



PROCEDURE 200.2-1

Title:	<b>ENTERPRISE ARCHITECTURE INVESTMENT MANAGEMENT PROCESS</b>
Owner:	Mark Estel, Information Architect, Information Technology Division, Office of Institutional and Business Operations
Approving Official:	Mark R. Cerullo, Director, Information Technology Division, Office of Institutional and Business Operations  { signature } /s/ Mark R. Cerullo
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ATTACHMENTS

- Attachment 1, EA Investment Management Process Flow
- Attachment 2, Non-EA Investment Management Projects Flow

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**FORMS**

NETL Form 203.1-1, [Enterprise System Proposal](#)

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1. **PURPOSE**

- a. To establish the process for the enterprise architecture (EA) investment management process (IMP) for the purpose of evaluating, selecting, and controlling additions and changes to the NETL EA.

2. **APPLICABILITY**

- a. The procedure applies to all NETL employees and sites.

3. **PROCEDURE**

There are three phases in the EA IMP model that the EA team is following. They are (1) select, (2) control, and (3) evaluate. See Attachment 1.

a. **Select**

- (1) There will be a proposal call and review by the EA team. The call will occur not less frequently than annually.
- (2) The EA team will develop and publish the schedule for the proposal calls. Some steps that may be included in the process are:
  - (a) Call for proposals issued.
  - (b) Proposals sent to EA team.
  - (c) Clarification requested.
  - (d) Evaluation/rating performed.
  - (e) Report prepared.
  - (f) Report completed and distributed.
  - (g) Implementation planning begins.
- (3) Proposal forms, instructions, and schedule will be available on the NETL intranet at the time of the proposal call. Form 203.1-1, Enterprise System Proposal, will be used to submit proposals.
- (4) After receipt of the proposals, EA team business representatives, also know as business information officers (BIOs), will review the proposals to determine if the problem described in the proposal is within the scope of the EA team and if there is additional information required to evaluate the proposal. If clarification is needed, the EA team identifies the responsible BIO and tasks the assigned BIO

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with obtaining the needed information. Clarification will be obtained from the proposal submitter and, where appropriate, from the business process owner or subject matter expert (SME).

- (5) For the EA team evaluation of the proposals:
  - (a) EA team voting members will serve as evaluators and will evaluate all proposals.
  - (b) A copy of all proposals will be provided to the evaluators, along with Information Technology Division (ITD) rough order of magnitude (ROM) cost estimates and technical assessments.
  - (c) The consolidated lessons-learned document from prior evaluation cycles will be distributed for review.
  - (d) Evaluators are encouraged to take into consideration all available information, including information not contained within the proposal. Information considered but not contained within the proposal should be presented at the evaluation consensus meeting.
  - (e) Ratings will be collected from the evaluators and summarized.
  - (f) The evaluation consensus meeting must consist of 80% of the BIOs and 75% of other voting members.
  - (g) If additional information or clarification is necessary to fully evaluate the proposal, an impromptu telephone call to the submitter or SME may be made during any EA team meeting at which the proposal is discussed, including the evaluation consensus meeting.
- (6) In addition to the solicited call for proposals noted in (1) above, unsolicited proposals can be submitted at any time throughout the year. Unsolicited proposals will be held and evaluated at the next review unless discussion within the EA team results in a decision to perform an interim proposal evaluation cycle.
- (7) Results of the selection phase will be published on the intranet.

b. Control

- (1) The status of the selected EA projects will be reported periodically to the EA team by an ITD representative.
- (2) If the project performers believe an issue needs to be addressed, they can request that a status of that project be discussed at a future EA team meeting.

