

## Commonwealth of Virginia



### Information Technology Resource Management

# ENTERPRISE ARCHITECTURE POLICY

Virginia Information Technologies Agency (VITA)

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## ITRM PUBLICATION VERSION CONTROL

ITRM Publication Version Control: It is the user's responsibility to ensure they have the latest version of this ITRM publication. Questions should be directed to the Associate Director for Policy, Practice and Architecture Division (PPA) at VITA's Technology Strategy and Solutions Directorate (TSS). TSS will issue a Change Notice Alert and post on the VITA Web site, provide an email announcement to the Agency Information Technology Resources (AITRs) at all state agencies and institutions as well as other parties PPA considers to be interested in the change.

This chart contains a history of this ITRM publication's revisions.

Version	Date	Purpose of Revision
Original	07-20-2006	Base Document

### Review Process

#### Technology Strategy and Solutions Directorate Review

N. Jerry Simonoff, VITA Director of Technology Strategy and Solutions (TSS), and Paul Lubic, Associate Director for Policy, Practices, and Architecture Division, provided the initial review of the report.

#### Agency Online Review

The report was posted on VITA's Online Review and Comment Application (ORCA) for 30 days. All agencies, stakeholders, and the public were encouraged to provide their comments through ORCA. All comments were carefully evaluated and the individual commenters were notified of the action taken.

## Preface

### Publication Designation

ITRM Policy EA200-00: Enterprise Architecture Policy

### Subject

Enterprise Architecture.

### Effective Date

The Information Technology Investment Board (ITIB) approved this policy on July 20, 2006.

### Supersedes

- COV ITRM Policy PLA 139-01, February 9, 2005, Platform Architecture
- COV ITRM Policy NET2001-01.1, December 7, 2001 Revision: 0, Networking and Telecommunications Policy
- COV ITRM Policy 96-1, May 24, 1996, Open Systems Environment (OSE)
- COV ITRM Policy 91-1, January 1, 1992, Systems Development and Maintenance

### Scheduled Review:

- This policy shall be reviewed every two years.

### Value Statement

Enterprise Architecture aligns information technology with line-of-business goals. Agencies that embrace business driven architectures have a technology plan to guide their directions, choices, and investments. They possess a framework allowing them to respond to business and IT trends.

Agencies with strong business-driven architectures leverage declining technology funds and optimize staff resources. Enterprise Architecture increases an agency's ability to provide consistent services, accessible information, scalable infrastructure, and flexible technology integration on demand. It helps bridge the gap between business and IT and creates a shared enterprise vision.

### Authority

*Code of Virginia*, §2.2-2007 (Powers of the CIO)

*Code of Virginia*, § 2.2-2010 (Additional powers of VITA)

*Code of Virginia*, §2.2-2458 (Powers and duties of the board [ITIB])

### Scope

This policy is applicable to all Executive Branch state agencies and institutions of higher education (hereinafter collectively referred to as "agencies") that are responsible for the management, development, purchase or use of information technology resources in the Commonwealth of Virginia. This policy does not apply to research projects, research initiatives or instructional programs at public institutions of higher education.

### Purpose

This policy establishes the Commonwealth's Enterprise Architecture as the primary source for providing information technology direction and technical requirements which govern the acquisition, use and management of information technology resources by executive branch agencies.

### General Responsibilities

#### *The Chief Information Officer of the Commonwealth (CIO)*

Directs the formulation and promulgation of ITRM policies.

#### *The Virginia Information Technologies Agency (VITA)*

VITA leads the interagency team that:

- Drafts the ITRM policy
- Updates the ITRM policy

VITA uses requirements in the ITRM policy when establishing contracts, reviewing procurement requests, agency IT projects, developing services and managing services

#### *The Information Technology Investment Board (ITIB, the Board)*

Approves the policy requirements

#### *Executive Branch Agencies*

Provide input during the development of requirements and the drafting of the policy

Provide input for the review and updating of the standard

Comply with the requirements established

Use standards information in planning for the acquisition and modification of information technology resources

Apply for waivers when necessary.

## **Related ITRM Policies, Standards, and Guidelines**

ITRM Standard EA225-00, Enterprise Technical  
Architecture Standard

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## ENTERPRISE ARCHITECTURE BACKGROUND

