

# **Department of Veterans Affairs**



## **OneVA – Enterprise Architecture (EA) Enterprise Technical Architecture (ETA)**

### **ETA Compliance Criteria Version 2.0**

**Date: September 30, 2013**

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## Revision History

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# 1. Introduction

## 1.1. Purpose

This document establishes minimum compliance criteria to assist both program developers and Department of Veterans Affairs (VA) investment decision-makers in ensuring alignment of VA programs, projects, initiatives, or investments with the technical layer of the OneVA Enterprise Architecture (OneVA EA). This layer, named the VA **Enterprise Technical Architecture (ETA)**, details rules and standards for use and configuration of VA networks as well as standards for information security and application design. These rules and standards apply to all VA IT solutions and investments.

This guide serves as an entry point into the vast architecture documentation that has been developed by the Office of Information and Technology (OIT) to describe how its information technology (IT) environment must be designed and configured to do the following:

- Ensure interoperability of solutions
- Transition IT capabilities to the technology environment envisioned in the VA IT Roadmap

Application developers can use this document to both ensure that solutions they develop are in alignment with enterprise-wide technical guidance and to help prepare for milestone review processes that their solutions must pass. VA investment decision-makers can use this guidance to better gauge the alignment of solutions being evaluated with VA’s enterprise capability and technology environment.

All VA solutions and investments are required to comply with the business and technical layers of the OneVA EA. It should be noted that the ETA represents only the technical layer of OneVA EA; therefore, compliance and/or alignment with the criteria in this document does not represent full OneVA EA compliance. While this document simplifies compliance with the technical layer that is required by all solutions and investments, business architecture compliance is defined by the relevant VA administration or corporate staff office.

## 1.2. Background

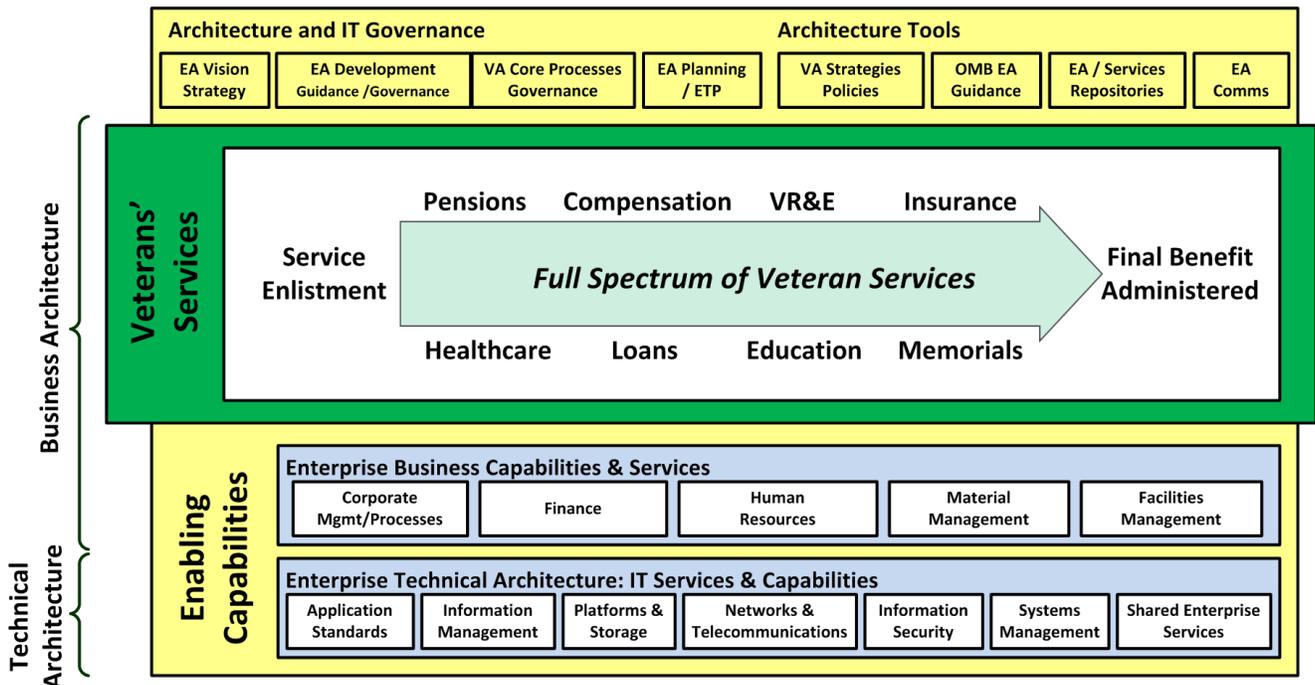
The OneVA EA is a strategic, enterprise-wide, information asset base that identifies and aligns critical business factors, information, and technologies necessary to perform the VA mission and the transitional processes for implementing new capabilities in response to changing mission needs. OneVA EA is guided by a set of global principles that have been vetted by the VA Enterprise Architecture Council (EAC). These principles direct VA capabilities to adopt enterprise approaches and services to the greatest extent possible in delivering capabilities to veterans and employees. This not only eliminates wasteful duplication of services and capabilities but also ensures better interoperability of capabilities and services rendered to both veterans and VA employees.

**Table 1 - OneVA EA Global Principles**

<b>1</b>	<b>Mission Alignment</b> - VA information, systems and processes shall be conceived, designed, operated and managed to address the veteran-centric mission needs of the Department.
<b>2</b>	<b>Data Visibility and Accessibility</b> - VA Application, Service and Data Assets shall be visible, accessible, available, understandable, and trusted to all authorized users (including unanticipated users).
<b>3</b>	<b>Data Interoperability</b> - VA Information shall be made interoperable through data standardization, including the identification, designation, and utilization of authoritative sources.

- 4** **Infrastructure Interoperability** - VA IT Infrastructure shall be made interoperable through definition and enforcement of standards, interface profiles and Implementation guidance.
- 5** **Information Security** - VA shall provide a Secure Network and IT environment for collaborative sharing of information assets (information, services, etc.) with veterans and other partners, including (among others) federal agencies, third party service providers, academia, researchers and businesses.
- 6** **Enterprise Services** - VA solutions shall utilize enterprise-wide standards, services and approaches to deliver seamless capabilities to veterans, facilitate IT consolidations through reuse, and simplify the use of Veteran functions.

The OneVA EA details VA’s full operations. As such, it includes both business and technical layers. The business layer depicts the functional operations of VA’s administrations and corporate business services. Enterprise architecture for the business layer is model-based, depicting the functions and services provided across the Department and their linkages and relationships to VA strategies, initiatives, and the IT applications that service them. A heavy emphasis on information flows across capabilities and services is embedded across all enterprise architecture supporting business capabilities.



**Figure 1 - OneVA Enterprise Architecture**

The enterprise architecture for the technical layer of the OneVA EA, or the VA ETA, is largely rules and standards based. These rules and standards cover a wide range of topics, including use of VA’s infrastructure (including networks, platforms, and data storage), information security standards, and standards for application design. These rules are influenced both by today’s needs and by an understanding of where and how VA needs to evolve its technology future as described in the VA IT Roadmap. Over the past year, VA’s OIT has developed a variety of policies and architecture products to document these necessary rules and standards of the ETA. Many of these documents have been formally published; several (noted as “Pending”) are currently going through the Department’s coordination process. These documents, which can be found on the OneVA EA intranet site (<http://vaww.ea.oit.va.gov/>) along with other OneVA EA products, include the following:

1. [VA Enterprise Target Application Architecture v1.0, June 2012, Office of Product Development \(PD\) \(Pending\)](#)
2. [VA SOA Technical Framework v0.3.1, April 2012, Office of Product Development \(PD\)\(Pending\)](#)
3. [VA SOA Layer Implementation Guide v0.1, January 2012, Office of Product Development \(PD\) \(Pending\)](#)
4. [OIT Release Architecture V1.21, November 30, 2011, Service Delivery and Engineering \(SDE\)](#)
5. [The Department of Veterans Affairs Enterprise Architecture Vision and Strategy Document \(OneVA EA\), Office of Architecture, Strategy & Design \(ASD\)](#)
6. [VA Policy 6500, Handbook 6500, and other 6500 appendices](#)
7. [VA Technical Reference Model \(TRM\), Office of Architecture, Strategy & Design \(ASD\)](#)
8. [VA IT Roadmap, July 2012, Office of Architecture, Strategy & Design \(ASD\) \(Pending\)](#)
9. VA Cloud First Policy, VA Directive 6517
10. VA Server Virtualize First Policy – (VAIQ 7266972), August 27, 2012
11. [Office of Management and Budget \(OMB\) Shared First Policy, December 8, 2011](#)

These documents collectively contain well over 2000 pages of rules, standards, and configuration information that apply to all IT resources within VA. The full breadth of this information represents a huge challenge to both developers trying to understand exact requirements and investment decision-makers and program evaluators trying to determine if solutions are being designed and constructed appropriately, with the proper eye for both network interoperability and use of enterprise approaches and capabilities. Thus, the need for this compliance criteria document arose. Figure 2 below depicts how the ETA rules are derived and envisioned to be used in enterprise lifecycles for ensuring compliance.



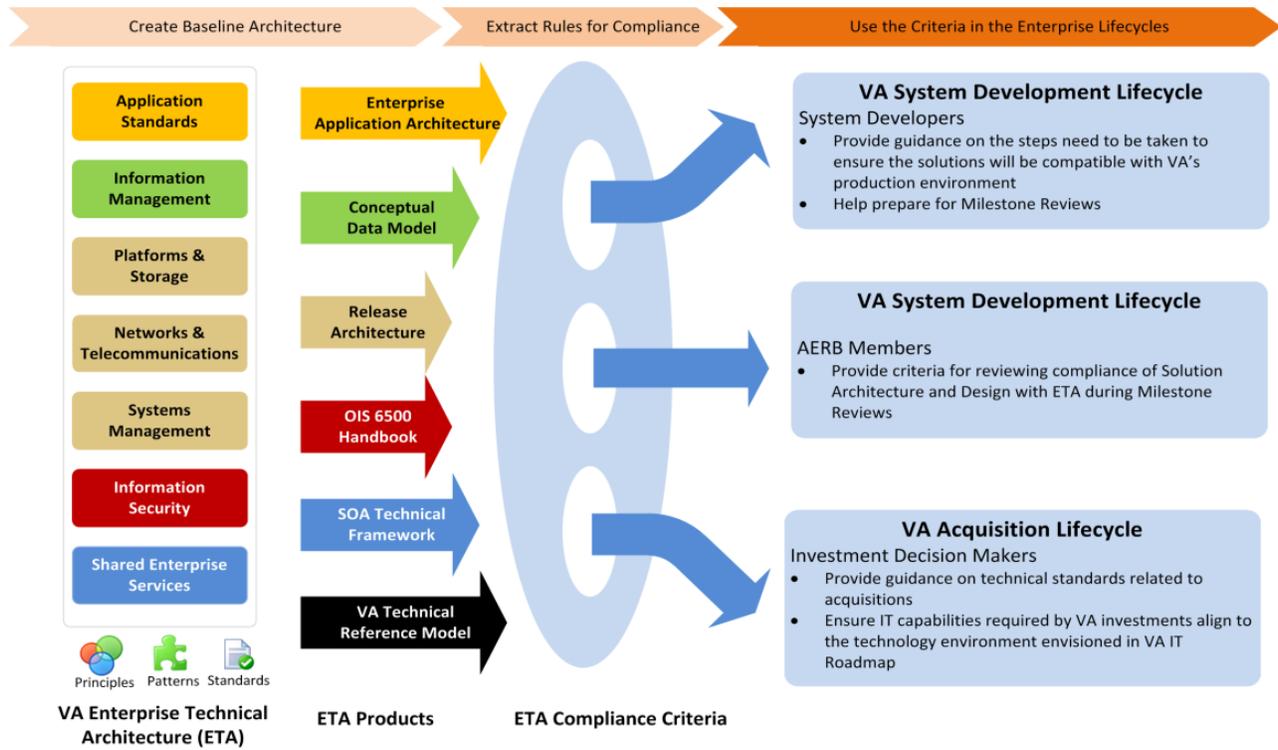


Figure 2 - VA ETA Compliance Criteria

### 1.3. Scope

This document has been crafted as a direct response to the need for stakeholders to be able to simply and easily navigate the full array of ETA rules and standards detailed in the documents listed above and to ask (and answer) the questions necessary to gauge alignment of solutions with this collective guidance.

