Agency Secretary will document their EA by using the templates and instructions outlined in this document. Constitutional Offices and other entities not reporting to an Agency

[2] When capitalized, the term "Agency" refers to one of the state's super Agencies such as the State and Consumer Services Agency or the Health and Human Services Agency. When used in lower case, the term "agency" refers to any office department, board, bureau, commission or other organizational entity within state government. Within this document, "agency" and "department" are used interchangeably.

Secretary will also be responsible for consolidating relevant EA data and furnishing the information in the rollup templates provided.

Each Constitutional Office and other entities not reporting to an Agency Secretary are at minimum expected to submit the following templates to the CaTA in an EA Proposal Package:

OCIO_004_Agency_Business_Rollup_Template.xls
OCIO_006_Agency_Technology_Rollup_Template.xls
OCIO_008_Agency_Services_Rollup_Template.xls
OCIO_001_Business_Template.xls
OCIO_003_Technology_Template.xls
OCIO_005_Services_Template.xls

1.3.4 CaTA

The CaTA EA group will sponsor workshops and provide guidance to Agencies and departments for the development of their EA programs. CaTA EA Group will be responsible for consolidating the Agency and department submitted EA information and will refresh the SCEA annually.

1.3.5 Enterprise Architecture Committee

The Enterprise Architecture Committee (EAC) will assist their Agency and departments in the development of their EA.

1.4 CaTA Related Activities

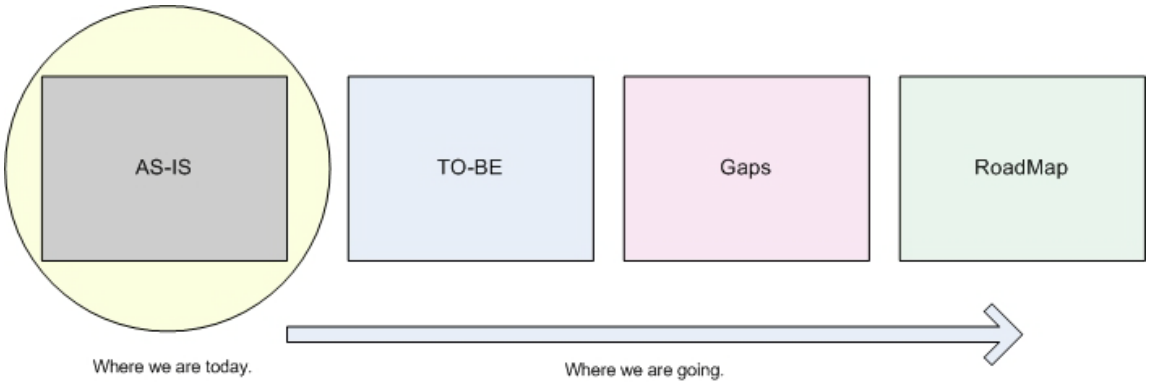
The CaTA has introduced initiatives that interrelate to the collection of EA information by Agencies and departments. The following lists the current initiatives and how they interrelate to the EA information collection efforts defined within.

IT Capital Plan – The IT Capital Plan collects the Administration's plan for strategic IT investments. This plan provides the strategic direction required for developing EA's TO-BE targets that are used to support development of planned investments.

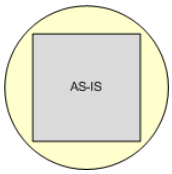
2 EA Development Life Cycle Methodology

The EA Development Life Cycle Methodology is based on a phased approach. The initial phase is an iterative process for collecting Agency and department information based on the FEA framework. The final three phases are used to analyze the information collected and plan for the future and how to get there.

The following diagram depicts the EA Development Life Cycle Phases used to establish the SCEA.

