

# Contents

<b>1</b>	<b>Introduction</b>	<b>1</b>
1.1	Challenges to Enterprises	1
1.2	Enterprise Architecture and Architecture Principles	3
1.3	Motivations and Target Audience	4
1.4	Outline of the Book	5
<b>2</b>	<b>The Role of Enterprise Architecture</b>	<b>7</b>
2.1	Introduction	7
2.2	Enterprise Transformations and Enterprise Engineering	9
2.3	Streams of Activities in Enterprise Engineering	11
2.4	Architecture-Based Governance of Enterprise Transformations	14
2.4.1	The Need for Architecture	14
2.4.2	Architecture as a Bridge from Strategy to Design	16
2.4.3	Steering with Architecture	18
2.4.4	The Three Roles of Enterprise Architecture	19
2.5	Defining Enterprise Architecture	20
2.5.1	The Purpose of an Enterprise Architecture	21
2.5.2	The Meaning of an Enterprise Architecture	22
2.5.3	The Elements of an Enterprise Architecture	22
2.5.4	Definition of Enterprise Architecture	24
2.6	Other Forms of Architecture	24
2.7	Standards for Enterprise Architecture	26
2.8	The Role of Architecture Principles	28
2.9	Key Messages	29
<b>3</b>	<b>A Conceptual Framework for Principles</b>	<b>31</b>
3.1	Introduction	31
3.2	Background of Architecture Principles	32
3.3	Key Classes of Principles	34
3.3.1	Scientific Principles	34
3.3.2	Design Principles as Normative Principles	35
3.3.3	From Credos to Norms	38

3.3.4	Conceptual Framework . . . . .	40
3.4	Architecture Principles as Pillars from Strategy to Design . . . . .	44
3.4.1	Architecture Principles . . . . .	44
3.4.2	Business and IT Principles . . . . .	44
3.4.3	Bridging from Strategy to Design . . . . .	46
3.4.4	Extended Conceptual Framework . . . . .	48
3.5	Motivating Architecture Principles . . . . .	49
3.5.1	Sources for Finding Motivation . . . . .	50
3.5.2	Drivers as Motivation for Architecture Principles . . . . .	52
3.5.3	Extended Conceptual Framework . . . . .	54
3.6	Formal Specification of Normative Principles . . . . .	56
3.7	Key Messages . . . . .	58
<b>4</b>	<b>Architecture Principle Specifications . . . . .</b>	<b>59</b>
4.1	Introduction . . . . .	59
4.2	Dimensions in Architecture Principles . . . . .	62
4.2.1	Type of Information Dimension . . . . .	63
4.2.2	Scope Dimension . . . . .	63
4.2.3	Genericity Dimension . . . . .	64
4.2.4	Level of Detail Dimension(s) . . . . .	65
4.2.5	Stakeholder Dimension . . . . .	66
4.2.6	Transformation Dimension . . . . .	66
4.2.7	Quality Attribute Dimension . . . . .	67
4.2.8	Meta-level Dimension . . . . .	69
4.2.9	Representation Dimension . . . . .	69
4.3	Attributes . . . . .	70
4.3.1	Basic Structure . . . . .	71
4.3.2	Advised Attributes . . . . .	73
4.3.3	Attributes for Classification . . . . .	75
4.3.4	Potential Attributes . . . . .	75
4.3.5	Generic Meta-data Attributes . . . . .	76
4.3.6	Relationships . . . . .	77
4.4	Architecture Principle Sets . . . . .	79
4.5	Quality Criteria . . . . .	81
4.6	Key Messages . . . . .	83
<b>5</b>	<b>A Practical Approach . . . . .</b>	<b>85</b>
5.1	Introduction . . . . .	85
5.2	Generic Process . . . . .	88
5.2.1	Determine Drivers . . . . .	88
5.2.2	Determine Principles . . . . .	91
5.2.3	Specify Principles . . . . .	98
5.2.4	Classify Principles . . . . .	100
5.2.5	Validate and Accept Principles . . . . .	100
5.2.6	Apply Principles . . . . .	101
5.2.7	Manage Compliance . . . . .	105

5.2.8	Handle Changes . . . . .	108
5.3	Key Messages . . . . .	109
<b>6</b>	<b>Case Studies . . . . .</b>	<b>111</b>
6.1	Introduction . . . . .	111
6.2	ICTU . . . . .	112
6.2.1	Introduction . . . . .	112
6.2.2	Architecture Principles . . . . .	113
6.2.3	Approach . . . . .	115
6.3	CVZ . . . . .	115
6.3.1	Introduction . . . . .	115
6.3.2	Architecture Principles . . . . .	117
6.3.3	Approach . . . . .	118
6.4	Enexis . . . . .	120
6.4.1	Introduction . . . . .	120
6.4.2	Architecture Principles . . . . .	121
6.4.3	Approach . . . . .	121
6.5	TKP Pensioen . . . . .	124
6.5.1	Introduction . . . . .	124
6.5.2	Architecture Principles . . . . .	125
6.5.3	Approach . . . . .	127
6.6	Schiphol . . . . .	127
6.6.1	Introduction . . . . .	128
6.6.2	Architecture Principles . . . . .	129
6.6.3	Approach . . . . .	130
6.7	Key Messages . . . . .	132
<b>7</b>	<b>Architecture Principles in Context . . . . .</b>	<b>133</b>
7.1	Introduction . . . . .	133
7.2	Types of Architectures . . . . .	134
7.2.1	Enterprise Architecture Development . . . . .	134
7.2.2	Reference Architecture Development . . . . .	135
7.2.3	Solution Architecture Development . . . . .	136
7.3	Architecture Maturity . . . . .	137
7.3.1	Department of Commerce Maturity Model . . . . .	137
7.3.2	Architecture Maturity and Architecture Principles . . . . .	139
7.4	Culture . . . . .	142
7.5	Key Messages . . . . .	145
<b>8</b>	<b>Summary, Conclusions and Future Work . . . . .</b>	<b>147</b>
8.1	Summary and Conclusions . . . . .	147
8.2	Future Work . . . . .	149
<b>Appendix A</b>	<b>Principles Catalogue . . . . .</b>	<b>153</b>
A.1	Business Units Are Autonomous . . . . .	153
A.2	Customers Have a Single Point of Contact . . . . .	154
A.3	Stock Is Kept to a Minimum . . . . .	154