The VA Enterprise Architecture team reviewed the full array of ETA documentation and developed an initial set of questions, which if answered “YES,” would ensure compliance and alignment with the vast majority (90%+) of all ETA rules and standards. The EA team worked closely with the owners of each of the related ETA document owners to ensure that the equities of their individual rule sets were adequately covered.

The convention of “Can you answer “YES?”” to each of these questions was used throughout. It is intended that, where a “YES” answer is not possible, a program or investment will have to request a waiver from the Architecture and Engineering Review Board (AERB) in order to move forward. Waivers granted should always be conditional on a program or investment having a plan (and budget) in place to achieve the necessary “YES” answer at a defined and agreed upon future date.

The OneVA EA global principles are used as an organizing framework under which these rules are binned and categorized. As these represent core values and principles that underlie the entire OneVA EA, it was determined that aligning questions to them would serve as a check to ensure coverage of all VA enterprise equities. As shown in Figure 3, for each question context is provided along with a reference to specific places in the underlying ETA documents where additional detail can be found. (This detail is often needed, particularly by developers, to understand the precise configurations and/or criteria applicable in a given situation.)

<b>➤ Actual Criteria is listed here.</b>	
<b>Rationale</b>	Details of the rationale for the criteria are provided here.

<b>Source</b>	Required One VA EA references are listed here.	
<b>Alignment Context</b>		<b>Applicability: Solution Types for which this criteria is valid</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question(s)</b>	<b>Relevant Artifacts required for Demonstrating Compliance are listed here</b>
<b>Milestone 0-3</b>	Specific compliance questions for each milestone are listed here	

**Figure 3 - Compliance Criteria Template**

These questions were written to be applicable throughout the lifecycle of a program or investment. It is fully recognized that the meaning of a specific question might vary based on where in the lifecycle a program or investment lies. To account for this, each question provides additional context as to how it can and should be applied at each Project Management Accountability System (PMAS) milestone (M0-M3), including how one might use existing documentation to demonstrate a “YES” answer. As of today, only PMAS milestones are documented. As EA compliance is extended to other lifecycle processes, this guidance will be revised to reflect what compliance and alignment mean at these additional stages.

In order to assist program integrated project teams (IPT) with VA EA compliance, a set of frequently asked questions (FAQ) has been developed and is attached as an appendix to this document. The focus of these FAQs is to assist program IPTs on how to use ETA compliance criteria in ensuring alignment of VA programs, projects, initiatives, or investments with the technical layer of the OneVA EA.

**1.3.1. Relationship to PMAS and Other Related Processes**

This document is not intended to layer an additional requirement on developers over and beyond PMAS required documentation, but rather to help focus developers on what part of PMAS documentation is critical at what points in the process. Thus, it should serve not only as a sort of compliance checklist, but also as a navigation tool to both all ETA documentation and PMAS documentation. The EA and PMAS teams recognize that in this initial state additional work will be needed to ensure the intended smooth integration; however, both teams are committed to working through these details as they move forward. All recognize that it is difficult to gauge the best way to integrate these criteria into the process until they are actually being used. Therefore the teams will assess and update the Compliance Criteria and PMAS based on feedback gained during initial implementation of these criteria in PMAS reviews.

**1.3.2. Solution Types**

It is recognized that not all compliance questions are applicable to every solution being developed. For example, most of the rules related to application architecture may not be applicable to a solution that involves infrastructure level changes only. In order to assist the IPTs in identifying the criteria that is applicable to them, a set of commonly developed solution types has been identified as shown in the table below.

**Table 2 - Solution Types**

SI.No.	Solution Type	OIT Pillar/ Working Group	
1	Custom Application Development – Cloud/Web Deployment	PD	OIS, SD&E, ASD
2	Custom Application Development – Legacy	PD	
3	COTS	PD, SD&E	

Sl.No.	Solution Type	OIT Pillar/ Working Group
4	Infrastructure	SD&E
5	Enterprise Shared Services	ESS WG

This list may be expanded over time as other solution types evolve. Also, these solution types should not be considered mutually exclusive. Depending on the nature of a solution, it could span multiple solution types. For example, a complex solution can include three solution types: Custom Application Development – Cloud/Web Deployment, Infrastructure, and COTS.

When completing the ETA Compliance Checklist, the IPT should tailor its responses based on the type(s) of solutions that are applicable. Where multiple solution types apply to a given IPT, the IPT should respond to all applicable ETA Compliance Criteria for each solution type separately as directed by the ETA Compliance Criteria Checklist instructions and explanations.

## 1.4. Document Conventions

In order to keep the compliance criteria generic for all applicable lifecycles (i.e., Acquisition vs. System Development), this document uses the term “Solution” in the compliance questions to refer to the effort (investment, project, application, or program) that is being measured for compliance.

This document follows the conventions that conform to RFC2119<sup>1</sup>. The specific architecture guidelines described in this document fall into two categories:

- **Mandatory Compliance** – These guidelines are identified by the key words "MUST," "MUST NOT," "REQUIRED," "SHALL," and "SHALL NOT." Exceptions require a waiver and a transition plan.
- **Recommended Use** – These guidelines are identified by the key words "SHOULD," "RECOMMENDED," "SHOULD NOT," and "NOT RECOMMENDED." These guidelines describe a preferred alternative as judged by VA. Deviations should be limited and justified by the circumstances.

## 1.5. Audience

This document is primarily written for the following audience to ensure alignment with enterprise architecture rules and standards:

- VA Project Managers and Technical Stewards (Solution Architects, Developers and Engineers) who will be architecting, designing, and developing the VA Solutions
- VA investment decision-makers, AERB members, and others reviewing solutions for compliance and alignment

<sup>1</sup> [Internet Engineering Task Force \(IETF\) Standard](#)

## 2. Compliance Criteria

### 2.1. Mission Alignment

***VA information, systems, and processes shall be conceived, designed, operated, and managed to address the veteran-centric mission needs of the Department.***

#### 2.1.1. Veteran Centric Solutions

➤ **Solution should support Veteran-centric mission need or capability.**

<b>Rationale</b>	<p>VA Solutions should enable consistent and seamless delivery of high-quality services to Veterans and their families. The solution needs to identify the primary mission capability being served.</p> <p>The VA has documented its mission needs and priorities in a set of integrated objectives, goals, principles, and major initiatives in the VA Strategic Plan Refresh 2011 -2015. The solution must identify the primary mission capability being served with linkage to the strategic direction contained in the VA Strategic Plan Refresh 2011 -2015.</p> <p>This Compliance Criteria document is specific to Technology (not Business) compliance with the OneVA EA. IT professionals, however, should never lose sight of their ultimate mission.</p>	
<b>Source</b>	<p>OneVA EA Vision and Strategy, Section 2.1: Principles, p. 3.                  VA Strategic Plan Refresh FY 2011-15, Chapter-2 Guiding Principles, p. 21</p>	
<b>Alignment Context</b>		<b>Applicability: All Solution Types</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0-3</b>	<p>Does the business need support VA Major Initiatives (MI) or integrated objectives defined in VA Strategic Plan Refresh 2011 - 2015?</p> <p>Does the solution support Veteran centric mission need or capability?</p>	<p>Project Charter – Need &amp; Benefit (Section 3)</p>

#### 2.1.2. Business Architecture

➤ **Solution should be compliant with appropriate business architecture.**

<b>Rationale</b>	<p>The solution needs to identify high-level Business Functions or Business Processes it supports and illustrate that the business owner(s) have vetted the business processes to ensure To-Be Business Process Flows are up to date with the solution's business objectives.</p> <p>ETA compliance is only part of OneVA EA compliance. In addition to Technical (ETA) compliance, all VA IT solutions are also subject to Business EA compliance.</p>	
<b>Source</b>	<p>OneVA EA Vision and Strategy, Section 2.2: Strategic Goals, p. 6.</p>	
<b>Alignment Context</b>		<b>Applicability: All Solution Types</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0-3</b>	<p>Has the leaf-level business sub-function of the VA EA Business Architecture that the solution aligns to been identified?</p>	<p>Specifics of Business Architecture compliance is beyond the scope of this document.</p>

## 2.2. Data Visibility and Accessibility

**VA Application, Service, and Data Assets shall be visible, accessible, available, understandable, and trusted to all authorized users (including unanticipated users).**

### 2.2.1. N-Tier Architecture

- **Application shall be partitioned into logical layers (i.e., presentation layer, business logic layer, and data access layer) with each layer containing functionality specifically related to that layer.**
- **The application layers shall use interface components to provide loose coupling between layers.**

<b>Rationale</b>	The layered architecture reflects the well-established software engineering principle of separation of concerns. Application code shall be functionally organized into layers, and such layering shall be reflected in the dependency structure of the application code. For example, the <a href="#">presentation layer</a> <sup>2</sup> should depend on the <a href="#">business logic layer</a> , <sup>3</sup> but business logic code must not depend on presentation code. Furthermore, application layers shall be determined independent of the runtime infrastructure. The layered structure facilitates a logical way to divide the application development tasks.	
<b>Source</b>	VA Enterprise Target Application Architecture v1.0, Section 4: Application Architecture Layers, p. 49.	
<b>Alignment Context</b>		<b>Applicability: Custom Application Development – Cloud/Web Deployment</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Is the application design functionally organized into Presentation, Business Logic, and Data Access layers? Does the application design ensure the communication between the layers happens via loosely coupled interface components?	System Design Document (SDD) – Conceptual Application Design (Section 3.1)
<b>Milestone 2</b>	Has a VA recommended application framework, as identified by the <a href="#">Department of Veterans Affairs IT Roadmap FY13-20</a> , been selected for the application development?	System Design Document (SDD) – Software Detailed Design (Section 6.2)
<b>Milestone 3</b>	Not Applicable	

<sup>2</sup> [Appendix – B Glossary #10](#)

<sup>3</sup> [Appendix – B Glossary #1](#)

### 2.2.2. Data Independence

➤ **Application logic shall be fully decoupled from the data that it manages or processes.**

<b>Rationale</b>	There shall be a complete separation between business processing and data access and delivery services, such that the business logic has no visibility into the physical structure of the data. Any data stored locally at the application level presents barriers to information sharing across the enterprise and should not be permitted.	
<b>Source</b>	VA Enterprise Target Application Architecture v1.0, Section 5.1.4.5: Separation of Business Logic and Data Logic, p. 99.	
<b>Alignment Context</b>		<b>Applicability: Custom Application Development – Cloud/Web Deployment</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Does the application logic access and manage data via a data access layer instead of directly accessing the database?	System Design Document (SDD) – Conceptual Application Design (Section 3.1)
<b>Milestone 2</b>	Is the application logic free from the database implementation details (e.g., data base URLs, internal file formats, schema information)?	System Design Document (SDD) – Software Detailed Design (Section 6.2)
<b>Milestone 3</b>	Not Applicable	

### 2.2.3. Common Look and Feel

➤ **Application user interface shall follow the enterprise common UI templates and style guidelines.**

<b>Rationale</b>	The solution should provide user interfaces (UI) that have a consistent “look and feel,” following enterprise templates and style guidelines.	
<b>Source</b>	VA Enterprise Target Application Architecture v1.0, Section 4.1.2.1.2: End-User Interface, p. 51.	
<b>Alignment Context</b>		<b>Applicability: Custom Application Development – Cloud/Web Deployment</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Has required analysis been performed to identify the enterprise conventions and standards for the user interfaces based on the business requirements?	
<b>Milestone 1</b>	Not Applicable	
<b>Milestone 2</b>	Have the applicable enterprise conventions and standards (enterprise templates and style guidelines) been applied in the design of the user interface(s)?	System Design Document (SDD) – Overview of the Technical Requirements (Section 2.5.4)
<b>Milestone 3</b>	Not Applicable	

