

# EA Readiness Assessment Preview

## Version 1.3

“The mission of the association is to shape national IT policy through collaborative partnerships, information sharing, and knowledge transfer across jurisdiction and functional boundaries.”

- *NASCIO Mission Statement*

### Scope, Purpose and Benefits

Enterprise Architecture has been identified as a key component in the quest for this goal. Currently, NASCIO provides two primary tools for assisting state and local governments in their Enterprise Architecture development efforts: NASCIO’s Enterprise Architecture Development Tool-kit, which is a guidance document for developing Enterprise Architecture Programs, and NASCIO’s EA Readiness Assessment.

The Enterprise Architecture Development Tool-Kit consists of EA tools and methodologies, but without having the mechanism for assessing current EA capabilities, it is difficult for organizations to make the most of these tools and methodologies. The success of an Enterprise Architecture program lies in the ability to assess the current maturity of the program and apply that knowledge to provide direction to the next level. The EA Readiness Assessment is the critical assessing component of the NASCIO EA Program.

The EA Readiness Assessment:

- Allows state/local government to measure its readiness for an Enterprise Architecture program
- Allows state/local government to measure the maturity level of their Enterprise Architecture program
- Provides NASCIO a means to measure the progress of Adaptive Enterprise Architecture Programs and their effectiveness, throughout the member organizations.
- Provide NASCIO strategic information that will allow future efforts to be focused for maximum benefit.

Because the current version of the Tool-Kit only briefly touches on Business and Information Architecture, this assessment contains questions that touch on these areas, however maturity in these areas will not be addressed this year.

It is important to note that the results of the EA Readiness Assessment will be kept confidential. After the online assessment has been completed, individual reports will be created for each enterprise. Each summary report will discuss the maturity (or readiness) of the EA program for the enterprise, as well as areas of strength and weakness. The summary report will be delivered only to the participant identified within the assessment. Responsibility for further distribution of the report will lie within the organization. Any nation-wide overview information included in this report will be based on percentages and will include no identifying information.

Every effort has been made to capture the information that will provide the most benefit to the states or local government, while at the same time, keep the effort to complete the assessment to a minimum. Please note that the benefits to be gained from the results are dependent on accurate, complete and candid responses. All items should be completed from the perspective of the enterprise in its “as is” state.

This assessment preview has been provided to help your organization make the most of the EA Assessment. This document, which provides a preview of the questions and responses, can be printed and used as a basis for meeting discussions or for capturing responses via email, etc.

## **About The Assessment Format**

Each section of this assessment has been identified as an area important for a comprehensive and vital EA program. A brief statement will appear in each section discussing the goals and expectations of that component. Where feasible, unique terms have been defined in the introductory paragraph. For a complete listing of terms and definitions, please reference the lexicon in *NASCIO’s Adaptive Enterprise Architecture Development Tool-Kit – Appendix A*.

Items that require a response are marked with an “\*”. Please note that though the assessment includes questions that are not required, the greatest benefit will be realized by answering every question as completely as possible.

The assessment should be completed from a holistic enterprise perspective. This will require rationalizing potentially diverse responses from multiple agencies and/or departments that constitute the enterprise. The responses should reflect the enterprise as a whole.

## **Final Note**

We encourage you to use all the tools developed under NASCIO’s guidance. Enterprise Architecture is a key success factor to an enterprise’s ability to plan and react to the many mandates and challenges presented to federal, municipal, international, and state officials involved in information resource management.

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# Preview Questions

## Participant Identification

Please be sure the information provided in this section is complete and accurate. Once the survey period is complete and the data is compiled and analyzed, the Readiness and Maturity Assessment report will be delivered to the individual whose information is provided in this section.