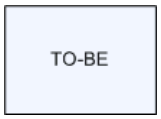


EA Development Life Cycle Phases



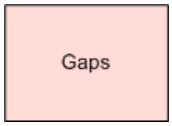
To get started the enterprise needs to be identified. This is accomplished by having Agencies and departments inventory their business, services, and technologies through a common set of templates and instructions identified in this document. After completing the templates the Agencies and departments submit their templates as an EA Proposal Package to CaTA. CaTA will collect the EA Proposal Package information and populate a common reference library used to establish and refresh the baseline SCEA ("AS–IS EA"). By refreshing the SCEA the CaTA satisfies the FY08/09 EA Proposal requirement in the Supplemental Report. The EA Proposal requirements in the Supplemental Report are the first step toward establishing a State of California baseline EA which is updated annually.

The "AS–IS" phase is an iterative process involving refinement and introduction to additional requests for information. There are five architecture areas that make up the AS-IS (Business Reference Model (BRM), Service Component Reference Model (SRM), Technical Reference Model (TRM), Performance Reference Model (PRM), and the Data Reference Model (DRM)). The objective is to create and populate the five architecture areas starting with the Business Reference Model (BRM) and the Technical Reference Model (TRM). The Agencies and departments will be expected to submit an annual EA Proposal Package to CaTA for updating the State of California EA.



The objective of the "TO–BE" phase is to have the CaTA and the Enterprise Architecture Committee (EAC) create a target architecture. The target architecture is a high level master plan for establishing relationships between business, services, technologies, and data. Although it is at a high level, the target architecture is vital to planning the future enterprise direction.

The EAC will identify the target architecture by evaluating the California "AS–IS EA" for common segments that can be leveraged and are considered strategic for the enterprise. The target architecture will be evaluated on an annual basis and may be revisited based on compliancy change requests to products and solutions.



As segments of architecture begin to form the target architecture the CaTA will identify gaps and overlaps between the "AS–IS EA" and the "TO–BE EA". The gaps will be used to identify potential opportunities and where Agencies and departments may not be in alignment with the future direction of the State of California EA. Overlaps will identify potential opportunities for leveraging solutions and consolidation.

The objective of the Road Map phase is to establish how the enterprise plans to move from the "AS-IS EA" to the "TO-BE EA" state. By providing a roadmap it helps Agencies and departments make sure the capabilities to achieve alignment with the "TO–BE EA" are in place at the time they are needed.

3 EA Development and Compliance Tools

The EADG is comprised of two distinct set of tools:

EA Development Tools are used to collect information on current business and technologies for establishing the EA reference models and producing the EA Proposals for Agencies and departments to submit to CaTA.

EA Compliance Tools are used to propose changes or introduce new reference model classifications for the BRM and TRM or a specific standard, guideline, or mandate related to a reference model element.

3.1 EA Development Tools

The EADG provides a set of templates that the Agencies and departments use for collecting information to establish the EA reference models. The templates are listed below in the order in which they are normally completed.

> **OCIO_001_Business_Template.xls** – is used to collect business related information relevant to the Agency or department. The information feeds the creation of the Business Reference Model (BRM).

OCIO_003_Technology_Template.xls – is used to collect infrastructure information and technology used to support the business. The information feeds the creation of the Technical Reference Model (TRM)

OCIO_005_Services_Template.xls – is used to collect the service components with respect to how they support the business and performance objectives. This is considered the Service Component Reference Model (SRM).

OCIO_004_Agency_Business_Rollup_Template.xls – is used by each Agency to present to the CaTA a consolidated view of their departments BRM information.

OCIO_006_Agency_Technology_Rollup_Template.xls – is used by Agencies to present to the CaTA a consolidated view of their departments TRM information.

OCIO_008_Agency_Services_Rollup_Template.xls – is used by Agencies to present to the CaTA a consolidated view of their departments SRM information.

3.2 EA Compliance Tools

The EADG provides compliance components tool and establishes the EADG standards. These standards are used for both EA Development tools and the compliance component tool to define EA classifications, criteria, and EA artifacts.

The compliance component tool is a template used to propose 1) a change to reference model classifications, 2) a new standard 3) a change to an existing standard.

3.2.1 Compliance Components (EADG Standards)

OCIO_EA_CC_Lifecycle_Classification.doc – is used to define the lifecycle classification of an enterprise artifact submitted as part of the EA reference models.

