

Process Step 1: Determine Participants and Launch Project

Step Description and Purpose

The methodology begins with the *Determine Participants and Launch Project* process step which includes activities to identify the overall governance framework for the segment architecture development, educate the business owner(s) on the process and time commitment for developing the segment architecture, select the executive sponsor, formulate a specific purpose for the segment architecture being developed, and form the core team to guide the segment architecture development. A key input to this step is a prioritized segment selected for architecture development and the identification of a segment architect who will manage the execution of the FSAM. Note that guidance for prioritizing segments is available in the OMB FEA Practice Guidance.

Once the segment is selected and the architect is assigned, the architect should begin a relationship with the business owner for the segment. Typically, the business owner is the highest-level decision maker within an organization for the segment under development. Since segment architecture may result in recommended policy or even regulatory changes to optimize business processes, it is important that the business owner has the political and organizational influence to champion and drive needed changes to effect performance improvements.

In some cases, segments span several organizations (e.g., cross-agency initiatives) and each organization may have an affected business owner and other related governance bodies. This step outlines guidance for establishing a cross-agency governance framework for creating and sustaining the segment architecture. This step also includes guidance on bringing key business owners together to achieve a common purpose, educating them on the process of segment architecture development and identifying and appointing a senior executive as executive sponsor for the project.

Also within this step is the formation of a *core team*. This core team is a working level body of individuals, typically at the program manager level within the segment. The core team is an important group, as these subject matter experts will guide the development of the segment architecture. The core team might also include key stakeholders and IT personnel, from security for instance. During this step, the executive sponsor solicits key personnel from each affected organization to form the core team that will remain as a standing body throughout the segment architecture development process. The formation of the core team includes the development of the core team charter that bonds the team members into active and constructive participation throughout the architecture development process. The charter formalizes the core team's participation in developing the segment architecture in the context of the purpose statement crafted by the business owner(s). It is important that the business owner(s) formulate a purpose for the architecture being created so the core team and the chosen executive sponsor have a clear understanding of what is expected in terms of high-level performance improvements. .

Lastly, the *Determine Participants and Launch Project* step is intended to start the segment architecture development off on a solid project management foundation. This step includes guidance for developing the project plan and communications strategy; both will be used throughout the segment architecture development process.

Note that suggested analytical techniques are included for activities within the methodology to better define what is core for a complete segment architecture in the form of descriptive (not prescriptive)

guidance on how to accomplish the analysis. The suggested analytical techniques provide guidance as to what outputs are core for defining a complete segment architecture.

Step Outcome

The outcome of this step is to establish the segment governance framework, validate the business owner(s), formally appoint an executive sponsor and a core team, establish the purpose statement to guide the architecture development, and to establish a project plan and communications strategy.

Note: In the case of a mission-critical segment that only affects one organization, the business owner and executive sponsor will likely be the same individual.

Suggested Analytical Techniques

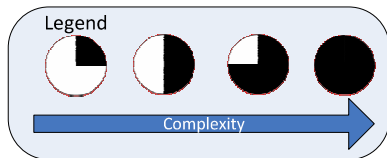
Suggested analytical techniques are provided corresponding to each activity in this process step. Certain FSAM outputs are classified as ‘core’ to identify the architectural information necessary to specify a complete segment architecture. For each FSAM output, the table includes examples of analytical techniques associated with the output(s). These analytical techniques provide descriptive (not prescriptive) guidance on how to perform the analysis and capture the architectural information for each output. Agencies may employ other templates or artifacts that provide the equivalent level of information and analysis.

