



31<sup>st</sup> Annual **INCOSE**  
international symposium  
virtual event

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Session 2.4 – Presented by James N Martin, Aerospace Corporation  
Co-author is David P O’Neil, SAIC Corporation

# **Enterprise Architecture Guide for the Unified Architecture Framework (UAF)**



# OMG Modeling Standards

## Modeling Languages



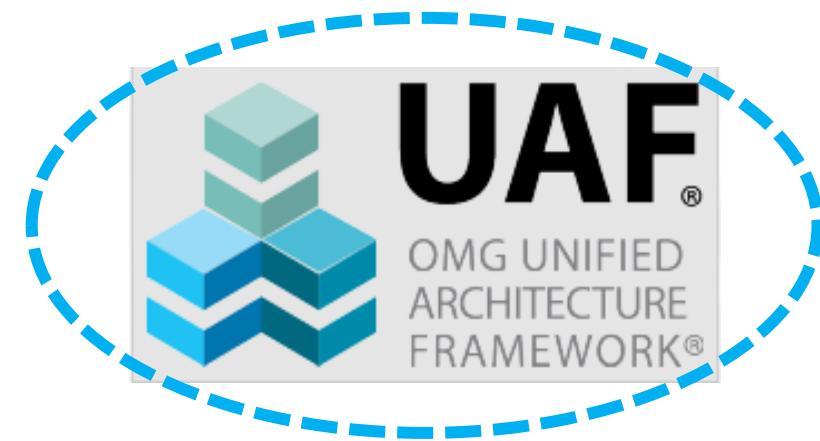
For modeling complex **software architectures** and applications



For modeling complex **business processes**

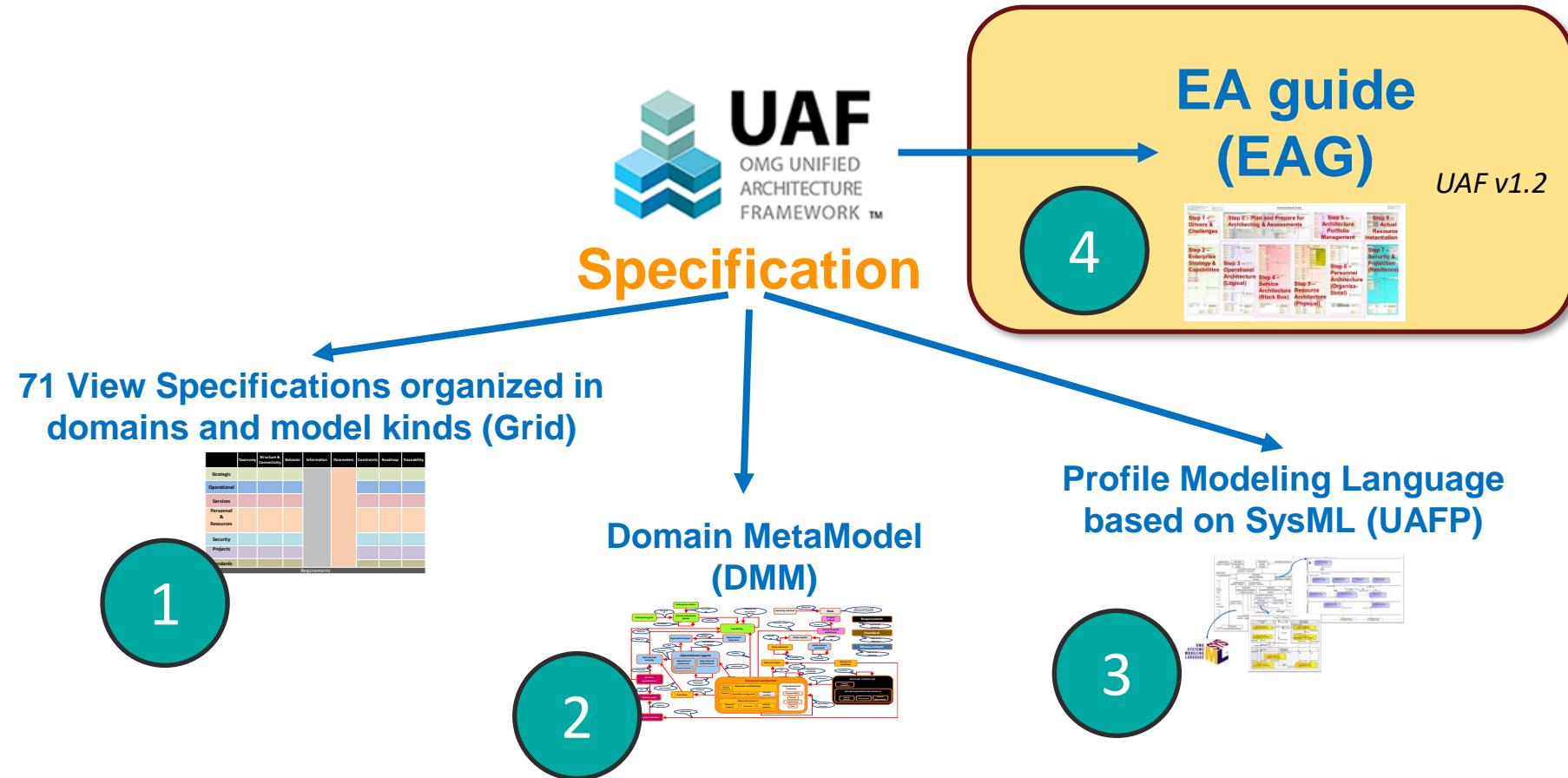


For modeling complex **system architectures** that may include hardware, software, personnel, processes, and facilities



For modeling complex **enterprise architectures** that includes strategy, operations, programs/projects, services, resources, security, personnel, organizations and standards

# UAF Specification at a Glance



	Taxonomy Tx	Structure Sr	Connectivity Cn	Processes Pr	States St	Interaction Scenarios Is	Information If	Parameters Pm	Constraints Ct	Roadmap Rm	Traceability Tr
<b>Metadata Md</b>	Metadata Taxonomy Md-Tx	Architecture Viewpoints <sup>a</sup> Md-Sr	Metadata Connectivity Md-Cn	Metadata Processes <sup>a</sup> Md-Pr	-	-			Metadata Constraints <sup>a</sup> Md-Ct		Metadata Traceability Md-Tr
<b>Strategic St</b>	Strategic Taxonomy St-Tx	Strategic Structure St-Sr	Strategic Connectivity St-Cn	-	Strategic States St-St	-			Strategic Constraints St-Ct	Strategic Deployment, St-Rm Strategic Phasing St-Rm	Strategic Traceability St-Tr
<b>Operational Op</b>	Operational Taxonomy Op-Tx	-	-	-	-	-			Operational Constraints Op-Ct	-	Operational Traceability Op-Tr
<b>Services Sv</b>	-	-	-	-	-	-			Service Constraints Sv-Ct	Service Roadmap Sv-Rm	Service Traceability Sv-Tr
<b>Personnel Pr</b>	-	-	-	-	-	-			Competence, Drivers, Performance Pr-Ct	Personnel Availability, Personnel Evolution, Personnel Forecast Pr-Rm	Personnel Traceability Pr-Tr

**Where do we start?  
Which views do we need?  
How are these views related?**

Resources Rs	Resource Taxonomy Rs-Tx	Resource Structure Rs-Sr	Resource Connectivity Rs-Cn	Resource Processes Rs-Pr	Resource States Rs-St	Resource Interaction Scenarios Rs-Is
<b>Security Sc</b>	Security Taxonomy Sc-Tx	Security Structure Sc-Sr	Security Connectivity Sc-Cn	Security Processes Sc-Pr	-	-
<b>Projects Pj</b>	Project Taxonomy Pj-Tx	Project Structure Pj-Sr	Project Connectivity Pj-Cn	-	-	-
<b>Standards Sd</b>	Standard Taxonomy Sd-Tx	Standards Structure Sd-Sr	-	-	-	-
<b>Actuals Resources Ar</b>	-	Actual Resources Structure, Ar-Sr	Actual Resources Connectivity, Ar-Cn	Simulation <sup>b</sup>		

Physical Data Model

Measurements Pm-Me

Resource Constraints Rs-Ct	Resource Evolution, Resource Forecast Pr-Rm	Resource Traceability Rs-Tr
Security Constraints Sc-Ct	Security Evolution, Security Forecast Sc-Rm	Security Traceability Sc-Tr
-	-	Project Traceability Pj-Tr
-	-	Standards Traceability Sd-Tr
Param Exec Evalu	-	-

Dictionary \* Dc

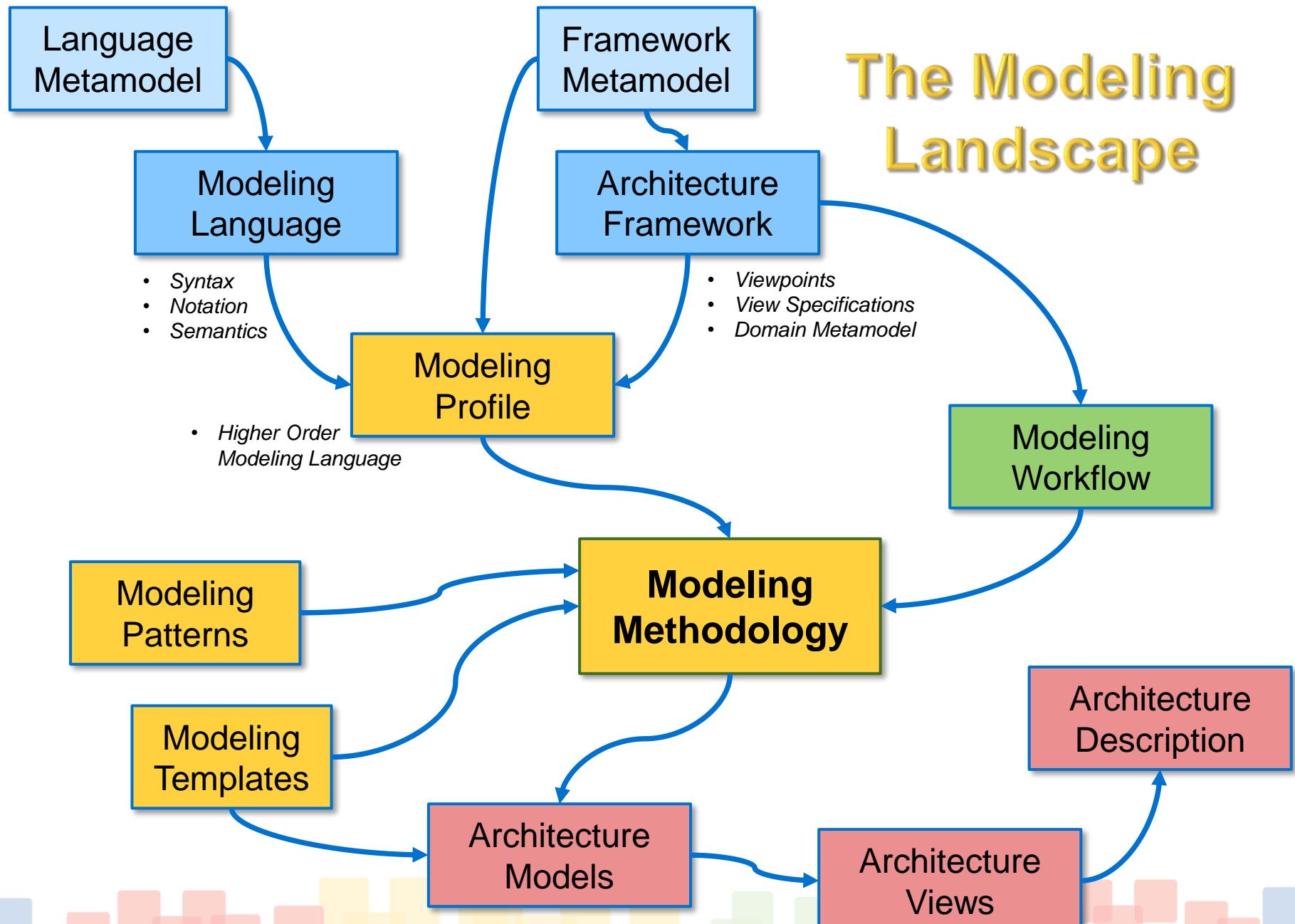
Summary & Overview Sm-Ov

Requirements Req





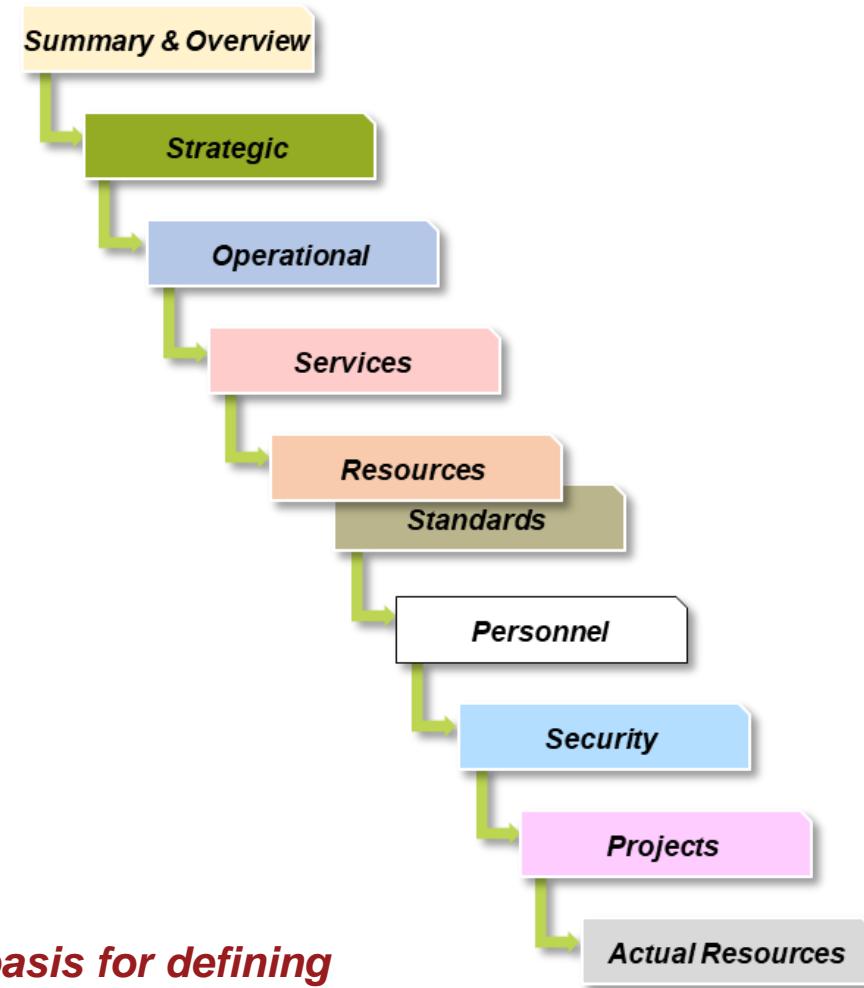
# The Modeling Landscape



# Progression from Architecture Drivers to Implementation and Deployment of Capabilities



- The domains present a logical and systematic flow of architecting precepts
  - I. **Concerns drive a strategic plan**
  - II. **The strategic plan deploys capabilities in phases addressing gaps and shortfalls**
  - III. **Capabilities are implemented by conceptual operations**
  - IV. **Concepts are implemented through services, resources and personnel**
  - V. **Resources comply with standards**
  - VI. **Risk and threats are mitigated through security & protection controls (of resources and operations)**
  - VII. **Requirements are understood and communicated**
  - VIII. **Plans deliver the resources**
  - IX. **Resources are verified**



