

# Transformational Government Framework Primer Version 1.0

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**Abstract:**

This Primer is intended to serve as an introduction to and detailed overview of the “Transformational Government Framework” (TGF) - a practical “how to” standard for the design and implementation of an effective program of technology-enabled change at national, state or local government level.

It also covers the Framework’s rationale, purpose, scope, and intended use.

The Framework is a managed process of ICT-enabled change in the public sector, which puts the needs of citizens and businesses at the heart of that process and which achieves significant and transformational impacts on the efficiency and effectiveness of government.

The Primer is in three main parts:

- Part I, including an **Introduction** and **Overview**, sets out the context in which the TGF has been produced, its purpose, and the principal users at whom the Framework is aimed.
- Part II describes the **Transformational Government Framework** itself, including the conformance criteria by which users of the Framework may determine if they are conformant.
- Part III provides a set of **Guidance Notes** providing further information to users of the TGF on how they can implement it in practice.

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## Table of Contents

<b>Table of Contents</b> .....	<b>3</b>
<b>Disclaimer</b> .....	<b>5</b>
<b>Part I: Introduction to the Framework</b> .....	<b>6</b>
Context.....	6
Purpose of the Transformational Government Framework.....	9
Target audience for the Transformational Government Framework.....	9
<b>Overview of the Transformational Government Framework</b> .....	<b>10</b>
Component 1: Guiding Principles for Transformation .....	10
Component 2: Critical Success Factors.....	10
Component 3: Service Delivery Processes .....	10
Component 4: Benefit Realisation Framework .....	11
<b>Part II: The Transformational Government Framework</b> .....	<b>12</b>
<b>Component 1: Guiding Principles</b> .....	<b>13</b>
Develop a detailed and segmented understanding of your citizen and business customers .....	13
Build services around customer needs, not organisational structure.....	13
Citizen Service transformation is done with citizens, not to them .....	13
Grow the market.....	13
Manage and measure these nine critical success factors: .....	14
<b>Component 2: Critical Success Factors</b> .....	<b>14</b>
Strategic Clarity.....	14
Leadership.....	14
User focus .....	15
Stakeholder engagement.....	15
Skills .....	15
Supplier Partnership .....	15
Future-proofing.....	15
Achievable Delivery.....	16
Benefit Realization .....	16
<b>Component 3: Delivery Processes</b> .....	<b>16</b>
Business Management Framework.....	18
Customer Management Framework.....	20
Channel Management Framework .....	21
Technology Management Framework.....	22
<b>Component 4: Benefit Realisation Strategy</b> .....	<b>25</b>
<b>Terminology and Reference Model</b> .....	<b>26</b>
Core Terminology.....	26
<b>Conformance Criteria</b> .....	<b>29</b>
<b>Part III: Guidance Notes</b> .....	<b>31</b>
<b>Part III (a): Guidance on the TGF Business Management Framework</b> .....	<b>32</b>
Introduction .....	32
Context.....	32
Overview of key components in the TGF Business Management Framework.....	32
Transformational Government Leadership .....	33
Collaborative Stakeholder Governance Model .....	34
Common Terminology and Reference Model .....	38
Transformation Business Model .....	39
Policy Product Management.....	43

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Transformation Roadmap .....	44
<b>Part III (b): Guidance on the TGF Customer Management Framework .....</b>	<b>47</b>
Introduction .....	47
Context.....	47
Overview of key components in the TGF Customer Management Framework .....	47
Brand and Marketing Strategy .....	48
Identity Management .....	50
Citizen Empowerment Framework .....	52
<b>Part III (c): Guidance on the TGF Channel Management Framework .....</b>	<b>54</b>
Introduction .....	54
Context.....	54
Overview of key components in the TGF Channel Management Framework.....	54
Channel Mapping .....	55
Channel Transformation Strategy .....	56
<b>Part III (d): Guidance on the TGF Technology Management Framework .....</b>	<b>59</b>
Context.....	59
Overview of key components in the TGF Technology Management Framework .....	59
Resources Management .....	60
Eco-system Participation.....	60
SOA-based system realisation and governance .....	61
<b>Acknowledgements .....</b>	<b>62</b>
<b>Revision History .....</b>	<b>63</b>

## 1 Disclaimer

2 The Committee will be developing OASIS 'Standards Track' deliverables in parallel to the current  
3 document and some material that is currently included here will in time and once work has stabilised  
4 be included in those deliverables and thence be removed from this work.