### *Overview*

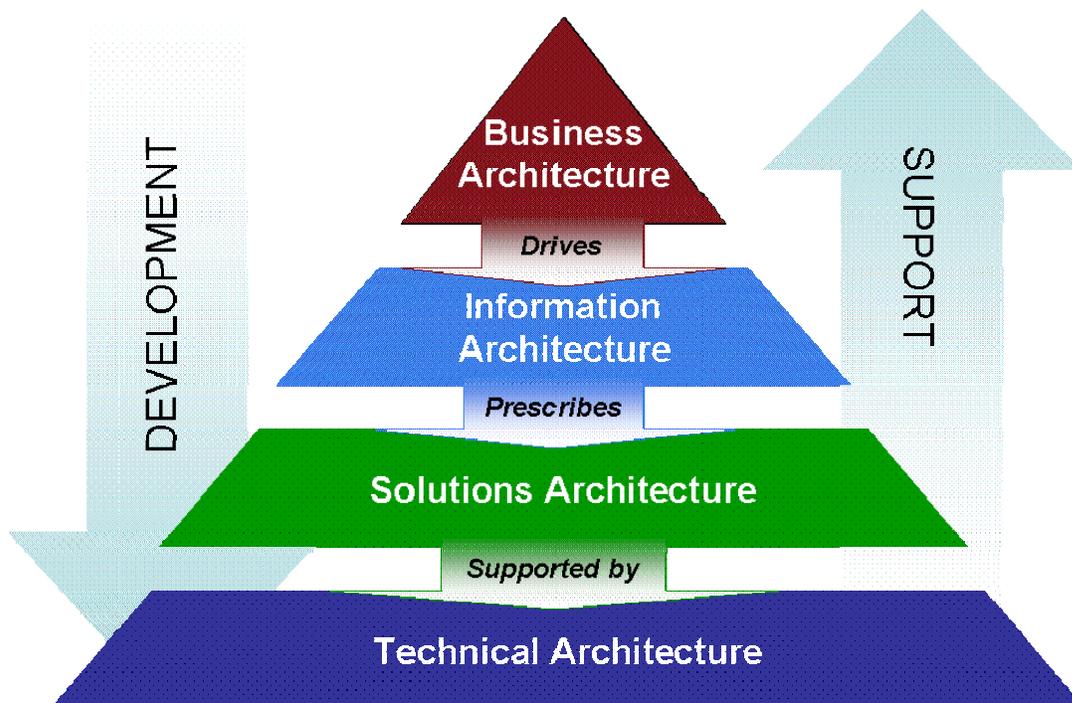
The Commonwealth's Enterprise Architecture is a strategic asset used to manage and align the Commonwealth's business processes and Information Technology (IT) infrastructure/solutions with the State's overall strategy.

The Enterprise Architecture is also a comprehensive framework and repository which defines:

- the models that specify the current ("as-is") and target ("to-be") architectures,
- the information technology structure, processes, and capabilities necessary to perform the Commonwealth's mission, and
- the change management processes necessary for adopting new technologies in response to the Commonwealth's changing business needs.

The Enterprise Architecture contains four components as shown in the model in Figure 1.

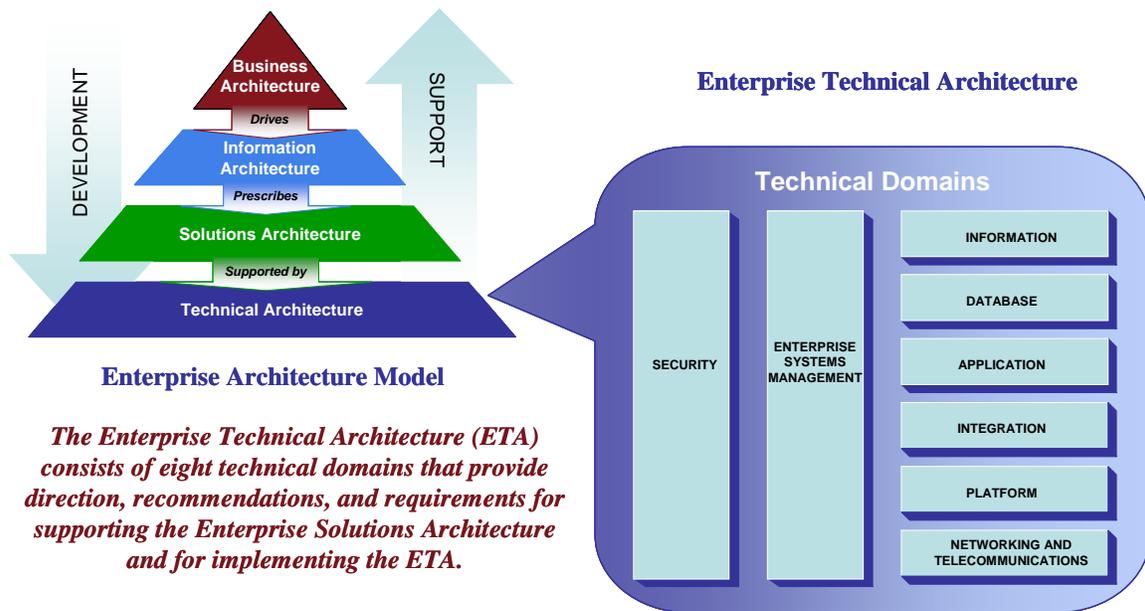
**Figure 1**  
**Commonwealth of Virginia Enterprise Architecture Model**



The Business Architecture drives the Information Architecture which prescribes the Solutions Architecture that is supported by the Technical (technology) Architecture.

The Enterprise Technical Architecture (ETA) shown in Figure 2 consists of eight technical domains that provide direction, recommendations and requirements for supporting the Solutions Architecture and for implementing the ETA. The ETA guides the development and support of an organization's information systems and technology infrastructure.

**Figure 2**  
**ETA Relationship to the Enterprise Architecture**



Each of the domains is a critical piece of the overall ETA. The Network and Telecommunications, and the Platform Domains address the infrastructure base and provide the foundation for the distributed computing. The Enterprise Systems Management, Database, Applications, and Information Domains address the business functionality and management of the technical architecture. The Integration Domain addresses the interfacing of disparate platforms, systems, databases and applications in a distributed environment. The Security Domain addresses approaches for establishing, maintaining, and enhancing information security across the ETA.