**UAF provides a complete set of modeling domains as basis for defining the necessary architecture views of an Enterprise**

# EA Guide for UAF

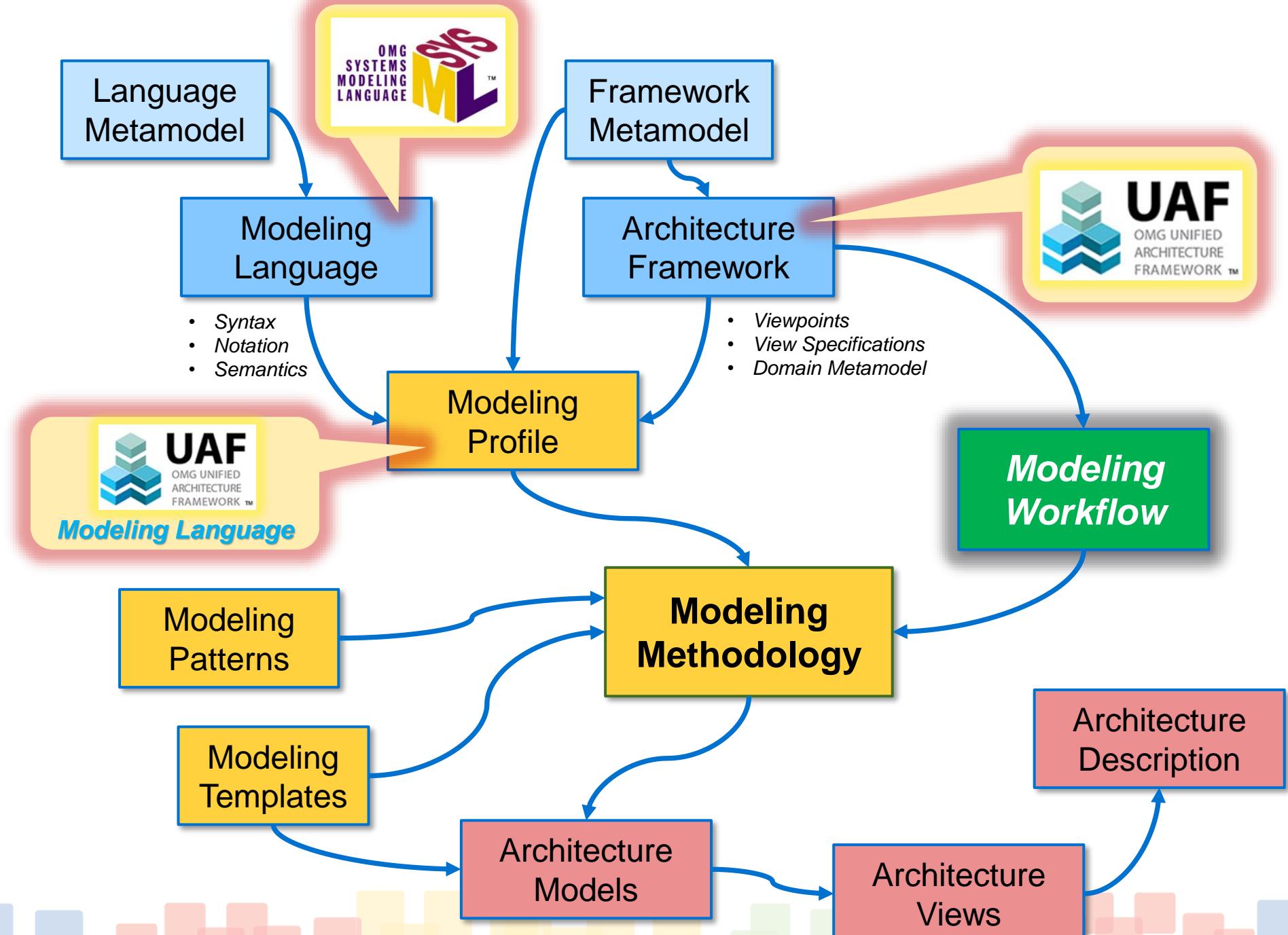
*Provides a standardized workflow for modeling an Enterprise*



- Currently under development with planned release in late 2021 with UAF v1.2
  - Preliminary workflow model developed to cover all UAF views
  - Basic 9 steps defined down to 3<sup>rd</sup> level of decomposition
  - Defines “what” to do for creating the UAF views, but does not identify or define methods or tools relevant for each step (since this is methodology dependent)

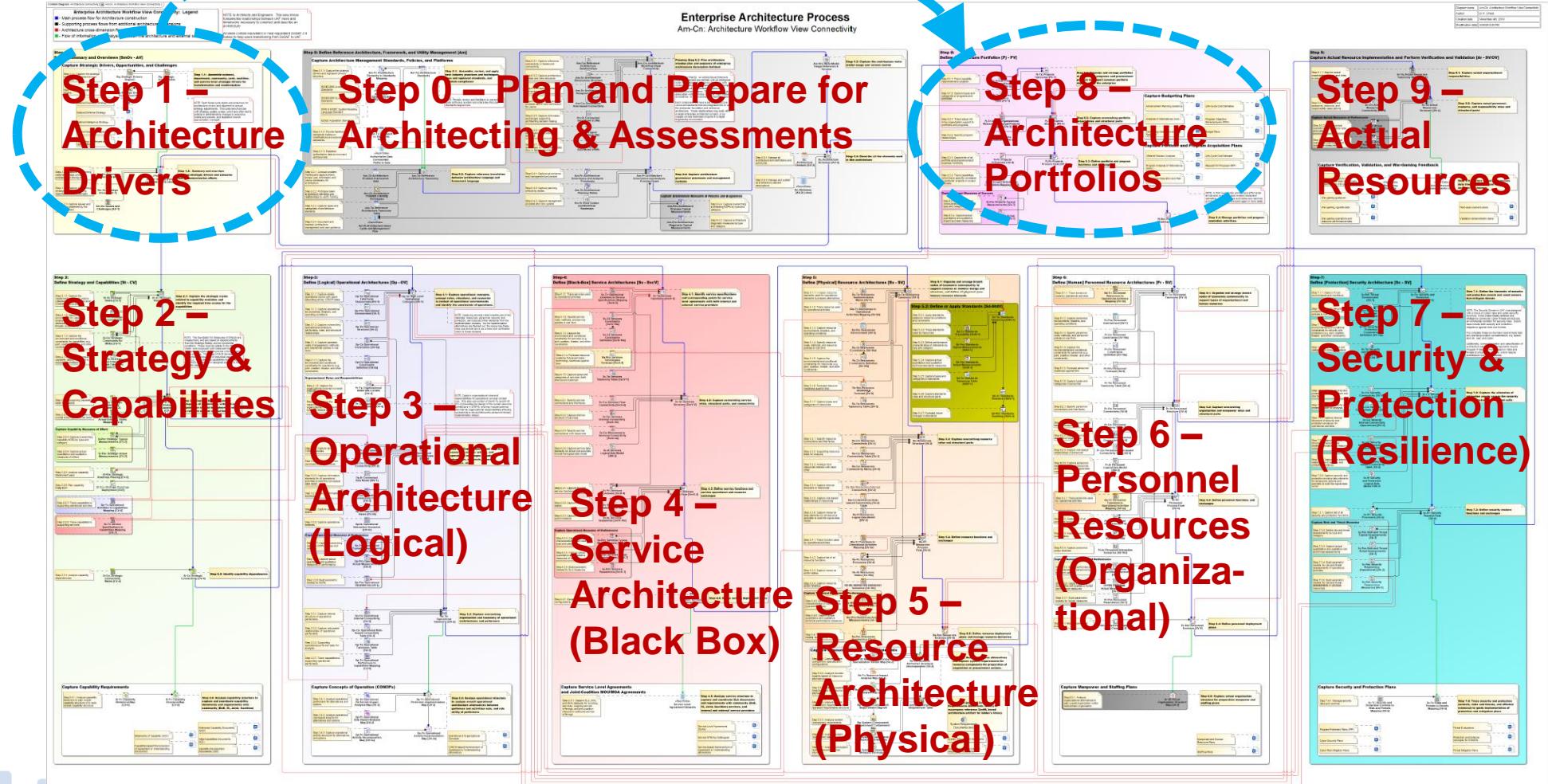


*The workflow can be tailored to the particular steps needed for the EA task at hand*