### 1.1. Please provide your contact information

Your Name: *	Address Line2:	Phone:
Title:	City:	Fax:
Organization:	State:	Email: *
Address Line1:	Zip Code:	Please contact me by:

### 1.2. Select the state or territory you represent: \*

## Enterprise Architecture Program Readiness

Initially, the readiness of an enterprise to implement an Enterprise Architecture (EA) program must be determined. Once "Readiness" has been established, the focus turns to assessing the maturity level of the Enterprise Architecture program. An EA Readiness/Maturity Summary Report will be sent to each participant after the survey period is complete. If the enterprise is missing a key component necessary to successfully implement an EA program, information will be provided at that time indicating the steps necessary to begin the process of establishing a base program.

### 2.1. What percentage of your business goals and objectives are defined and documented? \*

	0%	1-10%	11-25%	26-50%	51-75%	76-99%	100%
<b>Defined</b>							
<b>Documented</b>							

### 2.2. How current is your enterprise's Business Plan? \*

- No business plan in place (*skip to 2.4*)
- Less than 1 year
- 1-2 years
- > 2 years

### 2.3. Is the business plan evaluated against today's technology?

- Yes
- No

**2.4. What percentage of your IT goals and objectives are defined, documented, and traceable to the strategic business intent of your enterprise? \***

	0%	1-10%	11-25%	26-50%	51-75%	76-99%	100%
<b>Defined</b>							
<b>Documented</b>							
<b>Traceable to business intent</b>							

**2.5 How current is your enterprise's IT Plan? \***

- No IT plan in place
- Less than 1 year
- 1-2 years
- > 2 years

**2.6. What is your timeline for initiating a formal EA program? \***

- Within next 6 months
- Within 1 year
- More than 1 year
- Program is underway
- No timeline establish

**2.7. Select all statements that reflect the level of commitment to an EA Program within your enterprise \***

- Governor Supported
- Governor's Executive Order
- Legislative Support
- Legislative Enacted Law
- Judicial Support
- Judicial Court Order
- Executive Support
- State CIO Support
- No Support
- Other: \_\_\_\_\_

**2.8. Does your enterprise have a budget for Enterprise Architecture? \***

- Yes
- No

**2.9. Select all of the following that have formal processes in place within your enterprise \***

- Business Planning
- IT Procurement - Services
- IT Procurement - Software
- IT Procurement - Hardware
- IT Strategic Planning
- Project Methodology
- Published IT Standards
- Change Management
- None of the above

## Administration – Governance Roles & Responsibilities

A dynamic governance program sets the tone for the acceptance of Enterprise Architecture throughout an enterprise. This section addresses the administration and staffing of an EA program.

### 3.1. Has your enterprise documented EA Roles and Responsibilities? \*

- Yes
- No (*skip to 3.3*)

### 3.2. Select all who have access to the EA Roles and Responsibilities documentation

- |   |  |
|---|--|
| <input type="checkbox"/> All IT         | <input type="checkbox"/> Some Enterprise         |
| <input type="checkbox"/> Some IT        | <input type="checkbox"/> 3rd Party / Consultants |
| <input type="checkbox"/> All Enterprise | <input type="checkbox"/> Other: _____            |

### 3.3. Do you have an EA Governance organization chart? \*

- Yes
- No

### 3.4. Select all that perform architecture duties \*

- |                                     |  |
|-------------------------------------|--|
| <input type="checkbox"/> Architect  | <input type="checkbox"/> Technical staff |
| <input type="checkbox"/> Analyst    | <input type="checkbox"/> Not performed   |
| <input type="checkbox"/> Consultant | <input type="checkbox"/> Other: _____    |
| <input type="checkbox"/> Developer  |  |

### 3.5. Do you have committees appointed to address EA issues? \*

- Yes - Included in Roles and Responsibilities document
- Yes - Not mapped to EA Roles and Responsibilities document
- The need for committees to define the standards and processes has been identified, but committees are not yet defined (*skip to 3.7*)
- No (*skip to 3.7*)

**3.6. Select all committee types and the responsibility level of the participants in place within your enterprise (SME=Subject Matter Expert)**

	Executive	Technical Manager	Business Manager	Technical SME	Business SME
Architecture Planning Committee					
Architecture Advisory Board					
Architecture Review Committee					
Architecture Standards & Policies Committee					
Architecture Technical Committee					
Business Case Review Committee					
Other: _____					

**3.7. Please supply any information that you feel will help NASCIO better understand the responses provided in this section.**

## Architecture Planning

Issues discussed in this section are related to the EA program road map and implementation plan. Like all projects, this effort must be appropriately managed to assure the goals for implementation of an EA program are realistic, achievable and kept within scope.