Step At-a-Glance

Process Step 1 At-a-Glance	Process Step 1 Activities				
	Determine the executive sponsor	Develop the purpose statement for the segment	Solicit core team members	Create core team charter and project plan	Establish the communications strategy
Who Participates in This Activity?	Business owner(s) Executive Sponsor Segment architect	Business owner(s) Executive sponsor Segment architect	Executive sponsor Segment architect	Executive sponsor Core team Segment architect	Executive sponsor Core team Segment architect

Process Step 1 At-a-Glance	Process Step 1 Activities				
	Determine the executive sponsor	Develop the purpose statement for the segment	Solicit core team members	Create core team charter and project plan	Establish the communications strategy
What Are The Inputs to This Activity?	List of affected organizations and their business owner(s) (Strategic plan and organization chart) Agency strategic plans Agency policies Executive orders Legislation President's budget Preliminary list of affected PART Measures Preliminary list of affected PAR Measures	List of affected organizations and their business owner(s) (strategic plan and organization chart) Agency strategic plans Agency policies Executive orders Legislation President's budget Preliminary list of affected PART Measures Preliminary list of affected PAR Measures Identification of the segment leadership to include affected business owner(s) and a designated Executive sponsor Governance framework	List of affected organizations and identified business owner(s) (Strategic plan and organization chart) Segment architecture development purpose statement	Segment architecture development purpose statement Core team roster Core team formation memorandum	Core team charter Project plan Governance framework
What Are The Outputs from This Activity?	Identification of the segment leadership to include affected business owner(s) and a designated executive sponsor. Governance framework	Segment architecture development purpose statement	Core team roster Core team formation memorandum	Core team charter Project plan	Communications strategy
Which Stakeholders / Customers Will Use the Outputs from This Activity?	N/A	Executive sponsor Core team	Business owner(s) Executive sponsor Core team Business owner(s)	Business owner(s) Executive sponsor Core team Business owner(s)	Core team
Touch Points to FTF		The FTF Catalog includes mandatory initiatives that must be included in the agency EA			
What Are The Associated FEA Profiles?	None	None	None	None	None
Considerations for Enterprise Services	Enterprise services governance framework				
Considerations for Business Services	Business services governance framework				

Process Step 1 At-a-Glance	Process Step 1 Activities				
	Determine the executive sponsor	Develop the purpose statement for the segment	Solicit core team members	Create core team charter and project plan	Establish the communications strategy
What Is The Relative Complexity of This Activity?					



Activity Details

Activity 1.1: Determine the executive sponsor

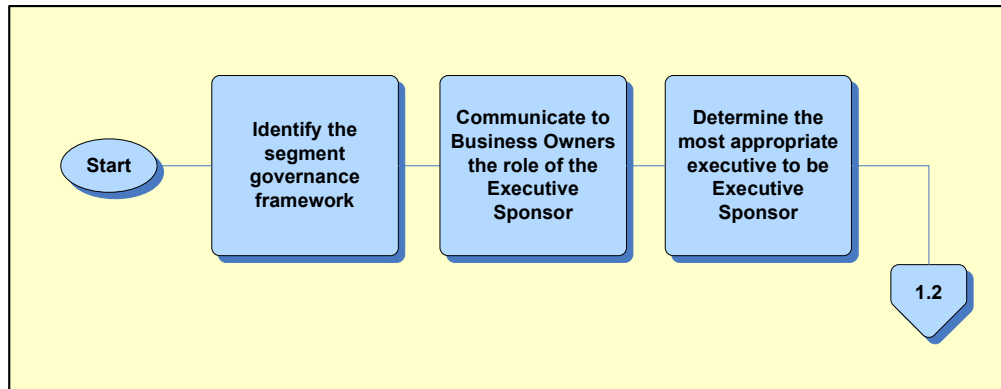
Activity Description:

This activity begins with an overall definition of the segment governance structure. In particular, it is critical to identify up-front a comprehensive governance framework for creating and sustaining the segment architecture when developing segment architectures that span multiple agencies. This also leads to the definition of the business owner(s) for the segment who must understand the planning and resource commitments associated with developing the segment architecture. A business owner is typically a senior agency official with executive decision making authority within the segment.