OCIO_EA_CC_Artifact_Type.doc – Artifact Type is the name given to the document or architecture entity types in the reference models. The high–level artifact types leverage the NASCIO terminology and templates (e.g. compliance component). Artifact sub–types are identified to provide further guidance on when to use an artifact type and associated template.

OCIO_EA_CC_Reference_Model_Classification.doc – is used to define how artifacts are classified using the FEA reference models. The reference model classification identifies the function (e.g. database, middleware) within the EA.

3.2.2 Compliance Components Tool

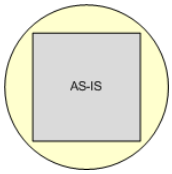
CaTA_EA_Compliance_Component_Template,_12102010.doc – is used to propose changes to or introduce new guidelines, standards and, legislative mandates.

CaTA_EA_Compliance_Component_Instructions,_12102010.pdf – the instructions for using the Compliance Component Template.

4 EA Development and Compliance Tools Instructions

The following instructions provide the information necessary to begin documenting the EA. The purpose of the "AS–IS" phase is to identify the business and technology that exist today.

4.1 AS–IS Development



The typical approach to developing an EA is to first identify the lines of business followed by the services that support the lines of business and finally the technology that the services run on. During the first iteration of the "AS–IS" phase the current core business and technologies are identified.

Define the Business

The Business Template is used to map the core business activities to the BRM. The Business Template is used to collect information by department. Core business activities are defined as a set of one or more critical services a particular department provides.

The BRM is broken into the Business Area, Lines of Business, and sub–functions. To provide uniformity departments must use the BRM structure to classify their business activities following the BRM taxonomy provided in the following template.

OCIO_001_Business_Template.xls **–** there are six tabs in each template

Business Overview (TAB) – describes the intended use of this document a document glossary and an overview of the fields found in the Department Data (TAB).

Sample Data (TAB) – This is a sample of the Department Data (TAB) filled out.

Business Reference Model (TAB) – Represents the FEA Business Reference taxonomy.

All Reference Models (TAB) – Represents the classification and taxonomy for all the FEA models and their values with descriptions.

Department Data (TAB) – is where data regarding your business is entered. The fields to be completed are as follows:

Data Field Descriptions	
Organization Name	The Organization name field is your department's name
Business Area	The Business Area field is one of the Business Reference Models (TAB) field values that best describe the business area, including Element Name and Identification Number (level BRM #).
Line of Business (LOB)	Identify each LOB associated to the Business Area as defined in the Business Reference Models (TAB), including Element Name and Identification Number (level BRM #.0#).
Sub Functions	Identify the Sub–Functions associated with each LOB as defined in the Reference Models (TAB), Business Reference Models (TAB), including Element Name and Identification Number (level BRM #.0#.#).
Notes	Further qualification beyond reference model classification to describe extent the organization implements this line of business, business function, etc.

Business Areas: Separate government operations into high–level categories relating to the purpose of government (Services for Citizens), the mechanisms the government uses to achieve its purpose (Mode of Delivery), the support

functions necessary to conduct government operations (Support Delivery of Services), and the resource management functions that support all areas of the government's business (Management of Government Resources).

LOB: Facilitates a functional (as opposed to organizational) view of the government's LOBs, including its internal operations and its services for the citizens, independent of the agencies, departments, and offices that perform them.

Sub–functions: Each LOB is comprised of a collection of Sub–functions that represent the lowest level of granularity in the BRM.

Define the Technology

Each department will use the Technology Template to map their technologies used to support the services and lines of business. In some cases departments that are Agency dependent, for technology, may not know the technologies that support their lines of business. In this case each Agency is required to identify the technologies that support their department's lines of business and provide that information in the Agency rollup template.

OCIO_003_Technology_Template.xls – there are six tabs in each template

Technical Overview (TAB) – describes the intended use of this document a document glossary and an overview of the fields found in the Agency Data (TAB).

Sample Data (TAB) – This is a sample of the Agency Data (TAB) filled out.