### 2.2.4. Data Persistence

➤ **Data used by the solution stored on enterprise servers shall be stored without being saved on end-user devices or user workstations.**

<b>Rationale</b>	Using enterprise resources to store permanent data lessens the burden on an application to be a proper data custodian (including concerns about security, privacy, etc. ). It also promotes consistency in how data custodianship is executed and isolates changes to common services when policies are modified.	
<b>Source</b>	VA Enterprise Target Application Architecture v1.0, Section 2.1: OIT Architecture Principles, p. 21.	
<b>Alignment Context</b>		<b>Applicability: Custom Application Development – Cloud/Web Deployment</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Has required analysis been performed to ensure the permanent storage of permanent storage of sensitive data (PII / PHI) will not happen on the end user devices?	System Design Document (SDD) – Conceptual Application Design (Section 3.1)
<b>Milestone 2</b>	Is the transient application data stored temporarily on end user devices via mechanisms such as cookies purged periodically or when the user session expires? Is the relational/ non-relational data used by the solution stored on enterprise servers?	System Design Document (SDD) – Data Design (Section 5)
<b>Milestone 3</b>	Not Applicable	

### 2.2.5. Test Driven Development

➤ **Unit tests shall be developed for all application functions and publicly exposed methods.**

<b>Rationale</b>	Any major application component is a potential candidate for use as an enterprise service. Components should be tested not only in the context of the local application, but also as a stand-alone capability. This facilitates reuse and makes reliable enterprise components available. Increased testability arises from having well-defined, layered interfaces, as well as the ability to switch between different implementations of the layer interfaces. Separate architectural patterns allow building mock objects that mimic the behavior of concrete objects such as the Model, Controller, or View during testing.	
<b>Source</b>	VA Enterprise Target Application Architecture: SOA Layer Implementation Guide v0.1, Section 3.1: Architecture Considerations, page 32	
<b>Alignment Context</b>		<b>Applicability: Custom Application Development – Cloud/Web Deployment</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Does the solution leverage the unit testing framework (JUnit (Java), Munit (for Vista), Nunit (.net)) identified by the <a href="#">VA IT Roadmap FY 2013 -20?</a>	System Design Document (SDD) – Conceptual Application Design (Section 3.1)
<b>Milestone 2</b>	Have unit tests been defined for all solution functions and publicly exposed methods? Have the designed unit tests been automated to be executed during the build and deployment process?	System Design Document (SDD) – Software Detailed Design (Section 6.2)
<b>Milestone 3</b>	Not Applicable	

### 2.2.6. Exception Handling

<p>➤ <b>Procedures shall be in place for communicating and resolving and unhandled exceptions.</b></p>		
<b>Rationale</b>	Systems and shared services may encounter usage that was unexpected in its original development. It is not possible to anticipate all potential causes of failure. Production operation processes must be designed to properly react to and resolve unexpected system errors, which includes communicating the status of system errors to system users.	
<b>Source</b>	VA Enterprise Target Application Architecture: SOA Layer Implementation Guide, Section 3.1: Architecture Considerations, page 32	
<b>Alignment Context</b>		<b>Applicability: Custom Application Development – Cloud/Web Deployment</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Is there a strategy for processing unhandled exceptions? Is there a strategy for communicating unhandled exceptions to system users?	Project Management Plan – Testing (Section 11)
<b>Milestone 1</b>	Has the development of a Production Operations Manual, which includes error handling, been identified and properly resourced in the IPT Integrated Master Schedule (IMS)?	Production Operations Manual
<b>Milestone 2</b>	Has the IPT completed development of the Production Operations Manual, and have the error handling procedures documented in the Production Operations Manual been validated through a quality assurance (QA) and/or testing process?	System Design Document (SDD) – Software Detailed Design (Section 6.2); Production Operations Manual Template
<b>Milestone 3</b>	Not Applicable	

### 2.2.7. Scalability

<p>➤ <b>Application shall be designed to scale out (rather than scale up) and designed to operate on a series of loosely coupled commodity platforms.</b></p> <p>➤ <b>Application shall scale-out without requiring code changes.</b></p>		
<b>Rationale</b>	The solution needs to be designed to scale out (i.e., run on larger numbers of small systems). To scale horizontally (or scale out) means to add more nodes to a system, such as adding a new computer to a distributed software application. To scale vertically (or scale up) means to add resources to a single node in a system, typically involving the addition of CPUs or memory to a single computer.	
<b>Source</b>	OIT Release Architecture v1.21, System Availability/Performance: Scalability, page 8	
<b>Alignment Context</b>		<b>Applicability: Infrastructure, Custom Application Development – Cloud/Web Deployment,</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	

- **Application shall be designed to scale out (rather than scale up) and designed to operate on a series of loosely coupled commodity platforms.**
- **Application shall scale-out without requiring code changes.**

<b>Milestone 1</b>	Is the application designed to scale out and designed to operate on a series of loosely coupled commodity platforms? <b>{Applicability: Infrastructure}</b>  Can the application scale-out without requiring code changes? <b>{Applicability: Custom Application Development – Cloud/Web Deployment}</b>	System Design Document (SDD) – Conceptual Application Design (Section 3.1) System Design Document (SDD) – Hardware Detailed Design (Section 6.1)
<b>Milestone 2</b>	Not Applicable	System Design Document (SDD) – Software Detailed Design (Section 6.2)
<b>Milestone 3</b>	Not Applicable	

### 2.2.8. Stateless Business Logic

- **Application business logic shall be “stateless” (i.e., user session information is not stored within the business logic).**

<b>Rationale</b>	The solution should not store the user session information within the business logic to ensure the same business logic is exposed for user interaction (via presentation layer) and system interaction (via integration layer using enterprise messaging).	
<b>Source</b>	VA Target Enterprise Target Application Architecture SOA Layer Implementation Guide v0.1, Section 2.2: Management Principles, p. 33.	
<b>Alignment Context</b>		<b>Applicability: Custom Application Development – Cloud/Web Deployment</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Has required analysis been performed to ensure user session information is not stored within the business logic?	System Design Document (SDD) – Conceptual Application Design (Section 3.1)
<b>Milestone 2</b>	Is the application business logic “stateless” (i.e., user session information is not stored within the business logic)?	System Design Document (SDD) – Software Detailed Design (Section 6.2)
<b>Milestone 3</b>	Not Applicable	

### 2.2.9. Accessibility Requirements

- **Solution shall comply with Electronic and Information Technology Accessibility (EITA) Standards (specifically accessibility requirements in accordance with Section 508 of the Rehabilitation Act of 1998, as amended, 29 USC 794(d)).**

<b>Rationale</b>	The solution shall meet accessibility requirements.	
<b>Source</b>	VA Enterprise Target Application Architecture v1.0, Section 4.1.2.1.2: End-User Interface, p. 51.	
<b>Alignment Context</b>		<b>Applicability: Custom Application Development – Cloud/Web Deployment</b>

➤ **Solution shall comply with Electronic and Information Technology Accessibility (EITA) Standards (specifically accessibility requirements in accordance with Section 508 of the Rehabilitation Act of 1998, as amended, 29 USC 794(d)).**

PMAS Universal Milestone	Compliance Question	Relevant Artifact for Demonstrating Compliance
<b>Milestone 0</b>	The project should plan on performing requirement analysis to identify the applicable Electronic and Information Technology Accessibility (EITA) Standards required for the solution to be in compliance with accessibility requirements?	
<b>Milestone 1</b>	Does the solution comply with Section 508 of the Rehabilitation Act of 1998, as amended, 29 USC 794(d)?	System Design Document (SDD) – Overview of Significant Functional Requirements (Section 2.5.1); Project Management Plan – Testing (Section 11)
<b>Milestone 2</b>	Does the solution comply with required Electronic and Information Technology Accessibility (EITA) accessibility standards?	System Design Document (SDD) – Overview of the Technical Requirements (Section 2.5.4)
<b>Milestone 3</b>	Not Applicable	



### 2.3. Data Interoperability

*VA Information shall be made interoperable through data standardization, including the identification, designation, and utilization of authoritative sources.*

#### 2.3.1. Data Standards

➤ **Solution shall adhere to all applicable data standards published by VA Enterprise Data Architecture.**

<b>Rationale</b>	The use of common data standards (like NIEM, HL7, LOINC, SNOMED, VIM and HITSP) will foster consistently defined and formatted data elements and sets of data values, and provide enterprise access to more meaningful data.	
<b>Source</b>	OneVA EA Vision and Strategy, Section 2.1: Principle #5 - Seamless Capabilities	
<b>Alignment Context</b>		<b>Applicability: Custom Application Development – Cloud/Web Deployment, Custom Application Development – Legacy, Enterprise Shared Services</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Has the required analysis and conceptual design been performed to identify the applicable Data Standards?	System Design Document (SDD) – Conceptual Data Design (Section 3.2)
<b>Milestone 1</b>	Not Applicable	
<b>Milestone 2</b>	Have the data elements and values been defined and formatted in accordance with the VA EA Data Standards?	System Design Document (SDD) – Data Design (Section 5)
<b>Milestone 3</b>	Not Applicable	

#### 2.3.2. Authoritative Information Sources

➤ **Authoritative information sources (including user identity data) shall be identified and leveraged for data retrieval and manipulation.**

<b>Rationale</b>	A single instance of each data element (attribute in an entity) needs to be designated as “Authoritative,” and should serve as a unique and unambiguous source of data to be shared operationally across all systems in the enterprise with the approval of the responsible data stewards.	
<b>Source</b>	VA Enterprise Target Application Architecture v1.0, Section 2.2 Data Management Principles, p. 32.	
<b>Alignment Context</b>		<b>Applicability: Custom Application Development – Cloud/Web Deployment, Custom Application Development – Legacy, Enterprise Shared Services</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Has required analysis been performed to identify authoritative information sources?	
<b>Milestone 1</b>	Not Applicable	

<b>➤ Authoritative information sources (including user identity data) shall be identified and leveraged for data retrieval and manipulation.</b>		
<b>Milestone 2</b>	Have authoritative information sources been leveraged for data retrieval and manipulation wherever authoritative sources have been identified by the enterprise?	System Design Document (SDD) – Data Design (Section 5)
<b>Milestone 3</b>	Not Applicable	

**2.3.3. Enterprise Data Model**

<b>➤ Information captured by the proposed solution shall be syntactically and semantically harmonized with the VA Enterprise Conceptual Data Model (CDM).</b>		
<b>Rationale</b>	Promote usage of a VA Enterprise Data Model that will identify each “enterprise” entity that contains at least one attribute (data element) that might be of use outside of the system in which it is created or stored. Any data that enters or leaves a system is considered to be data used outside of that system. The data exchange between systems needs to be based on harmonized, standard definitions of all entities and attributes as defined in the Enterprise Data Model. The solution must ensure conversion of its internal data definitions to the enterprise definitions for communication with enterprise services or other systems with the approval of responsible data stewards.	
<b>Source</b>	VA Enterprise Target Application Architecture v1.0, Section 2.2: Data Management Principles, p. 30; Section 4.6: Layer 6 – Data Layer, p. 81; Section 4.5.3.1: Information Integration, p. 70; Section 5.6.4: Data Harmonization, p. 108.	
<b>Alignment Context</b>		<b>Applicability: Custom Application Development – Cloud/Web Deployment, Custom Application Development – Legacy, Enterprise Shared Services</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Has the required analysis been performed to identify alignment with the <a href="#">VA EA Enterprise Conceptual Data Model</a> (CDM)?	
<b>Milestone 1</b>	Not Applicable	
<b>Milestone 2</b>	Has alignment with the VA EA Enterprise CDM been reviewed and approved by the responsible data stewards? Have translations between enterprise data and internal system data been reviewed and approved by the responsible functional and technical enterprise data stewards, for both data production and consumption? Has information captured by the proposed solution been syntactically and semantically harmonized with the VA CDM? Has the VA CDM been updated with the new enterprise entities introduced by the solution?	System Design Document (SDD) – Data Design (Section 5) VA EA Enterprise CDM
<b>Milestone 3</b>	Not Applicable	