- (3) The status will provide enough information for the team to evaluate and recommend if the project:
  - (a) Should continue as planned.
  - (b) Should be modified to better meet mission requirements.
  - (c) Development should be accelerated.
  - (d) Should be canceled.
- (4) The status report will consist of accomplishments, percent completed, and milestones, and will discuss allied issues.
- (5) Feedback will be provided to the proposer from the ITD director and/or BIOs as necessary.
- (6) For projects slated for cancellation, the proposer and/or domain expert will be afforded the opportunity to provide additional information at the next EA team meeting.

c. Evaluate

- (1) This is a post-implementation review of the project; i.e., all work has been completed and the system has been operational for a minimum of 6 months but no longer than 1 year.
- (2) To gather this information, the following can be done:
  - (a) The proposer and users can be surveyed.
  - (b) The track record of system operation can be documented.
  - (c) Mission performance can be measured in terms of actual versus proposal projections.
- (3) The following can be done to attempt to quantify cost/productivity savings:
  - (a) Collect a summary of efficiencies gained.
  - (b) Calculate actual cost savings.
  - (c) Verify the system is meeting the benefits stated in the proposal.
  - (d) Document a measurement of actual costs.

- (4) The enterprise architect (business analyst) will define measurements at the end of the project and determine when the measurements will be made.
- (5) Attempt to verify the quality of data from the system.
- (6) Prepare a trend analysis of the surveys taken: i.e., What percentage has hit the mark? Are we getting better at meeting requirements over time?, etc.
- (7) If the evaluation brings to light a desired modification, the proposer can resubmit a proposal.

d. Non-EA Investment Management Projects

- (1) These are projects and proposals that occur outside of the IMP process and schedule and may include:
  - (a) Externally driven projects, e.g., president's management agenda, I-MANAGE etc.
  - (b) Executive-level directed projects.
  - (c) Projects initiated by customers with funds.
  - (d) Projects started without any initial ITD involvement.
- (2) NETL customer, either directly or indirectly, notifies the ITD of a non-EA investment management project. See Attachment 2.
- (3) The ITD reviews the requirement and classifies the project — e.g., maintenance, enhancement, new project, etc.
- (4) The ITD assesses the architectural impact of the project.
- (5) The ITD develops a written action plan for the activities surrounding the project and informs the EA team of its findings.
- (6) The EA team reviews the findings and makes a determination if EA team involvement is appropriate.
- (7) If EA team action is required, the EA team will determine appropriate action to address the project.
- (8) If EA team action is not required, the action will be returned to ITD.

e. Active Project Comparison

- (1) The purpose of this process is to collect the relative importance of all active EA projects as viewed by the EA team. The results of this process will be used by the ITD director in making resource allocation and scheduling decisions. The results of this process will not dictate the priority of the projects as scheduled and performed by ITD.
- (2) In performing this process each active EA project is compared to all other active EA projects. A spreadsheet is used to assist in capturing the results of the comparison. Each voting member of the EA team will complete the comparison activity and return the completed spreadsheet to the data collector. The total scores from each evaluator will be tabulated into a summary sheet. Projects will be sorted in descending order of importance based on the consolidated scoring of all evaluators. No additional consensus meeting is anticipated.
- (3) A project comparison spreadsheet is used to capture and compile the ratings from each voting EA team member. The spreadsheet compares the importance of each project to every other project using the following scale:

<u>Rating Guideline</u>	
1	= Equally Important/Preferred
5	= Significantly More Important/Preferred
10	= Extremely More Important/Preferred
1/5	= Significantly Less Important/Preferred
1/10	= Extremely Less Important/Preferred

When completing and interpreting the spreadsheet, evaluators read across the rows. In the example provided below, Project A is **Significantly More Important than Project B.**

	Project A	Project B	Project C
Project A		5	1/10
Project B	1/5		1/5
Project C	10	5	

The mirror of a 5 is 1/5, the mirror of a 10 is 1/10, and the mirror of a 1 is a 1. A rating is not required when comparing a project to itself (black cells).

Project B is **Significantly Less Important than Project A.**

The prioritization matrix process requires that project ratings mirror one another. As ratings are entered across a row of the spreadsheet, mirrored ratings are automatically populated in the corresponding cells.

