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MEMORANDUM FOR SECRETARIES OF THE MILITARY DEPARTMENTS
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        UNDER SECRETARIES OF DEFENSE
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SUBJECT: Single Business Enterprise Architecture Compliance Process and Tool

      The purpose of this memorandum is to establish the requirement to use a single process and associated tool to assess Business Enterprise Architecture (BEA) compliance of all covered Defense Business Systems (DBS).

      Section 901 of the Fiscal Year 2012 National Defense Authorization Act (FY 2012 NDAA), now codified in title 10, U.S.C. § 2222, requires that all covered DBS be assessed for compliance with the BEA prior to receiving certification to obligate funding of greater than $1,000,000 over the period of the current Future-Years Defense Program (FYDP). Additionally, the Defense Business System Investment Management Process Guidance of June 29, 2012, specifies that Investment Review Board (IRB) certification reviews and decisions shall be based on information documented within the Department's authoritative sources, such as the Department of Defense Information Technology Portfolio Repository (DITPR) and the Select and Native Programming Information Technology (SNaP-IT) system.

      The Department of Defense (DoD) Business Enterprise Architecture Compliance Guidance of March 2011, discusses two possible alternatives for performing BEA compliance assessments: a manual process or; the use of a Deputy Chief Management Officer provided tool. The manual process has proven to be suboptimal and therefore, in order to ensure compliance assessments are performed in a consistent and rigorous manner, all future BEA compliance assessments shall be performed via a single process and associated tool. Making use of a single compliance assessment process and tool will have the additional benefit of creating a new authoritative data source of BEA compliance assessment information, which will be leveraged as part of future IRB / DBC certification reviews. Beginning with IRB / DBC certifications of

FY14 funding, all BEA Compliance assessments will be conducted using the single assessment process and tool.

The current tool, to be used by all covered DBS for assessing BEA compliance is ACART, which is available at https://acart.osd.mil. It should be noted that DITPR is not designed to serve the purpose or function of assessing BEA compliance and it is not approved for this usage. Detailed information about the single and consistent process for assessing BEA compliance of all DBS via ACART is provided in the attached document, Assessing Defense Business Systems for BEA Compliance.

My point of contact for the BEA is Mr. Michael Jacobs, michael.jacobs@osd.mil, 571-372-2990.

Elizabeth A. McGrath

Attachment:
As stated

Assessing Defense Business Systems for BEA Compliance

1. BEA Compliance Assessment Introduction

All non-legacy[1] Defense Business Systems (DBS) requesting certification of funding by the Investment Review Board (IRB) / Defense Business Council (DBC) must be assessed for compliance with the current version of the Business Enterprise Architecture (BEA). In order to ensure compliance assessments are performed in a consistent and rigorous manner, all assessments shall be performed via the ACART tool. Required use of ACART for assessing compliance as part of the IRB / DBC funds certification process does not preclude the use of additional processes and tools for validating actual compliance of individual DBS by Program Offices, Components, and Principal Staff Assistant organizations.

It should be noted that the DoD Information Technology Portfolio Repository (DITPR) is not currently designed to serve the purpose or function of assessing BEA compliance and it is not approved for this use.

2. BEA Content

BEA content is based on the DoD Architecture Framework 2.02 and is comprised of a set of integrated (i.e., "linked") architecture products. These products include representations of data and implementation requirements necessary to achieve the Department's Business Mission Area (BMA) enterprise priorities. With respect to BEA compliance, there are two major categories of BEA products; scoping products and compliance products.

a. Scoping Products

BEA "scoping products" include BMA Functional Areas (previously referred to as Core Business Missions)[2], Operational Activities, Information Exchanges, and Business Processes. These scoping products are used to identify the portions of the BEA that are applicable to a particular DBS.

b. Compliance Products

BEA "compliance products" include Data Attributes; Data Business Rules; Defense Financial Management Improvement Guidance; Laws, Regulations, and Policy; Business Process Rules; and the Standard Financial Information Structure (SFIS) Checklist.

3. Assessing BEA Compliance via ACART

ACART provides a semi-automated mechanism for assessing the compliance of a particular DBS to the current version of the BEA. The owner of a DBS can use ACART to map to applicable BEA "scoping products." Once completed, these mappings will automatically identify which

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1 The Defense Business Systems Investment Management Process Guidance of June 2012 defines "legacy" DBS as a business system with a sunset date that is less than 36 months from the date of the Defense Business System Management Committee's approval of funds certification.

2 Core Business Mission (CBM) is the term for BMA Functional Area in use when BEA 9.0 was developed. This term is imbedded in BEA 9.0 and related architecture products.