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## ENTERPRISE ARCHITECTURE POLICY STATEMENTS

Achieving the “to be” enterprise architecture requires collaboration, cooperation, and coordination among agency business stakeholders, systems developers, partners, and technology infrastructure providers.

### *Future Enterprise Architecture Vision*

The Enterprise Technical Architecture domain reports and corresponding ETA standard provide technical direction for the Commonwealth for achieving the envisioned “to be” enterprise technical architecture. Executive branch agencies shall comply with the direction provided by the ETA in developing and implementing technology solutions and the corresponding information technology infrastructure required to support the business needs of the Commonwealth.

To ensure that the ETA remains vibrant and current, and that the state progresses towards implementing the “to be” ETA, state agencies, local governments, institutions of higher education, and other interested parties or stakeholders will collaborate, and work with the VITA Policy, Practice, and Architecture Division to identify:

- emerging technologies that should be included in the ETA,
- emerging technologies that should be considered strategic technologies in the ETA,
- technologies that should be considered obsolete,
- requirements and recommended practices that should be added to the ETA,
- changes/enhancements to existing requirements, and
- products/tools to be included in the “buy” and “do not buy” lists that support the standards/requirements in the ETA.

It is the intent of the Enterprise Technical Architecture to standardize and simplify the many technologies and products used in the Commonwealth today. This will require a reduction in the number of technologies and products used to develop and support production systems in the Commonwealth to those identified in the ETA domain reports and the corresponding ETA standard. In the near future, the ETA standard will be supported by a “buy/use” and “no buy/don’t use” product list that will be developed by VITA in cooperation with agencies. In the interim while the “buy/use” and “no buy/don’t use” product list is being developed, agencies that are considering technologies and products that are not addressed in the ETA domain reports and the corresponding ETA standard may proceed with acquiring those technologies and/or products that are compatible and interoperable with the requirements and strategic technologies in the ETA.

When the “buy/use” and “no buy/don’t use” product lists are developed, agencies will require an approved exception request to use any technology or product not contained on

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the “buy/use” product list in support of mission critical or production application systems. Agencies may acquire hardware and software tools and products that are not on the “buy/use” product list without getting an approved exception request only for evaluation purposes.

The Commonwealth will use the process defined in the Appendices to govern changes and exceptions to the ETA and to ensure that all recommendations and requests for changes or exceptions are logged, reviewed, evaluated, considered, and responded to in a timely manner.

### ***Applications Domain - Systems Development***

This policy recognizes that the ultimate responsibility for the management, control, development, maintenance, enhancement and use of information systems rests with the individual state agency. Accordingly, it is the policy of the Commonwealth that all state agencies must adopt written standards for the development, maintenance and enhancement of all information systems. The purpose of written standards is to ensure that quality, effective and maintainable information systems are developed by state agencies.

### ***Applications Domain – Open Source Software***

Within the Commonwealth, “open source software” is treated the same as any other type of software. All software including “open source” that is used for development and support of Commonwealth and/or agency “mission critical applications” must be at a version/release level that has vendor or equivalent quality level support available.

“**Open source software**<sup>1</sup>” refers to computer software and the availability of its source code as open source under an open source license to study, change, and improve its design.

Open source software generally allows anybody to make a new version of the software, port it to new operating systems and processor architectures, share it with others or market it. The aim of open source is to let the product be more understandable, modifiable, duplicatable, or simply accessible, while it is still marketable.

Open source doesn't just mean access to the source code. The distribution terms of open source software must comply with the following criteria: (as recommended by the Open Source Initiative (OSI) <http://opensource.org/docs/definition.php>)

#### **1. Free Redistribution**

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<sup>1</sup> Open source software. *Wikipedia, The Free Encyclopedia*. Retrieved 16:50, March 23, 2006 from <http://en.wikipedia.org>

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The license shall not restrict any party from selling or giving away the software as a component of an aggregate software distribution containing programs from several different sources. The license shall not require a royalty or other fee for such sale.

## **2. Source Code**

The program must include source code, and must allow distribution in source code as well as compiled form. Where some form of a product is not distributed with source code, there must be a well-publicized means of obtaining the source code for no more than a reasonable reproduction cost—preferably, downloading via the Internet without charge. The source code must be the preferred form in which a programmer would modify the program. Deliberately obfuscated source code is not allowed. Intermediate forms such as the output of a preprocessor or translator are not allowed.

## **3. Derived Works**

The license must allow modifications and derived works, and must allow them to be distributed under the same terms as the license of the original software.

## **4. Integrity of The Author's Source Code**

The license may restrict source-code from being distributed in modified form *only* if the license allows the distribution of "patch files" with the source code for the purpose of modifying the program at build time. The license must explicitly permit distribution of software built from modified source code. The license may require derived works to carry a different name or version number from the original software.

## **5. No Discrimination Against Persons or Groups**

The license must not discriminate against any person or group of persons.