Value Lists (TAB) – These are the values that represent the Life Cycle Classification column in the Agency Data (TAB) and should not be changed.

Technology Organizations (TAB) – These are examples of technologies and their companies.

Technical Reference Models (TAB) – Represents the Technical Reference Model as defined by the FEA taxonomy.

All Reference Models (TAB) – Represents the classification and taxonomy for all the FEA models and their values with descriptions.

Department Data (TAB) – is where data regarding your business is entered. The fields to be completed are as follows:

Data Field Descriptions	
Technology Name	Name of the technology. Either name of product component (e.g. vendor product name) or compliance component (e.g. regulation title (e.g. Privacy Act)).
Technology Description	Supply a description of the technology in a paragraph or two that provides sufficient clarity about the technology's purpose and capabilities.
Organization Name	The organization that is responsible for the technology.
Service Area Name	Service Areas represent a technical tier supporting the secure construction, exchange, and delivery of Service Components. Each Service Area aggregates the standards and technologies into lower-level functional areas. Each Service Area consists of multiple Service Categories and Service Standards. This hierarchy provides the framework to group standards and technologies that directly support the Service Area. This field should only contain one of the values found in the Value Lists (TAB).
Service Category Name	Service Categories classify lower levels of technologies and standards with respect to the business or technology function they serve. In turn, each Service Category is comprised of one or more Service Standards. This field should only contain one of the values found in the Value Lists (TAB).
Service Standard Name	Service Standards define the standards and technologies that support a Service Category. To support agency mapping into the TRM, many of the Service Standards provide illustrative specifications or technologies as examples.
Life Cycle Classification	Specify lifecycle classification: Emerging, Current, Twilight, Sunset.
Usage	Further qualification beyond reference model classification to describe technology usage within the organization.

Define the Services

The Service Component Reference Model (SRM) is a business-driven, functional framework classifying Service Components according to how they support business and performance objectives. By mapping each line of business to a service and technical reference model component we define the relationship between business, solutions, and technology.

Each department will populate the Services Template to map their services used to support the lines of business. Each Agency is required to identify the service components that support their department's lines of business and provide that information in the Agency rollup template.

Instruction Steps:

1. Identify the services supporting the lines of business.
2. Identify the technology components that support each service.
3. When the relationship of a service has multiple technology or business components needing identification - copy the service component spreadsheet line below the service component line that needs to identify additional relationships.
4. The services templates, service component columns are color coded to reflect the intent on collecting information for that specific service component. The three colors are;

   Mandatory (yellow) - must be filled in when applicable
   Requested (green) - asked to be filled in when applicable
   Optional (white) - no information needed for this collection

   The intent is to collect service component related data and their relations to business and technology components for the segments of architecture that may be considered candidates for use across agency and departments.

OCIO_005_Services_Template.xls – there are five tabs in each template

Services Overview (TAB) – describes the intended use of this document a document glossary and an overview of the fields found in the Agency Data (TAB).

Sample Data (TAB) – This is a sample of the Agency Data (TAB) filled out.

Department Data (TAB) – is where data regarding your business is entered. The fields to be completed are as follows:

Services Model (TAB) – Represents the FEA classification for the service component reference model (SRM) with values with descriptions

All Reference Models (TAB) – Represents the classification of all the FEA models and their values with descriptions.

Data Field Descriptions	
Unique ID	FEA Taxonomy numeric value
Service Domain/Type	The Service Component Reference Model (SRM) Service Domains provide a high-level view of the services and capabilities that support enterprise and organizational processes and applications and is made up of multiple Service Types. The Service Types have one or more Services or Components that provide the "building blocks" to deliver the information management capability to the business.
Service Component	A Service Component is defined as "a self contained business process or service with predetermined functionality that may be exposed through a business or technology interface. The service component is usually considered software.
Category	The description of the segment of architecture which best applies to the service component. This field is pre populated and should not be changed.
Product Manufacture	The Manufacturer of the product - who makes the product
Product Name	The name of the product
Product Version	The version of the product
Product Lifecycle Classification	Specify the products lifecycle classification: Emerging, Current, Twilight, Sunset.
Internal/External	Is the product internal or externally manufactured
License Type	What type of license was purchased for this product. i.e. Enterprise / per seat, etc.
Maintenance Type	What type of maintenance was purchased to support this product - none is ok
Notes	Further qualification beyond reference model classification to describe technology usage within the organization.
Technical Component Business Component	What FEA Technical Reference Model (TRM) components support this Service Reference Model (SRM) component What FEA Business Reference Model (BRM) components does this Service Reference Model (SRM) component support.