"compliance products" are applicable to the particular DBS and therefore must be complied with. DBS which process financial transactions or data must also be assessed for compliance with the SFIS Checklist. Figure 1 below, provides a graphical representation of this process.
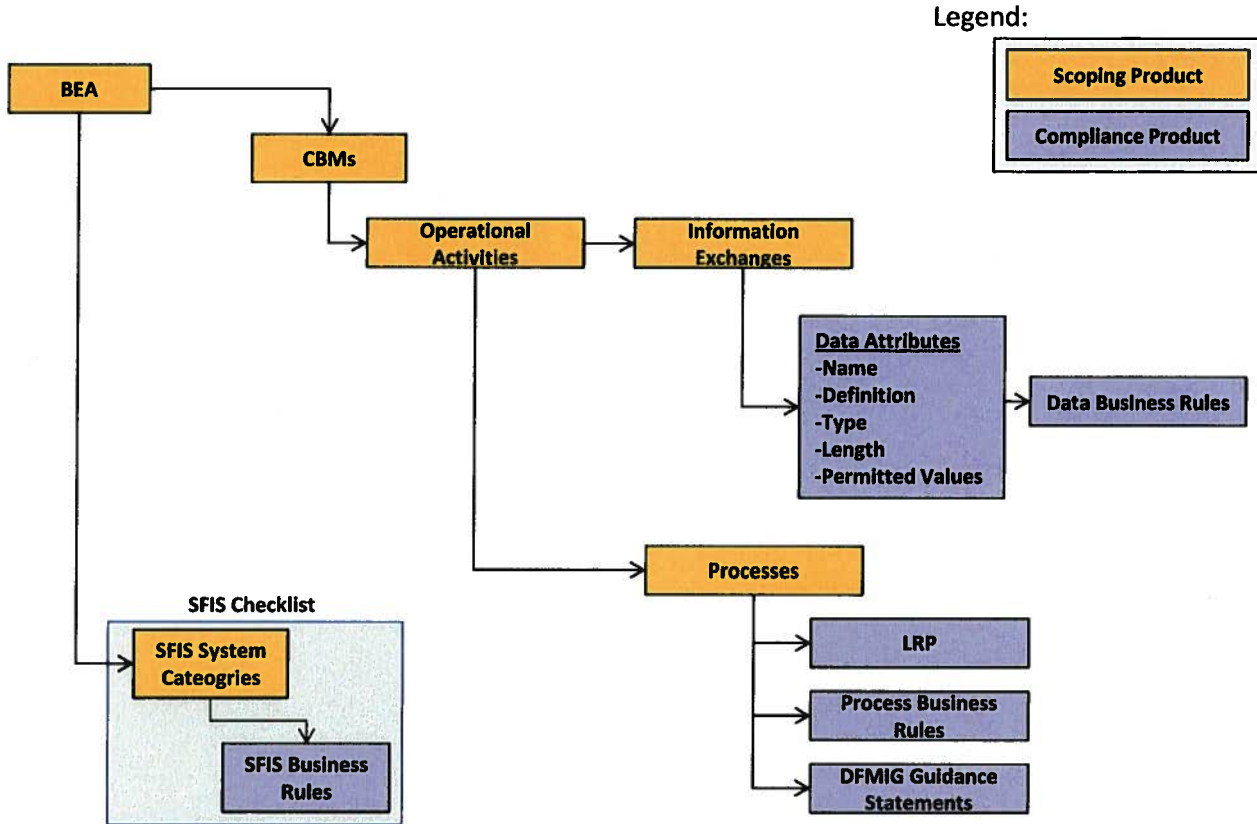

Figure 1 - BEA compliance assessment flow

4. BEA Compliance Determination

A DBS must demonstrate compliance with all applicable BEA requirements. A DBS which is not compliant with any applicable BEA requirement is considered "non-compliant." Each DBS's BEA compliance status must be documented and maintained on the DITPR Certification Request screen for the particular DBS. DITPR allows for the following BEA Compliance statuses:

    a. Y – Assessed – Compliant
    b. N – Assessed – Not Compliant
    c. X – Assessment - Not Completed
    d. L – Legacy (Not Required)

5. Pre-Certification Authority Role in Assessing BEA Compliance

In accordance with Section 901 of the FY2012 NDAA, the Pre-Certification Authority (PCA) is responsible for ensuring DBS within their portfolios are compliant with the BEA. PCAs should

provide oversight of compliance assertions performed by DBS owners, to ensure these assertions are an accurate representation of the system's level of alignment and compliance with the BEA.

If the PCA determines that a DBS is not compliant with the BEA, a Compliance Plan shall be provided, which includes a planned compliance date, identification of the overarching architecture and system issues, and the estimated cost for achieving compliance. If the architecture and system issues encompass multiple systems in the Component's Organizational Execution Plan (OEP), the compliance plan should address all applicable systems.

The Deputy Chief Management Officer may revalidate BEA compliance assertions for a sample of DBS in order to ensure quality control of the investment review process and inform necessary changes to the BEA.

6. Use of ACART as an Authoritative Source of Information

Data populated into ACART will become a new authoritative source of BEA compliance assessment information. This information will be leveraged as part of the IRB investment review and certification process and will allow for greater visibility into strengths and weaknesses of current version of the BEA. This visibility will facilitate continuous improvement of BEA content, in support of achieving the Department's BMA enterprise priorities.