5 This is a preliminary draft of what is intended to be produced as an OASIS 'Committee Note'. At this  
6 early stage, and given the volume of initial contributions to the Committee's work, this draft  
7 captures a complete overview of the work to develop the Transformational Government Framework.  
8 As such it currently contains sections and content that will not be appropriate to the Committee  
9 Note once approved.

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## 10 Part I: Introduction to the Framework

11 Part I covers:

- 12 • The **context** and historical background for Transformational Government;
- 13 • The **definition** of Transformational Government in this context;
- 14 • The **purpose** of the Transformational Government Framework (TGF);
- 15 • The **audience**, intended primary and secondary users, of the Framework;
- 16 • An **overview** with top-level description of the key components of the TGF with context on why
- 17 each is important.

### 18 Context

19 All around the world, governments at national, state, and local levels face huge pressure to do “more  
20 with less”. Whether their desire is: to raise educational standards to meet the needs of a global  
21 knowledge economy; to help our economies adjust to financial upheaval; to lift the world out of  
22 poverty when more than a billion people still live on less than a dollar a day; to facilitate the  
23 transition to a sustainable, inclusive, low-carbon society; to reduce taxation; or to cut back on public  
24 administration; every government faces the challenge of achieving their policy goals in a climate of  
25 increasing public expenditure restrictions.

26 Responding effectively to these challenges will mean that governments need to deliver change which  
27 is transformational rather than incremental.

28 During much of the last two decades, technology was heralded as providing the key to deliver these  
29 transformations. Now that virtually every government is an "e-Government" - with websites,  
30 e-services and e-Government strategies proliferating around the world, even in the least  
31 economically developed countries - it is now clear that Information and Communication  
32 Technologies (ICT) are no “silver bullet”. The reality of many countries' experience of e-Government  
33 has instead been duplication of ICT expenditure, wasted resources, no critical mass of users for  
34 online services, and limited impact on core public policy objectives.

35 An increasing number of governments and institutions are now starting to address the much broader  
36 and more complex set of cultural and organizational changes which are needed if ICT is to deliver  
37 significant benefits in the public sector. Countries such as the UK, Canada and Australia have all  
38 recently published strategies which shift decisively away from "e-Government" towards a much  
39 more radical focus on transforming the whole relationship between the public sector and users of  
40 public services. In the same vein, the European Commission has updated and published its ‘European  
41 Interoperability Framework’ (EIF)<sup>1</sup> and several US agencies are looking to update and consolidate the  
42 ‘Federal Enterprise Architecture’ (FEA)<sup>2</sup> into a new ‘Unified Government Enterprise Architecture  
43 Framework’ (UGEAF).

44 We call this process: **Transformational Government**

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<sup>1</sup> European Interoperability Framework (EIF) for European public services, see  
[http://ec.europa.eu/isa/strategy/doc/annex\\_ii\\_eif\\_en.pdf](http://ec.europa.eu/isa/strategy/doc/annex_ii_eif_en.pdf)

<sup>2</sup> Federal Enterprise Architecture, see <http://www.whitehouse.gov/omb/e-gov/fea/>

## 45 Defining Transformational Government

46 The definition of Transformational Government used here and in the Framework is

### 47 **Transformational Government**

48 *A managed process of ICT-enabled change in the public sector, which puts the needs*  
49 *of citizens and businesses at the heart of that process and which achieves significant*  
50 *and transformational impacts on the efficiency and effectiveness of government.*

51 This definition deliberately avoids describing some perfect “end-state” for government. That is not  
52 the intent of the Transformational Government Framework. All governments are different: the  
53 historical, cultural, political, economic, social and demographic context within which each  
54 government operates is different, as is the legacy of business processes and technology  
55 implementation from which it starts. So the Transformational Government Framework is not a “one-  
56 size-fits-all” prescription for what a government should look like in future.