**4.1. Select all that describe the EA activity currently underway within the enterprise \***

- No EA activity has been started (*skip to 4.5*)
- EA activities are underway, but process is informal (*No plan in place – skip to 4.3*)
- Need for an EA Program plan has been identified
- A methodology for development of the EA Program has been determined
- Development of an EA Program Plan has begun
- The EA Program Plan is well-defined
- A funding mechanism for the EA Program is in place
- Other: \_\_\_\_\_

**4.2. Select all that describe the activities addressed in the EA Program Plan and/or roadmap**

- Governance roles and responsibilities
- Structured framework for development of EA
- Timeline for development of EA
- EA financial resource requirements
- EA staffing requirements
- Other: \_\_\_\_\_

**4.3. Select all that describe the implementation of your EA Program planning process**

- Not applicable
- EA tasks have been identified
- EA staffing resource requirements have been identified
- EA activities are carried out according to the defined plan
- Metrics are captured to measure the progress against the established EA Program Plan
- EA plans are reviewed and changes are incorporated to improve the EA Program
- Action plans to increase effectiveness of the EA Program are proactively developed based on captured metrics
- Goals are set for the future of the EA Program

**4.4. Please respond to the following regarding efforts underway to improve your EA Program**

	The enterprise works with other states to share ideas for improvement in this area			Which states?
	No	Seldom	Frequently	
Governance roles & responsibilities				
Planning process for EA				
EA processes & templates				
Business and technology trends				
EA communications processes				
EA compliance process				
Integration, including procurement and project management practices				
Creating an atmosphere for active involvement and participation in EA Program				

**4.5. Please supply any information that you feel will help NASCIO better understand the responses provided in this section.**

## Architecture Framework (the Process)

This section takes a look at the base processes and templates used for Enterprise Architecture within the enterprise. Defined and documented templates and processes are critical to ensure compliance and consistency within an EA program. The issues addressed in this section concern only the processes and forms intended for use by those documenting the operations of the enterprise.

### 5.1. Please provide the following information about your EA framework elements \*

	What best describes your current EA framework elements?				How long have you used each of these EA elements?				
	None in place	Formal	Informal - documented	Informal - undocumented	None in place	< 1 year	1-3 years	3-5 years	> 5 years
Templates									
Processes									

### 5.2. What methods are used to develop your EA templates? \*

- Not applicable
- Internal design
- 3rd Party Framework (*Meta Group, etc.*)
- NASCIO Tool-Kit
- Other: \_\_\_\_\_

### 5.3. Please indicate all that have access to these elements of your EA Framework \*

(Skip any line that is not applicable)

	(Select all that apply)								If "Other", please describe:
	IT Team	Business Team	IT Mgmt	Business Mgmt	Public	Vendors	Consultants	Other	
Templates									
Processes									

### 5.4. How are your EA framework elements accessed? \*

(Skip any line that is not applicable)

	(Select all that apply)						If "Other", please describe:
	Notebook (Paper)	Online (Shared drive)	Online (Repository)	Online (Web)	By Request	Other	
Templates							
Processes							

### 5.5. Select all methods used to initiate a request for review or modification of the EA Framework \*

- No framework in place (*skip to 5.11*)
- Ask manager
- Email request
- Ask EA contact
- Automated application / web site
- Other: \_\_\_\_\_



**5.6. Have you designated a central contact for EA requests?**

- Yes
- No

**5.7 How frequently are the following EA Framework elements reviewed and updated?**

	Every 6 Months	Annually	Every 2 years	> 2 years	As needed	Not reviewed	None in place
EA Program Plan							
EA Processes							
EA Templates							
EA Roles							