Once the business owner(s) have a high level understanding of the planning concept and resource commitments, then they are ready to discuss the selection of an executive sponsor. Note that in many cases, the executive sponsor and business owner may be the same individual or an obvious choice rendering the tasks within this activity irrelevant. However, in cross-agency initiatives, there may be several business owners involved from several organizations and it is helpful to designate an executive sponsor.

An executive sponsor should be just that – an executive who is willing to sponsor and champion the concept of transformation within the segment. The executive sponsor will be a visionary leader for the core team and will play a key decision making role in determining the direction and scope of the segment architecture findings and recommendations. The executive sponsor is in a decision-making role and should therefore be a senior official with the authority to make decisions within the segment.

During this activity, the business owner(s) should also be educated on the segment architecture process. This education can include formally meeting with the business owner(s) of the segment to communicate how their resources will be used in developing the segment architecture. This education can be used to set expectations up front so that the appropriate executive sponsor and core team can be selected.



Activity 1.1: Determine the executive sponsor

Activity Inputs:

- List of affected organizations and their business owner(s) (strategic plan and organization chart)
- Agency strategic plans
- Agency policies
- Executive orders
- Legislation
- President's budget
- Preliminary list of affected PART measures
- Preliminary list of affected PAR measures

Tasks:

1.1.1 Identify the segment governance framework

The segment architect who is responsible for leading the execution of the FSAM must first work with business owners to establish a governance framework. The governance framework should identify the key roles for the segment architecture development (business owner, executive sponsor, and core team) and show the relationships to existing governance bodies that may have operational oversight over the delivery of segment mission services. This may also include specific cross-agency governance teams that will own and maintain specific layers of the segment architecture through to the implementation of solutions that support the overall segment target state vision as established by the segment architecture.

The governance framework articulates the relative accountability and authority for decision-making, ensures a consistent and well-defined approach for decision-making, provides a mechanism for adjudicating disagreements or differences in perspective and provides a definition of roles and responsibilities to ensure performance measures are met. While the roles and responsibilities of each committee in the governance framework are described in the governance framework, many existing governance

bodies will likely have existing governing charters that establish overall authority, roles and responsibilities, and decision-making processes. The segment governance structure must align with existing agency governance processes including the management of the overall enterprise architecture, capital planning process, security and privacy management processes, human capital management process, quality assurance processes, and the systems development lifecycle processes.

The governance framework should also be designed to consider the additional factors driving the overall prioritization of the segment architecture development (e.g., agency strategic plans, policies, executive orders, legislation, budget priorities, and the PART and PAR program assessments).

1.1.2 Communicate to business owner(s) the role of the executive sponsor

It is important to educate the business owner(s) on the role of the executive sponsor. Some executive sponsor candidates might be more qualified than others based on the time and leadership requirements of the position. Optimally, the executive sponsor will provide visionary leadership and play an active role in shaping the direction of the segment architecture. Note that the executive sponsor should be a leader from within the segment, not an architect or an IT professional (unless the segment is an IT specific segment).

Overall, an executive sponsor should have the following characteristics: effective communicator, senior executive, talented leader, respected within the affected organizations, visionary, good political skills, energetic, and excited about opportunities for transformation.

1.1.3 Determine the most appropriate executive to be executive sponsor

There are positive and negative aspects to being the executive sponsor for a segment architecture development. The most significant positive is to be in a position of leadership for this planning effort. The leadership position affords the executive with a unique opportunity to shape the future of the segment. The most significant negative is the dedication of time to the effort. The executive sponsor will need to be current on the actions and recommendations of the core team. As previously mentioned, in many segments, there is just one business owner and that business owner would typically be the executive sponsor. In these cases, these tasks are not relevant. If however the segment includes multiple organizations, the business owner(s) from each organization should select the executive sponsor. In most cases involving multiple organizations within the same agency, there is a senior executive who is the natural choice to be the executive sponsor. Note that in cases involving multiple agencies, there could be several senior executives at peer levels. In these cases, it is important to designate an executive sponsor that will be representative of the segment, not a single specific organization.