57 Rather, the focus is on the **process** of transformation: how a government can build a new way of  
58 working which enables it rapidly and efficiently to adapt to changing citizen needs and emerging  
59 political and market priorities. In the words of one of the earliest governments to commit to a  
60 transformational approach: “... *the vision is not just about transforming government through*  
61 *technology. It is also about making government transformational through the use of technology*”<sup>3</sup>,

62 A full understanding of this definition of Transformational Government can also be assisted by  
63 focusing on the four major ways in which Transformational Government programs differ from  
64 traditional e-Government programs:

- 65 • They take a whole-of-government view of the relationship between the public sector and the  
66 citizen or business user
- 67 • They include initiatives to e-enable the frontline of public services: that is, staff involved in direct  
68 personal delivery of services such as education and healthcare - rather than just looking at  
69 transactional services which can be e-enabled on an end-to-end basis
- 70 • They take a whole-of-government view of the most efficient way of managing the cost base of  
71 government
- 72 • They focus on the "citizen" not the "customer". That is, they seek to engage with citizens as  
73 owners of and participants in the creation of public services, not as passive recipients of services.

74 Each of these defining aspects of Transformational Government is explored in more detail below.

### 75 *Transforming services around the citizen and business user*

76 Most governments are structured around a set of vertically-integrated silos or stovepipes - agencies,  
77 departments, ministries. By and large, it is these silos which the Governments of developed countries  
78 have spent billions of dollars "e-enabling" since the 1990s. However, this is an ICT investment  
79 strategy which is fundamentally not citizen-focused, because the needs of citizens, businesses and  
80 others cut across the organisational structures and hierarchies of government. It has inevitably  
81 resulted in low levels of take-up for e-services. Governments in developed countries are now  
82 grappling with the legacy of thousands of fragmented, silo-focused websites: more than 270,000 in

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<sup>3</sup> See the UK Government's white paper "Transformational Government – enabled by technology", Cabinet Office, 2005

83 the US public sector, 9,000 in Germany, and 3,000 in the UK. An increasing number of governments  
84 are now seeking to make a fundamental strategic shift, towards a holistic, citizen-centred approach,  
85 driven at the whole-of-government level.

86 This shift includes, in leading countries, a move to a “one-stop” citizen-centric service delivered over  
87 multiple channels.

### 88 *e-Enabling the frontline*

89 Traditional e-Government has focused on e-enabling transactional services and providing online  
90 content. The great majority of public sector staff and expenditure is not however involved in such  
91 services, but rather in "front line" delivery: teachers, healthcare workers, police, court officials,  
92 emergency response teams, etc. Leading governments are beginning to understand how the work of  
93 such front line staff can be transformed through the use of real-time knowledge management and  
94 mobile workflow applications.

### 95 *Empowering the citizen*

96 Citizens' experience of new technologies is shaped by the best that the private sector has to offer  
97 globally and - increasingly - through the ability to co-create content and services as individuals or in  
98 peer-to-peer networks. They will demand ever greater interactivity and ownership in their  
99 relationship with public services. Transformational Government programs embrace this. Where  
100 traditional e-Government programs focused on the user as "the customer", Transformational  
101 Government enhances the relationship between government and the citizen on a richer, more  
102 reciprocated, and more empowering basis.

### 103 *Cross-government efficiency*

104 The silo-based approach to ICT investment typical of much e-Government has not only resulted in  
105 "un-citizen-centric" services (as discussed above), but also in duplication and inefficiency.  
106 Governments have "reinvented the wheel" in ICT terms - over and over again - with different  
107 agencies each:

- 108 • maintaining their own databases, even for universal data sets such as citizen identity, addresses  
109 and so forth;
- 110 • building bespoke applications for e-service functions common to all or many agencies (such as  
111 payments in and out, eligibility, notification, and authentication), as well as for common business  
112 processes such as HR and Financial Management; and
- 113 • doing so in ways which not only duplicate expenditure, but which also will not inter-operate with  
114 other agencies - making it more difficult and expensive to move towards inter-agency  
115 collaboration in future.

116 A key focus of Transformational Government is therefore to move towards a service-oriented and  
117 building-block approach to ICT and back-office service architecture across all parts of government -  
118 reaping efficiency gains while at the same time enabling better, more citizen-focused service  
119 delivery. As “cloud computing” gains traction and momentum, this approach opens up even greater  
120 scope to achieve large-scale efficiency savings while simultaneously improving organizational agility.



