

Process...EA Review of Ex300 Budget Request...Criteria

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1. Review Criteria

EA Compliance Review Criteria for Ex-300 Budget Requests

1.1. II.A.1 EA Business Question Review

Ex-300 Question	Guidance for Ex-300 Preparer	Guidance for Ex-300 Reviewer
<p>A. Is this investment identified in your agency’s enterprise architecture</p>	<p>By submitting the initiative to an EA review for (a) Milestone-0 Business Case and for (b) Milestone-1 (Technical Approach & Concept of Operations), prior to Exhibit-300 submission, the project sponsor ensures that the initiative will be evaluated for compliance and will be identified within the Target (To-Be) Architecture portfolio.</p>	<p>Refer to the Target (To-Be) architecture portfolio, and find and review the narrative summary for this initiative. A narrative summary should be present (if the sponsor had the initiative reviewed at Milestones 0 and 1) and it should be materially similar to the initiative description within the Exhibit-300 submission.</p>
<p>A.1. Will this investment be consistent with your agency’s To-Be modernization blueprint.</p>	<p>When developing the concept of operations and selecting a technological approach, in preparation for Milestone-1, assure that (1) the proposed solution utilizes common/shared infrastructure, such as the VA wide area network; (2) assure that the initiative utilizes sharable business services and technology service components identified within the VA sharable component registry and SRM, within the FEA-PMO service component registry or within the Federal e-gov initiative inventory, in preference to recreating similar functionality "in a stovepipe"; (3) assure that the selected technology is consistent with appropriate designs and patterns identified within the Future Architecture Vision and the TRM ; (4) assure that the proposed project scope is</p>	<p>(1) Identify this budget request's broad infrastructure needs and refer to the VA TRM in the appropriate technology categories to determine if a common infrastructure is in place in these areas. The request should utilize the shared One-VA infrastructure whenever possible. (2) Identify major business and technical service components within the request and refer to the Sharable Service Component Registry (within the FEA-PMO topic and SRM subtopic of the EA website Process-Tab) and assure that the proposed project intends to use VA Sharable Service Components - wherever practical. (3) Refer to the FEA-PMO Service Component Repository and the Federal e-gov initiatives at the FEA Web site: http://www.whitehouse.gov/omb/egov/a-1-fea.html</p>

	<p>inclusive of all potential stakeholders and beneficiaries (e.g. An Emergency-Room-Lessons -Learned database should be developed for any/all medical facility - not just a for a single VISN ; (5) review the EA assure that other, similar or identical (duplicate) projects are not also in development - in the portfolio</p>	<p>and assure that the proposed project contemplates using available shared service components or e-gov services wherever practical. (4) Refer to the VA Future Architecture Vision within the Analysis-Tab of EA website and assure that the project's technical approach is aligned with this recommendation.</p>
<p>B. Was this project approved through the review committee at your agency</p>	<p>(1) Submit the project Milestone-1 to the Office of Enterprise Architecture Management for an EA review prior to presenting the project for approval before the Business Needs Information Board. (2) Once the project has BNIB approval, and the project has been placed under Program Management Oversight control by the Office of Policies Plans and Programs (005P) then work can begin on the development of the OMB Ex-300 Budget Request.</p>	<p>(1) Review this project's narrative summary within the EA Target Architecture for consistency with the Ex-300 narrative and scope. (2) Compare this Budget Request for alignment, with the project's Milestone-0 and Milestone-1 presentations from BNIB, assure that the EA Target Architecture has accurately identified the project sponsor and project manager's contact information.</p>
<p>C. What are the major process simplification, reengineering, design projects that are required as part of this IT investment</p>	<p>(1) This initiative's major improvement objectives should be apparent from the project's milestone-0 briefing and the processes and systems to be reengineered or built should be evident from the project's Milestone -1 Briefing, and from the Ex-300 Narrative. The Ex-300 major milestones may also align with these process and system deliverables. (2) Use these resources to identify the major process improvements expected from the project.</p>	<p>(1) Verify that the initiative is consistent across Milestone-0 and 1 and the Ex-300 in identifying major system deliverables and process improvement objectives.</p>
<p>D. What are the major organization restructuring training and change management</p>	<p>(1) List organizational changes, staff retraining and possible staff relocation activities that will result from this project's innovative</p>	<p>(1) verify that treatment of employee training and reassignment are consistent with enterprise deployment planning</p>