- A.4 Processes Are Straight Through . . . . . 155
- A.5 Processes Are Standardized . . . . . 155
- A.6 Management Layers Are Minimized . . . . . 156
- A.7 Tasks Are Designed Around Outcome . . . . . 156
- A.8 Routine Tasks Are Automated . . . . . 156
- A.9 Primary Business Processes Are not Disturbed  
by Implementation of Changes . . . . . 157
- A.10 Components Are Centralized . . . . . 157
- A.11 Front-Office Processes Are Separated from Back-Office  
Processes . . . . . 158
- A.12 Channel-Specific Is Separated from Channel-Independent . . . . . 158
- A.13 The Status of Customer Requests Is Readily Available Inside  
and Outside the Organization . . . . . 159
- A.14 Data Are Provided by the Source . . . . . 159
- A.15 Data Are Maintained in The Source Application . . . . . 159
- A.16 Data Are Captured Once . . . . . 160
- A.17 Data Are Consistent Through All Channels . . . . . 160
- A.18 Content and Presentation Are Separated . . . . . 161
- A.19 Data Are Stored and Exchanged Electronically . . . . . 161
- A.20 Data That Are Exchanged Adhere to a Canonical Data Model . . . . . 162
- A.21 Data Are Exchanged in Real-Time . . . . . 162
- A.22 Bulk Data Exchanges Rely on ETL Tools . . . . . 163
- A.23 Documents Are Stored in the Document Management System . . . . . 163
- A.24 Reporting and Analytical Applications Do Not Use the  
Operational Environment . . . . . 164
- A.25 Applications Have a Common Look-and-Feel . . . . . 164
- A.26 Applications Do Not Cross Business Function Boundaries . . . . . 164
- A.27 Applications Respect Logical Units of Work . . . . . 165
- A.28 Applications Are Modular . . . . . 165
- A.29 Application Functionality is Available Through an Enterprise  
Portal . . . . . 166
- A.30 Applications Rely on One Technology Stack . . . . . 166
- A.31 Application Interfaces Are Explicitly Defined . . . . . 167
- A.32 Proven Solutions Are Preferred . . . . . 167
- A.33 IT Systems Are Scalable . . . . . 168
- A.34 Only in Response to Business Needs Are Changes to IT Systems  
Made . . . . . 168
- A.35 Components Have a Clear Owner . . . . . 169
- A.36 IT Systems Are Standardized and Reused Throughout the  
Organization . . . . . 169
- A.37 IT Systems Adhere to Open Standards . . . . . 170
- A.38 IT Systems Are Preferably Open Source . . . . . 170
- A.39 IT Systems Are Available at Any Time on Any Location . . . . . 171
- A.40 IT Systems Are Sustainable . . . . . 171
- A.41 Processes Are Supported by a Business Process Management  
System . . . . . 171

- A.42 Presentation Logic, Process Logic and Business Logic Are Separated . . . . . 172
- A.43 IT Systems Communicate Through Services . . . . . 172
- A.44 Reuse Is Preferable to Buy, Which is Preferable to Make . . . . . 173
- A.45 IT Systems Support 24\*7 Availability . . . . . 173
- A.46 IT Systems Are Selected Based on a Best-of-Suite Approach . . . 174
- A.47 Sensitive Data Are Exchanged Securely . . . . . 174
- A.48 IT Systems May Under no Circumstances Revert to Insecure Mode . . . . . 175
- A.49 Management of IT Systems is Automated as Much as Possible . . 175
- A.50 End-to-End Security Must Be Provided Using Multiple Defensive Strategies . . . . . 176
- A.51 Access Rights Must Be Granted at the Lowest Level Necessary for Performing the Required Operation . . . . . 176
- A.52 Authorizations Are Role-Based . . . . . 177
- A.53 The Identity Management Environment Is Leading for All Authentications and Authorizations . . . . . 177
- A.54 Security Is Defined Declaratively . . . . . 177
- A.55 Access to IT Systems Is Authenticated and Authorized . . . . . 178
- A.56 Integration with External IT Systems Is Localized in Dedicated IT Components . . . . . 178
- A.57 Application Development Is Standardized . . . . . 179
- A.58 All Messages Are Exchanged Through the Enterprise Service Bus . . . . . 179
- A.59 Rules That Are Complex or Apt to Change Are Managed in a Business Rules Engine . . . . . 180
- Appendix B Architecture Principles in TOGAF . . . . . 181**
  - B.1 Architecture Principles in TOGAF . . . . . 181
  - B.2 Architecture Principles in TOGAF ADM . . . . . 182
  - B.3 Mapping the Generic Process to TOGAF’s ADM . . . . . 184
- Glossary . . . . . 187**
- References . . . . . 189**
- About the Authors . . . . . 197**