Agencies Roll–Up of Department Information

Agencies with constituent–departments shall consolidate their departments Business and Technical templates into the provided agency rollup templates. Entities that do not report to an Agency are asked to fill out the agency rollup templates as well.

OCIO_004_Agency_Business_Rollup_Template.xls – The fields to be completed are as follows:

Data Field Descriptions	
Business Area / Line of Business	Static Data which represents the Business Area and Line of Business defined in the BRM
Sub Function	Static Data which represents the Sub Functions under the Line of Business as defined in the BRM
Department Data	Each column header after the Sub Function Data Field will be labeled with the Agencies reportable departments' name. Each row under the department column header will have an "X" placed in it to represent the departments identification of the Business Sub Function identified in the Business Templates. This data is found in the Business Templates provided by each department.

OCIO_006_Agency_Technology_Rollup_Template.xls – The fields to be completed are as follows:

Data Field Descriptions	
Service Area	Static Data which represents the Service Areas defined by FEA in the TRM.
Component	Static Data which represents Components of technology defined by FEA in the TRM.
Department Data	Each column header after the Sub Function Data Field will be labeled with the Agencies reportable departments' name. Each row under the department column header will have an "X" placed in it to represent the departments identification of the Component identified in the Technical Templates. This data is found in the Technical Templates provided by each department.

OCIO_008_Agency_Services_Rollup_Template.xls – The fields to be completed are as follows:

Data Field Descriptions	
Unique ID	FEA Taxonomy numeric value
Service Domain/Type	The Service Component Reference Model (SRM) Service Domains provide a high-level view of the services and capabilities that support enterprise and organizational processes and applications and is made up of multiple Service Types. The Service Types have one or more Services or Components that provide the "building blocks" to deliver the information management capability to the business.
Service Component	A Service Component is defined as "a self contained business process or service with predetermined functionality that may be exposed through a business or technology interface. The service component is usually considered software.
Category	The description of the segment of architecture which best applies to the service component. This field is pre populated and should not be changed.
Department	The departments within the agency

Compliance Components Modification

The Compliance Components Modification process describes the Architecture Compliance Process for requesting a variance from or modification to the approved standards and legislative mandates. Having an established Architecture Compliance Process presents a tactical approach to managing the ever changing information technology components from an enterprise perspective.

After publication of standards or legislative mandates an Agency or department may request a variance by submitting a Compliance Component Template. A variance is generally used to request a deviation from published enterprise standards prior to procurement or implementation of a compliance component. The submission of a Compliance Component Template will be handled through the EA Governance Process identified in the EA Policy.

Similarly, an Agency or department may also propose changes to standards or legislative mandates by submitting a Compliance Component Template. The submission of a Compliance Component Template will be handled through the EA Governance Process identified in the EA Policy.

Note: The Architecture Compliance Process of submitting a Compliance Component Template is optional and should only be used to propose changes or to request a variance to published standards or legislative mandates.

5 Submission

There are two submission package types. The first is the EA Proposal Package described in Section 5.1 below that is due annually on the last Friday in June. The second is the EA Compliance Package described in Section 5.2 below which are used to propose modifications.

5.1 EA Proposal Package

Entities that do not report to an Agency Secretary would only fill out a department transmittal form. Agencies with Agency Secretaries fill out Agency transmittal form and their constituent–departments fill out the department transmittal form.

Submitters – Agency and their constituent–departments or by entities that do not report to an Agency Secretary such as Constitutional Offices, the California State Lottery, or the Student Aid Commission.

Time Frame – EA Proposal Package is due annually by close of business on the last Friday in June.