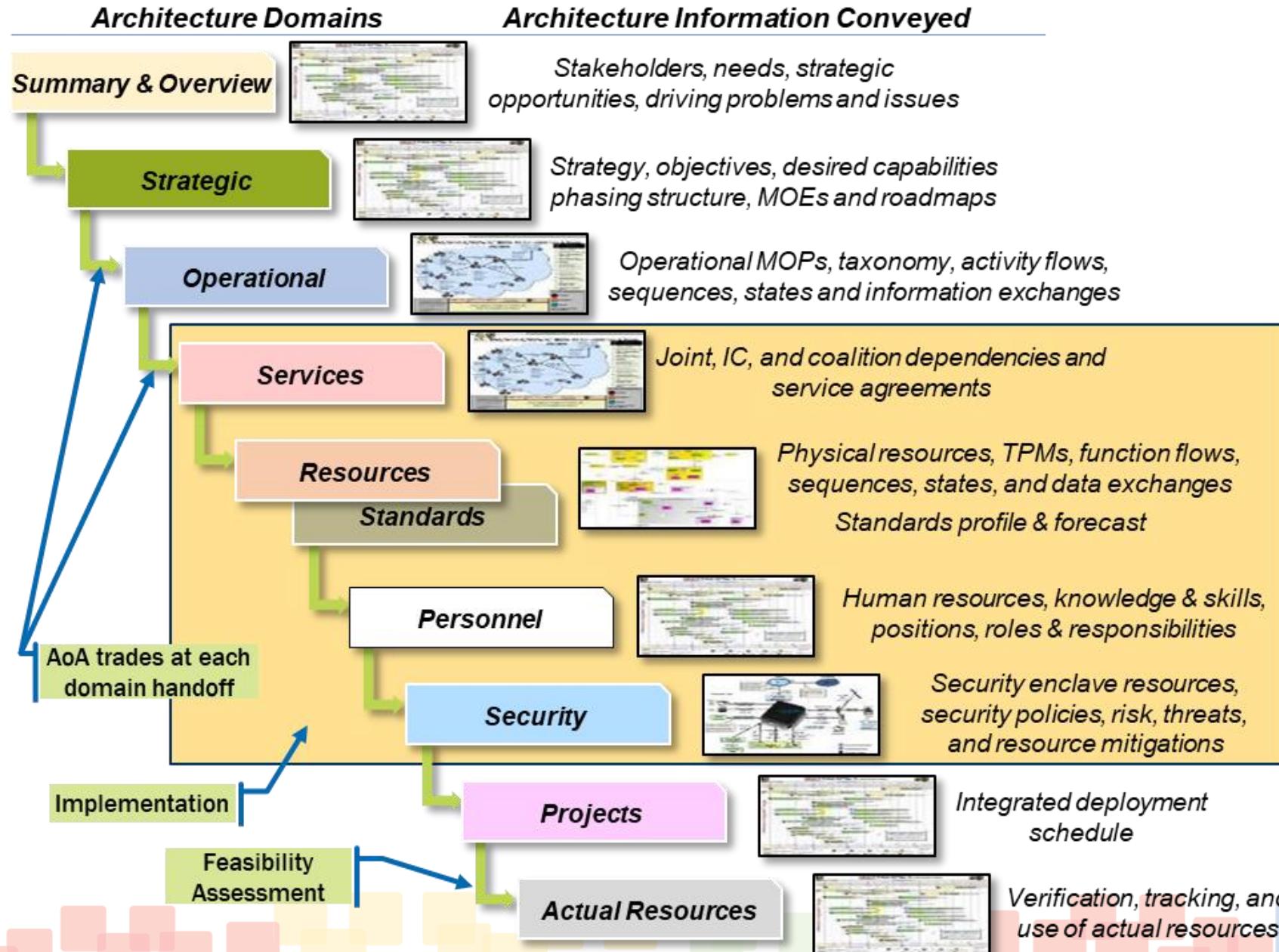


# UAF Enterprise Architecture Guide (2021)

## 9-Step Modeling Workflow as Basis for the Guide

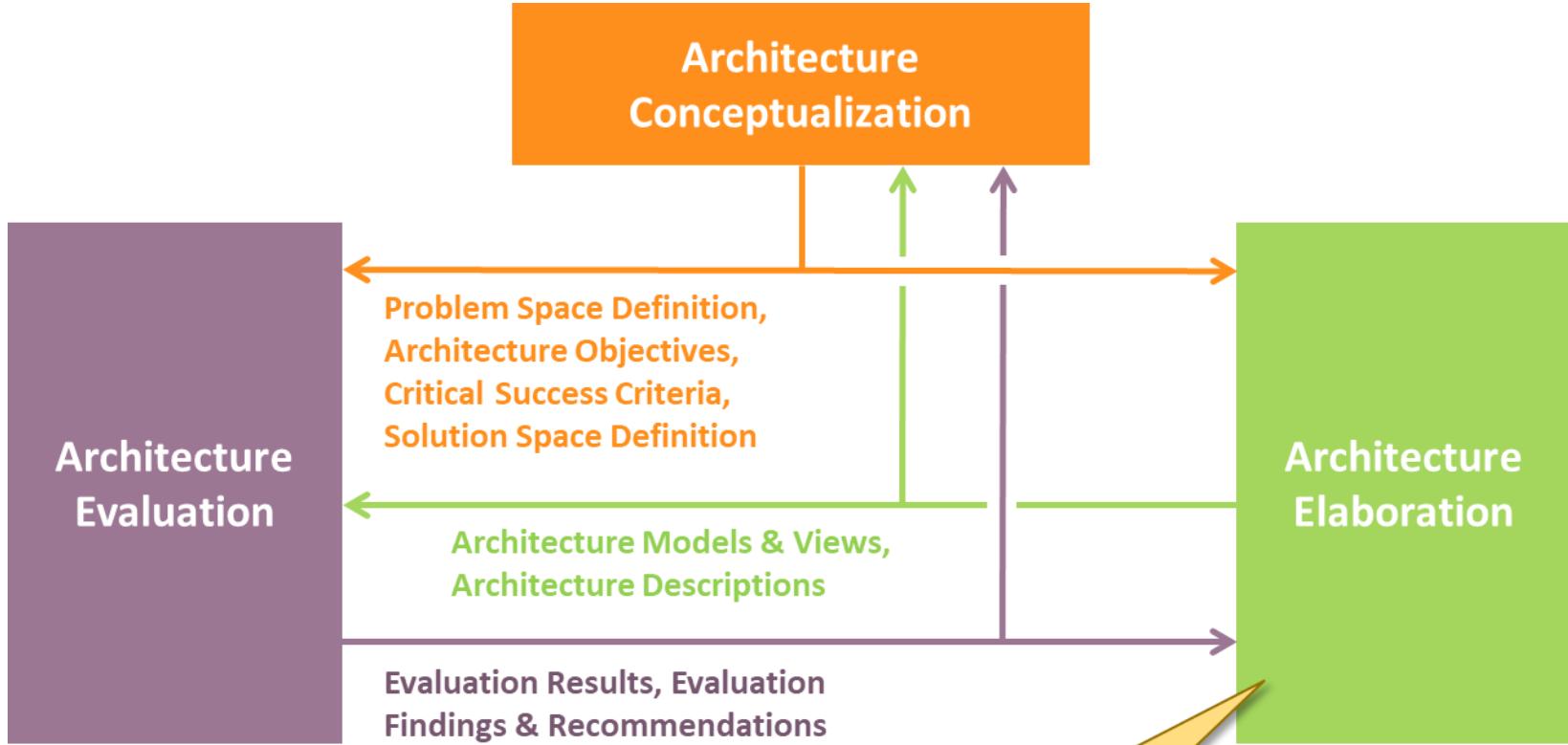


# General Workflow Through the UAF Domains



# ISO 42020 Processes

EA Guide focus on “elaboration” of architecture with Models & Views

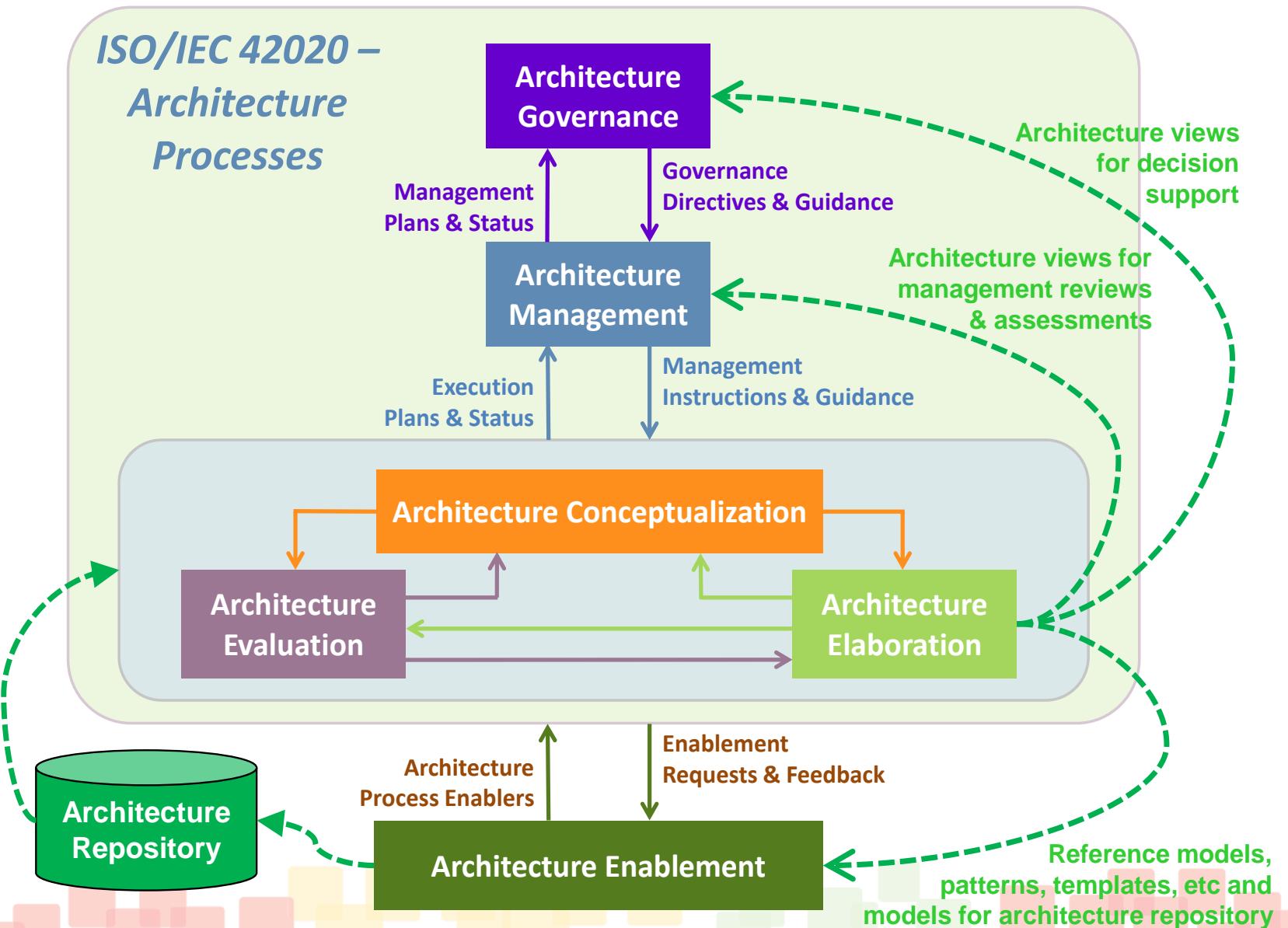


**ISO/IEC 42020**  
*Core Architecture*  
*Processes*

*Focus of EA*  
*Guide for UAF*

# Architecture Used by Other Processes

*Governance & Management as a Basis for Enterprise Decisions*



# Potential Uses of EA Guide for UAF

*Opportunity for unifying various MBSE & DE activities*

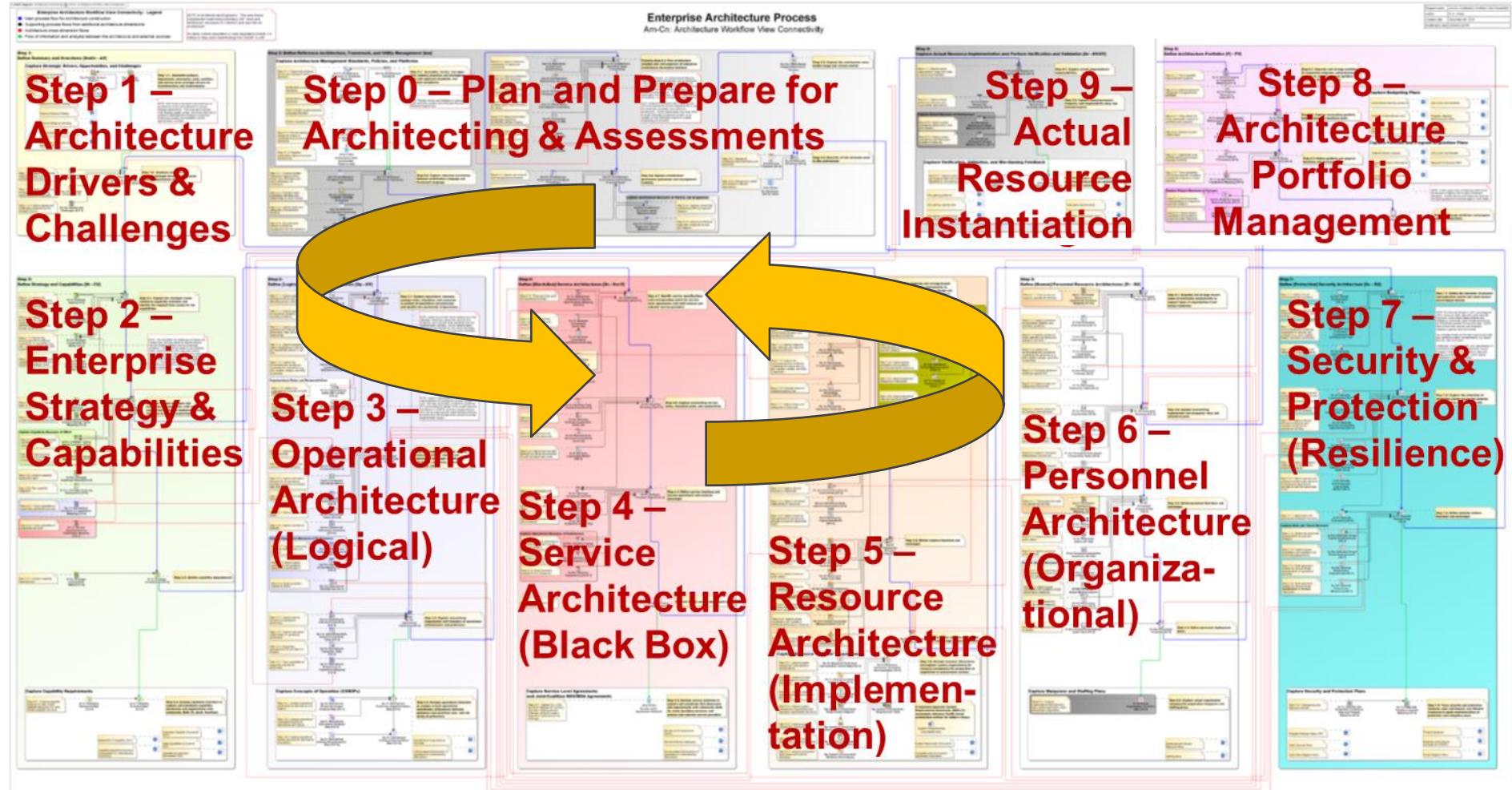


- **Basis for building Architecture Views and Models**
  - Agreement between Upper Enterprise and Lower Enterprise on division of responsibility and dependencies between models, eg...
    - ✓ Department of Defense → Air Force
    - ✓ Corporate Headquarters → Business Unit
    - ✓ Missile Defense Agency → Missile XYZ Program
  - Agreement between Acquisition Agency/Office and Prime Contractor...
  - Agreement between Prime Contractor and Suppliers...
  - Organization of training for Architecture Modeling classes and workshops
  - Assessment of EA modeling capabilities and competencies
- **Basis for creating an Organization's Modeling Methodology**
  - Methodology = Process + Methods + Tools + Techniques + Templates...
- **Process Guide instantiated in UAF plug-ins**
  - Navigation Panel, Dashboard, Landing Page, etc for the Model
  - Model Management WBS and resource planning

*Standardized modeling guide for UAF needed to better enable more effective and efficient enterprise modeling activities and initiatives*

# EA Guide for UAF

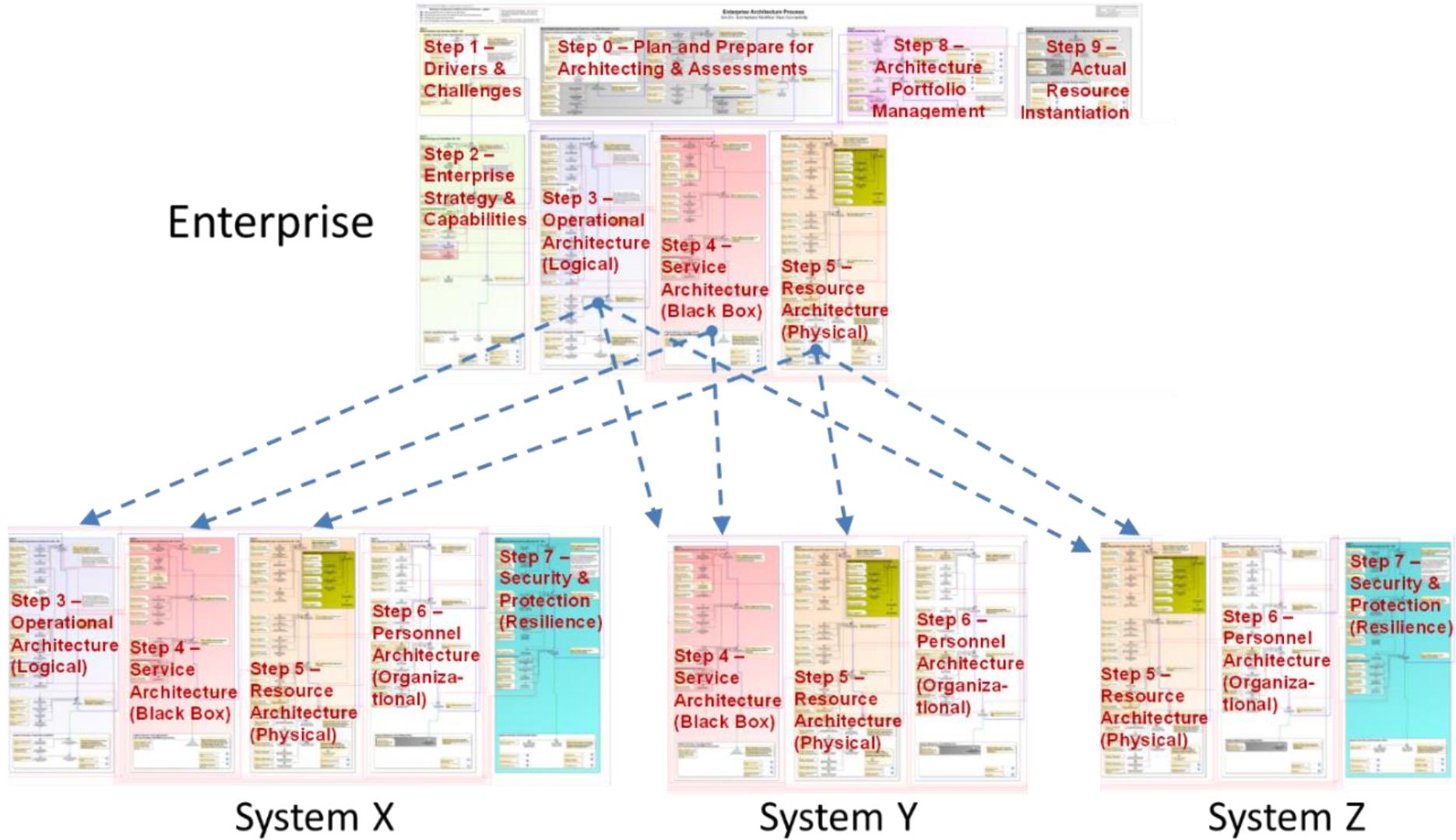
Good foundation for architecting and modeling methodologies