**2.3.4. Local Copies of Authoritative Information Sources**

**➤ Solution shall function optimally without using local copies of authoritative information source instances.**

<p>➤ <b>Solution shall function optimally without using local copies of authoritative information source instances.</b></p>		
<b>Rationale</b>	<p>In general, the use of local copies of the authoritative instance is not recommended. If performance requirements of the solution dictate usage of local copies, then permission of the responsible data steward must be obtained for such use. Also, any update to such a copy or creation of new records in such a copy shall be considered to be effective only unless and until the authoritative instance has been successfully updated.</p>	
<b>Source</b>	<p>VA Enterprise Target Application Architecture v1.0, Section 2.2: Data Management Principles, p. 33; Section 5.1.4.4: Single Authoritative Instance of all Data, p. 117.</p>	
<b>Alignment Context</b>		<p><b>Applicability: Custom Application Development – Cloud/Web Deployment, Custom Application Development – Legacy, Enterprise Shared Services</b></p>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Not Applicable	
<b>Milestone 2</b>	<p>Has the logical data design identified the need for using local copies of authoritative data instances?                      Has approval/authorization been granted to store local copies of authoritative data instances?                      Are change management procedures in place to ensure that no authorized data modifications are permitted on copied authoritative data, unless performed on the authoritative sources first?</p>	<p>System Design Document (SDD) – Data Design (Section 5)</p>
<b>Milestone 3</b>	Not Applicable	

**2.3.5. Data Architecture Repository**

<p>➤ <b>Data gathered and generated by this system shall have its definitions registered in the VA Data Architecture Repository.</b></p>		
<b>Rationale</b>	<p>Metadata registries store the data schemas/domain vocabularies and manage the semantics of data independent of the subject matter area. The metadata registry should act as a central source of authoritative schemas or vocabularies for use within VA. The solution should ensure that the metadata related to the information it receives and disseminates is stored in the VA Metadata Registry to promote harmonization, standardization, use, re-use, and interchange.</p>	
<b>Source</b>	<p>VA Enterprise Target Application Architecture v1.0, Section 4.5.3.2: ESB Functions, p. 72.</p>	
<b>Alignment Context</b>		<p><b>Applicability: Custom Application Development – Cloud/Web Deployment, Custom Application Development – Legacy, COTS, Enterprise Shared Services</b></p>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	<p>Has required analysis been performed to identify the required authoritative data schemas/domain vocabularies in the VA Data Architecture Repository?</p>	<p>System Design Document (SDD) – Conceptual Data Design (Section 3.1)</p>

**> Data gathered and generated by this system shall have its definitions registered in the VA Data Architecture Repository.**

<b>Milestone 2</b>	Have the physical data schemas generated or maintained by this system been registered in the VA Data Architecture Repository?	System Design Document (SDD) – Data Design (Section 5)
<b>Milestone 3</b>	Not Applicable	

## 2.4. Infrastructure Interoperability

**VA IT Infrastructure shall be made interoperable through definition and enforcement of standards, interface profiles, and Implementation guidance.**

### 2.4.1. Cloud First

➤ <b>Solution shall adhere to VA Cloud First Policy.</b>		
<b>Rationale</b>	Promote usage of secure cloud services across VA to provide highly reliable, innovative services quickly despite resource constraints. <a href="#">Cloud computing</a> <sup>4</sup> has the potential to play a major part in improving VA service delivery.	
<b>Source</b>	VA DIRECTIVE 6517, Cloud First Policy	
<b>Alignment Context</b>		<b>Applicability: Infrastructure, Custom Application Development – Cloud/Web Deployment</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	The project should plan on performing required analysis to identify the pertinent cloud delivery model, i.e., Infrastructure as a Service (IaaS), Platform as a Service (PaaS), or Software as a Service (SaaS)?	Project Charter – Project Dependencies System Design Document (SDD) – Application Locations
<b>Milestone 1</b>	Has the required analysis been performed to identify the pertinent cloud delivery model, i.e., IaaS, PaaS, or SaaS? If so, have relevant policies and procedures been established to ensure delivery of effective and secure cloud computing services to support VA’s infrastructure, information systems, and data repositories?	System Design Document (SDD) – System Architecture (Section 4)
<b>Milestone 2</b>	Does the VA Network and Security Operations Center (NSOC) evaluate and test the security control requirements and provide recommendations for continuous monitoring, implementation, and maintenance of cloud services?	Operational Acceptance Plan-C&A SMART Status (Section 4); System Design Document (SDD) – System Integrity Controls (Section 9)
<b>Milestone 3</b>	Does the VA cloud service meet Federal Risk and Authorization Management Program (FedRAMP) and NIST requirements prior to adoption of the service to ensure compliance and adherence with VA regulatory authority and NIST standards?	Operational Acceptance Plan-C&A SMART Status – Section 4

### 2.4.2. Standard OS Images

➤ <b>End user devices and servers shall use standard system images, as published in the current VA Release Architecture.</b>	
<b>Rationale</b>	Reduce complexity by standardizing <a href="#">platforms</a> <sup>5</sup> that include hardware, operating system, middleware, databases, and supporting system software. Ensure the solution conforms to the VA Standard Operating Systems.

<sup>4</sup> [Appendix – B Glossary #2](#)

<sup>5</sup> [Appendix – B Glossary #9](#)

**➤ End user devices and servers shall use standard system images, as published in the current VA Release Architecture.**

<b>Source</b>	OIT Release Architecture v1.21, Platforms, p. 6.	
<b>Alignment Context</b>		<b>Applicability: Infrastructure</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Are end user devices and servers used by the solution configured using the standard system images published in the current VA Release Architecture?	Requirements Specification Document - Applicable Standards (section 3) System Design Document (SDD) – Software Architecture (Section 4.2) Operational Acceptance Plan - Physical Support Requirements (section 4), Architecture / Dependencies (Section 11)
<b>Milestone 2</b>	Not Applicable	
<b>Milestone 3</b>	Not Applicable	

**2.4.3. Standard Databases**

**➤ Solution shall use Relational Databases and Object Oriented Databases, as published in the current VA Release Architecture.**

<b>Rationale</b>	Reduce complexity by standardizing platforms that include hardware, operating system, middleware, databases, and supporting system software. Ensure the solution conforms to the VA Standard Databases.	
<b>Source</b>	OIT Release Architecture v1.21, VistA Platforms, p. 10; Database Products, p. 14.	
<b>Alignment Context</b>		<b>Applicability: All Solution Types</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Are the Relational Databases and Object Oriented Databases published in the current VA Release Architecture sufficient to meet solution needs?	System Design Document (SDD) – Database Information (Section 3.2.2)
<b>Milestone 2</b>	Not Applicable	
<b>Milestone 3</b>	Not Applicable	

**2.4.4. Virtualization**

**➤ Solution shall be designed for operation in the standard OIT defined virtual environments.**

<b>Rationale</b>	The solution shall be independent of the underlying physical infrastructure and leverage virtualized environments that provide flexibility of system development and stability for the production system by incorporating cloud architecture. Hardware specific applications limit the hosting options and thus potentially limit scalability and opportunities for re-using existing hardware resources. Virtualization provides the ability to run more workloads and provide higher utilization and capitalization on a single server and facilitates virtual machine mobility without downtime.	
<b>Source</b>	Server Virtualization First Policy (VAIQ 7266972) Dt. 08/27/2012	

**➤ Solution shall be designed for operation in the standard OIT defined virtual environments.**

Alignment Context		Applicability: Infrastructure
PMAS Universal Milestone	Compliance Question	Relevant Artifact for Demonstrating Compliance
Milestone 0	Not Applicable	
Milestone 1	Is the solution designed to run in virtual environments without the need for modification?	System Design Document (SDD) – Conceptual Infrastructure Design (Section 3.3)
Milestone 2	Is the current solution hosting infrastructure based on the standard OIT defined virtual environments?	System Design Document (SDD) – Detailed Design (Section 6)
Milestone 3	Is the system hosted by the standard OIT Virtual Environment?	Operational Acceptance Plan

**2.4.5. Infrastructure Capacity**

**➤ Capacity analysis shall be performed and detailed capacity requirements shall be based on workload analysis, simulated workload benchmark tests, or application performance models.**

Rationale	Good understanding of infrastructure capacity (throughput and processing) helps determine the infrastructure’s ability to meet future workload changes and plan for future growth.	
Source	OIT Release Architecture v1.21. Background p.5	
Alignment Context		Applicability: Infrastructure
PMAS Universal Milestone	Compliance Question	Relevant Artifact for Demonstrating Compliance
Milestone 0	Not Applicable	
Milestone 1	Have infrastructure capacity requirements been assessed and has an infrastructure impact analysis been performed?	Requirements Specification Document - Performance Specifications (Section 2.9) System Design Document (SDD) – System Criticality and High Availability (Section 3.3.1), Functional Workload and Functional Performance Requirements (Section 2.5.2)
Milestone 2	Has appropriate load testing and impact analysis been performed to leverage the VA infrastructure to host the solution?	Operational Acceptance Plan - Physical Support Requirements (Section 4), Service Level Requirements (Section 8), Architecture/Dependencies (Section 11)
Milestone 3	Not Applicable	

**2.4.6. Storage**

**➤ Storage capacity requirements shall be based on detailed capacity analysis and/or models.**

Rationale	Storage requirements help to drive the infrastructure need for storage capacity. This further supports the current and future needs of storage within the infrastructure.
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### ➤ Storage capacity requirements shall be based on detailed capacity analysis and/or models.

<b>Source</b>	OIT Release Architecture v1.21, Storage Capacity, p. 9.	
<b>Alignment Context</b>		<b>Applicability: Infrastructure</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Are storage capacity requirements based on detailed capacity analysis and/or models?	System Design Document (SDD) – Data Design (Section 5), Hardware Detailed Design (Section 6.1)
<b>Milestone 2</b>	Is the solution storage infrastructure based on the standard OIT storage provisioning model?	Operational Acceptance Plan - Physical Support Requirements (Section 4), Service Level Requirements (Section 8), Architecture/Dependencies (Section 11)
<b>Milestone 3</b>	Not Applicable	

## 2.4.7. Network Configurations

### ➤ Solution shall be designed to operate within the current VA LAN and WAN network configurations.

<b>Rationale</b>	The network should be able to support connectivity (latency and bandwidth) requirements of the solution in establishing internal and external communications with VA Data Centers, VA Medical Centers, Community-Based Outpatient Clinics (CBOC), and VA facilities. Also, remote management of the solution must be incorporated into the overall system design.	
<b>Source</b>	OIT Release Architecture v1.21, Network, p. 10.	
<b>Alignment Context</b>		<b>Applicability: Infrastructure</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Is the solution designed to operate within the current VA LAN and WAN network configurations?	System Design Document (SDD) – Communications Detailed Design (Section 6.3), External Interface Design (Section 7)
<b>Milestone 2</b>	Have the current VA LAN and WAN configurations been evaluated against the solution’s planned network traffic profile?	Operational Acceptance Plan Physical Support Requirements (Section 4), Service Level Requirements (Section 8)
<b>Milestone 3</b>	Not Applicable	

## 2.4.8. TCP/IP V6

### ➤ Solution shall be designed to support TCP/IP V6.

<b>Rationale</b>	The network design should be able to support connectivity using both TCP/IP V6 and V4 (dual stack).	
<b>Source</b>	OIT Release Architecture v2.0 March 1, 2013, Network, p. 13.	
<b>Alignment Context</b>		<b>Applicability: Infrastructure</b>