## **6. No Discrimination Against Fields of Endeavor**

The license must not restrict anyone from making use of the program in a specific field of endeavor. For example, it may not restrict the program from being used in a business, or from being used for genetic research.

## **7. Distribution of License**

The rights attached to the program must apply to all to whom the program is redistributed without the need for execution of an additional license by those parties.

## **8. License Must Not Be Specific to a Product**

The rights attached to the program must not depend on the program's being part of a particular software distribution. If the program is extracted from that distribution and used or distributed within the terms of the program's license, all parties to whom the program is redistributed should have the same rights as those that are granted in conjunction with the original software distribution.

## **9. License Must Not Restrict Other Software**

The license must not place restrictions on other software that is distributed along with the licensed software. For example, the license must not insist that all other programs distributed on the same medium must be open source software.

## **10. License Must Be Technology-Neutral**

No provision of the license may be predicated on any individual technology or style of interface.

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## Appendix A - ETA Change/Exception Request Review Process

### CHANGE/EXCEPTION REQUEST REVIEW PROCESS

The Enterprise Technical Architecture (ETA) Change/Exception Request Review Process defines the roles and processes that will be used to review, debate, discuss, and make decisions concerning requests for additions, changes, and exceptions to the Commonwealth's Enterprise Technical Architecture.

Roles of the key players in the ETA Change/Exception Request Review Process are:

- ITIB – final authority for approving changes to Enterprise Architecture Policy
- CIO- final authority for approving exceptions to the ETA and changes to the ETA standard
- Chief Enterprise Architect – Responsible for reviewing all proposed changes and all requests for exceptions to the ETA standard requirements, and as appropriate, making recommendations to the CIO to approve/reject requested exception/changes. This role resides with the Manager of VITA's Policy, Practice, and Architecture Division.
- Enterprise Architect – assigned the responsibility by the Chief Enterprise Architect to ensure appropriate research and recommendations are developed for each assigned Change/Exception Request.
- Commonwealth Architecture Review Team (CART) – responsible for reviewing all requests for exceptions to the ETA standard requirements and making appropriate recommendations to the Chief Enterprise Architect to accept/reject each requested exception.
- ETA Domain Teams – responsible for researching and reviewing new or emerging technologies and requested changes/additions to the ETA standard requirements for the various domains in the Enterprise Technical Architecture and for developing revised domain reports and ETA requirements for review and comment.
- Subject Matter Experts (SME) – experts on various topics from agencies, partners, and VITA support the process as needed.

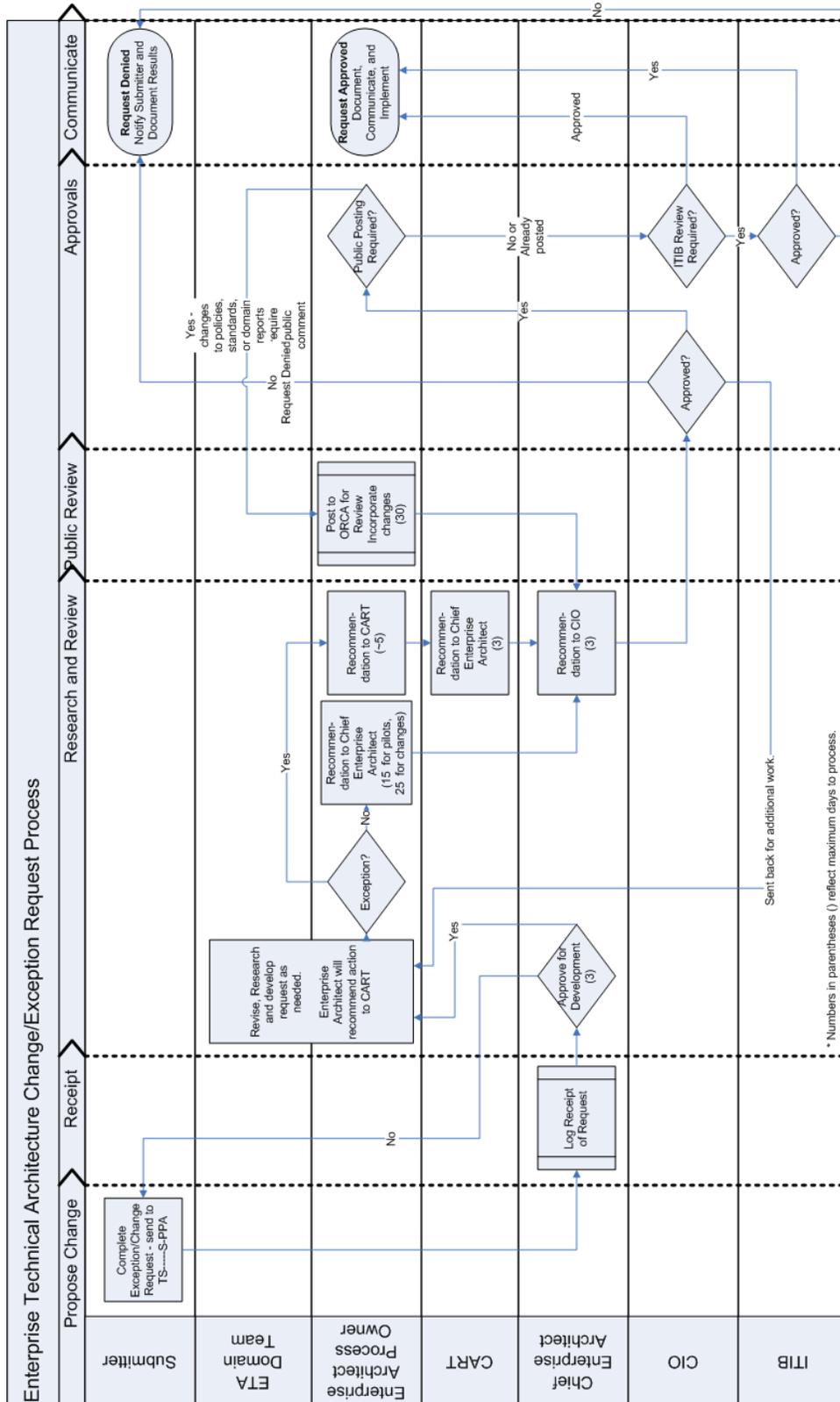
Changes to the Enterprise Technical Architecture come from or are initiated by:

- Agency requests for variance exception(s) for one or more ETA requirements
- Proposed architecture changes (add new requirements or change existing requirements) are triggered by the submission of an *Enterprise Technical Architecture Change/Exception Request* form.
- VITA's Technology Foresight and Innovation Applied Research Service

The process for requesting changes or exceptions is made up of six sub-processes:

- Propose Architecture Change/Exception
- Receipt of Architecture Change/Exception
- Research, Review, and Respond to ETA Exception Request

**Figure 1**  
**Change/Exception Request Review Process Flow**



- Develop Documents and Public Posting of Change (for Domain Reports, Policy, and Standard changes)
- Architecture Review/Approval
- Communicate and Document Review Decisions

## Propose Architecture Change /Exception

The Process begins with the preparation of an Enterprise Technical Architecture Change/Exception Request form (Appendix B) by an interested stakeholder. Examples of stakeholders are: Agency Information Technology Resources (AITRs), Agency Enterprise Architects, Agency CIOs, Development Managers, Infrastructure Partners, Enterprise Application Development Partners, and the Commonwealth Architecture Review Team (CART).

Depending on the type of request, different sections of the Change/Exception Request form must be completed as shown in the following chart:

<i>Process Type</i>	<i>Type of Request</i>	<i>Form Selections</i>					
		<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>6</i>
Exception	Temporary exception	X	X	X	X	X	X
Exception	Permanent exception	X	X	X	X	X	X
Change	Alternative technology proposal	X	X	X	X		
Change	Change language/definition in an ETA artifact	X	X	X			
Other	Approve emerging technology for pilot	X		X			

The form can be found in Appendix B and the instructions for completing the form are found in Appendix C. The form itself is a fillable Microsoft Word form and can be found here: <http://www.vita.virginia.gov/cots/ea/library/etaDocuments.cfm>

All requests for change/exceptions should be shown on the form. The form should be completed electronically and sent via email to the Commonwealth's official Enterprise Architecture email box: [ea@vita.Virginia.gov](mailto:ea@vita.Virginia.gov). Requestors should attach any additional supporting project or research material that supports their request.

## Receive Architecture Change /Exception

The Chief Enterprise Architect will ensure all change/exception requests received are logged and assigned to an Enterprise Architect within 3 business days after receipt. A complete, up-to-the-minute log of all change/exception requests can be viewed on the VITA Website at: <http://www.vita.virginia.gov/cots/ea/requestlog.htm>.

## **Research, Review, and Respond to ETA Change/Exception Request**

### ***Exception Requests***

This includes temporary and permanent exception requests.

The assigned Enterprise Architect will conduct research, consult with subject matter experts, develop approval or rejection language, and recommend approval or disapproval of the request to the designated Commonwealth Architecture Review Team (CART) subject matter experts (SME) no later than the workweek (Monday-Friday) following the week when the Enterprise Architect received the assignment.

CART SMEs will review the request, develop approval or rejection language, and recommend approval or disapproval of the request to the Chief Enterprise Architect within 5 workdays of receiving the request from the assigned Enterprise Architect.

If the assigned Enterprise Architect and CART SMEs recommendations are different or they identify one or more issues with the request, the Chief Enterprise Architect shall forward the recommendations to CART for their review and action at their next scheduled meeting. CART will recommend a course of action for the request to the Chief Enterprise Architect.

The Chief Enterprise Architect, after reviewing the recommendations of the assigned Enterprise Architect, CART SMEs, and possibly CART, and as needed, consulting with subject matter experts, will recommend a course of action for the request to the CIO within three business days of receiving all appropriate recommendations.

It is VITA's intent that all research, reviews, and recommendations required for the CIO to make an informed decision be completed and provided to the CIO within three weeks of receipt the request for exception.

The Chief Information Officer of the Commonwealth will take one of the following actions related to an exception request:

- Approved
- Denied
- Returned – the CIO may return the request to the original sender or one of the individuals/groups (assigned Enterprise Architect, CART SMEs, CART, or Chief Enterprise Architect) that provided recommendations with a request for additional information, including possible development of a new or revised recommendation.