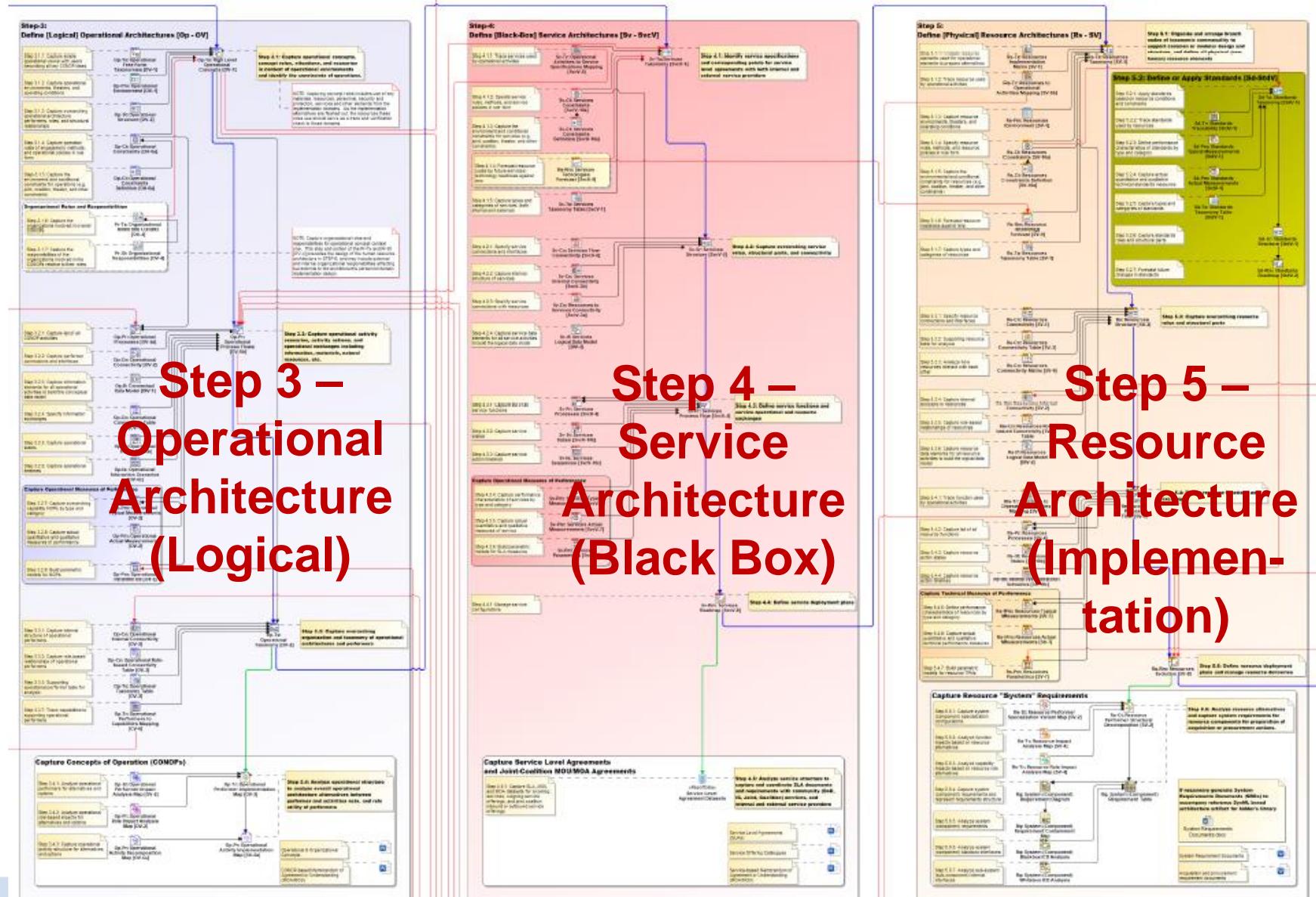
Standardized approach can help mature the discipline and facilitate more effective Enterprise Architecture activities

# Multi-Tier Enterprise Modeling

Only use the steps needed for each level and situation

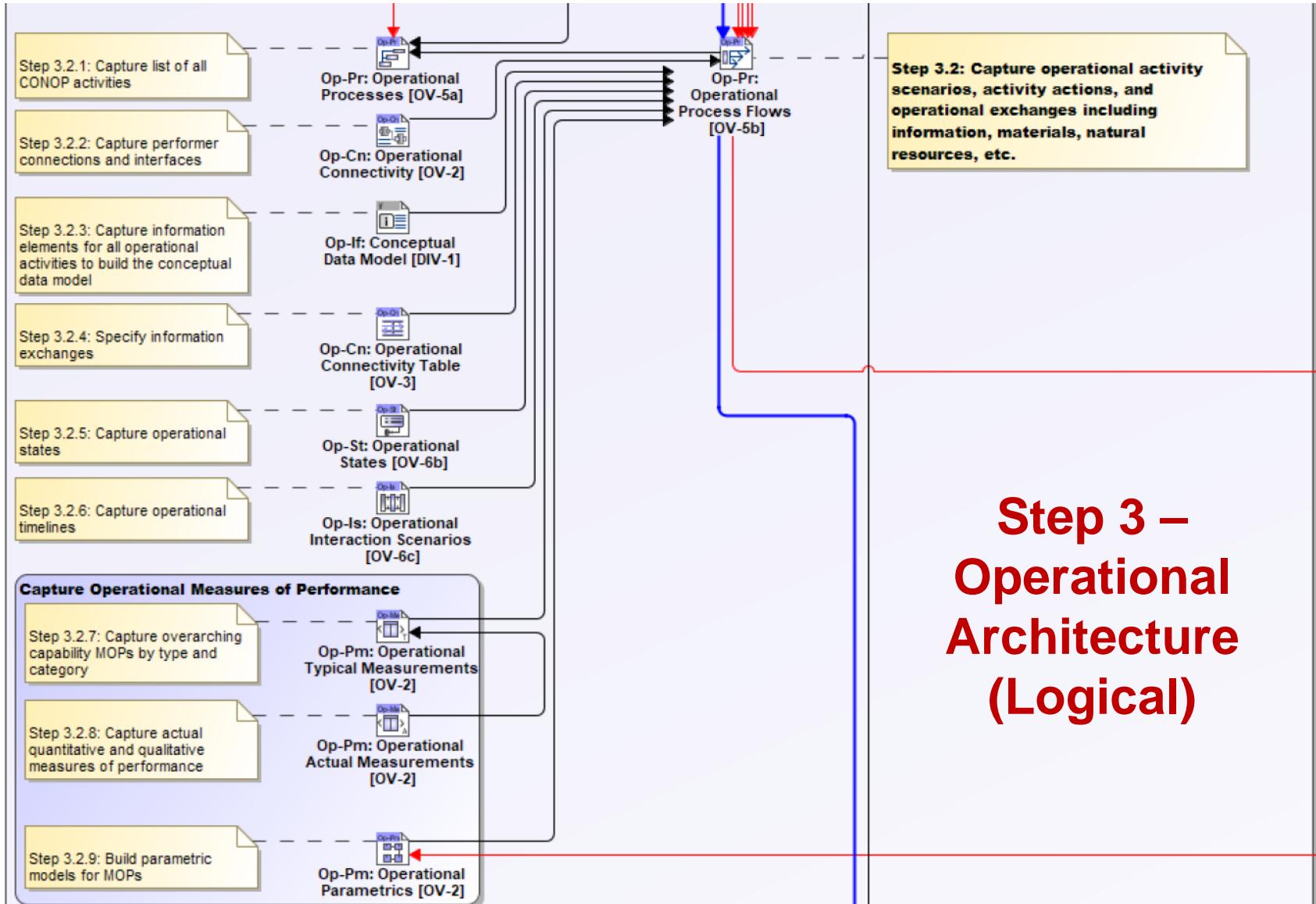


# Architectures for Operations, Services and Resources



# Operational Architecture (Logical)

Partial view showing steps for defining Operational Process Flows



# Document Outline

*Needs to be easy to use and compact (ie, low page count)*



- **Front Matter** (eg, copyrights, caveats, etc, TOC)
- **Preface** (OMG boiler plate)
- **Introduction** (purpose, background, UAF overview, key concepts) – 12 pages
- **Overview of the Guide** – 8 pages
- **Workflow Details** for each top-level step (10 chapters) – 70 pages total
  - One page graphic for each top-level step plus one page overview of that step
  - Narrative for each of 2<sup>nd</sup> level steps (~1 page each)
  - Table of steps and outputs
- **Appendices** – 30 pages

*Expect this to be about 125 pages total, easy to read, minimal use of jargon – ideal for managers and those who are new to Enterprise Architecture*





## ***Step 3 – Operational Architecture***

Example of a Workflow Chapter in the EA Guide for UAF



# Sample Chapter: Step 3 – Operational Architecture



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<b>3</b>	<b>Architecture Planning and Preparation .....</b>	<b>2</b>
<b>4</b>	<b>Process Steps.....</b>	<b>2</b>
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# Sample Page Layout: Step 3.1 – Operational Concepts

## Narrative, Terms, Workflow Diagram, List of Steps with View Outputs

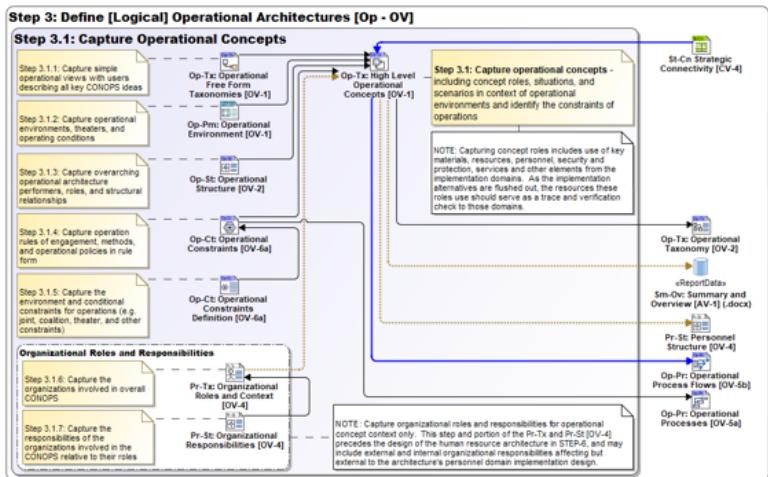


### 5.3.3 Step 3.1 – Operational Concepts

**Step 3.1 – Capture Operational Concepts** – First, an overarching set of performers are described in *high-level operational concepts* by their *concept roles* and their *connections* with each other, in a scoped context composed of *conditions*, *environments*, and *locations*. All *rules*, *policies* and other *operational constraints* are listed and applied to all *operational agents*, and then later expanded to their associated actions and exchanges. When *concept roles* come from pre-existing *known resources* as well as other *resources* and *organizations*, those are captured as well, as they represent a known scoping *constraint*.

Known *responsibility* designations of *organizations* or *personnel* are assigned. The set of *operational agents*, scoped by participating *concept roles*, are then structured into logical relationships where they are grouped or made parts of each other. A review is done to ensure all *capabilities* and their *conditions* and contexts have been covered or addressed within the *high-level operational concepts*.

- **High-Level Operational Concept** – an element containing an integrated view of an operational scenario of participants, stakeholders, conditions, resources, and their conceptual roles with each other
- **Concept Role** – an element representing the part played by a logical or physical performer, asset, or condition, which guides the accounting of necessary operational agents in an operational architecture
- **Known Resource** – a pre-existing entity, such as a physical resource or other operational agent which participates in an operational scenario, and is already known and described outside the context of the operational architecture
- **Conditions** – types of circumstances such as locations and environments and their characteristics
- **Operational Constraint** – a type of rule stemming from a policy, guidance, contract or other source



57	Step 3.1: Capture operational concepts - including concept roles, situations, and scenarios in context of operational environments and identify the constraints of operations	Op-Tx: High Level Operational Concepts [OV-1]
58	Step 3.1.1: Capture simple operational views with users describing all key CONOPS ideas	Op-Tx: Operational Free Form Taxonomies [OV-1]
59	Step 3.1.2: Capture operational environments, theaters, and operating conditions	Op-Pm: Operational Environment [OV-1]
60	Step 3.1.3: Capture overarching operational architecture performers, roles, and structural relationships	Op-St: Operational Structure [OV-2]
61	Step 3.1.4: Capture operation rules of engagement, methods, and operational policies in rule form	Op-Ct: Operational Constraints [OV-6a]
62	Step 3.1.5: Capture the environment and conditional constraints for operations (e.g. joint, coalition, theater, and other constraints)	Op-Ct: Operational Constraints Definition [OV-6a]
63	Step 3.1.6: Capture the organizations involved in overall CONOPS	Pr-Tx: Organizational Roles and Context [OV-4]
64	Step 3.1.7: Capture the responsibilities of the organizations involved in the CONOPS relative to their roles	Pr-St: Organizational Responsibilities [OV-4]

### 5.3.4 Step 3.2 – Operational Activities

**Step 3.2 – Capture Operational Activities** – Second, one or more activities are mapped from each *capability*, corresponding to and covering all the operational concepts, to ensure a complete library of *operational activities*. This library may be arranged by activity groupings, operational agents capable to perform them, or some other useful organization. All of the *operational agents* are associated with each other wherever *operational exchanges* make *operational connections* that may exist between them.

An *information conceptual data model* is created to define the *information elements* which are exchanged. *Operational exchanges* are placed on all associations, with groupings of *operational exchange items* in accordance with logical actions or sequences of the performers. Multiple associations may exist between operational agents which represent different types of exchanges in terms of time, sequence, interface definition, or kinds of items that are exchanged (which for the operational architecture consist of *information elements*, *resource performer*, *signals*, and *geopolitical extents*).

Process flow diagrams are then constructed for all *operational activities*, and are amplified, when needed, with *operational state descriptions* and sequenced timelines of *operational messages*. Formal *operational interfaces* may be defined and declared for interface points of any operational agent.

Measures of performance are defined for the *performers* and their *activities*, from which *actual measurements* can be made and taken. *Measures of performance* (MOPs) may include parametric diagrams when needed. Measures of overall activity and performers should demonstrate satisfaction of *capability measures of effect* (MOEs) either directly, or indirectly through examination or correlation of *operational activities* that map to a *capability*.