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4. **RESPONSIBILITIES**

a. Proposer

- (1) Submits proposals in accordance with the forms and instructions provided by the EA team.
- (2) Answers clarification questions from the EA team.

b. EA Team

- (1) Selects, controls, and evaluates the proposals submitted under this procedure.
- (2) Reviews non-EA IMP projects to determine if any EA team action is needed.

c. Information Technology Division

- (1) Provides ROM costs for the proposals submitted.
- (2) Evaluates non-EA IMP projects submitted.

d. Applications Architect

- (1) Provides periodic status of EA IMP projects to the EA team.

5. **TRAINING**

- a. There are no special training requirements for this procedure. Instructions will be sent with the call for proposals.

6. **RECORD CONTROL**

- a. NETL Form 203.1-1, Enterprise System Proposal — Enterprise System Proposals will be kept per General Records Schedule 24.11, IT Infrastructure Design and Implementation Files.
  - (1) Records for projects that are not implemented. Destroy/delete 1 year after final decision is made.
  - (2) Records for projects that are implemented. Destroy/delete 5 years after project is terminated.

7. **REQUIREMENTS**

- a. NETL Order 200.2, Enterprise Architecture.

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8. **REFERENCES**

- a. None.

9. **DEFINITIONS**

- a. **Business Information Officer (BIO)** — An NETL federal employee who represents a certain subset of NETL business needs, business processes, and information required by those processes to the EA team. This representation is performed by assigning a BIO to one or more hubs in the strategic structural model.
- b. **Evaluation Consensus Meeting** — A meeting of EA team members focused on open discussion of the merits of submitted Enterprise System Proposals (NETL Form 203.1-1). Proposals scores are finalized and selection of proposals is determined.

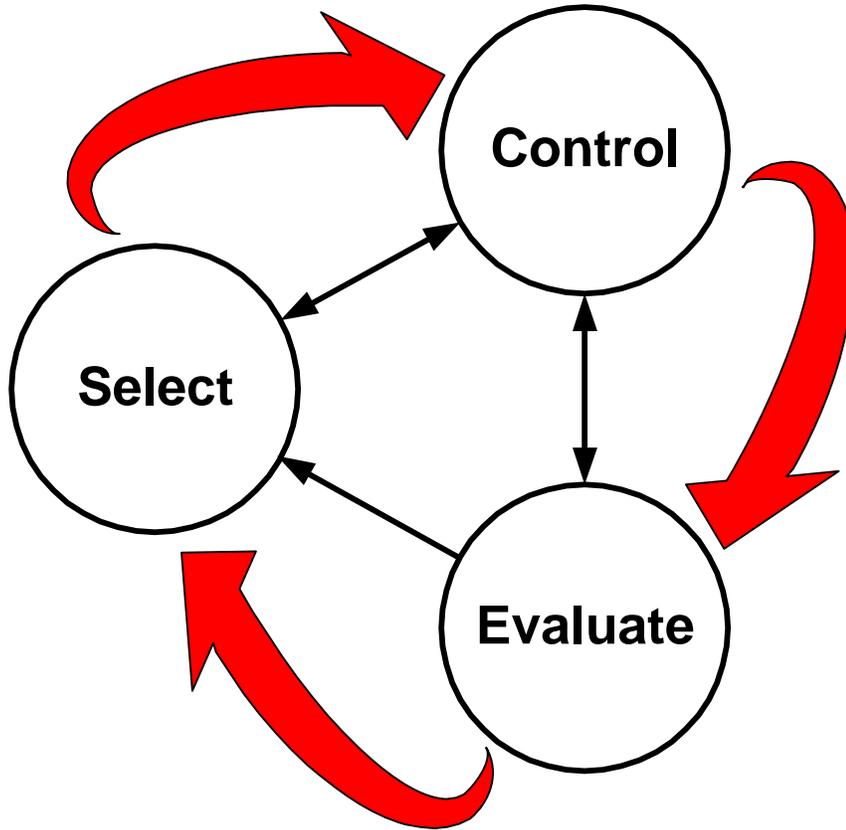
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10. **REVISION HISTORY**

VERSION	DATE	SUMMARY OF CHANGES
Original	10/23/07	To establish the process for the enterprise architecture (EA) investment management process (IMP) for the purpose of evaluating, selecting, and controlling additions and changes to the NETL EA.