If the exception request is approved by the CIO and the analysis or recommendations cause a change to an ITRM Policy and/or Standard, the change must be posted for 30 days on the VITA Online Review and Comment Application (ORCA). The CIO's approval decision shall be

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provided to the requesting agency prior to posting on ORCA so that they may proceed with the exception in a timely manner.

### ***Change Requests and Other Requests***

This includes all other types of requests other than exceptions. The assigned Enterprise Architect will work through the appropriate ETA domain team(s) for research and subject matter experts to develop a solution/recommendation that addresses the request. Depending on the type of request, the assigned Enterprise Architect/ETA Domain team recommendation is due to the Chief Enterprise Architect as follows:

- Approve emerging technology for pilot – no later than 3 weeks (15 workdays) after date assigned to the Enterprise Architect.
- Alternative technology proposal and change language/definition in an ETA standard – no later than 5 weeks (25 workdays) after date assigned to the Enterprise Architect.

For alternative technology proposal requests, the request will be forwarded to designated CART SMEs for review and recommendation development at the same time the request is assigned to the Enterprise Architect. The CART SME recommendation should be provided to the assigned Enterprise Architect (for use with Domain Teams) and to the Chief Enterprise Architect.

After reviewing input recommendation(s) and as needed, consulting with subject matter experts, the Chief Enterprise Architect will recommend a course of action to the CIO within three business days of receiving the recommendation(s).

The Chief Information Officer of the Commonwealth will take one of the following actions related to the request:

- Approved
- Denied
- Returned – the CIO may return the request to the original sender or one of the individuals/groups (assigned Enterprise Architect, ETA Domain Team, or Chief Enterprise Architect) that provided recommendations with a request for additional information, including possible development of a new or revised recommendation.

If the request is approved by the CIO and the analysis or recommendations cause a change to an ITRM Policy and/or Standard requirements, the change must be posted for 30 days on the VITA Online Review and Comment Application (ORCA).

### **Develop Documents and Public Posting of Changes**

If the resolution of a request involves a change to an ETA standard or policy, the revised draft policy or standard must be posted on VITA's Online Review and Comment Application (ORCA) for a minimum of 30 days for public review and comment.

Once the ORCA review period is closed, the assigned Enterprise Architect will make every effort to respond to all commenter's within 7 calendar days. Only if the comments result in the necessity to significantly modify the draft change request will the updated draft be reposted – typically for an additional review period of 15 days.

## Architecture Review/Approvals

**Debate/Discuss Architecture Change Proposal** – Approvers (CART, Chief Enterprise Architect, CIO, ITIB) will weigh the pros and cons from the business perspective to make a determination toward accepting or rejecting the change. As with the Approvers, the Advisors (Enterprise Architects, ETA Domain teams) will also consider the immediate, as well as the long-term needs of the organization.

**Accept/Reject Architecture Review Request** – Based on the business case and the immediate and long term needs of the organization, the Approvers will either accept or reject the proposed architecture change request. Whether a change is accepted or rejected, the results will be documented and posted on the Enterprise Architecture website. This provides a picture of the evolution of the decision process and history for the Enterprise Technical Architecture.

## Communicate and Document Review Decisions

The results of processing all architecture change/exception requests are documented regardless of whether a requested change was accepted or rejected.

The process steps for documenting the review decision include

- Summarize Architecture Review Decisions
- Determine Affected Domains
- Apply Approved Enterprise Technical Architecture Changes
- Communicate Architecture Review Decisions

**Summarize Architecture Review Decisions** – The assigned Enterprise Architect will summarize the change request and the decisions of the Approvers.

**Apply Approved Enterprise Technical Architecture Changes** – Multiple Domains may be affected based on the results of the review. The assigned Enterprise Architect should ensure that all the affected Domain Reports are updated. The Enterprise Technical Architecture principles, recommended practices, requirements, and standard technologies are maintained in the ETA Domain Reports, which provide the foundation and structure for the ETA Policies, Standards and Guidelines.

**Communicate Architecture Review Decisions** – Major changes or additions to the ETA **should** be communicated to stakeholders through the Enterprise Technical Architecture Communication Process.

**Appendix B – ETA Change/Exception Request Form***Commonwealth of Virginia***ETA Change/Exception Request Form**Email this form to: [ea@vita.virginia.gov](mailto:ea@vita.virginia.gov)

<b>1. Requesting Agency Contact Information</b>	
a. Requesting Agency:	
b. Request Date:	
c. Agency Contact Person:	
d. Contact Person's Title:	
e. Contact Person's Phone #(s):	
f. Contact Person's E-Mail:	

<b>2. Identify Specific Provision(s) of ETA Related to this Request</b>	
a. Document Type:	<input type="checkbox"/> Policy <input type="checkbox"/> Standard <input type="checkbox"/> Guideline <input type="checkbox"/> Domain Report
b. Document Name:	
c. Requirement/Table #:	
d. Date Action on Request Needed by:	