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- **Operational Activity** – contains a view of a logical process flow
- **Operational Exchange** – a flow of information, people, material or energy
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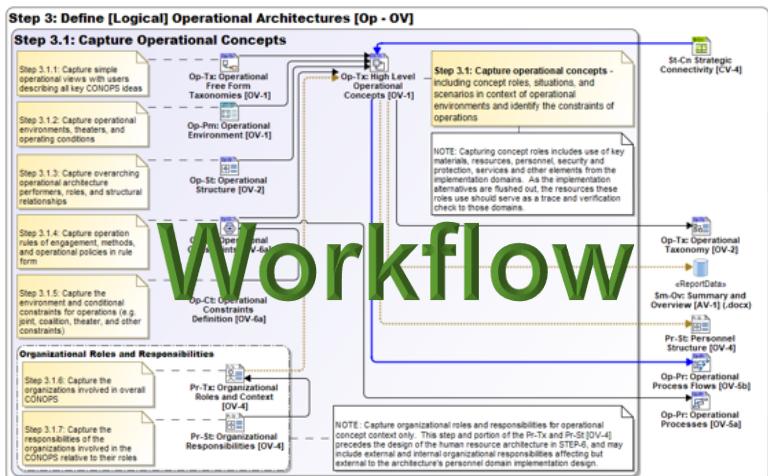


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## Workflow

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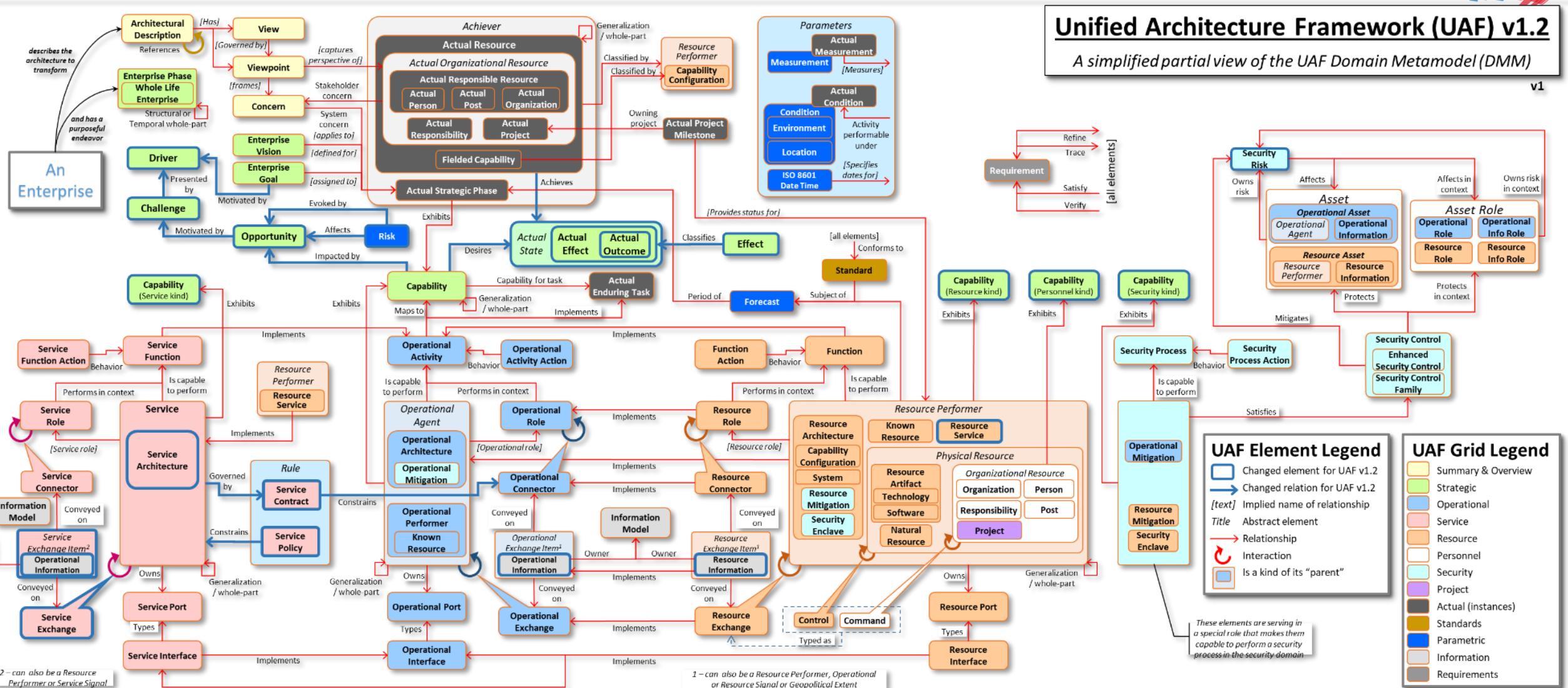
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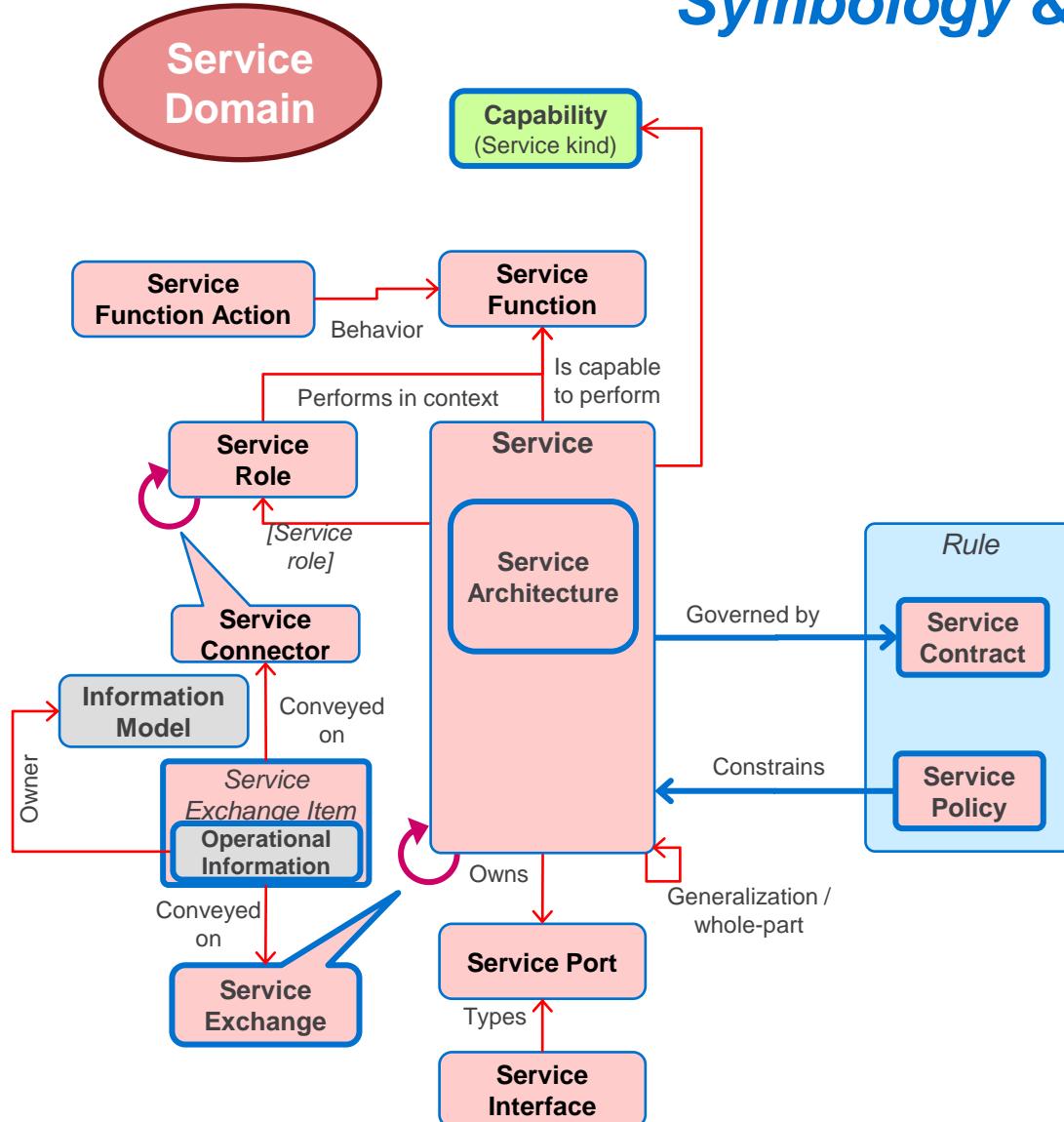
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# UAF Conceptual Schema



# UAF Conceptual Schema

## Symbology & Color Scheme



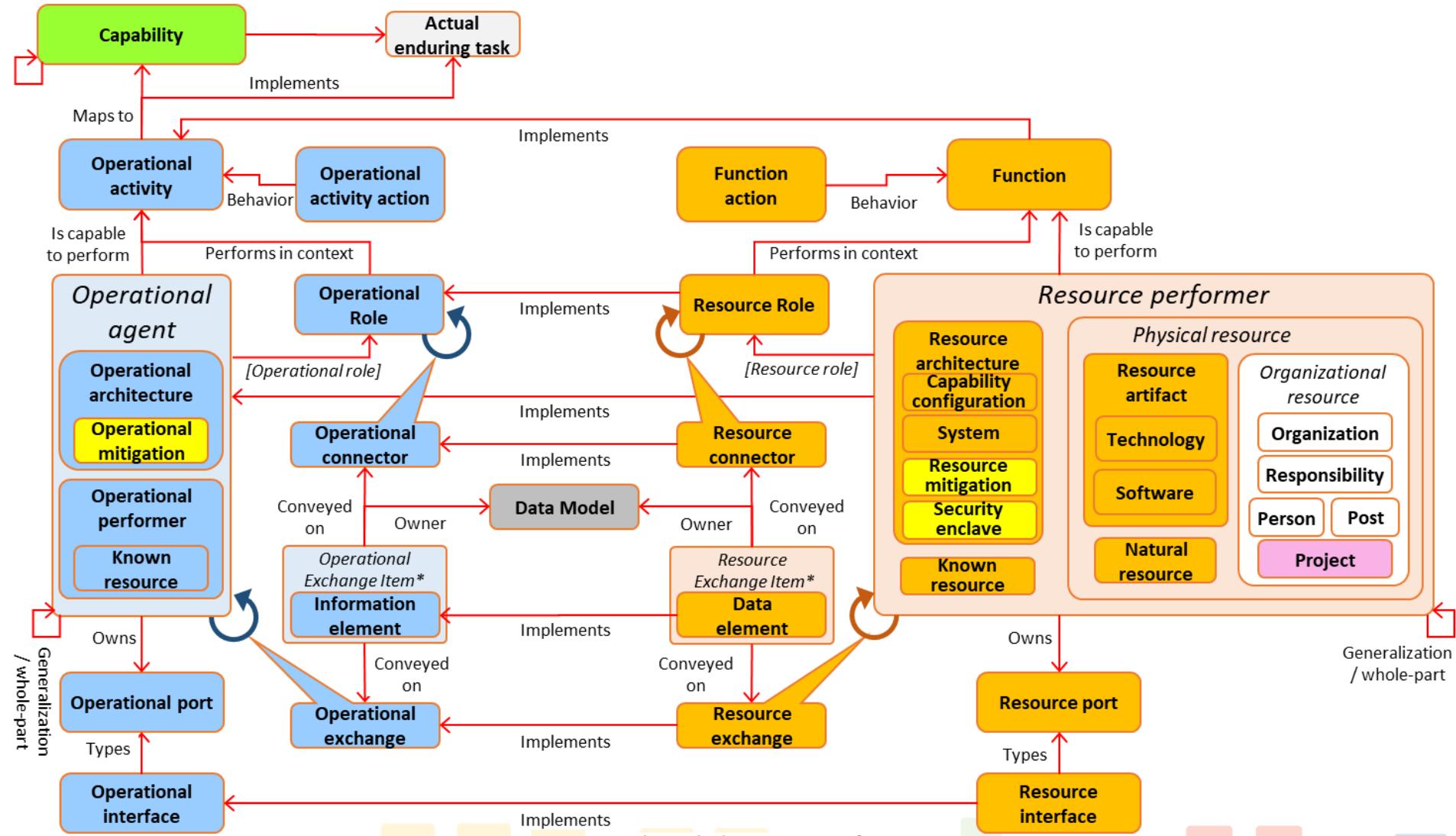
### UAF Element Legend

- Changed element for UAF v1.2** (Blue Box)
- Changed relation for UAF v1.2** (Blue Arrow)
- Implied name of relationship** (**[text]**)
- Abstract element** (**Title**)
- Relationship** (Red Arrow)
- Interaction** (Red Circular Arrow)
- Is a kind of its “parent”** (Orange Box with Red Border)