Note that one of the business owner(s) may volunteer to be the executive sponsor. If there is only one volunteer, then the executive sponsor role can be considered filled. In many cases, the affected business owner(s) should come to consensus on designating the executive sponsor.

Considerations for Enterprise Services:

An enterprise service segment will typically require a governance framework that includes representation of all affected organizations / sub-agencies that will be affected.

Considerations for Business Services:

A business service segment will typically require a governance framework that includes cross-cutting representation of affected organizations and business functions.

Communications Considerations:

Engaging the business owner(s) can be difficult to schedule. It is often possible to leverage pre-existing governance teams that include these leaders in order to conduct this activity. This activity can be accomplished in one meeting with the business owner(s).

Activity Outputs:

- Identification of the segment leadership to include affected business owner(s) and a designated executive sponsor
- Governance framework

Suggested Analytical Techniques:

Output	Core	FEA Layers					Suggested Analytical Technique	Examples/Templates	Contributing Agency/Team
		P	B	D	S	T			
Governance framework	No						Governance framework	Link to governance framework (MS Word Format)	Department of Justice (DOJ)
Key to FEA Layers P = Performance B = Business D = Data S = Service T = Technology									

Activity 1.2: Develop the purpose statement for the segment

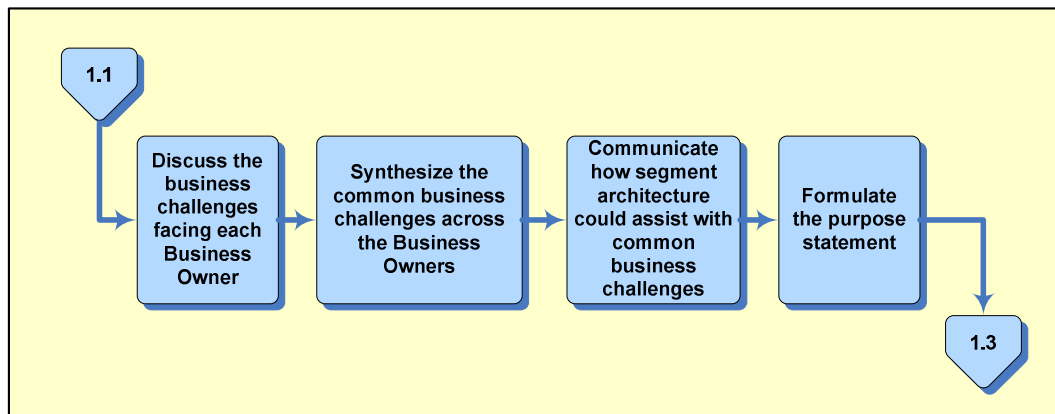
Activity Description:

It is critical that the business owner(s) and the executive sponsor formulate their intent for the segment architecture development. This segment architecture intent, or purpose statement, serves to communicate to the core team the reason why the segment architecture is being created. For example, the purpose statement could be higher citizen satisfaction, lower costs, more efficient operations, addressing a GAO audit, and/or introducing a new service to citizens.

In some cases, the purpose statement can be a high-level statement of principles. In other cases, the purpose statement might be a more detailed listing of objectives and expected areas to consider. This is the opportunity to establish why this segment architecture is important and what its implementation should accomplish.

The purpose statement is particularly important for segments that span multiple organizations and have multiple business owner(s). In these instances, a purpose statement established at the start of the project provides clarity for the individuals in multiple organizations that will be participating in the project. As different organizations typically have different motivators and

mandates, the establishment of a purpose statement provides clarity for the working-level project participants and establishes a common expectation across affected organizations.