Projects that are required	outcomes. (2) Assure that project costing accounts for conducting and managing project-related training, as well as funding the development of the training program	recommendations provided within the TRM .
E. Please list the non-primary Lines of Business that this investment supports. Refer to the http://www.whitehouse.gov/omb/eg site.	OEAM has already mapped all of VA’s business functions to the FEA-BRM. This mapping is available, under the EA Procedures Tab, the FEA-PMO Topic and the BRM subtopic of the VA EA Web-portal. (1) Refer to the Mapping model within the BRM subtopic. Use the appropriate VA business function and sub-function entry to cross-reference to the appropriate FEA-BRM business line. (2) Provide the appropriate FEA-BRM reference on the Ex-300 form.	(1) Review the Ex-300 business case narrative in conjunction with the project’s Milestone-0 and Milestone-1 briefings and assure that the FEA-BRM associated with the Ex-300 assigned is appropriately assigned.

1.2. II.A.2 EA Data Question Review

Ex-300 Question	Guidance for Ex-300 Preparer	Guidance for Ex-300 Reviewer
A. What type of data will be used in this investment? Examples of data types are Health data, geospatial data, natural resource data	(1) Characterize the data requirements of these initiatives into broadly specified data categories. (2) The Corporate Information Model and CRUD Matrix, provided in the Documents Tab and CIM Topic of the VA EA Web-portal provides an indication of the general data categories that have been identified with VA business requirements.	(1) Verify that the data categories defined in this Ex-300 are included within the Corporate Information Model (CIM) and that they are reasonable and appropriate for this project. (2) In the event that a new data category is described in the Ex-300, begin coordination to include this data class within the CIM.
B. Does the data needed for this	(1) Identify data collections within	(1) Verify the identified, existing

<p>investment already exist at the Federal, State, or Local level? If so what are your plans to gain access to this data?</p>	<p>VA and other possible stakeholder communities that will meet the requirements of this initiative. (2) Determine the feasibility, cost and process for using these existing data resources within the project.</p>	<p>sharable data collections as data sources within the Corporate Information Model topic of the EA website's Documentation Tab. (2) If previously unknown data collections have been identified, begin the process for extending the VA data model to include these sources.</p>
<p>C. Are there legal reasons why this data cannot be transferred? If so what are they, and did you address these barriers in the risk analysis section?</p>	<p>(1) Identify all requirements for inter-agency data sharing agreements, MOUs, HIPAA business partner agreements or privacy constraints that may impose barriers to utilizing this shared data. (2) Document the approval processes, waiver processes or other procedures that will be required to circumvent these obstacles and (3) Estimate the impact of this approval timeframe on the project delivery timeline.</p>	<p>(1) Verify that the data sharing agreement question has been addressed, in the risk analysis, for data sources external to VA. Note: Privacy and HIPAA issues should be addressed within the Security Review as possible risks, when HIPAA-sensitive data sources are involved.</p>
<p>D. If this initiative processes spatial data, identify planned investments for spatial data and demonstrate how the agency ensures compliance with the Federal Geographic data Committee's standards, required by OMB Circular A-16.</p>	<p>(1) Identify the project's process for compliance with geospatial data standards.</p>	<p>(1) Assure that a reasonable compliance mechanism has been identified, when geospatial data is involved.</p>
<p>E. If this activity involves the acquisition, handling, or storage of information that will be disseminated to the public or used to support information that will be disseminated to the public, explain how it will comply with your agency's information quality guidelines. (section 51.5 requirements)</p>	<p>(1) Identify the VA information quality guideline that applies to each of the data classes identified for this projects information needs. (2) In the event that an appropriate information quality standard does not exist, initiate an action with the Office of Information Technology to establish an appropriate information guideline.</p>	<p>(1) Verify that an authoritative source for information quality guidance has been identified for each data collection, involving public dissemination that has been identified for use with this initiative. (2) In the event that an appropriate information quality standard does not exist (say for a new data collection), assure that the CIO requests identification of the appropriate standard, in conjunction with Public Affairs.</p>