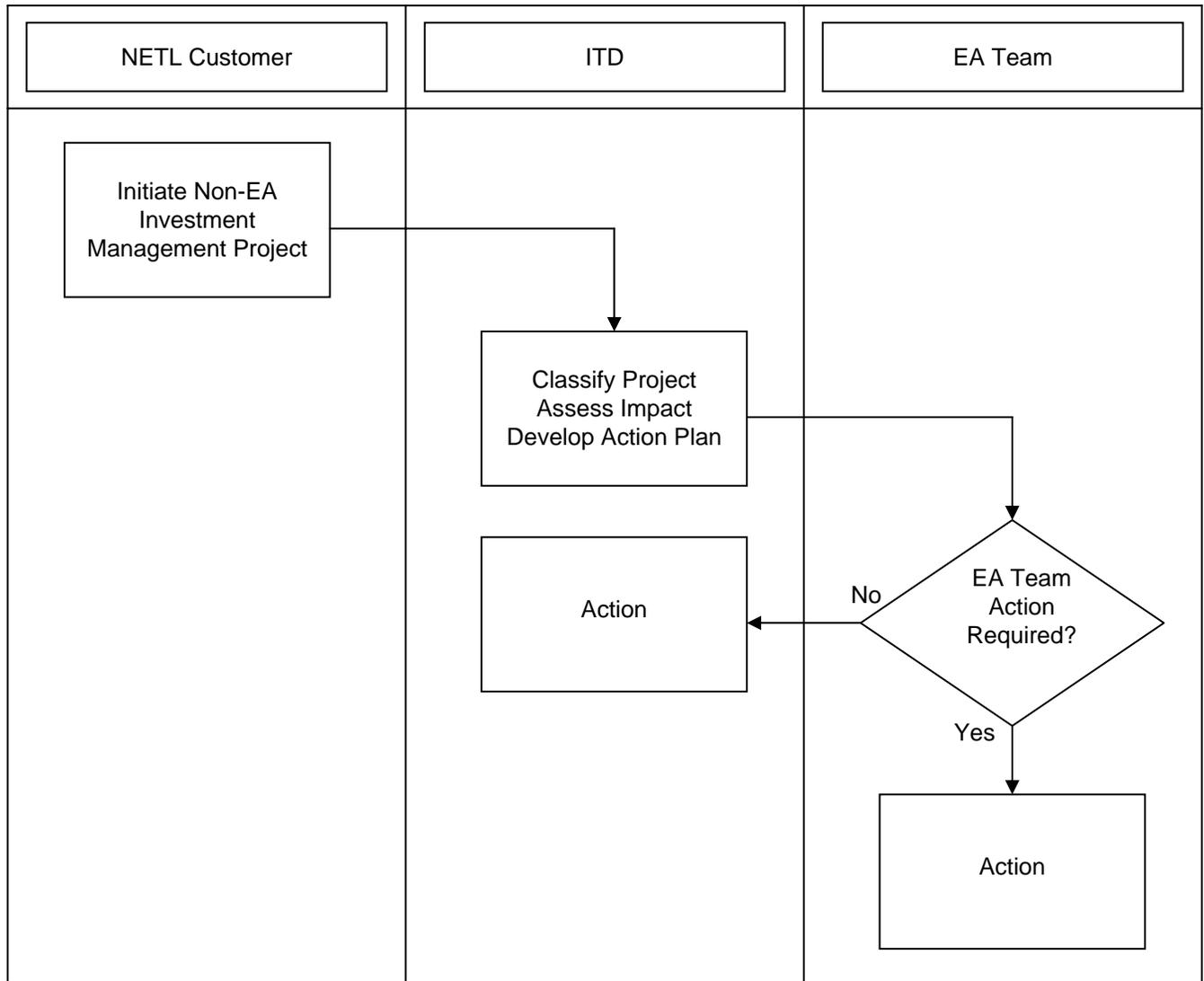
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EA INVESTMENT MANAGEMENT PROCESS FLOW



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NON-EA INVESTMENT MANAGEMENT PROJECTS FLOW



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