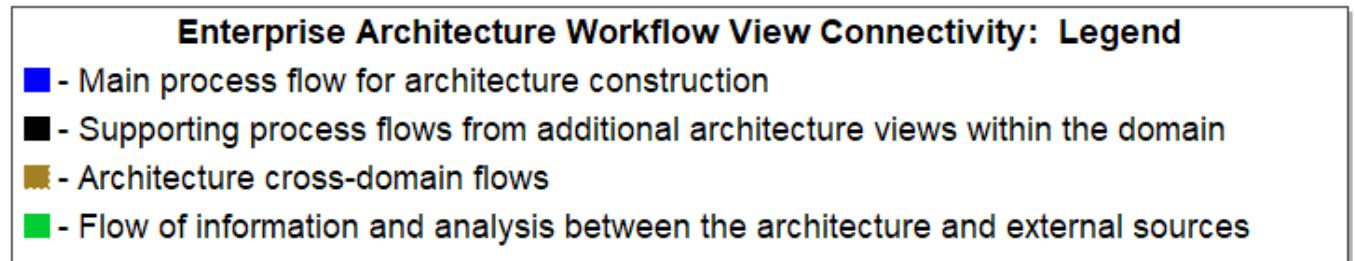
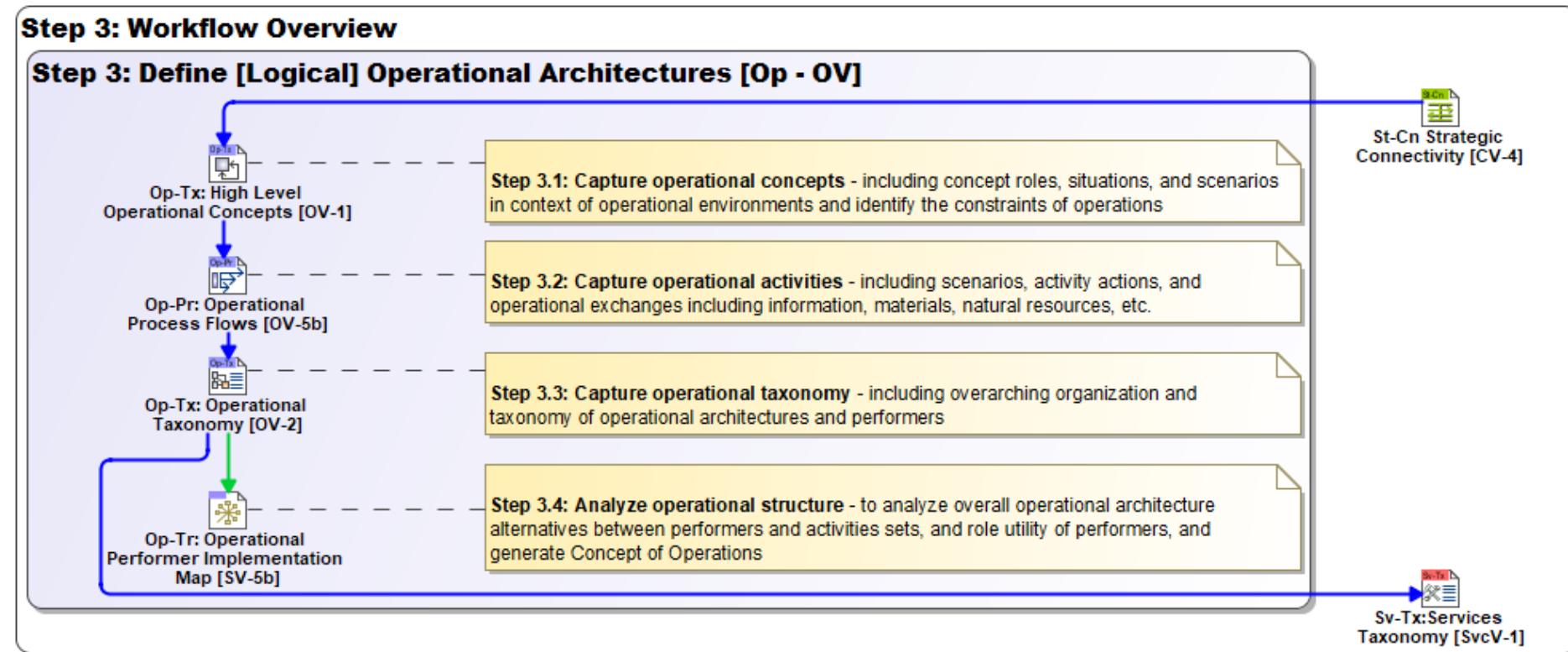
### UAF Grid Legend

Summary & Overview
Strategic
Operational
Service
Resource
Personnel
Security
Project
Actual (instances)
Standards
Parametric
Information
Requirements

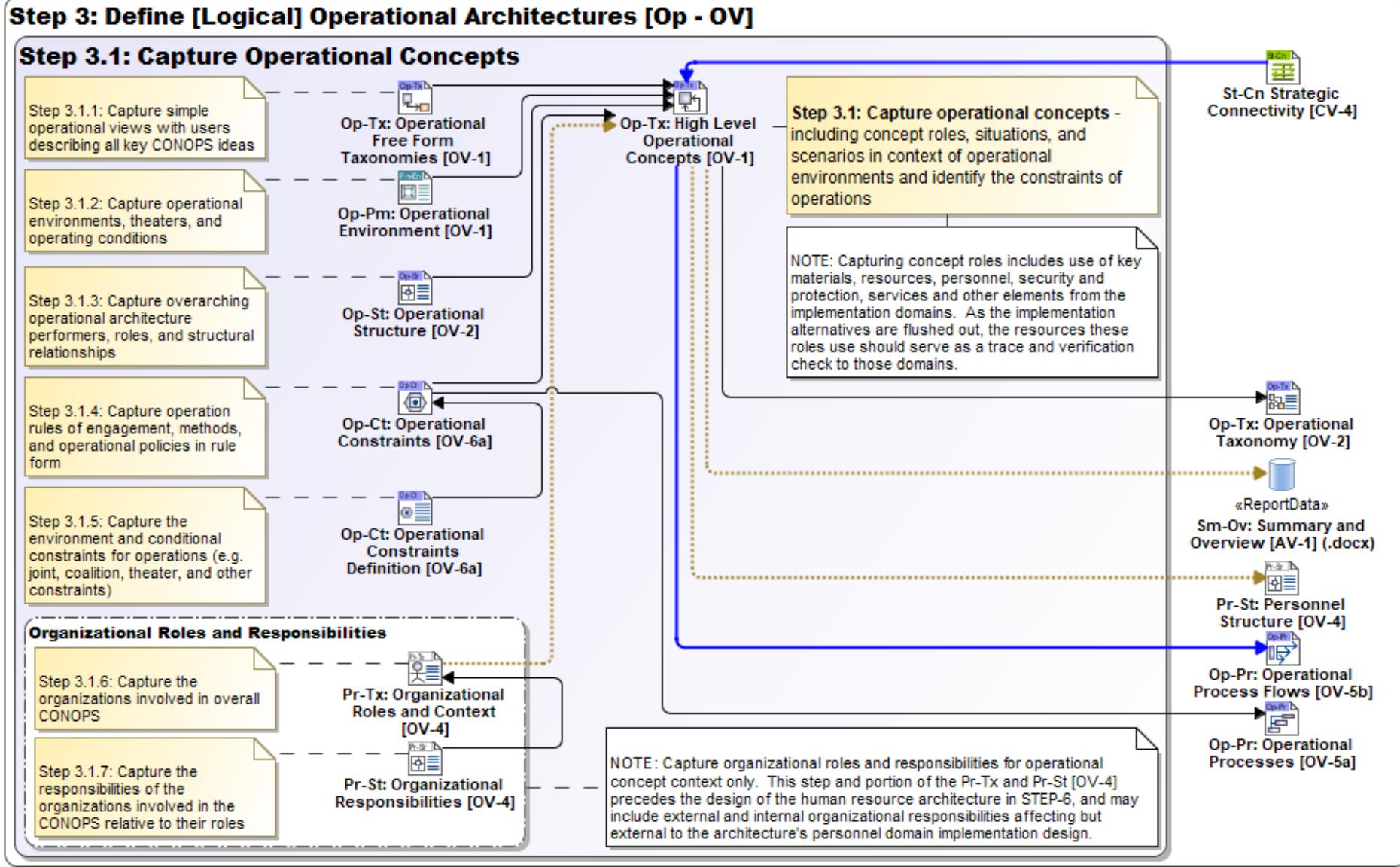
# Conceptual Schema – Operational & Resource Modeling Entities and Relationships



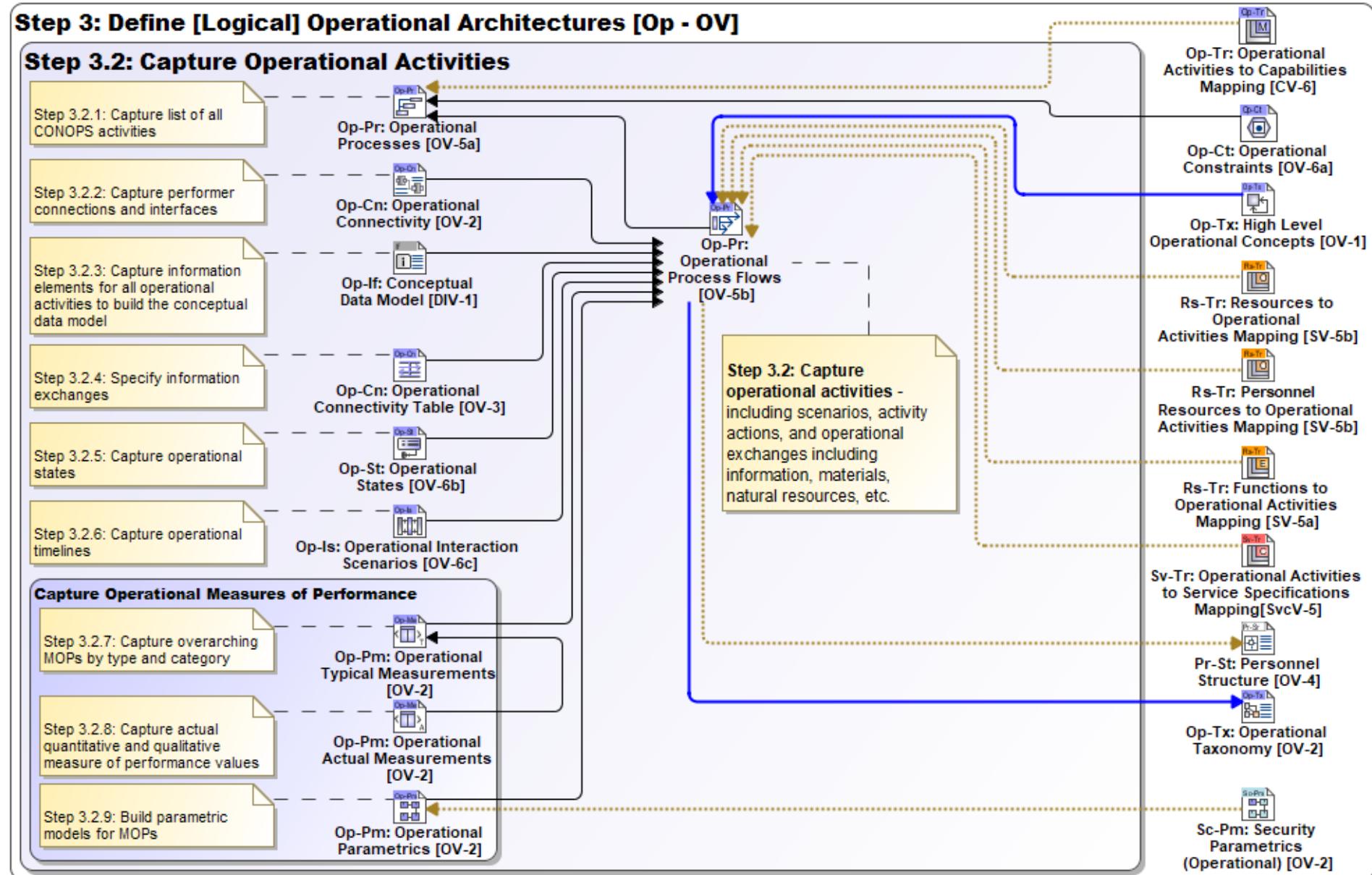
# Step 3 – Operational Architecture (Top Level Flow)