Activity 1.2: Develop the purpose statement for the segment

Activity Inputs:

- List of affected organizations and their business owner(s) (strategic plan and organization chart)
- Agency strategic plans
- Agency policies
- Executive orders
- Legislation
- President’s budget
- Preliminary list of affected PART measures
- Preliminary list of affected PAR measures
- Identification of the segment leadership to include affected business owner(s) and a designated executive sponsor
- Governance framework

Activity Tasks:

1.2.1 Discuss the business challenges facing each business owner

A facilitated session is an ideal way to extract from the business owner(s), which topics or issues are the highest priority. In most cases, there will be several prominent, sensitive issues to arise from this facilitated session. It is important to determine the pressing issues so that the architecture can be developed to address

FTF Usage Guide, Sec. 3.1: [The] FTF Catalog includes both mandatory and informational initiatives. Mandatory initiatives must be included in agency enterprise architecture and the agency EA Transition Strategy, and agency alignment with these initiatives is assessed as part of the annual EA assessment process.

what the business owner(s) find important. Issues to consider should include the overall factors driving the prioritization and selection of the segment architecture development effort that may include agency strategic plans, policies, executive orders, legislation, budget priorities, and available PART and PAR program assessments.

1.2.2 Synthesize the common business challenges across the business owners

In most cases, the business owners will have very similar issues or priorities. The fact that the business owners operate within the same segment means a high probability that the business owners face common challenges. However, whether there is immediate consensus or not, the business owners need to focus on the issues or priorities that they face in common so that the core team has a primary focus and does not expend time determining the leadership’s intent.

1.2.3 Communicate how segment architecture could assist with common business challenges

The facilitator of the session should communicate to the business owner(s) how the concept of segment architecture can assist with solving the prioritized issues or challenges from the previous task. This is a good opportunity to communicate how architecture is *actionable* ... meaning that architecture can be used to solve real problems and spur meaningful action within the segment. For instance, the segment architecture can help with process optimization, improved information sharing, improved use of investments, or better formulation of services to citizens.

1.2.4 Formulate the purpose statement

The purpose statement should be a succinct but meaningful articulation of the major challenges or issues that the business owner(s) would like to see addressed within the segment architecture. This purpose statement guide the core team as it develops the segment architecture. The purpose statement should also be direct enough to ensure that the core team understands expectations and develops an *actionable* segment architecture based on those expectations.

Communications Considerations:

As previously noted, engaging the segment leadership can be difficult to schedule. It is often possible to leverage pre-existing governance team meetings that the segment leaders are members of in order to conclude this activity. This activity can be completed together with the previous activity during the same meeting.

Activity Outputs:

- Segment architecture development purpose statement

Suggested Analytical Techniques:

Output	Core	FEA Layers					Suggested Analytical Technique	Examples/Templates	Contributing Agency/Team
		P	B	D	S	T			
Segment architecture development	Yes	X					Segment architecture development purpose statement	Link to segment architecture development purpose statement (MS)	Federal Segment Architecture Working Group

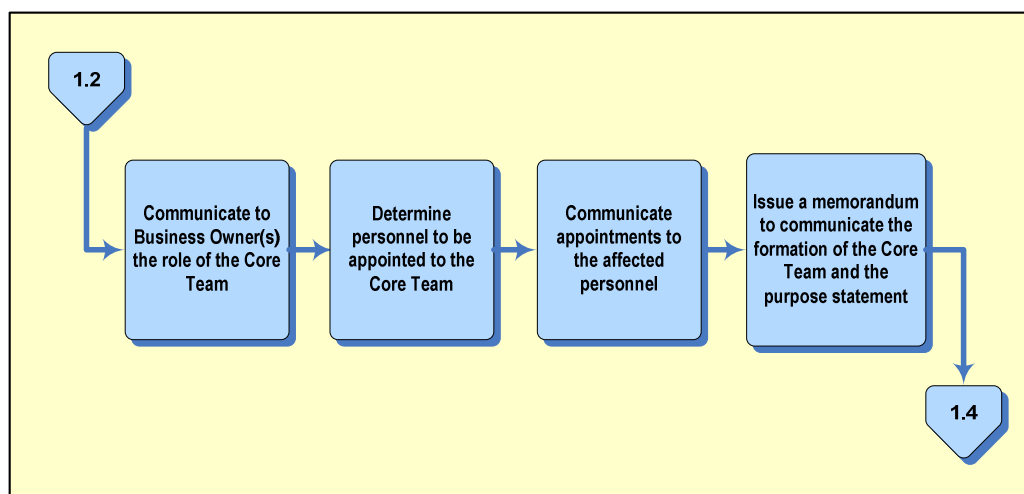
Output	Core	FEA Layers					Suggested Analytical Technique	Examples/Templates	Contributing Agency/Team
		P	B	D	S	T			
purpose statement								Word Format)	(FSAWG)
Key to FEA Layers		P = Performance B = Business D = Data S = Service T = Technology							