**5.8. Select all of the following that are included in your EA Program**

- Documentation process
- Review process
- Communication process
- Compliance process
- Blueprint Vitality process
- EA Program Vitality process
- Not applicable

**5.9. What processes are included in your EA Program vitality process?**

- No EA Program vitality process is in place
- A process for Governance committees to proactively review their activities and institute changes to improve their processes
- A process for EA plans to be reviewed and changes incorporated to improve the EA Program
- Regularly scheduled committee meetings to review modifications to the EA Framework
- A mechanism for captured business and technology information to be reviewed in conjunction with the monitoring of business trends and new technology to proactively identify technology that will improve business
- A process for the regular review of the communication process and a means to ensure changes are incorporated to improve the communication of architecture activity and detail
- A process for reviewing the compliance process and updating it based on the results of the captured metrics
- A process for reviewing Integration processes and updating them when problems or new functionality is identified
- A process for reviewing the current involvement in the EA Program and a mechanism for incorporating changes to improve the EA training and awareness programs
- Other: \_\_\_\_\_

**5.10 Select the statements that best describe the implementation of EA framework elements**

- There are mechanisms in place to track progress throughout the EA processes
- Metrics are captured to measure the effectiveness of the EA processes
- Corrective action plans are in place and these plans are implemented when deficiencies in templates and/or processes are identified
- Captured metrics are used to identify inefficiencies in EA processes and templates prior to notification of issues
- Not applicable

**5.11. Please supply any information that you feel will help NASCIO better understand the responses provided in this section.**

# Architecture Blueprint (Completed Documentation)

Once the team has documented the enterprise using the processes and procedures identified in the EA Framework, the completed documents become the Blueprint, which provides information that is critical to the decision-making process. This section reviews the completeness of the Blueprint and reflects the quality of the EA program within your enterprise.

**6.1. Indicate all methods used to monitor the following in your enterprise \***  
 (“External Advisory Groups” includes organizations such as Gartner Group, ZD Net, etc.)

	(Select all that apply)								If “Other”, please describe:
	Internal Advisory Committee	Industry publications	Vendor communications	External Advisory Groups	Online subscription services	Conferences	Not monitored	Other	
Business best practices									
Technology best practices									
Industry trends									
Technology trends									

**6.2. Select those statements that best describe the overall documentation of business drivers and strategic information within the enterprise \***

- Not defined or documented
- Business drivers and strategic information have been identified
- Templates and standard processes are used for documenting Business Drivers and strategic information
- Documentation and vitality has become standard practice

**6.3. How often are vendor strategic directions evaluated? \***

- At time of purchase
- Annually
- As needed
- Not formally evaluated
- Other: \_\_\_\_\_

**6.4. Please provide the following regarding the information captured in the EA Blueprint \***

	Estimate the percentage of the following that have been documented							What methodology is used for review?
	0%	1-10%	10-25%	26-50%	51-75%	76-99%	100%	
Business Processes								
Business Events								
Business Locations								
Strategic Information								
IT Standards								
IT Products								

6.5. Please provide the following regarding products from your IT Portfolio that have been documented within the EA Blueprint \*

	Estimate the % of products that fit within each category						
	0%	1-10%	11-25%	26-50%	51-75%	76-99%	100%
Classified – Emerging ( <i>beta</i> )							
Classified – Current							
Classified – Twilight ( <i>end-of life</i> )							
Classified – Sunset ( <i>obsolete</i> )							

6.6. Please indicate all that have access to these elements of your EA Blueprint \*  
(Skip any line that is not applicable)

	(Select all that apply)								If "Other", please describe:
	IT Team	Business Team	IT Mgmt	Business Mgmt	Public	Vendors	Consultants	Other	
Business Processes									
Business Events									
Business Locations									
Strategic Information									
IT Standards									
IT Products									

6.7. Select the response that best applies to the storage and dissemination of your EA Blueprint information \*

- Not applicable
- The need for an EA repository has been identified
- An EA repository is currently under development
- An EA repository has been implemented