<p>F. Managing business information means maintaining its authenticity, reliability, integrity and usability and providing for its appropriate disposition. Address how the system will manage the business information (records) that it will contain throughout the information lifecycle.</p>	<p>(1) Identify the VA information management policy or records management policy that applies to each of the data classes identified for this projects information needs. (2) In the event that an appropriate data management and disposition policy does not exist, initiate an action with the Office of Information Technology to establish an appropriate policy.</p>	<p>(1) Verify that an appropriate data or records management and disposal standard has been identified for each data collection used by this initiative.</p> <p>(2) In the event that an applicable standard does not exist (say, for a new data collection), assure that the CIO requests the establishment of appropriate records management and disposal guidance.</p>
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1.3. II.A.3 EA Application, Components & Technology Question Review

Ex-300 Question	Preparers Guidance	Reviewers Guidance
<p>A. Discuss this major investment in relationship to the Service Component Reference Model. Include a discussion of the components in this major investment.</p>	<p>This initiative may either utilize existing sharable business or technology components within the VA or FEA-PMO inventory, or it may create a new sharable component or both. (1) Refer to The SRM sub-topic within the FEA-PMO topic within the Process Tab of the VA EA web-portal to see (a) the inventory of VA sharable processes within the VA SRM registry and (b) the see the relationship between these sharable components and the FEA-SRM taxonomy, (c) then review the sharable components listed at the FEA-PMO SRM web –site: http://www.whitehouse.gov/omb/eg (2) Identify any of the sharable service components that may be used to meet all or part of the requirement for this investment.</p>	<p>(1) Verify that this budget request has made a reasonable attempt to identify and utilize sharable service components from the listed sources.</p> <p>(2) Verify that all sharable service components being developed as part of this investment have been properly listed within the VA SRM registry.</p>

<p>B. Are all of the hardware, applications, components and web technology requirements, for this investment, included in the Agency's EA TRM , if not, explain.</p>	<p>(1) Identify all hardware, software, network infrastructure and facilities intended for use within this investment, which are excluded from use by the VA TRM. (2) If the investment requires an exception from the technology standard, obtain a variance from the Office of the CIO , specifying the items and scope of the exclusion.</p>	<p>(1) Verify that the hardware, software, network infrastructure and facilities intended for use within this investment are not excluded from use by the VA TRM , or that an appropriate variance has been obtained.</p>
<p>C. Discuss this major investment in relationship to the Technical Reference Model. Identify each or multiple service area(s), service categories or service standard(s) that collectively describes the technology supporting each component</p>	<p>(1) Describe the VA Shared Infrastructure and services that this investment will use. As a minimum, any distributed application should utilize the VA Wide area Network, VA Security Services, and VA Standard Authentication and Access Services.</p>	<p>(1) Verify that the investment is utilizing (and not replicating) VA shared infrastructure services.</p>
<p>D. Will the application leverage existing components and/or applications across the government?</p>	<p>(1) Review the e-gov initiatives, listed on the FEA-PMO SRM web site.</p> <p>(2) Identify any of the e-gov applications that may be used to meet all or part of the requirement for this investment.</p> <p>(3) In the event that an e-Gov or PMA-LOB solution is not available to satisfy this investments automation requirement, a COTS software solution is deemed preferable to a custom developed solution since the COTS solution involves less risk and usually less cost. Consider use of a COTS solution and identify that solution in response to this question or justify why a custom solution will be required.</p> <p>(4) Identify any COTS software that will be acquired to</p>	<p>(1) Review the e-gov initiatives;</p> <p>(2) Verify that this investment does not attempt to re-invent any of the applications sponsored under the e-gov initiatives.</p> <p>(3) Assure that this investment is clearly adapting a COTS solution in preference to</p>

	implement this investment; review the GSA Smartbuy portal and determine if the required software is available through Smartbuy; then plan on using Smartbuy as the software provider and so-indicate in the response to this question.	
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