Activity 1.3: Solicit core team members

Activity Description:

The core team is a critical entity throughout the segment architecture development process. Without a knowledgeable, enthusiastic and constructive core team, the segment architecture might not be valid, relevant or implementable. This activity involves the executive sponsor recruiting the best and brightest subject matter experts from the affected organizations. All affected organizations need a seat at the table and that seat needs to be filled by an individual who will embrace the purpose statement and respond positively to other core team members. In general, you want less than 10 people on the core team.

Note that the core team membership is critical to the success of the project. The core team typically consists of program manager level personnel who are subject matter experts in the segment, and possibly key segment stakeholders. Core team members should be constructive, able to think outside of a single organizational context, good communicators, visionary, and excited about change. It is important to note that the core team may decide to invite other subject matter experts for advice, as needed, to supplement their knowledgebase as they move through the segment architecture development process. The important element of the core team is that it is a highly functional team that has the knowledge and vision to develop an actionable segment architecture.



Activity 1.3: Solicit core team members

Activity Inputs:

- List of affected organizations and identified business owners (strategic plan and organization chart)

- Segment architecture development purpose statement

Activity Tasks:

1.3.1 Communicate to business owner(s) the role of the core team

It is important to educate the business owner(s) on the role of the core team. The core team is the key group of working level resources that will help shape and develop the target state for the segment. These resources should be from the segment, not architects or IT professionals (unless the segment is an IT specific segment). Overall, the core team members should expect to contribute a significant amount of time thinking about and meeting on the target state planning for the segment.

1.3.2 Determine personnel to be appointed to the core team

In most cases, the core team will be appointed by the business owner(s) or the executive sponsor. This task usually involves a dialogue with the business owner(s) or executive sponsor to ensure that desired personnel are available and can contribute time to the segment architecture development.

1.3.3 Communicate appointments to the affected personnel

Once appointments have been determined, a formal outreach to the appointed individuals is a good way to bring those individuals into the segment architecture development process. Sometimes a one on one conversation with each appointed individual is better than a group introduction to the process and the role of a core team member.

1.3.4 Issue a memorandum to communicate the formation of the core team and the purpose statement

Although the communications strategy has not yet been developed, this task produces a communications item in the form of a core team formation memorandum to communicate the existence of the core team, its members and its purpose.

Communications Considerations:

The development of the core team is critical to building buy-in to the segment architecture and critical to ensure that affected organizations are participating via knowledgeable subject matter experts (SMEs). It is important to cast a wide net of communications in order to get the most representative and constructive collection of members on the core team. Once the core team has been developed, it is important to make its membership known throughout the segment.

Activity Outputs:

- Core team roster
- Core team formation memorandum

Suggested Analytical Techniques:

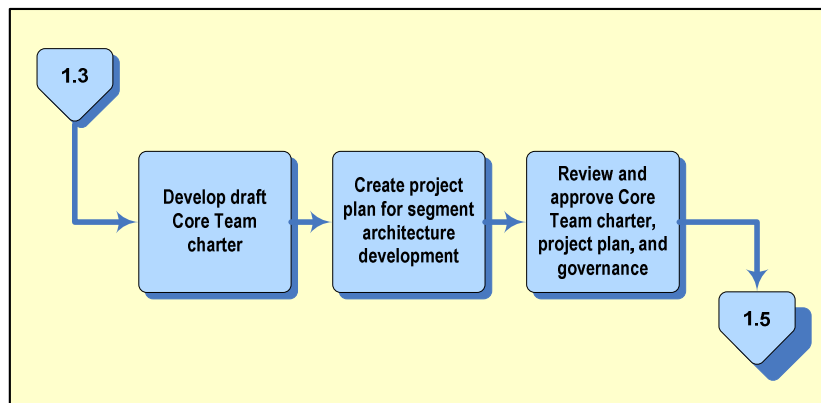
Output	Core	FEA Layers					Suggested Analytical Technique	Examples/Templates	Contributing Agency/Team
		P	B	D	S	T			
Core team roster	No						Core team roster	Link to core team roster (MS Word Format)	Federal Segment Architecture Working Group (FASWG)
Core team formation memorandum	No						Core team formation memorandum	Link to core team formation memorandum (MS Word Format)	Federal Segment Architecture Working Group (FASWG)
Key to FEA Layers		P = Performance B = Business D = Data S = Service T = Technology							

Activity 1.4: Create core team charter and project plan

Activity Description:

The segment architecture development should include the use of project management techniques just like any other project. The core team needs to establish a charter to support the development of the segment architecture. The core team charter establishes the legitimacy of the project, the role of its players, operational ground rules, decision-making structure, preliminary scope, and stated goals and objectives.

In addition to the charter, the segment architecture development should be guided by a project plan. The project plan will guide the process and ensure timely delivery of the segment architecture. The FSAM process steps, activities, tasks and outputs are major contributors to the structure and sequencing of the project plan.



Activity 1.4: Create core team charter and project plan

Activity Inputs:

- Segment architecture development purpose statement
- Core team roster
- Core team formation memorandum

Activity Tasks:

1.4.1 Develop draft core team charter

The core team charter should include the role of the core team members, the roster of the core team, the decision-making structure for the core team, the purpose statement, and the preliminary scope of the project. Although the core team charter is an important document, it should not take months to develop.

1.4.2 Create project plan for segment architecture development

Although there is a lot unknown about the segment at this point, a project plan should be developed to detail the milestones and proposed dates for the segment architecture development. There is always a risk of the architecture development becoming a prolonged analytical exercise. The project plan will help ensure that the segment architecture is developed within an acceptable time frame.

1.4.3 Review and approve core team charter, project plan and governance

It is important that the segment architecture development process begin with common intentions and a common understanding of expectations. The core team charter, project plan and governance should be reviewed and approved by the business owner(s) and executive sponsor to ensure approval of the initial direction of the segment architecture development effort.

Communications Considerations:

The core team charter should be available to interested parties during the segment architecture development to communicate to organizations and their representatives the governance and overall purpose of the segment architecture effort.

Activity Outputs:

- Core team charter
- Project plan

Suggested Analytical Techniques:

Output	Core	FEA Layers					Suggested Analytical Technique	Examples/Templates	Contributing Agency/Team
		P	B	D	S	T			
Core team charter	No						Core team charter	Link to core team charter (MS Word Format)	Federal Segment Architecture Working Group (FSAWG)
Project plan	No						Project plan	Link to project plan (MS Project Format)	Federal Segment Architecture Working Group (FSAWG)
Key to FEA Layers		P = Performance B = Business D = Data S = Service T = Technology							