➤ <b>Solution shall be designed to support TCP/IP V6.</b>		
PMAS Universal Milestone	Compliance Question	Relevant Artifact for Demonstrating Compliance
Milestone 0	Not Applicable	
Milestone 1	<p>Is the solution designed to comply with VA’s guidance on IPv6 policy and guidelines as specified in following documents?</p> <ul style="list-style-type: none"> <li>• <a href="#">“Adoption of IPv6 at VA”</a> Memorandum, dated March 24, 2011</li> <li>• <a href="#">“IPv6 Transition Guide,”</a> dated January 11, 2013</li> </ul> <p>Specifically , <i>the solution should be IPv6 compliant.</i> An IPv6 compliant product or system must be able to receive, process, and transmit or forward (as appropriate) IPv6 packets and should interoperate with other systems and protocols in both IPv4 and IPv6 modes of operation. Is the application code free of hard-coded IPv4 addresses?</p>	System Design Document (SDD) – Communications Detailed Design (Section 6.3), External Interface Design (Section 7)

### 2.4.9. System Monitoring

➤ <b>Solution deployment environment must be able to meet the performance and downtime monitoring requirements.</b>		
Rationale	<p>Ensure the solution is monitored vigilantly. Continuous monitoring of operational workload and failure data across all infrastructure components is crucial to discovering issues and alerting operational personnel for remediation to prevent outages that impact end users. Also, build health checks into the solution. Solution health checks will augment monitoring and provide a means for load balancers to redistribute traffic.</p>	
Source	OIT Release Architecture v1.21, Instrumentation/Monitoring Products, p. 14.	
<b>Alignment Context</b>		<b>Applicability: Infrastructure</b>
PMAS Universal Milestone	Compliance Question	Relevant Artifact for Demonstrating Compliance
Milestone 0	Not Applicable	
Milestone 1	Does the deployment environment meet the performance and downtime monitoring requirements of the solution?	Requirements Specification Document - Reliability Specifications (Section 2.11) System Design Document (SDD) – System Criticality and High Availability Requirements (2.5.6), System Criticality and High Availability (Section 3.3.1.)
Milestone 2	Not Applicable	
Milestone 3	Not Applicable	

### 2.4.10. Disaster Recovery

➤ **A disaster recovery strategy and plan, which includes multiple (physical) locations of critical infrastructure components (including data), must be developed.**

<b>Rationale</b>	Disaster Recovery (DR) comprises the process, policies, and procedures related to recovery or continuation of technology infrastructure critical to an organization after a natural or human-induced disaster. Proper DR requires several components to create an overall functional solution. Some technologies that may be leveraged for DR include storage replication, backups, point in time copies, and virtualization. Ensure critical data and application components are not co-located.	
<b>Source</b>	OIT Release Architecture v1.21, System Availability, p. 8. VA Enterprise Disaster Recovery Service Tiers Standard Version 1.0 Dated 08/15/2012	
<b>Alignment Context</b>		<b>Applicability: Infrastructure</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Has the applicable DR Service Tier been identified based on the business continuity requirements?  Has a disaster recovery plan been developed and provisioned?  Are critical infrastructure components (including Data) located at multiple (physical) locations?	Requirements Specification Document - Disaster Recovery Specifications (Section 2.4) System Design Document (SDD) – System Criticality and High Availability Requirements (2.5.6), System Criticality and High Availability (Section 3.3.1)
<b>Milestone 2</b>	Does the DR plan maximize use of OIT infrastructure capabilities?	Operational Acceptance Plan Physical Support Requirements (section 4), Service Level Requirements (section 8)
<b>Milestone 3</b>	Not Applicable	

### 2.4.11. Backup and Restore

➤ **Backup and restore solution shall meet data recovery requirements (Recovery Point Objectives [RPO]) and Recovery Time Objectives [RTO]).**

<b>Rationale</b>	Infrastructure users help to determine the amount or the period of data that is needed to backup and the amount of data needed to restore. Recovery requirements help to determine the backup and restore capabilities.	
<b>Source</b>	OIT Release Architecture v1.21, Storage Technologies, p. 9.	
<b>Alignment Context</b>		<b>Applicability: Infrastructure</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Will the backup and restore solution meet data recovery requirements (RPOs and RTOs)?	Requirements Specification Document - Disaster Recovery Specifications (Section 2.4.) System Design Document (SDD) – System Criticality and High Availability Requirements (2.5.6), System Criticality and High Availability (Section 3.3.1.)

➤ **Backup and restore solution shall meet data recovery requirements (Recovery Point Objectives [RPO]) and Recovery Time Objectives [RTO]).**

<b>Milestone 2</b>	Does the backup and restore plan maximize use of OIT infrastructure capabilities? Does the security of data backups comply with VA requirements?	Operational Acceptance Plan Physical Support Requirements (Section 4), Service Level Requirements (Section 8)
<b>Milestone 3</b>	Not Applicable	

**2.4.12. Thin Client**

➤ **Solution must be designed for a browser or “thin client” -based user interface.**

<b>Rationale</b>	The use or implementation of standalone thick clients on the client tier is not permitted. An exception would be if a solution has special requirements such as the need for device integration where an applet such as functionality will not be sufficient; in such cases a thick client may be considered in the architecture. The goal is to minimize the client footprint and target web-based client interfaces whenever possible. Acceptable <a href="#">thin client</a> <sup>6</sup> technology is cited in the source. See the TRM for browser standards.	
<b>Source</b>	OIT Release Architecture v1.21, Client, p. 11. VA Enterprise Target Application Architecture v1.0, Section 2.1: OIT Architecture Principles, p 21.	
<b>Alignment Context</b>		<b>Applicability: Custom Application Development – Cloud/Web Deployment</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Is the solution either browser or “thin client” -based?	Operational Acceptance Plan - Architecture/Dependencies (Section 11)
<b>Milestone 2</b>	Is the user interface designed with device and browser independent technologies such as HTML (XHTML, HTML5), CSS, and JavaScript?	
<b>Milestone 3</b>	Not Applicable	

<sup>6</sup> [Appendix – B Glossary #13](#)

## 2.5. Information Security

*VA shall provide a Secure Network and IT environment for collaborative sharing of information assets (information, services, etc.) with Veterans and other partners, including (among others) federal agencies, third party service providers, academia, researchers, and businesses.*

### 2.5.1. Security Regulations

➤ Solution design shall include all applicable Information Security rules.		
<b>Rationale</b>	Ensure the solution adheres to and is in compliance with established Federal laws and regulations as per the policy provided in VA Policy 6500, Handbook 6500, and other 6500 appendices.	
<b>Source</b>	Information Security Program - VA Directive and Handbook 6500, Section 3: Utilization of This Handbook and Appendices, p. 7.	
<b>Alignment Context</b>		<b>Applicability: All Solution Types</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Has the solution identified all potential information security and privacy vulnerabilities that will need to be addressed? Will this solution be included in another application’s certification and accreditation (C&A) and privacy documentation?	Requirements Specification Document (RSD) - Security Specifications (Section 2.13); System Design Document (SDD) – Overview of the Security or Privacy Requirements (Section 2.5.5); System Design Document (SDD) – System Integrity Controls (Section 9)
<b>Milestone 1</b>	Has the required security and privacy documentation been developed and approved? Have all applicable Information Security rules been adhered to?	Risk Log Requirements Specification Document (RSD) - Security Specifications (Section 2.13); System Design Document (SDD) – Overview of the Security or Privacy Requirements (Section 2.5.5); System Design Document (SDD) – System Integrity Controls (Section 9)
<b>Milestone 2</b>	Has the solution passed C&A?	Operational Acceptance Plan – C&A SMART Status (Section 3)
<b>Milestone 3</b>	Not Applicable	

### 2.5.2. External Hosting

➤ If hosted externally, solution must follow all guidelines for using commercial partners.		
<b>Rationale</b>	Ensure the solution follows the external hosting guidelines and VA security policy for using such hosted solutions.	
<b>Source</b>	OIT Release Architecture v1.21, p. 4. VA Information Security Reference Guide v1.0 – External Information Services (Section SA-9), p. 103.	
<b>Alignment Context</b>		<b>Applicability: All Solution Types</b>

<p>➤ <b>If hosted externally, solution must follow all guidelines for using commercial partners.</b></p>		
PMAS Universal Milestone	Compliance Question	Relevant Artifact for Demonstrating Compliance
Milestone 0	Do security requirements include information on the requirements for certification of the external site under NIST when VA data is exchanged, transmitted, or otherwise hosted on an external system?	Operational Acceptance Plan - C&A SMART Status (Section 3); Operational Acceptance Plan - Anomaly / Risk Summary (Section 12)
Milestone 1	Have all guidelines for using commercial partners been communicated to the hosting provider? Have all guidelines for using commercial partners been followed?	Operational Acceptance Plan - C&A SMART Status (Section 3); Operational Acceptance Plan - Anomaly/Risk Summary (Section 12)
Milestone 2	Do agreements for contracted information services include provisions for monitoring security control compliance? Are externally hosted VA sites registered with VA Web Operations (WebOps), which provides website and enterprise-based application hosting services for all VA facilities and programs, including the VA's primary internal (vaww.va.gov) and external (www.va.gov) sites?	Operational Acceptance Plan - C&A SMART Status (Section 3); Operational Acceptance Plan - Anomaly/Risk Summary (Section 12)
Milestone 3	Not Applicable	

**2.5.3. Secure Access Paths**

<p>➤ <b>Solution design shall follow established secure access paths for application and database access.</b></p>		
Rationale	Access Paths define the physical and logical access to a computer resource (application, data, or the underlying infrastructure) and provide the ability to use, change, or view such resource. Ensure that only approved message paths will be used for application and data access. No direct user access is permitted to the internal databases and applications that bypass VA security infrastructure.	
Source	VA Enterprise Target Application Architecture v1.0, Section 2.3: Enterprise Architecture Application Principles, p. 35. VA Information Security Reference Guide v1.0 – Access Control Policy & Procedures (Section AC-1), p. 15. VA Handbook 6500 - External Business Partner Connections, p.66.	
<b>Alignment Context</b>		<b>Applicability: All Solution Types</b>
PMAS Universal Milestone	Compliance Question	Relevant Artifact for Demonstrating Compliance
Milestone 0	Not Applicable	
Milestone 1	Are established secure access paths followed for application and database access?	System Design Document (SDD) – System Integrity Controls (Section 9)

> <b>Solution design shall follow established secure access paths for application and database access.</b>		
<b>Milestone 2</b>	Do access controls ensure that only authorized individuals gain access to information system resources, are assigned an appropriate level of privilege, and are individually accountable for their actions? Do moderate and high-impact systems validate and ensure that the flow of information between endpoints is appropriate, documented, and has been approved by the designated officials? Are data communication pathways from VA facilities to non-VA business partners that cannot pass through the One-VA Internet gateways fully documented and have the ISO approvals? Are these connections managed and coordinated with and by the VA NSOC?	System Design Document (SDD) – System Integrity Controls (Section 9) Operational Acceptance Plan - Architecture/Dependencies (Section 11) System Design Document (SDD) – Interface Detailed Design (Section 7.2)
<b>Milestone 3</b>	Not Applicable	

### 2.5.4. Secure Information Sharing

> <b>Specific reasons for all limited, external access to data, including the need to know along with security, privacy or other legal restrictions, shall be documented.</b>		
<b>Rationale</b>	Using enterprise resources to store permanent data lessens the burden on an application to be a proper data custodian (including security, privacy, etc., concerns). It also promotes consistency in how data custodianship is executed and isolates changes to common services when policies are modified.	
<b>Source</b>	VA Enterprise Target Application Architecture v1.0, Section 2.1: OIT Architecture Principles, p. 28.	
<b>Alignment Context</b>		<b>Applicability: All Solution Types</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Does the solution document specific reasons for all or limited, external access to data, including the need to know along with security, privacy, or other legal restrictions? Will the solution employ automated audit logs for external data access?	System Design Document (SDD) – Conceptual Application Design (Section 3.1)
<b>Milestone 2</b>	Does the solution employ automated mechanisms to integrate audit monitoring, analysis, and reporting into an overall process? Will system audit logs record sufficient information to establish what events occurred, the sources, and outcomes of the events? Will additional details such as type, location, and subject be recorded for moderate and high risk systems? Will audit logs be sufficient in detail to facilitate reconstruction of events if a compromise or malfunction is suspected or has occurred? Will audit logs be treated as restricted information and protected from unauthorized access, modification, or destruction?	System Design Document (SDD) – Overview of the Security or Privacy Requirements (Section 2.5.5); System Design Document (SDD) – System Integrity Controls (Section 9) Operational Acceptance Plan - Anomaly/Risk Summary (Section 12)
<b>Milestone 3</b>	Are operational procedures in place to ensure audit logs are reviewed periodically for action?	Operational Acceptance Plan - Anomaly/Risk Summary (Section 12)