6.8. Select all methods used to initiate a request for review or modification of the EA Blueprint \*

- No Blueprint in place (*skip to 6.10*)
- Ask manager
- Email request
- Ask EA contact
- Automated application / web site
- Other: \_\_\_\_\_

6.9. How frequently are the following EA Blueprint elements reviewed and updated?

	Every 6 months	Annually	Every 2 years	> 2 years	As needed	Not reviewed
Business Processes						
Business Events						
Business Locations						
Strategic Information						
IT Standards						

IT Products						
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**6.10. Please supply any information that you feel will help NASCIO better understand the responses provided in this section.**

## Architecture Communication

Communication is a critical component in an enterprise's ability to operate effectively. As the framework is established in the EA program, it must be readily available to team members for reference and use. The team must also be familiar with the goals and new projects of the enterprise to ensure the EA program remains vital and operates optimally.

**7.1. How is security administered for your EA documents? \***

- EA documents are not available
- Available on secure drive
- Password protected
- Copy available by request
- Not secured

**7.2. Select all methods used to communicate architecture decisions within your enterprise \***

- Email
- Newsletter
- Posted on-line
- By request
- Staff meetings
- Not communicated

**7.3. Select the response that best describes how metrics are used in regards to the communications process \***

- No measurement mechanism is currently in place
- Metrics are captured on a case-by-case basis to identify a specific problems with the communication process
- Metrics are used to proactively identify opportunities for improved communication avenues

7.4. Please provide the following information regarding EA awareness and training within your enterprise. \*

	Not available	Need has been identified	In planning stage	Implemented
Included in new employee orientation				
Enterprise Architecture for Executives				
Enterprise Architecture for Technical Staff				
Enterprise Architecture for Business Team Members				
Enterprise Architecture for EA Participants				
Other: _____				

7.5. Please supply any information that you feel will help NASCIO better understand the responses provided in this section.

## Architecture Compliance

A key element to a successful EA Program is how effectively the program is working within the enterprise. The following questions address the mechanism in place to ensure compliance with published standards, processes and other EA elements, and the processes to document and track variances from those standards.

8.1. Do you have a process in place to request variances from the standards documented in your EA Blueprint? \*

- Yes – there is a process to request variances from EA standards
- Yes – and within the process a Business Case is required for variance from the EA standards
- No

8.2. Do you have a process in place for auditing projects to ensure EA standards are being utilized? \*

- Yes – Informal process
- Yes – Formal process
- No

8.3. Estimate the % of enterprise projects that were implemented within the last year using EA practices \*

*(Enterprise projects are projects that affect more than one business function)*

- 0%
- 1-10%
- 11-25%
- 26-50%
- 51-75%
- 76-99%
- 100%

**8.4. Information gathered during the compliance process is used to proactively identify updates to the following: \***

- EA Processes
- EA Templates
- EA Blueprint contents
- EA Blueprint classifications
- Business Drivers
- None of the above

**8.5. Is Enterprise Architecture a subject of the enterprise's internal audit function? \***

- Yes
- No

**8.6. Does your enterprise track the quality of IT deliverables? \***

- Yes
- No
- Some

**8.7. From an enterprise perspective, how are each of these quality items measured? \***

	Not Measured	Need for metrics has been identified	Informal review process	Included in formal review process
On-time delivery				
Reliability				
Customer satisfaction / functionality				
Maintenance effort				
Within budget				
Compliant with EA standards				
Other: _____				

**8.8. Select all who have access to the quality measurement data \***

- All IT Team Members
- All Business Team Members
- IT Management
- Business Management
- Executives
- Not Applicable

**8.9. Please supply any information that you feel will help NASCIO better understand the responses provided in this section.**

## Architecture Integration

An Enterprise Architecture program can touch many different areas, both inside and outside of an enterprise. A key factor is identifying areas that have similar functions or operations. These questions focus on identifying areas that will benefit from a vital integrated EA program.