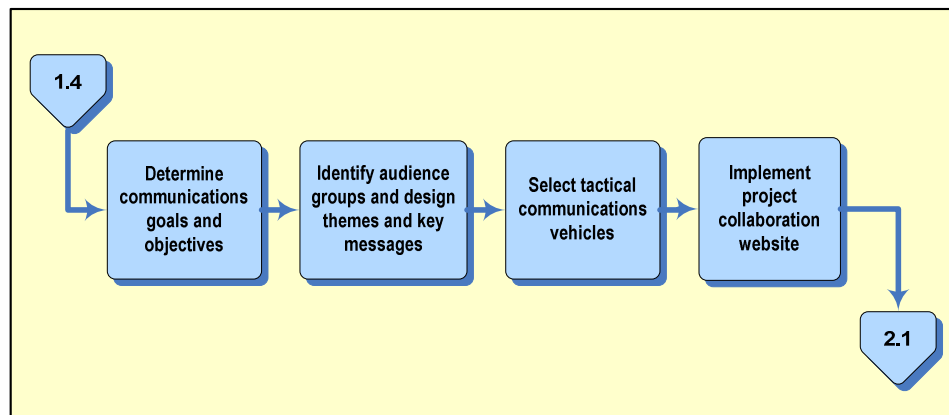
Activity 1.5: Establish the communications strategy

Activity Description:

Successful communication requires the development of a communication strategy. The communication strategy should identify relevant stakeholders in the context of the purpose statement and the core team's knowledge of the affected organizations. The communication strategy includes the necessary value-based messages for the respective types of stakeholders.

For effective communications and collaboration, the core team should establish a web site to facilitate barrier-less information dissemination. The communication strategy should address the necessary targeting (stakeholder, timing and delivery means) of the value messages that are important throughout the project. This targeting should be orchestrated with existing organizational and informational channels, behaviors, calendars and events to optimize reach and usefulness.

Examples of key organizational events would be workshops, collaborative forums, communities of practice or interest (COP, COI), and the annual budget and CPIC cycles. The communication plan should identify the optimal formats and delivery channels (email, brochure, presentations, and web) to sustain effective communications.



Activity 1.5: Establish the communications strategy

Activity Inputs:

- Core team charter
- Project plan
- Governance framework

Activity Tasks:

1.5.1 Determine communications goals and objectives

First, it is important to consider what the core team needs to accomplish its communication strategy. A simple dialogue with the core team can help determine objectives to be included in their communication efforts. The governance framework can also provide additional guidance as to the specific communication needs and

requirements associated with key segment governance stakeholders. The effectiveness of communication efforts can be measured by the goals and objectives established.

1.5.2 Identify audience groups and design themes and key messages

Once the goals and objectives of the segment architecture have been established, a facilitated session with the core team can help identify the audience groups to which communications should be directed. For each audience group, the communication strategy should capture the design themes and key messages that are relevant throughout the segment architecture development process.

1.5.3 Select tactical communications vehicles

The tactical communications vehicles should be determined based on the communication strategy. Since the core team has already established the communication goals and objectives, audience groups, design themes and key messages, tactical communications vehicles can be selected more intelligently as appropriate. Common vehicle types include print, web and multimedia. Within those vehicle types are tactical communications vehicles such as brochures (print), slick sheets (print), website (web), collaboration forums (web), videos (multimedia), and podcasts (multimedia).

1.5.4 Implement project collaboration website

Since there are many documents (e.g., analytical results, findings, recommendations, presentations, artifacts, transition plans) that will be formulated and reviewed throughout the segment architecture development process, a collaborative website improves communication and consensus building. Project websites are an ideal way of keeping core team members and even audience groups abreast of meetings, presentations, decisions and overall architecture development progress.

Communications Considerations:

A realistic and practical communications strategy is an important component to the segment architecture development process. In many cases, resources will be scarce and effective communications to key audience groups is better than weaker communications to a wider audience.

Activity Outputs:

- Communications strategy

Suggested Analytical Techniques:

Output	Core	FEA Layers					Suggested Analytical Technique	Examples/Templates	Contributing Agency/Team
		P	B	D	S	T			
Communications strategy	No						Communications strategy	Link to communications strategy (MS Word Format)	Federal Segment Architecture Working Group (FSAWG)
Key to FEA Layers		P = Performance B = Business D = Data S = Service T = Technology							

Step References

[*Federal Transition Framework Catalog of Cross Agency Initiatives*](#), Version 1.0, December 2006