# Step 3.1 – Capture Operational Concepts



## Step 3.2 – Capture Operational Activities

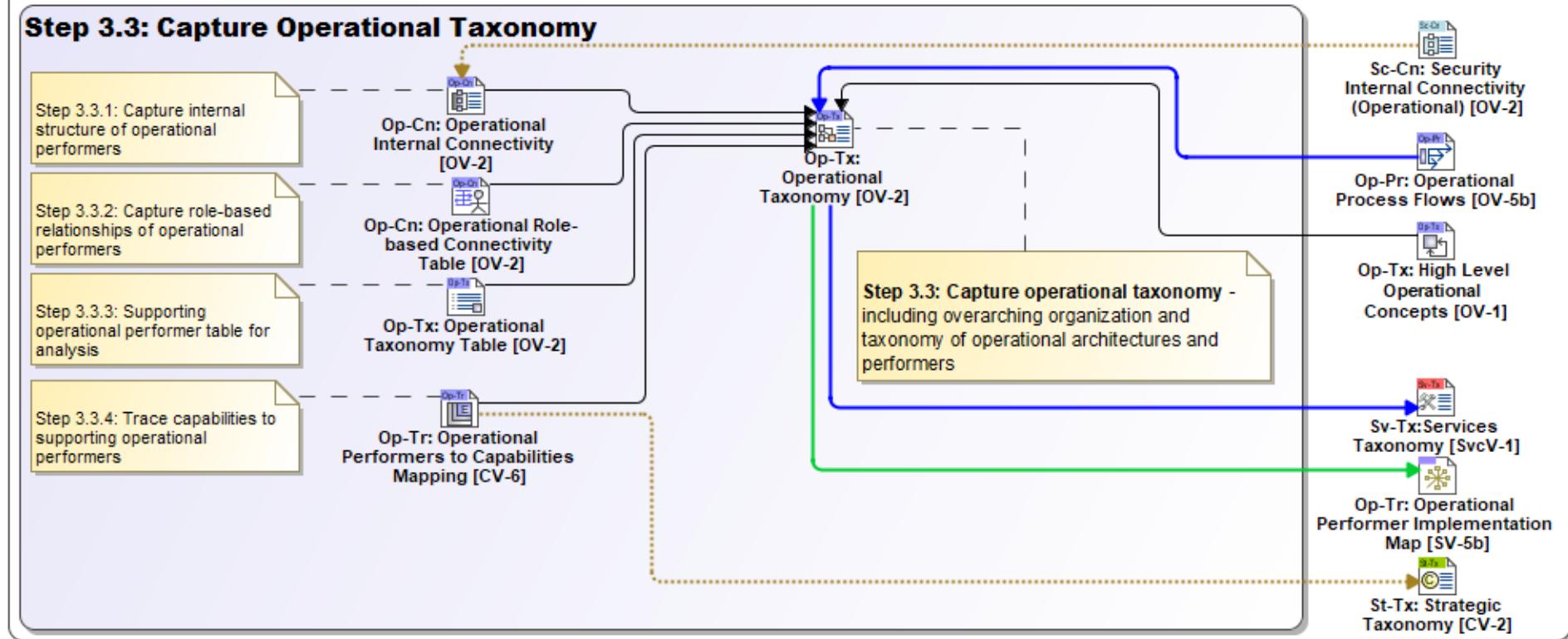




# Step 3.3 – Capture Operational Taxonomy

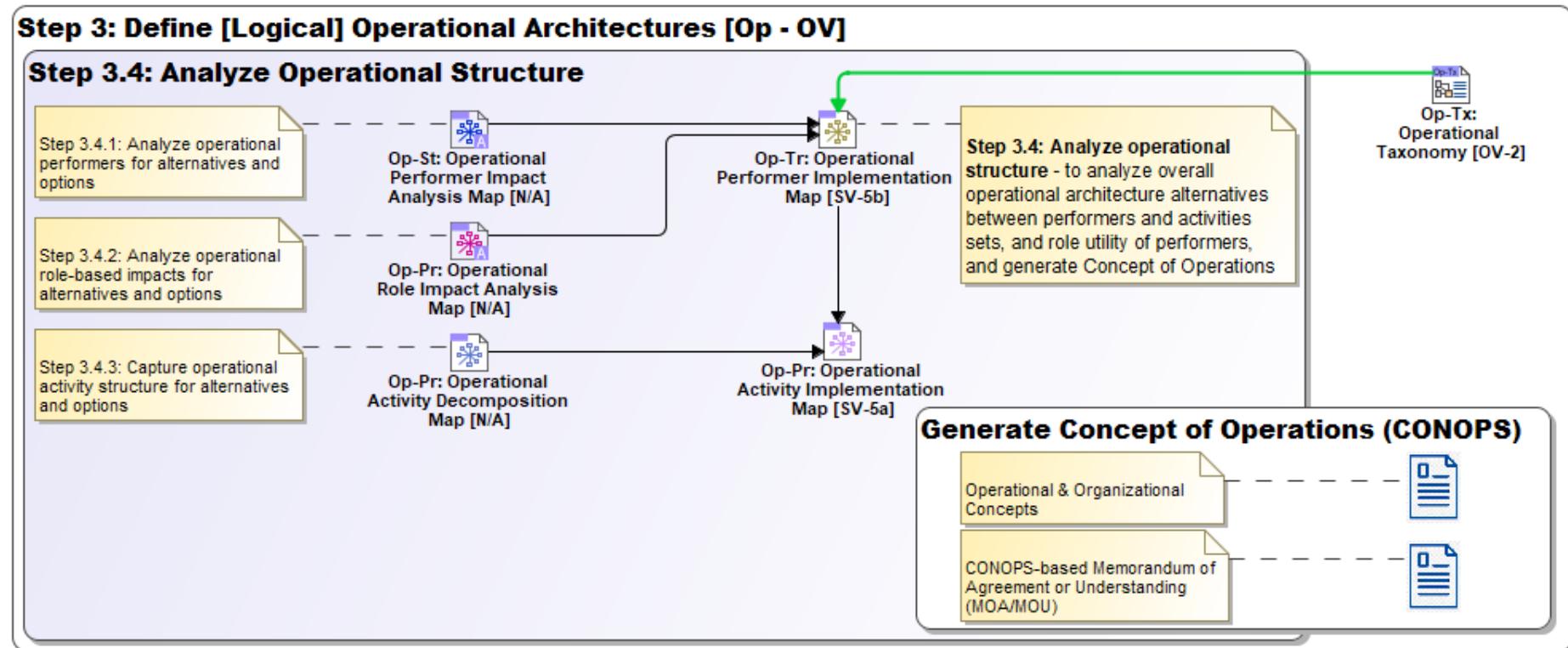
## Step 3: Define [Logical] Operational Architectures [Op - OV]

### Step 3.3: Capture Operational Taxonomy





# Step 3.4 – Analyze Operational Structure

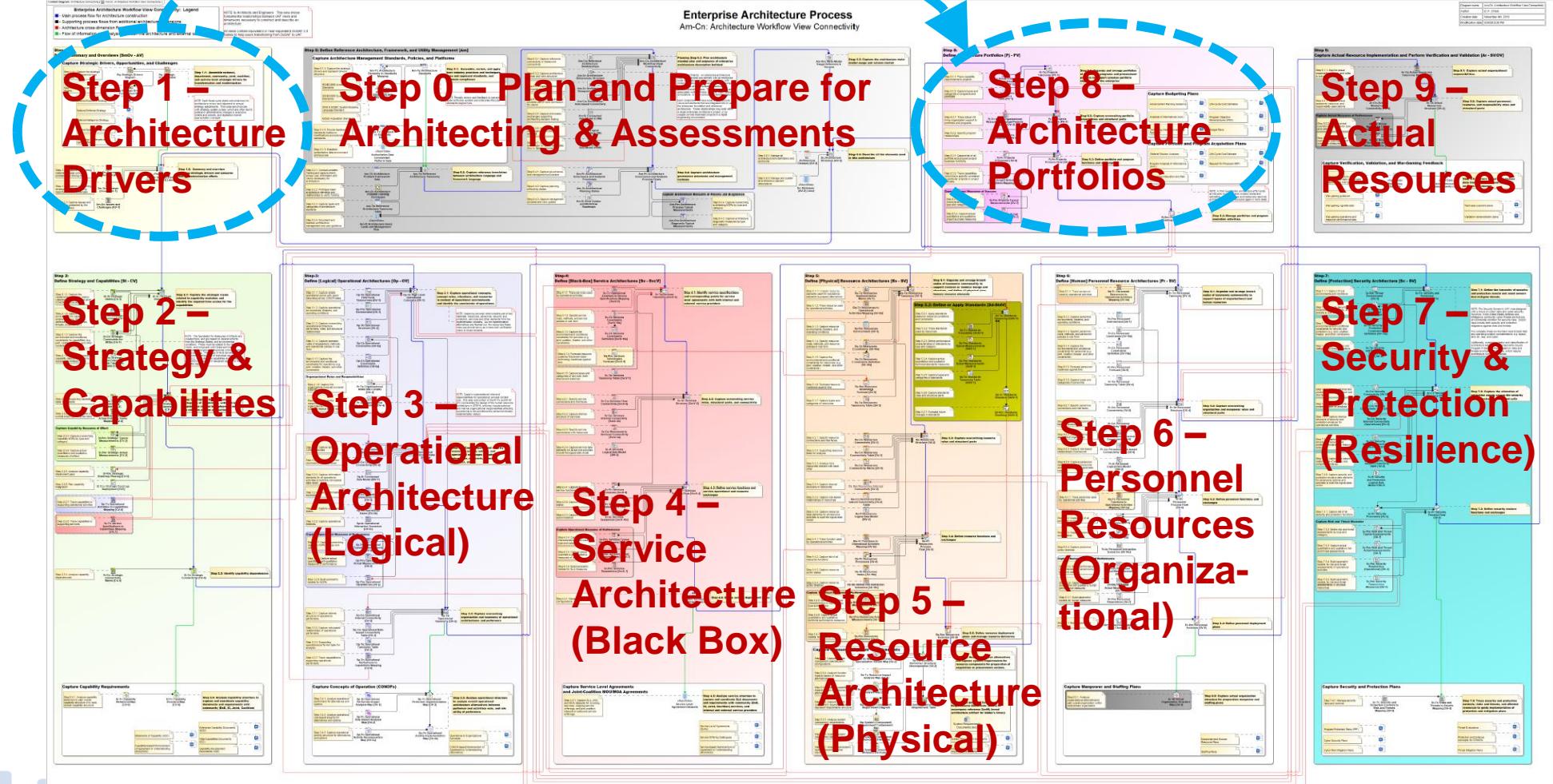


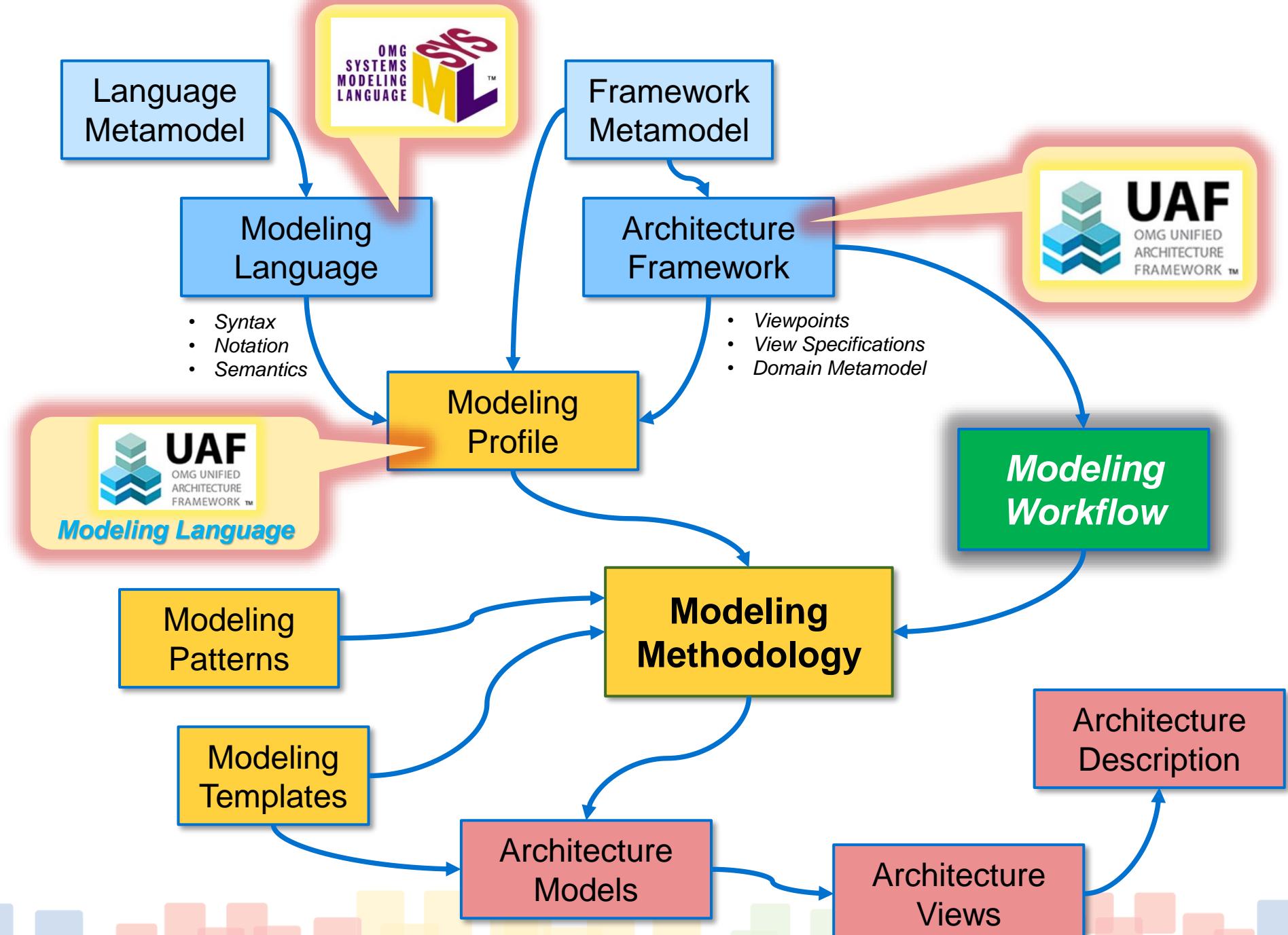
# Step 3 – Summary List with Views

68	Step 3: Define [Logical] Operational Architectures [Op - OV]	Views
69	Step 3.1: Capture operational concepts - including concept roles, situations, and scenarios in context of operational environments and identify the constraints of operations	Op-Tx: Operational Taxonomy: High Level Operational Concepts [OV-1]
70	Step 3.1.1: Capture simple operational views with users describing all key CONOPS ideas	Op-Tx: Operational Taxonomy: Operational Free Form Diagram [OV-1]
71	Step 3.1.2: Capture operational environments, theaters, and operating conditions	En-Pm: Environment: Operational [N/A]
72	Step 3.1.3: Capture overarching operational architecture performers, roles, and structural relationships	Op-Sr: Operational Structure [OV-2]
73	Step 3.1.4: Capture operational rules of engagement, methods, and operational policies in rule form	Op-Ct: Operational Constraints [OV-6a]
74	Step 3.1.5: Capture the environment and conditional constraints for operations (e.g., operational areas, planning scenarios, threats, locations, etc.)	Op-Ct: Operational Constraints: Definition [OV-6a]
75	Step 3.1.6: Capture the organizations involved in the overall CONOPS	Ps-Tx: Personnel Taxonomy: Organizational Context [OV-4]
76	Step 3.1.7: Capture the responsibilities of the organizations involved in the CONOPS relative to their roles	Ps-Sr: Personnel Structure: Organizational Responsibilities [OV-4]
77	<b>Step 3.2: Capture operational behaviors - including scenarios, activity actions, and operational exchanges including information, materials, natural resources, etc.</b>	<b>Op-Pr: Operational Processes: Flows [OV-5b]</b>
78	Step 3.2.1: Capture definition of all CONOPS activities	Op-Pr: Operational Processes [OV-5a]
79	Step 3.2.2: Capture performer connections and interfaces	Op-Cn: Operational Connectivity [OV-2]
80	Step 3.2.3: Capture information elements for all operational activities to build the conceptual data model	Cd-If: Operational Information Model [DIV-1]
81	Step 3.2.4: Specify information exchanges	Op-Cn: Operational Connectivity: Table [OV-3]
82	Step 3.2.5: Capture operational state machines	Op-St: Operational States [OV-6b]
83	Step 3.2.6: Capture operational timelines	Op-Sq: Operational Sequences [OV-6c]
84	Step 3.2.7: Capture typical MOPs by type and category	Me-Pm: Measurements: Operational Typical Measurements [N/A]
85	<b>Step 3.3: Capture operational taxonomy - including overarching organization and taxonomy of operational architectures and performers</b>	<b>Op-Tx: Operational Taxonomy [OV-2]</b>
86	Step 3.3.1: Capture internal structure of operational performers	Op-Sr: Operational Structure: Internal Connectivity [OV-2]
87	Step 3.3.2: Capture role-based relationships of operational performers	Op-Sr: Operational Structure: Role-based Connectivity Table [OV-2]
88	Step 3.3.3: Supporting operational performer table for analysis	Op-Tx: Operational Taxonomy: Table [OV-2]
89	Step 3.3.4: Trace capabilities to supporting operational performers	Op-Tr: Operational Traceability: Opnl Perf to Capab Mapping [CV-6]
90	<b>Step 3.4: Analyze operational structure - to analyze overall operational architecture alternatives between performers and activity sets, utilization of roles versus performers, and generate Concept of Operations</b>	<b>Rs-Tr: Resources Traceability: Operational Performer Implementation Map [N/A]</b>
91	Step 3.4.1: Analyze operational performers for alternatives and options	Op-Sr: Operational Structure: Opnl Perf Impact Analysis Map [N/A]
92	Step 3.4.2: Analyze operational role-based impacts for alternatives and options	Op-Sr: Operational Structure: Opnl Role Impact Analysis Map [N/A]
93	Step 3.4.3: Define risk assessments by type and category	Rk-Pm: Risks: Operational Risk Typical Assessments [N/A]
94	Step 3.4.4: Capture actual quantitative and qualitative measure of performance values	Me-Pm: Measurements: Operational Actual Measurements [N/A]
95	Step 3.4.5: Build parametric models for MOPs	Pm: Parameters: Operational Parametric Models [N/A]
96	Step 3.4.6: Capture operational requirements	Rq-Mv: Requirements: Operational [N/A]
97	Step 3.4.7 Capture operational activity implementations to cross-check performer implementations	Rs-Tr: Resources Traceability: Opnl Activity Implem Map [SV-5a/b]
98	Step 3.4.8: Capture operational activity structure for alternatives and options	Op-Pr: Operational Processes: Opnl Activity Decomp Map [OV-5a]

# UAF Enterprise Architecture Guide (2021)

## 9-Step Modeling Workflow as Basis for the Guide





	Taxonomy Tx	Structure Sr	Connectivity Cn	Processes Pr	States St	Interaction Scenarios Is	Information If	Parameters Pm	Constraints Ct	Roadmap Rm	Traceability Tr
<b>Metadata Md</b>	Metadata Taxonomy Md-Tx	Architecture Viewpoints <sup>a</sup> Md-Sr	Metadata Connectivity Md-Cn	Metadata Processes <sup>a</sup> Md-Pr	-	-			Metadata Constraints <sup>a</sup> Md-Ct		Metadata Traceability Md-Tr
<b>Strategic St</b>	Strategic Taxonomy St-Tx	Strategic Structure St-Sr	Strategic Connectivity St-Cn	-	Strategic States St-St	-			Strategic Constraints St-Ct	Strategic Deployment, St-Rm Strategic Phasing St-Rm	Strategic Traceability St-Tr
<b>Operational Op</b>	Operational Taxonomy Op-Tx	-	-	-	-	-			Operational Constraints Op-Ct	-	Operational Traceability Op-Tr
<b>Services Sv</b>	-	-	-	-	-	-			Service Constraints Sv-Ct	Service Roadmap Sv-Rm	Service Traceability Sv-Tr
<b>Personnel Pr</b>	-	-	-	-	-	-			Competence, Drivers, Performance Pr-Ct	Personnel Availability, Personnel Evolution, Personnel Forecast Pr-Rm	Personnel Traceability Pr-Tr

Where do we start?  
 Which views do we need?  
 How are these views related?