<b>3. Type of Request</b>	
a. <input type="checkbox"/>	Temporary Exception Until: _____
b. <input type="checkbox"/>	Permanent Exception
c. <input type="checkbox"/>	Include Proposed Technology Alternative in ETA as: <input type="checkbox"/> Transitional <input type="checkbox"/> Emerging <input type="checkbox"/> Strategic
d. <input type="checkbox"/>	Approve Emerging Technology for pilot project
e. <input type="checkbox"/>	Change language/definition in the Policy, Standard, Guideline or Domain Report

f. Provide a short summary of the proposed addition, revision or exception:

<b>4. Impacted Project/Initiative Description</b>	
a. Project/Initiative Title:	
b. Project Manager:	
c. Project Manager Phone:	
d. Project Manager E-Mail:	
e. Project Dates:	Start:                      End:
f. Production "roll-out" required date:	

<b>5. Justification for Exception Request</b>
a. Briefly describe the business reason(s) for requesting the exception:
b. Identify any government or industry standards supporting the proposed request:
c. Briefly describe the technical reason(s) for requesting the exception:
d. Briefly describe the proposed technology alternative:

- e. Provide a brief business case (cost benefits or effectiveness analysis) that supports the proposed technology alternative versus the provisions of the standard:

## 6. Impact Assessment

- a. Briefly describe the impact on the agency's IT architecture, infrastructure and existing or planned systems should this exception request be approved.
- b. Briefly, describe the financial impacts of using the proposed technology alternative. This should include Total Cost of Ownership (including upgrades, maintenance, support, training, etc.) over the estimated lifetime of proposed technology alternative.
- c. Briefly, describe the agency's alternative(s) for initiative/project should this exception request be denied.
- d. In the event, this exception request is approved, describe the time frames for transitioning away from the non-conforming standard or products granted in this exception request and implementing conforming standards and/or products.
- e. Describe the impacts the proposed revision could have on those outside your agency (e.g. other agencies, vendors, local governments, businesses, citizens, etc.):

<b>7. Enterprise Architecture Analysis</b>	
a. Analysis of Request:	
b. Recommended Action:	
c. Lead Enterprise Architect:	
d. Analysis Completion Date:	

<b>8. Commonwealth Architecture Review Team (CART) SME Analysis</b>	
a. Analysis of Request:	
b. Recommended Action:	
c. Lead CART SME:	
d. Analysis Completion Date:	

<b>9. Commonwealth Architecture Review Team (CART) Analysis</b>	
e. Analysis of Request:	

f. Recommended Action:	
g. CART Leader:	
h. Analysis Completion Date:	

<b>10. Chief Enterprise Architect Recommendation</b>	
a. Recommended Action:	
b. Chief Enterprise Architect:	
c. Recommendation Date:	

<b>11. Chief Information Officer</b>	
a. Action Taken:	<input type="checkbox"/> Approved <input type="checkbox"/> Denied <input type="checkbox"/> Returned
b. Comments:	
c. Chief Information Officer:	<b>Lemuel C. Stewart, Jr.</b>
d. Chief Information Officer Signature:	
e. Date Signed:	

Email this form to: [ea@vita.virginia.gov](mailto:ea@vita.virginia.gov)

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## Appendix C – Instructions for Completing Change/Exception Request Form

Following are line-by-line instructions for completing the Enterprise Technical Architecture Change/Exception Request form:

### 1. *Requesting Agency Contact Information*

- a. Requesting Agency: Name of the agency submitting the request. For this form and all Policies, Standards, Guidelines, and Domain Reports, “agency” refers to any agency, institution, board, bureau, commission, council, or instrumentality of state government in the executive branch listed in the appropriation act. ETA requirements/standards are applicable to all agencies including the administrative functions (does not include instructional or research functions) of institutions of higher education, unless exempted by language contained in a specific requirement/standard.
- b. Request Date: Date request was prepared.
- c-f. Agency Contact Person: Name, Title, Phone number, and email address of the primary contact person at the requesting agency.

### 2. *Identify Specific Provision(s) of ETA Related to this Request*

- a. Document Type: Indicate whether this change/exception request pertains to a Policy, Standard, Guideline or Domain Report.
- b. Document Name: Name of the existing document this change/exception pertains to.
- c. Requirement/Table #: If this change/exception pertains to an existing requirement or product standard table, provide the number. E.g. an Information domain requirement number might be INF-R-04 or a Network product standard table number might be NET-S-02.
- d. Date Action or Request Needed by: If there is a deadline or project milestone date by which action on this request must be taken, please enter it here.

### 3. *Type of Request*

- a. Temporary Exception Until: If this is an exception request and of a temporary nature, check this box and enter the date after which the exception will no longer be required.
- b. Permanent Exception: If this is a permanent exception request, check this box.
- c. Include Proposed Technology Alternative in ETA as: If this is a change request to an existing product standard, indicate whether it is Transitional, Emerging, or Strategic as follows:

**Strategic:** This technology is considered a strategic component of the Commonwealth's Enterprise Technical Architecture. It is acceptable for current deployments and must be used for all future deployments.

**Emerging:** This technology requires additional evaluation in government and university settings. This technology may be used for evaluative or pilot testing deployments or in a higher education research environment. Any use, deployment or procurement of this technology beyond higher education research environments requires an approved *Commonwealth Enterprise Technical Architecture Exception*. The results of an evaluation or pilot test deployment should be submitted to the **VITA Technology Strategy and Solutions: Policy, Practice and Architecture Division** for consideration in the next review of the Enterprise Technical Architecture for that technology.