**9.1. Is your enterprise working across agencies and/or departments on cross-functional areas? \***

- Yes, Intra-Agency
- Yes, Interagency
- Yes, both
- No

**9.2. Have you identified common business lines across agencies and/or departments? \***

- Yes
- No

**9.3. Please indicate if any of the following are shared within your enterprise \***

	Shared intra-agency?		Shared interagency?		Comments (Optional)
	Yes	No	Yes	No	
Software					
Hardware					
Development Resources					
Analyst Resources					
Procurement Resources					
EA Policies					
EA Procedures					
EA Standards					

**9.4. Select the statements that describe your centralized IT procurement process \***

- No centralized IT procurement process
- Tied to EA standards
- Tied to technology standards
- Tied to mandates
- Procurement sets own standards
- Other: \_\_\_\_\_



**9.5. Select all who participate in project prioritization \***

- Elected/Appointed Officials
- Executives
- Technical Managers
- Business Managers
- Technical Team SMEs
- Business Team SMEs
- Architecture Representatives
- Project Management Office Representative
- Other: \_\_\_\_\_

**9.6 Please provide the following regarding the touch-points between management processes and the EA Program: \***

	No touch-points to EA	Need for touch-points to EA has been identified	Documented - Informal	Documented - Formal
<b>TCO/ROI</b>				
<b>Procurement</b>				
<b>Project Management</b>				
<b>Change Management</b>				
<b>Strategic Planning</b>				
<b>Budget</b>				

**9.7. Do your project plans include Enterprise Architecture compliance assurances? \***

- No
- Yes
- Some do

**9.8. Select the responses that describe how metrics are used in regards to the integration between management processes and EA \***

- No measurement mechanism is currently in place
- Metrics are captured to measure the savings in cost
- Metrics are captured to measure the savings in time
- Metrics are used to proactively identify improvements to the EA framework or blueprint information and/or integration processes

**9.9. Please supply any information that you feel will help NASCIO better understand the responses provided in this section.**

# Architecture Involvement

Human capital is one of the most valuable resources in an Enterprise Architecture program. Any program will struggle without the support of those employees who are expected to utilize and follow the defined processes. Although it may seem that an EA program does not impact some individuals within a department, all should be aware of the process and ready to contribute, as future projects may touch their area of concern.

## 10.1. Who manages the day-to-day EA efforts in your enterprise? \*

- Not applicable
- Technical Manager
- Business Manager
- PMO Manager / Lead
- Architecture Manager / Lead
- Other: \_\_\_\_\_

## 10.2. Select all who are involved in EA activities \*

*(If not applicable, skip to 10.3)*

- Business Analysts
- Business Personnel
- Internal Process Consultants
- Procurement Specialists
- Change Management Administrators
- Standards Administrators
- Project Managers
- Consultants / Contractors
- Vendors / Suppliers
- Technical Analysts
- Software Developers
- Architects
- Database Administrators
- Data Administrators / Data Modelers
- Data Center Specialists
- Telecom Specialists
- Network Specialists
- Other: \_\_\_\_\_

## 10.3. When are others included in discussions of business practices / industry trend changes?\*

	(Select one)					If "Other", please specify
	Initial planning meeting	Initial proposal	Planning stage	Program approval	Other	
When is the technical group notified of changing business rules?						
When is the business team notified of planned IT projects / upgrades?						

**10.4. For each of the groups listed, indicate how well the EA program been accepted across the enterprise \***

	<b>Embraced</b>	<b>Welcomed</b>	<b>Accepted</b>	<b>Struggled</b>	<b>Little/no awareness</b>	<b>No EA Program</b>
<b>Full Team</b>						
<b>Business specialists</b>						
<b>Technical team</b>						
<b>Executives</b>						

**10.5. Please supply any information that you feel will help NASCIO better understand the responses provided in this section.**

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Your comments are important to us.

If you have questions, concerns or suggestions regarding this tool or the assessment, please contact  
**[ea.assessment@amrinc.net](mailto:ea.assessment@amrinc.net)**

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