Resources Rs	Resource Taxonomy Rs-Tx	Resource Structure Rs-Sr	Resource Connectivity Rs-Cn	Resource Processes Rs-Pr	Resource States Rs-St	Resource Interaction Scenarios Rs-Is
<b>Security Sc</b>	Security Taxonomy Sc-Tx	Security Structure Sc-Sr	Security Connectivity Sc-Cn	Security Processes Sc-Pr	-	-
<b>Projects Pj</b>	Project Taxonomy Pj-Tx	Project Structure Pj-Sr	Project Connectivity Pj-Cn	-	-	-
<b>Standards Sd</b>	Standard Taxonomy Sd-Tx	Standards Structure Sd-Sr	-	-	-	-
<b>Actuals Resources Ar</b>	-	Actual Resources Structure, Ar-Sr	Actual Resources Connectivity, Ar-Cn	Simulation <sup>b</sup>		

Physical Data Model

Measurements Pm-Me

Resource Constraints Rs-Ct	Resource Evolution, Resource Forecast Rs-Rm	Resource Traceability Rs-Tr
Security Constraints Sc-Ct	Security Evolution, Security Forecast Sc-Rm	Security Traceability Sc-Tr
-	-	Project Traceability Pj-Tr
-	-	Standards Traceability Sd-Tr
Param Exec Evalu	-	-

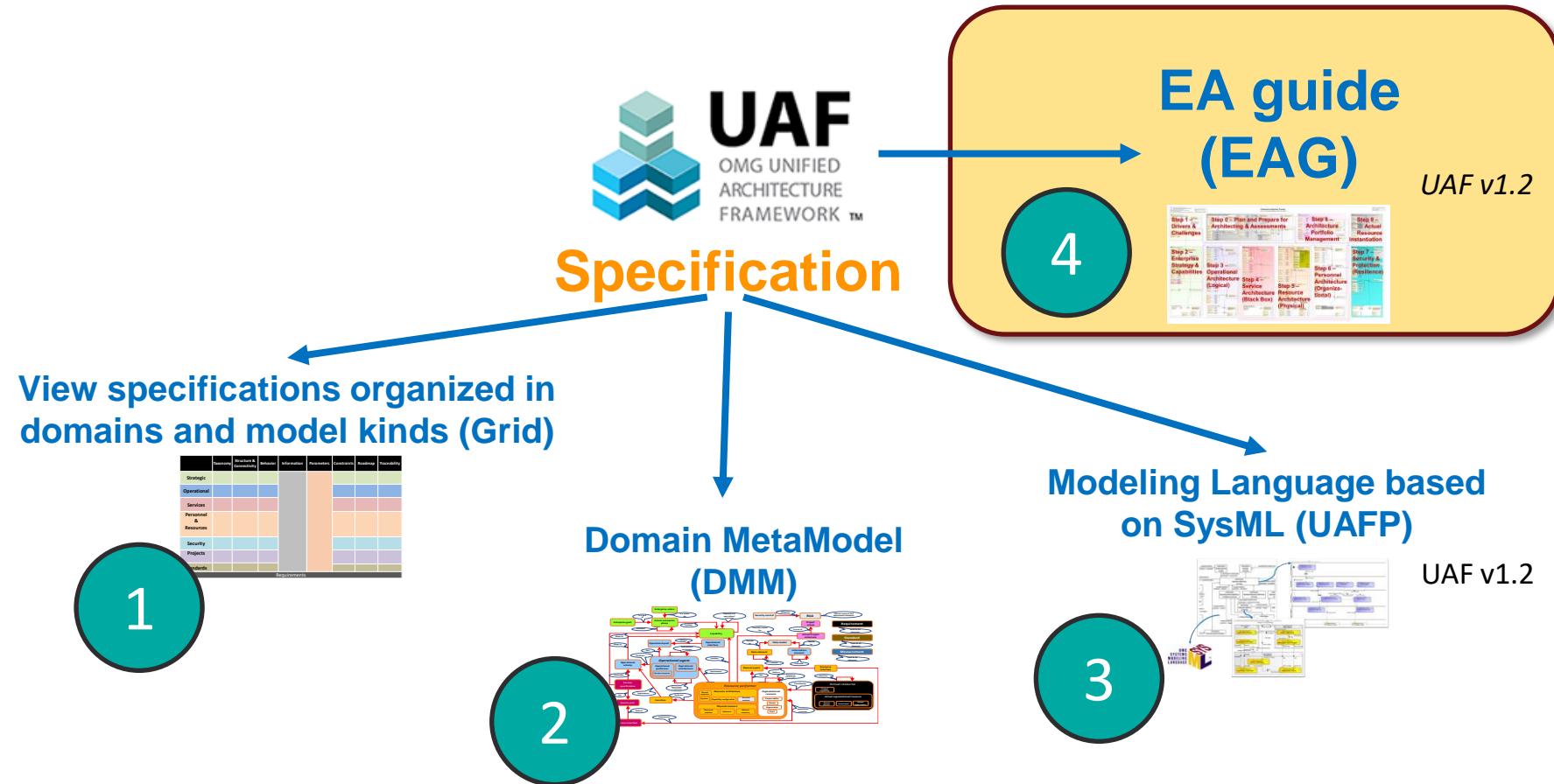
Dictionary \* Dc

Summary &amp; Overview Sm-Ov

Requirements Req



# Enterprise Architecture Guide for UAF

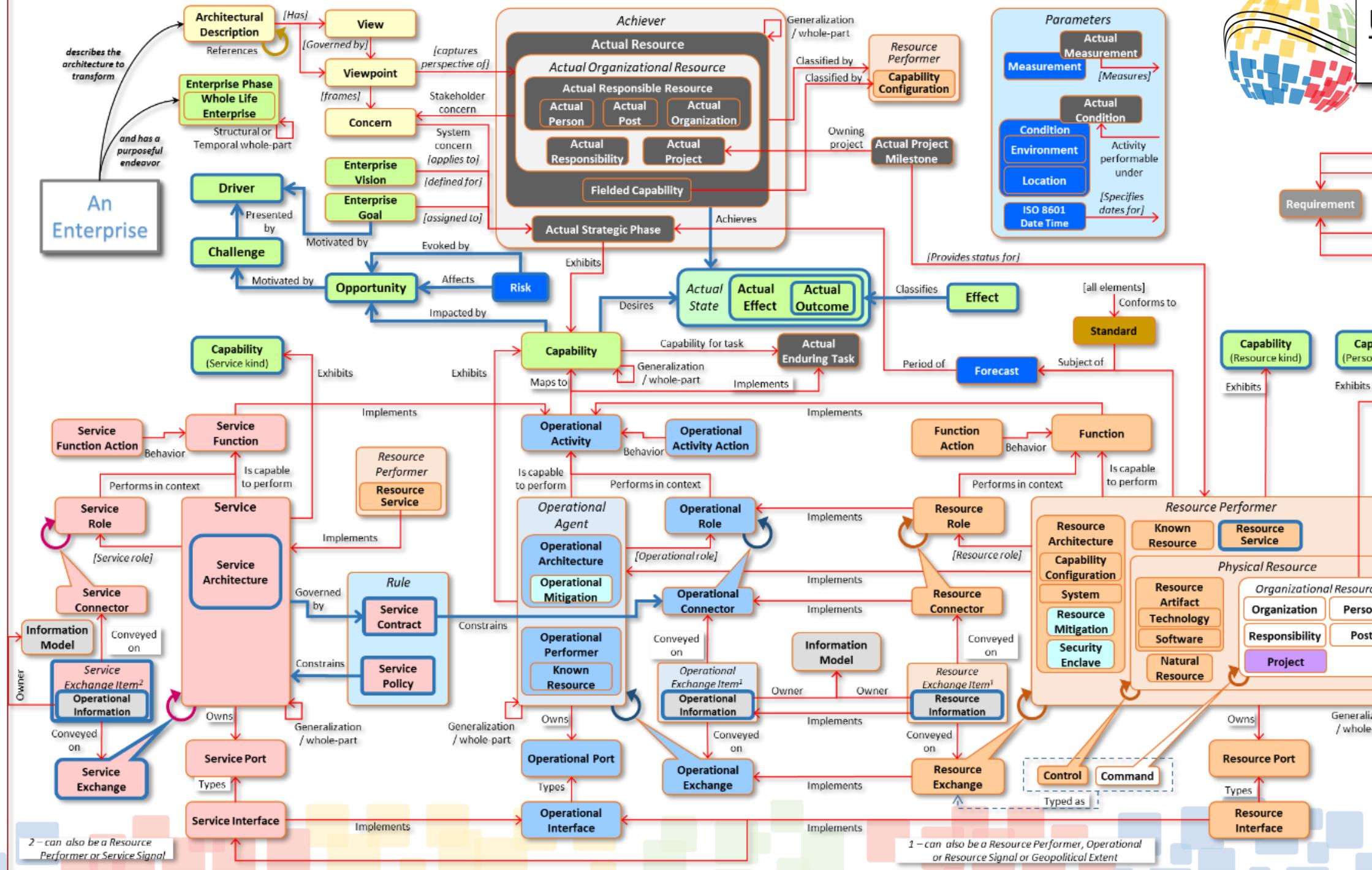






# ***BACKUP***



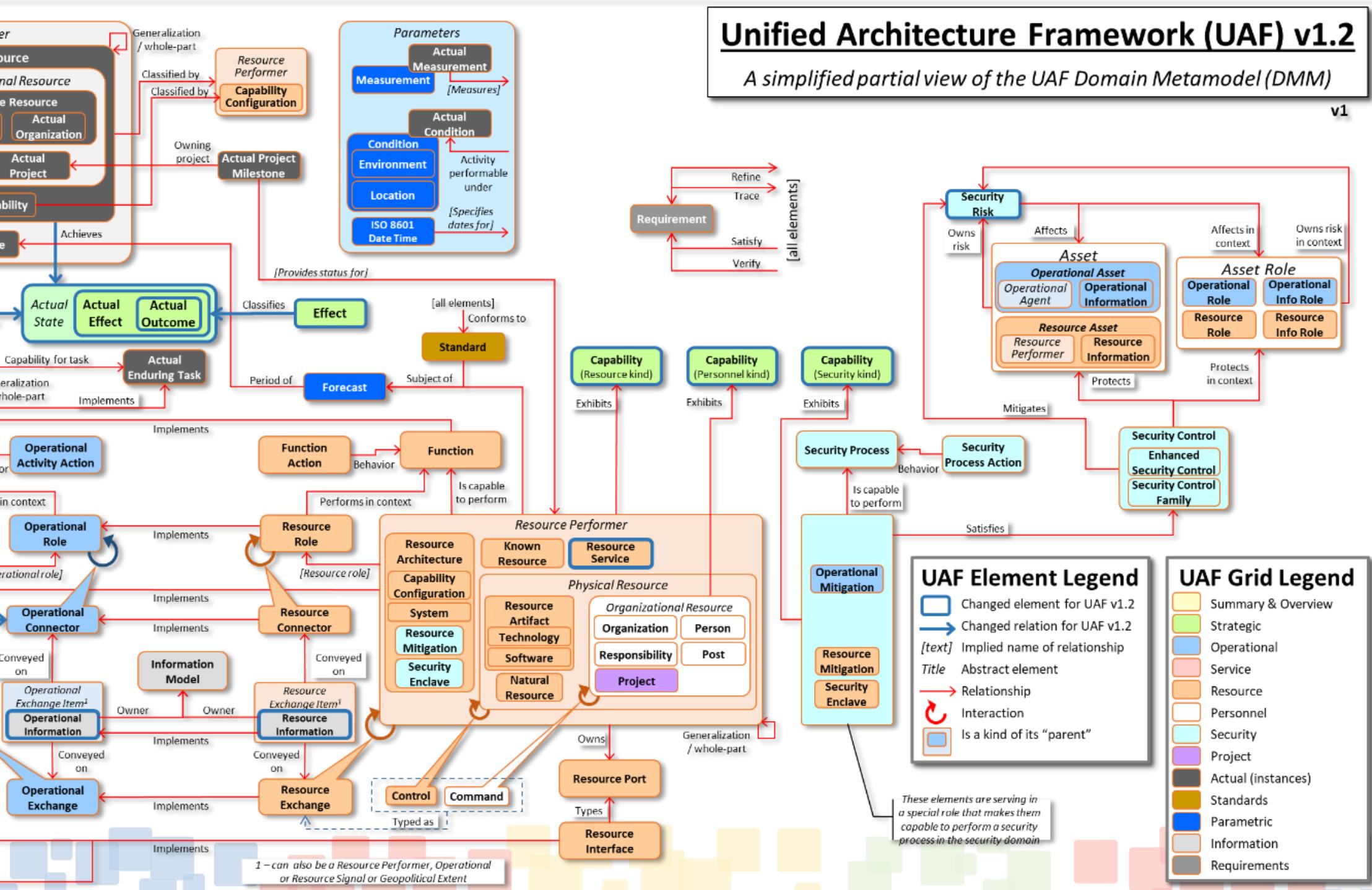


# Unified Architecture Framework (UAF) v1.2

A simplified partial view of the UAF Domain Metamodel (DMM)



v1





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