**Transitional/Contained:** This technology is not consistent with the Commonwealth's Enterprise Technical Architecture strategic direction. Agencies may use this technology only as a transitional strategy for moving to a strategic technology. Agencies currently using this technology should migrate to a strategic technology as soon as practical. A migration or replacement plan should be included as part of the Agency's IT Strategic Plan. New deployments or procurements of this technology require an approved *Commonwealth Enterprise Technical Architecture Exception*.

- d. Approve Emerging Technology for pilot project: Check here if the purpose of this request is for approval to utilize an Emerging Technology for a pilot project.
- e. Change language/definition in the...: Check this box If the purpose of this request is to change language within the ETA artifact other than a numbered Principle, Recommended Practice, Requirement, or Product Standard.
- f. Provide a short summary of the proposed addition, revision or exception: Briefly describe the request and its purpose.

#### 4. Impacted Project/Initiative Description

- a. Project/Initiative Title: Name of the IT project which will be directly impacted by the approval or denial of this change/exception request.
- b. Project Manager: The project manager responsible for the project. This may or may not be the same as the contact person identified in section 1.
- c. Project Manager Phone: Work phone number of project manager.
- d. Project Manager E-Mail: E-mail address of the project manager.
- e. Project Dates: Enter the start and end dates of the project.
- f. Production "roll-out" required date: What is the date that the technology exception being requested for is scheduled to go into production.

#### 5. Justification for Exception Request

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- a. Briefly describe the business reason(s) for requesting the change/exception: What is the business need or drivers which require the approval of this request? Has the business architecture changed?
  - b. Briefly describe the technical reason(s) for requesting the exception: Describe the current or proposed technology environment that will be impacted by the approval or disapproval of this request.
  - c. Identify any government or industry standards supporting the proposed request: These might include organizations such as the American National Standards Institute (ANSI) standards, Internet Engineering Task Force (IETF) standards, World Wide Web Consortium (W3C), etc.
  - d. Briefly describe the proposed technology alternative: Describe the technology being proposed and why it is required for your project.
  - e. Provide a brief business case (cost benefits or effectiveness analysis) that supports the proposed technology alternative versus the provisions of the standard: For example, what is the ROI or TCO of both alternatives?

## 6. Impact Assessment

- a. Briefly describe the impact on the agency's IT architecture, infrastructure and existing or planned systems should this exception request be approved: What are the positive or negative implications to the agency's existing technologies and future planned systems should this change/exception request be approved. In other words, from a technical standpoint, why should this request be approved/
- b. Briefly, describe the financial impacts of using the proposed technology alternative. This should include Total Cost of Ownership (including upgrades, maintenance, support, training, etc.) over the estimated lifetime of proposed technology alternative: Every choice has a financial impact, either positive or negative. What are the financial impacts of this request?
- c. Briefly, describe the agency's alternative(s) for initiative/project should this exception request be denied: In the event that this change/exception request is not approved, what alternatives has the agency investigated.
- d. In the event this exception request is approved, describe the time frames for transitioning away from the non-conforming standard or products granted in this exception request and implementing conforming standards and/or products: If this request is for a temporary or permanent exception to approved technology requirements and standards, when does the agency anticipate being able to replace it with a conforming technology.

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- e. Describe the impacts the proposed revision could have on those outside your agency (e.g. other agencies, vendors, local governments, businesses, citizens, etc.): If this request were to be approved, what would the impact be to similar business functions in other agencies?

## 7. Enterprise Architecture Analysis

- a. Analysis of Request: In this section the Enterprise Architecture staff member assigned this change/exception request should describe his or her assessment of the request.
- b. Recommended Action: The Enterprise Architect should describe in detail why the request should or should not be approved.
- c. Lead Enterprise Architect: This is the name of the assigned Enterprise Architect.
- d. Analysis Completion Date: Typically this is the date the analysis was completed and presented to the Chief Enterprise Architect.

## 8. Commonwealth Architecture Review Team (CART)

- a. Analysis of Request: The CART should describe its assessment of the request.
- b. Recommended Action: The CART should describe in detail why the request should or should not be approved.
- c. CART Leader: This is the name of the lead CART person for this assessment and recommendation.
- d. Analysis Completion Date: This is the date the analysis was completed.

## 9. Chief Enterprise Architect Recommendation

- a. Recommended action: After appropriate review, the CEA will enter his/her recommendation here.
- b. Name of the Chief Enterprise Architect.
- c. Recommendation Date: Indicate date the CEA recommendation was completed.

## 10. Chief Information Officer

- a. Action Taken: Check the box corresponding to the action taken by the CIO: Approved, Denied, or Returned to the Process Owner for additional work.
- b. Comments: Enter any comments by the CIO.
- c. Chief Information Officer: Printed full name of the CIO.
- d. Chief Information Officer Signature: This approved document carries the force of law or regulation and must therefore carry an actual hard signature. Once all other

elements have been completed, the CIO should print the document and formally sign in this space.

- e. Date Signed: Indicate the date on which the document was signed by the CIO.