### 2.5.5. Personally Identifiable Information and Protected Health Information

➤ **Appropriate controls to prevent the unwarranted disclosure of sensitive, Personally Identifiable Information (PII), or Protected Health Information (PHI) shall be implemented.**

<b>Rationale</b>	The solution should ensure all access to Personally Identifiable Information (PII) and Personal Health Information (PHI) is logged and subjected to audits. Ensure appropriate controls are implemented and enforced to prevent storing sensitive, PII, or PHI in exception messages, log files, or persistent cookies.	
<b>Source</b>	VA Enterprise Target Application Architecture v1.0, Section 2.1: OIT Architecture Principles, p. 29.	
<b>Alignment Context</b>		<b>Applicability: Custom Application Development – Cloud/Web Deployment, Custom Application Development – Legacy, COTS, Enterprise Shared Services</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Has required analysis been performed to identify the PII or PHI the solution needs to handle? If the solution handles PII or PHI, can the solution log the details of the access of PII and PHI?	System Design Document (SDD) – Overview of the Security or Privacy Requirements (Section 2.5.5)
<b>Milestone 2</b>	If the solution handles PII or PHI, does the solution employ automated mechanisms to log details of the access of PII and PHI data, including the “who, what, where, when and why” of the person and/or application that accessed the data? Have appropriate controls been implemented to prevent storing sensitive, PII, or PHI in exception messages, log files or persistent cookies?	System Design Document (SDD) – Overview of the Security or Privacy Requirements (Section 2.5.5)
<b>Milestone 3</b>	If the solution handles PII or PHI, are operational procedures in place to ensure audit logs of access to PII and PHI data are reviewed periodically for action?	Operational Acceptance Plan - Anomaly/Risk Summary (Section 12)

### 2.5.6. HSPD-12

➤ **Solution design shall be smart-card enabled to handle logical logon using Public Key Infrastructure (PKI).**

<b>Rationale</b>	Homeland Security Presidential Directive 12 (HSPD-12) is a strategic initiative intended to enhance security, increase government efficiency, reduce identity fraud, and protect personal privacy. HSPD-12 requires agencies to follow specific technical standards and business processes for the issuance and routine use of Federal Personal Identity Verification (PIV) smartcard credentials, including a standardized background investigation to verify employees’ and contractors’ identities. Each agency is to develop and issue an implementation policy by March 31, 2011, through which the agency will require the use of the PIV credentials as the common means of authentication for access to that agency’s facilities, networks, and information systems.	
<b>Source</b>	OMB M11-11: HSPD-12 Directive.	
<b>Alignment Context</b>		<b>Applicability: All Solution Types</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>

➤ **Solution design shall be smart-card enabled to handle logical logon using Public Key Infrastructure (PKI).**

<b>Milestone 0</b>	Has the project planned to perform the required analysis to identify the solution's readiness to handle logical logon based on PIV cards?	
<b>Milestone 1</b>	Has the solution been smart-card enabled to handle logical logon using PKI?	System Design Document (SDD) – Overview of the Security or Privacy Requirements (Section 2.5.5); System Design Document (SDD) – System Integrity Controls (Section 9)
<b>Milestone 2</b>	Has the solution been smartcard enabled to handle logical logon of the internal VA users using PKI?	System Design Document (SDD) – System Integrity Controls (Section 9)
<b>Milestone 3</b>	Not Applicable	



## 2.6. Enterprise Capabilities

*VA solutions shall utilize enterprise-wide standards, services, and approaches to deliver seamless capabilities to Veterans, facilitate IT consolidations through reuse, and simplify the use of Veteran functions.*

### 2.6.1. System Integration

➤ **All system interfaces (both external and internal) used by the solution shall be integrated as services based on Data (e.g. HL7 v2, RIM, FHIR), Transport (e.g. REST, SOAP, AMQP, JMS, SFTP) and Security (e.g. SAML, OAuth, HL7 P&C, Open ID, PKI) layer standards**

<b>Rationale</b>	Ensure adoption of defined data exchange standards that are reusable by internal/external consumers. Where such standards are not available, define specifications in such a way as to minimize the difficulty of sharing information with current and unanticipated future consumers.	
<b>Source</b>	VA Enterprise Target Application Architecture v1.0, Section 5.6.4.3: Format Harmonization, p. 109.	
<b>Alignment Context</b>		<b>Applicability: Enterprise Shared Services, Custom Application Development – Cloud/Web Deployment, Custom Application Development – Legacy</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Has the required analysis been performed to identify the application interfaces required for system integration?	System Design Document (SDD) – Conceptual Application Design (Section 3.1)
<b>Milestone 2</b>	Are the system interfaces (both external and internal) designed based on Data (e.g. HL7 v2, RIM, FHIR), Transport (e.g. REST, SOAP, AMQP, JMS, SFTP) and Security (e.g. SAML, OAuth, HL7 P&C, Open ID, PKI) layer standards rather than on proprietary protocols and/or custom built message formats?	System Design Document (SDD) – External Interface Design (Section 7) and Software Detailed Design (Section 6.2)
<b>Milestone 3</b>	Not Applicable	

### 2.6.2. Service Registry

➤ **Solution shall leverage existing services published in the VA Service Registry.**

<b>Rationale</b>	Ensure usage of Enterprise Shared Services to increase return on investment (ROI), eliminate waste and duplication, improve the effectiveness of technology solutions, and reduce costs through shared approaches to program activities. Application Services need to be developed and made available for re-use by the enterprise and application. Development efforts should re-use registered services.
<b>Source</b>	OMB Shared First Policy VA Enterprise Target Application Architecture v1.0, Section 2.3: Enterprise Application Architecture Principles, p. 34.

➤ <b>Solution shall leverage existing services published in the VA Service Registry.</b>		
<b>Alignment Context</b>		<b>Applicability: Enterprise Shared Services, Custom Application Development – Cloud/Web Deployment, Custom Application Development – Legacy</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Has required analysis been performed to leverage applicable Shared Enterprise Services in the VA Service Registry?	System Design Document (SDD) – Conceptual Application Design (Section 3.1)
<b>Milestone 2</b>	Have the services introduced/upgraded by the solution been published in the VA service registry?	VA Service Registry
<b>Milestone 3</b>	Not Applicable	

### 2.6.3. Enterprise Shared Services

➤ <b>Solution shall utilize Core Common Business Services and Core Common Infrastructure Services rather than developing local services.</b>		
<b>Rationale</b>	<p>Ensure usage of Enterprise Shared Services to increase ROI, eliminate waste and duplication, improve the effectiveness of technology solutions, and reduce costs through shared approaches to program activities.</p> <p>Leveraging cross-cutting services saves effort and leads to consistent and reliable execution of common capabilities (i.e., security, auditing, logging, exception management). These shared application components can be the focus of implementing policy changes rather burdening all application projects that require them.</p>	
<b>Source</b>	<p>OMB Shared First Policy VA Enterprise Target Application Architecture v1.0, Section 2.3: Enterprise Application Architecture Principles, p. 34.</p>	
<b>Alignment Context</b>		<b>Applicability: Enterprise Shared Services, Custom Application Development – Cloud/Web Deployment, Custom Application Development – Legacy</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Has required analysis been performed to eliminate the development of local services duplicative of existing services?	System Design Document(SDD) – Conceptual Application Design (section 3.1)
<b>Milestone 2</b>	Does the solution utilize Core Common Business Services and Core Common Infrastructure Services rather than developing local services?	System Design Document(SDD) – External Interface Design (section 7) and Software Detailed Design (section 6.2) VA Service Registry
<b>Milestone 3</b>	Not Applicable	

### 2.6.4. Identity and Access Management Service

➤ **Solution shall utilize Enterprise Identity and Access Management (IAM) Services.**

<b>Rationale</b>	The Federal Identity, Credential, and Access Management (FICAM) Roadmap details additional rationale for adopting an identity and access services framework to support business and/or objectives. IAM services provide a framework for identity, credential, and access services. IAM services also provide compliance, increased security, improved interoperability, enhanced customer self-service, and increased protection of PII.	
<b>Source</b>	OMB Shared First Policy VA Enterprise Target Application Architecture v1.0, Section 2.3: Enterprise Application Architecture Principles, p. 35.	
<b>Alignment Context</b>		<b>Applicability: Enterprise Shared Services, Custom Application Development – Cloud/Web Deployment, Custom Application Development – Legacy, COTS</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Do the business requirements include identity and access management aspects (i.e., managing person identity, compliance, customer self-service, authenticating users, and enforcing entitlement/access decisions) that enable adequate integration of the solution with the IAM capabilities?	Business Requirements Document (BRD); Draft Requirements Specification Document (RSD)(Section 2.4 – Security Specifications)
<b>Milestone 1</b>	Has the required analysis been performed to leverage Enterprise IAM capabilities for the solution’s authentication, authorization, and auditing needs?  Have the integration RSD, consuming application SDD and User Acceptance and Integration Test Plans been reviewed and approved by IAM (as signatory)? Has the Consuming Application Project team provided the IAM Service Request recommendation from the Governance Review that provides guidance on when IAM capabilities will be ready for consumption?	System Design Document (SDD) – Conceptual Application Design (Section 3.1)
<b>Milestone 2</b>	Does the solution utilize the Enterprise IAM Service? If the required IAM capabilities are not leveraged, has the IAM team been told the reasons for not leveraging IAM offered capabilities?	System Design Document (SDD) – External Interface Design (Section 7) and Software Detailed Design (Section 6.2)
<b>Milestone 3</b>	Not Applicable	

### 2.6.5. VLER Information Services

➤ **Solution shall utilize available VLER information services.**

<b>Rationale</b>	The purpose of VLER is to enable VA and its partners to provide the full continuum of services and benefits to Veterans through Veteran-centric processes made possible by effective, efficient, and secure standards-based information sharing. The solution MUST enable the development and usage of VLER information services wherever applicable.
<b>Source</b>	VLER XML Schema Directive

<span style="background-color: black; color: white; padding: 2px;">➤ Solution shall utilize available VLER information services.</span>		
<b>Alignment Context</b>		<b>Applicability: Enterprise Shared Services, Custom Application Development – Cloud/Web Deployment, Custom Application Development – Legacy</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Has the required analysis been performed to identify the available VLER Information Services required for the solution? Has the required analysis been performed to identify and facilitate development of new VLER information Services?	System Design Document (SDD) – Application Context (Section 3.1.1)
<b>Milestone 2</b>	Does the solution use VLER information services rather than accessing the related data stores directly?	System Design Document (SDD) – External Interface Design (Section 7) and Software Detailed Design (Section 6.2)
<b>Milestone 3</b>	Have the new VLER Information Services developed as part of this solution been published in the VA Service Registry?	VA Service Registry

### 2.6.6. Service Enabled Information Sharing

<span style="background-color: black; color: white; padding: 2px;">➤ Solution shall use enterprise information that is made available as services.</span>		
<b>Rationale</b>	The goal is to disallow development of monolithic systems. The solution needs to share the business functionality for enterprise usage via <a href="#">service</a> <sup>7</sup> enabled design. Re-using enterprise level services and making application services available to the enterprise saves money and resources. It also promotes continuity in processing.	
<b>Source</b>	VA Enterprise Target Application Architecture v1.0, Section 2.3. Enterprise Application Architecture Principles, p. 34.	
<b>Alignment Context</b>		<b>Applicability: Enterprise Shared Services, Custom Application Development – Cloud/Web Deployment, Custom Application Development – Legacy</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Has required analysis been performed to identify the available Shared Enterprise Services required for the solution in the VA Service Registry?	System Design Document (SDD) – Application Context (Section 3.1.1); System Design Document (SDD) – Data Design (Section 5) VA Service Registry
<b>Milestone 2</b>	Is the enterprise information used and produced by this solution available through services? Are all services that are part of this system registered in the VA Service Registry and discoverable through the VA services portal?	System Design Document (SDD) – External Interface Design (Section 7) and Software Detailed Design (Section 6.2)
<b>Milestone 3</b>	Not Applicable	