Delivery Method – Packages shall be delivered as attachments in an email addressed to EASubmission@cio.ca.gov with the subject title of "EA Proposal Submission".

Format – all templates found within the submission package shall remain in the native template format provided in the toolkit. The submission package shall be compressed using the zip format.

Package Content – At a minimum the EA Proposal Package will consist of:

- *The signed Agency EA Proposal Executive Approval Transmittal*
- *The signed Department EA Proposal Executive Approval Transmittal*
- *OCIO_004_Agency_Business_Rollup_Template.xls*
- *OCIO_006_Agency_Technology_Rollup_Template.xls*
- *OCIO_008_Agency_Services_Rollup_Template.xls*
- *OCIO_001_Business_Template.xls*

- *OCIO_003_Technology_Template.xls*
- *OCIO_005_Services Template.xls*

5.2 EA Compliance Package

EA Compliance Packages are submitted when an Agency or department wants to propose changes to or introduce new guidelines, standards, and legislative mandates that have not been identified in the "AS–IS EA" or EA framework being used. EA Compliance Packages that are submitted will be the entry point to the EA Governance Process.

Entities that do not report to an Agency Secretary would only fill out a department transmittal form. Agencies with Agency Secretaries fill out Agency transmittal form and their constituent–departments fill out the department transmittal form.

Submitters – Agency and their constituent–departments or by entities that do not report to an Agency Secretary such as Constitutional Offices, the California State Lottery, or the Student Aid Commission.

Time Frame – No time frames are attached to this package type

Delivery Method – Packages shall be delivered as attachments in an email addressed to EASubmission@cio.ca.gov with the subject title of "EA Compliance Submission".

Format – all templates found within the submission package shall remain in the native template format provided in the toolkit. The submission package shall be compressed using the zip format.

Package Content – At a minimum the EA Compliance Package will consist of:

At least one of the following;

- *The signed Agency EA Proposal Executive Approval Transmittal*
- *The signed Department EA Proposal Executive Approval Transmittal*

One or more of the following:

- **CaTA_EA_Compliance_Component_Template,_12102010.doc**

5.3 Future Packages and Submissions

Future Agency and department EA submissions are anticipated as CaTA begins to refine the state EA. Future submissions will include the collection of EA information for the;

Refinement of TRM and BRM – After collecting the Core "AS-IS EA" information CaTA anticipates a further collection of BRM and TRM information for non essential business and technology data.

Performance Reference Model – performance related information

Refinement of the Service Component Reference Model – a business and performance-driven, functional framework that classifies Service Components with respect to how they support business and/ or performance objectives.

Data Reference Model – additional data information that may not been collected during the Data Strategy Initiative.

Annual Submission – after the initial establishment of the State EA it is anticipated that there will be a need for the Agencies and departments to submit an annual EA Proposal used to ensure the State EA is accurate and up to date.

6 References

6.1 Links

National Association of State Chief Information Officers (NASCIO)

"NASCIO Toolkit v3"
"NASCIO Toolkit Business Architecture"
"NASCIO Toolkit Technology Architecture"
"NASCIO Toolkit Solution Architecture"

Federal Enterprise Architecture (FEA)

"FEA Practice Guidance Nov. 2007"
"FEA Reference Model Mapping Quick Guide"

6.2 Acronyms

BRM	Business Reference Model
CaTA	California Technology Agency
EA	Enterprise Architecture
EAC	Enterprise Architecture Committee
EAs	Enterprise Architects
EADG	Enterprise Architecture Developers Guide
FEA	Federal Enterprise Architecture
IT	Information Technology
LOB	Line of Business

NASCIO	National Association of State Chief Information Officers
OCIO	Office of the Chief Information Officer
SCEA	State of California Enterprise Architecture
SRM	Service component Reference Model
TRM	Technical Reference Model
SME	Subject Matter Expert

6.3 Document Maintenance

This document will be updated as needed and will be reflected in the revision history log. The revision history log will reflect the incremental update of the version number and the date, the owner making the change, and the change description.