<sup>7</sup> [Appendix – B Glossary #11](#)

### 2.6.7. Technical Reference Model

➤ **All Products and Standards used by the solution shall be listed and identified as permissible for usage in the VA Technical Reference Model (TRM).**

<b>Rationale</b>	Ensure the solution adheres to VA approved standards and products; leveraging of IT investments and implementation of an integrated technology framework (Clinger-Cohen Act)	
<b>Context</b>	Applicable to PD, OOR PMAS Projects.	
<b>Source</b>	VA TRM	
<b>Alignment Context</b>		<b>Applicability: All Solution Types</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Has the required analysis been performed to determine that the solution will be supported by the permissible products and standards in TRM?	Operational Acceptance Plan - Electronic Inventory List and Asset Management (Section 7) VA TRM
<b>Milestone 2</b>	If the project needs new products that are not in the TRM: <ul style="list-style-type: none"> <li>• Have technology insertion requests been submitted for the required products early enough in the project lifecycle such that the products will be available when needed?</li> <li>• Has a life cycle cost estimate been performed for the candidate technologies?</li> <li>• Have common cost savings practices been taken into consideration for avoidance of additions to the TRM?</li> </ul>	Product Evaluation and Decision Analysis
<b>Milestone 3</b>	Has a determination been made to retire older products from the TRM that were replaced by the new products?	VA TRM

### 2.6.8. COTS Products

➤ **All COTS products used in the solution shall be from mature companies large enough to support those products over the expected life of the product at all locations at which they may be installed.**

<b>Rationale</b>	Ensure the commercial off-the-shelf (COTS) products used in the solution are supported by the vendor across the VA enterprise over its full life cycle until it is removed from VA service.	
<b>Source</b>	VA Enterprise Target Application Architecture v1.0, Section 2.1: OIT Architecture Principles, p. 25.	
<b>Alignment Context</b>		<b>Applicability: COTS</b>
<b>PMAS Universal Milestone</b>	<b>Compliance Question</b>	<b>Relevant Artifact for Demonstrating Compliance</b>
<b>Milestone 0</b>	Not Applicable	
<b>Milestone 1</b>	Is the vendor company stable and likely to remain so to support the COTS product as long as VA needs it? Are all COTS products used in the solution from mature companies large enough to support those products over the expected life of the product at all locations at which they may be installed?	Product Evaluation and Decision Analysis

➤ **All COTS products used in the solution shall be from mature companies large enough to support those products over the expected life of the product at all locations at which they may be installed.**

<p><b>Milestone 2</b></p>	<p>Are all IT products on the National Information Assurance Program (NIAP) Validated Product List (VPL) or have been accepted for NIAP evaluation?</p> <p>Are the employed COTS products not approaching the end of their life (i.e., the user base is no longer expanding, new versions of the product are only sold to previous customers, and companies using the product only use it to support legacy applications)?</p> <p>Does custom code interact with COTS products only through vendor supplied Application Program Interfaces (API) or interfaces that the vendor guarantees will be supported through future versions?</p> <p>Where VA requires significant changes to a COTS product, did VA get the vendor to make the changes to the core product, incorporate those changes into the standard distribution, and support those changes through future releases of the product?</p>	<p>Product Evaluation and Decision Analysis</p> <p>System Design Document (SDD) – Software Detailed Design (Section 6.2)</p>
<p><b>Milestone 3</b></p>	<p>Is a copy of COTS product’s source code held in escrow by a third party for “code vaulting,” ensuring that if a COTS product vendor goes out of business, VA would have a copy of the source code as a basis for future maintenance efforts?</p>	

# Appendix A. ETA Compliance Criteria Frequently Asked Questions

The purpose of this set of Frequently Asked Questions (FAQ) is to assist program IPTs in using ETA compliance criteria to ensure alignment of VA programs, projects, initiatives, or investments with the technical layer of the OneVA Enterprise Architecture (OneVA EA). These FAQs, along with the ETA compliance criteria document, serve as an entry point into the vast architecture documentation that has been developed by OIT to describe how the IT environment must be designed, configured, and maintained to do the following:

- Ensure interoperability of solutions
- Transition VA's IT capabilities to the technology environment envisioned in its IT Roadmap

Program IPTs can use the ETA Compliance Criteria document to both ensure that solutions they develop are in alignment with enterprise-wide technical guidance and to help prepare for PMAS milestone reviews that their solutions must pass. At present, PMAS Milestone 0 and Milestone 1 reviews are conducted by the Architecture Engineering Review Board (AERB) as part of Architecture/Design Evaluation Reviews.

The AERB is the governance body formally designated by VA to make the final determination on whether an IPT is compliant with the ETA. Thus, the role of the AERB is to review the ETA compliance assertions submitted by each IPT and make a formal determination on whether or not each IPT is compliant with the ETA. At the completion of the milestone review meeting, AERB may deny approval, issue a conditional approval, or issue an approval.

All VA solutions and investments are subject to compliance with both the business and technical layers of the OneVA EA. The ETA represents only the technical layer of the OneVA EA; therefore, compliance and/or alignment with the criteria provided in these documents does not represent full OneVA EA compliance. These documents simplify compliance with the technical layer, which is required by all solutions and investments. Business architecture compliance is defined by the relevant VA administration or corporate staff office.

After reviewing the FAQs and associated documents along with the referenced URLs, the reader should understand:

- Overall ONEVA EA compliance process and the key elements of OneVA EA compliance
- Rules, roles, and responsibilities involved in demonstrating and asserting compliance
- Artifacts, processes, and tools that may facilitate OneVA EA compliance assertion and certification

## 1. What is an ETA compliance assertion?

An ETA compliance assertion is the set of activities that an IPT must perform in preparation for an ETA compliance review performed by the AERB.

## 2. Why is an ETA compliance assertion needed?

Memorandum # VAIQ 7258313, issued by the VA Assistant Secretary for Information and Technology on December 6, 2012, requires that all IPTs subject to PMAS milestone reviews be assessed for compliance with the ETA. It states, "*Effective the date of this memo, the attached OneVA ETA Compliance Criteria shall be used to assess compliance and alignment of all VA development activities with the technical layer of the OneVA EA. Compliance will be assessed at PMAS Milestone 0 and Milestone 1 reviews.*"

As part of the implementation of this memo, all IPTs subject to PMAS milestone reviews are also required to go through an ETA compliance review with the AERB prior to their PMAS Milestone 1 review. The

purpose of an AERB compliance review of an IPT is to validate that the solution proposed by the IPT is in compliance with VA's ETA. Determination by the AERB that the IPT's proposed solution is ETA-compliant is a prerequisite for full PMAS Milestone 1 approval. For Milestone 0, which occurs fairly early in the program life-cycle, AERB does not do an ETA compliance review; however, IPTs are required to do a self-assessment with applicable ETA compliance criteria, which are structured more in the form of guidance for Milestone 0 reviews.

**3. How does an IPT conduct an ETA compliance assertion (logistics and process)?**

An ETA compliance assertion is an internal IPT process that should be resourced and executed based on the professional judgement of the IPT Project Manager (PM). The process itself is highly dependent on the type of solution being developed and the associated IPT artifacts. At a minimum, the IPT should rely on the requirements & design documents, such as SDD, to demonstrate that the proposed solution is being developed in a manner that is compliant with each of the ETA compliance criteria. The AERB provides an ETA Compliance Checklist for the IPT to document its compliance assertion for each of the ETA compliance criteria. The IPT then submits the completed ETA Compliance Checklist, SDD, and any other applicable IPT artifacts to the AERB in advance of the AERB ETA compliance review.

**4. Who conducts an ETA compliance assertion?**

An ETA compliance assertion is the sole responsibility of the IPT. The AERB is responsible for conducting the ETA compliance review. The AERB may rely on subject matter experts (SME) from each of OIT's Pillars.

**5. What are the rules for conducting an ETA compliance assertion?**

The IPT should rely on the AERB process documented in the most recent release of ProPath and the detailed instructions in the ETA Compliance Checklist provided by the AERB to the IPT.

**6. When is an IPT required to complete an ETA compliance assertion?**

If an IPT is subject to a PMAS Milestone 1 review, then that IPT must also perform an ETA compliance assertion in anticipation of their PMAS Milestone 1 review. If the AERB has approved the IPT SDD for multiple increments, the IPT is already considered ETA compliant for all corresponding PMAS Milestone 1 reviews and no further reviews are necessary.

**7. What artifacts are used to complete an ETA compliance assertion?**

In addition to the ETA Compliance Criteria Checklist itself, the IPT should rely on the Release Architecture documents referenced by the ETA Compliance Criteria Checklist, as well as the IPT SDD and other internally produced IPT artifacts as necessary.

**8. How should the IPT prepare and report ETA compliance assertion findings?**

Upon completing the ETA Compliance Checklist, the IPT should forward its ETA compliance assertion package to the AERB for review. This assertion package should consist of the completed ETA Compliance Checklist, the IPT SDD, and any other IPT artifacts necessary to substantiate the responses in the completed ETA Compliance Checklist.

**9. How should an IPT interpret ETA Compliance Criteria Checklist questions?**

The ETA Compliance Criteria Checklist was designed to be self-explanatory. However, in the event that the IPT is unsure about a given criterion, the IPT should rely on the Release Architecture documentation referenced by each ETA compliance criterion. In the event that the IPT requires further clarification, the IPT should work with its ASD IPT representative to identify the correct OIT Pillar SME to answer the question.

**10. Are there different types of ETA compliance assertions?**

The VA ETA Working Group has identified five types of types of solutions, which are listed in the table below.

**Table 3 - Solution Types**

Sl.No.	Solution Type	OIT Pillar/ Working Group	Cross Cutting
1	Custom Application Development – Cloud/Web Deployment	PD	OIS, SD&E, ASD
2	Custom Application Development – Legacy	PD	
3	COTS	PD, SD&E	
4	Infrastructure	SD&E	
5	Enterprise Shared Services	ESS WG	
6	Mobile	Mobile WG	

This list may be expanded over time based on feedback provided to the AERB and the ETA Working Group. Also, the five types of solutions should not be considered mutually exclusive. Depending on the complexity of a solution, it could span multiple solution types. For example, a complex solution can include three solution types: Custom Application Development – Cloud/Web Deployment; Infrastructure; and Mobile.

When completing the ETA Compliance Checklist, the IPT should tailor its responses based on the type(s) of solutions that are applicable. Where multiple solution types apply to a given IPT, the IPT should respond to all applicable ETA Compliance Criteria for each solution type separately as directed by the ETA Compliance Criteria Checklist instructions and explanations.

**11. When and how often should an IPT conduct an ETA compliance assertion?**

An ETA compliance assertion should generally be performed in advance of the IPT’s PMAS Milestone 1 review. There may be exceptions where the ETA compliance assertion is not required for a given PMAS Milestone 1 review. An example of an exception would be where the AERB approves an IPT SDD for multiple IPT increments because there are no material changes in the SDD across those IPT increments, each of which requires a separate Milestone 1 review.

**12. What is the outcome of an ETA compliance assertion?**

The final step in the ETA compliance assertion process is an AERB meeting with the IPT to review the IPT’s SDD and compliance assertion, as well as any other relevant documentation that the IPT chooses to provide to the AERB. During the course of this meeting, members of the AERB may seek clarifications on the SDD as it relates to ETA compliance. At the completion of this meeting the AERB may deny approval, issue a conditional approval, or issue an approval. Where the AERB issues either a conditional approval or approval, the AERB will document the results in a signed decision certificate that will be provided to the IPT.

**13. Upon completing an ETA compliance assertion, what should an IPT do if it is non-compliant with one or more ETA compliance criteria?**

When an IPT is not compliant with one or more ETA compliance criteria, the IPT can request that the AERB waive the ETA compliance criteria. However, waiver of ETA compliance criteria should be considered the exception rather than the rule. The more likely outcome of an AERB review in this situation would be the issuance of a conditional approval, where the IPT will comply with the ETA compliance criteria by a future date or milestone, or the denial of approval all together.

**14. Where can the IPT find additional information related to ETA compliance assertions?**

For more information regarding the completion of an ETA compliance assertion, IPTs should refer to the OneVA EA website and the latest release of ProPath. As an additional alternative, the IPT may also consult with the ASD representative on the IPT.

**15. What is the difference between guidance and compliance?**

ETA guidance describes the policies with which an IPT must comply. ETA compliance can only be determined by the AERB, which relies on ETA guidance, VA policies and directives, and AERB SME's professional judgement.

ETA Compliance Criteria describes the rules required to assess compliance for all VA development activities at PMAS Milestone 0 (MS0) and Milestone 1 (MS1) reviews with the technical layer of the OneVA EA. While currently IPTs are not required to demonstrate compliance at MS0, the criteria included for MS0 should be used as **guidance** in planning the design of the solutions. The AERB will determine the ETA **Compliance** at MS1 using the associated criteria.

**16. How are ETA compliance criteria maintained and updated?**

ETA compliance criteria are maintained and updated by ASD EA as part of OneVA EA through the Enterprise Architecture Working Group (EAWG). The EAWG consists of stakeholders from across VA, including representatives from each of the OIT Pillars.

**17. How does an IPT request an ASD representative for the IPT?**

To request an ASD representative for an IPT, an IPT representative should complete and submit an ASD Service Request form via the OneVA EA link at <http://vaww.ea.oit.va.gov> by clicking on the "Comments/Suggestions" link in the bottom right hot links section labelled Feedback. This will trigger an email that is addressed to ASD EA. The IPT representative should then attach the service request to that email and click send.

**18. What is the role of the ASD representative on an IPT?**

The ASD representative on an IPT provides guidance in the area of OneVA EA content. An IPT can be either a consumer or producer of OneVA EA content. When the IPT is a consumer of OneVA EA content, the ASD representative may support the IPT in identifying relevant OneVA EA content to inform the IPT Business Requirements Document (BRD) and Requirements Specification Document (RSD). Where an IPT may be defining new enterprise-wide requirements, the ASD representative may also guide the IPT and the IPT's functional sponsor through the process of proposing new OneVA EA content to the EAWG.

**19. What is the role of the Architecture Engineering Review Board (AERB) in the ETA compliance assertion process?**

The AERB is the governance body formally designated by VA to make the final determination on whether an IPT is compliant with the ETA. Thus, the role of the AERB is to review the ETA compliance assertions submitted by each IPT and make a formal determination on whether or not each IPT is

compliant with the ETA. At the completion of this meeting the AERB may deny approval, issue a conditional approval, or issue an approval. Where the AERB issues either a conditional approval or approval, the AERB will document the results in a signed decision certificate that will be provided to the IPT.

**20. What is the relationship of the TRM to the ETA?**

The Technical Reference Model (TRM) is the official list of products and services that are allowed to operate on VA networks. The ETA contains the technical standards with which all IPTs must comply. Included within the ETA technical standards is the requirement that any products or services introduced by an IPT onto VA networks be approved for inclusion in the TRM.

**21. What's the difference between a SEDR and an ETA Compliance Criteria?**

The ETA Compliance Criteria is a consolidated list of evaluation criteria pulled from VA's Release Architecture. A System Engineering and Design Review (SEDR) is conducted by OIT Service Delivery and Engineering (SDE) to verify that proposed infrastructure portion of a modernization effort is designed, deployed, and managed in a manner that complies with VA's Release Architecture. The ETA Compliance Criteria is a high level review that is broader in scope than a SEDR and applies to all IPTs. A SEDR is focused solely on infrastructure and consists of a detailed analysis of the proposed solution architecture.

**22. What are the current ETA compliance requirements for PMAS Milestone 0 reviews?**

There is no formal compliance requirement for PMAS Milestone 0 at this time. However, the IPT should verify that its proposed solution aligns with the OneVA EA Business Reference Model (BRM) and is not duplicative of existing or other proposed investments in VA's IT portfolio.

**23. How does an IPT obtain the ASD signature for the IPT SDD?**

The signed Decision Certificate issued by the AERB, which documents that the SDD and other associated design documents are ETA compliant, serves as the ASD signature on an IPT's SDD.

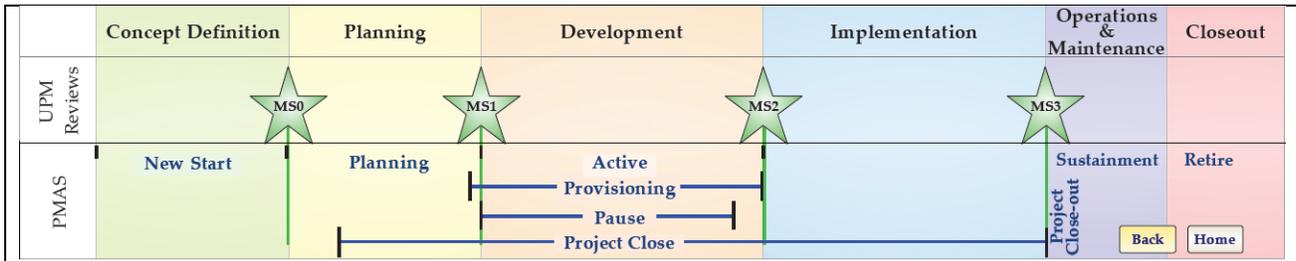
**24. How can the IPT contact the AERB directly?**

Programs and IPTs can contact the AERB by sending an email to "[vacovaarchitecture@va.gov](mailto:vacovaarchitecture@va.gov)".

**25. How can a copy of the current ETA Compliance Checklist be obtained?**

Programs and IPTs may send a request for a copy of the current ETA Compliance Checklist to the AERB email address, "[vacovaarchitecture@va.gov](mailto:vacovaarchitecture@va.gov)".

# Appendix B. PMAS Milestone Artifacts



PMAS States	Artifact
New Start	Project Charter Business Requirements Document (BRD)
Planning	Requirements Specification Document (RSD) Project Management Plan (PMP) Project Schedule Risk Log or Risk Register System Design Document (SDD) Quad Chart Spend Plan (Process Only) Product Evaluation and Decision Analysis (Buy Only) Acquisition Strategy Contract Information Outcome Statement Customer Acceptance Criteria Plan PMAS Readiness Checklist Operational Acceptance Plan (OAP) Confirmation of Release Requirements/Artifacts (ProPath) Submitted Acquisition Package (Virtual Office of Acquisition – VOA) Executive Decision Memorandum (EDM)
Provisioning	Contract Award (VOA) Updates to MS1 documents
Active	Success Criteria Customer Acceptance Form IPT Charter Updates to MS1 documents

## Appendix C. Glossary

This appendix describes the critical terms used in support of the development of this document and critical to the comprehension of its content.

1. **Business Logic layer:** [1] The Business Logic layer implements the core functionality of the system and encapsulates the relevant business logic. It manages business processing rules and logic; and is concerned with the retrieval, processing, transformation, and management of data. It's typically composed of components which are exposed as service interfaces.
2. **Cloud computing:** [2] Cloud computing is a model for enabling ubiquitous, convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, and services) that can be rapidly provisioned and released with minimal management effort or service provider interaction.
3. **Data Access Layer:** [1] The Data Access Layer of an Application Architecture provides access to data (persistence storage) hosted within the boundaries of the system, and data exposed by other networked systems; perhaps accessed through services. The data layer exposes generic interfaces that the components in the business layer can consume. The Data Access Layer shields the complexity of data implementation from the Business Logic.
4. **Enterprise Service:** [3] A common or shared IT service that supports core mission areas and business services. Enterprise services are defined by the agency service component model and include the applications and service components used to achieve the purpose of the agency (e.g., identity management, knowledge management, records management, mapping/GIS, business intelligence, and reporting).
5. **Enterprise Technical Architecture:** The Enterprise Technical Architecture (ETA) is a consistent, vendor agnostic, open standards based, federated architecture composed of component architectures representing the desired "end state" for VA Systems and underlying infrastructure.
6. **Governance:** [4] Ensuring that Policies and Strategy are actually implemented, and that required Processes are correctly followed. Governance includes defining roles and responsibilities, measuring and reporting, and taking actions to resolve any issues identified.
7. **Information sharing:** [5] Information sharing is making information available to participants (people, processes or systems). It includes the cultural, managerial and technical behaviours by which one participant leverages information held or created by another.
8. **Middleware:** [6] In a distributed computing system, middleware is defined as the software layer that lies between the operating system and the applications on each site of the system.
9. **Platform:** [7] A computing platform includes a hardware architecture and a software framework (including application frameworks), where the combination allows software, particularly application software, to run.
10. **Presentation Layer:** [1] The Presentation Layer of an Application Architecture contains the user oriented functionality responsible for managing user interaction with the system, and generally consists of components that provide a common bridge into the core business logic encapsulated in the business layer
11. **Service:** [8] A mechanism to enable access to one or more capabilities, where the access is provided using a prescribed interface and is exercised consistently with constraints and policies as specified by the service description.

12. Service Oriented Architecture: [8] A paradigm for organizing and utilizing distributed capabilities that may be under the control of different ownership domains. It provides a uniform means to offer, discover, interact with and use capabilities to produce desired effects consistent with measurable preconditions and expectations.
13. Thin Client: Client software running on regular end-user machine (Desktop/Laptop/Mobile device) that relies on the server to perform the data processing.

## Appendix D. Acronyms

Acronym	Definition
AERB	Architecture Engineering Review Board
API	Application Programming Interface
ASD	Architecture, Strategy and Design
BRD	Business Requirements Document
BRM	Business Reference Model
C&A	Certification and Accreditation
CBOC	Community-Based Outpatient Clinic
CDM	Conceptual Data Model
COTS	Commercially available Off-The-Shelf
DR	Disaster Recovery
EAC	Enterprise Architecture Council
EAWG	Enterprise Architecture Working Group
EDW	Enterprise Data Warehouse
EITA	Electronic and Information Technology Accessibility
ESB	Enterprise Service Bus
ETA	Enterprise Technical Architecture
FAQ	Frequently Asked Question
FedRAMP	Federal Risk and Authorization Management Program (FedRAMP)
FICAM	Federal Identity, Credential, and Access Management
HSPD-12	Homeland Security Presidential Directive – 12
HTML	Hyper Text Markup Language
HTTP	Hypertext Transfer Protocol
IaaS	Infrastructure as a Service
IAM	Identity and Access Management
IMS	Integrated Master Schedule
ISO	Information security officer
IT	Information Technology
JMS	Java Message Service
LAN	Local Area Network
NIAP	National Information Assurance Program
NIST	National Institute of Standards and Technology
NSOC	Network and Security Operations Center
OIT	Office of Information and Technology
OMB	Office of Management and Budget
One VA EA	OneVA Enterprise Architecture
OOR	Office of Responsibility
PaaS	Platform as a Service
PD	Product Development
PHI	Protected Health Information
PII	Personally Identifiable Information
PIV	Personal Identity Verification
PKI	Public Key Infrastructure
PM	Project Manager
PMAS	Project Management Accountability System
PMP	Project Management Plan
QA	Quality Assurance
ROI	Return on Investment
RPO	Recovery Point Objective



<b>Acronym</b>	<b>Definition</b>
RSD	Requirements Specification Document
RTO	Recovery Time Objective
SaaS	Software as a Service
SDD	System Design Document
SDR	Service Delivery and Engineering
SEDR	System Engineering and Design Review
SME	Subject Matter Expert
SNOMED	Systematized Nomenclature of Medicine
SOA	Service Oriented Architecture
TRM	Technical Reference Model
UI	User Interface
VA	Department of Veterans Affairs
VIM	Veteran Information Model
VLER	
VPL	Validated Product List
W	Washington
WAN	Wide Area Network
WebOps	VA Web Operations



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