## 121 Purpose of the Transformational Government Framework

122 Delivering this degree of change is not straight-forward for government. Indeed, government faces  
123 unique challenges in delivering transformational change, notably:

- 124 • the unparalleled breadth and depth of its service offering;
- 125 • the fact that it provides a universal service, engaging with the whole population rather than  
126 picking and choosing its customers;
- 127 • structures, governance, funding & culture which are all organized around specific business  
128 functions, not around meeting citizen needs in a holistic way.

129 The time is now right to set out a clear standardized framework within which governments can  
130 overcome these challenges to deliver genuinely transformational ICT-enabled change in the public  
131 sector. Against the background, the purpose of the Transformational Government Framework is

### 132 **Transformational Government Framework: purpose**

133 *In the increasingly common situation of governments being expected to deliver*  
134 *better and more services for less cost whilst maintaining high-level oversight and*  
135 *governance, the Transformational Government Framework provides a framework*  
136 *for designing and delivering an effective program of technology-enabled change at*  
137 *all levels of government.*

## 138 Target audience for the Transformational Government Framework

139 The Transformational Government Framework (TGF) is intended primarily to meet the needs of:

- 140 • Political and administrative leaders responsible for shaping public sector reform and  
141 e-Government strategies and policies (at national, state/regional and city/local levels);
- 142 • Senior executives in industry who wish to partner with and assist governments in the  
143 transformation of public services and to ensure that the technologies and services which the  
144 private sector provides can have optimum impact in terms of meeting public policy objectives
- 145 • Service and technology solution providers to the public sector.

146 Secondary audiences for the Transformational Government Framework include:

- 147 • Leaders of international organisations working to improve public sector delivery, whether at a  
148 global level (e.g. World Bank, United Nations) or a regional one (e.g. European Commission,  
149 ASEAN<sup>4</sup>, IADB<sup>5</sup>)
- 150 • Professional bodies that support industry sectors by the development and maintenance of  
151 common practices, protocols, processes and standards to facilitate the production and operation  
152 of services and systems within the sector, where the sector needs to interact with government  
153 processes and systems.
- 154 • Academic and other researchers working in the field of public sector reform.
- 155 • Civil society institutions engaged in debate on how technology can better enable service  
156 transformation.

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<sup>4</sup> The Association of Southeast Asian Nations

<sup>5</sup> The Inter-American Development Bank

## 157 Overview of the Transformational Government 158 Framework

159 There are four main components to the Framework:

- 160 • Guiding Principles
- 161 • Critical Success Factors
- 162 • Delivery Frameworks and
- 163 • A Benefit Realisation Framework

### 164 Component 1: Guiding Principles for Transformation

165 As discussed above, a “one-size-fits-all” approach to public sector reform does not work.  
166 Nevertheless, there are some guiding principles which 10-15 years of experience with e-enabled  
167 government around the world suggests are universal. They are based on the experience of many  
168 OASIS member organizations working with governments of all kinds, all around the world, and they  
169 form the heart of the Framework.

170 In the Transformational Government Framework, we use the term “principle” to mean an enduring  
171 statement of values which can used on a consistent basis to steer business decision making over the  
172 long term.

173 The principles used in the TGF are detailed in Part II below.

### 174 Component 2: Critical Success Factors

175 Programs and projects which seek to deliver Transformational Government face significant risks to  
176 successful delivery. Typically, these risks are not related to the technology itself – which is largely  
177 mature and proven – but rather to business and cultural changes. Such changes are needed within  
178 government to deliver the business management, customer management and channel management  
179 transformations described in Component 3 of the TGF.

180 However, there is now an increasing body of research which seeks to understand why some  
181 ICT-enabled transformation programs succeed and why others fail. The TGF therefore includes nine  
182 Critical Success Factors that reflect and respond to the findings of such research, validated with  
183 OASIS members around the world. These Critical Success Factors need to be taken on board by any  
184 government seeking to develop and deliver an effective Transformational Government program.

### 185 Component 3: Service Delivery Processes

186 The TGF includes four major delivery processes within government, all of which need refocusing in a  
187 citizen-centric way in order to deliver genuinely transformational impact:

- 188 • business management,
- 189 • customer management,
- 190 • channel management, and
- 191 • technology management based on the principles of service-oriented architecture.

192 Part II of the Primer below describes frameworks for each of these areas, and Part III gives further  
193 guidance on how to implement them.

## 194 Component 4: Benefit Realisation Framework

195 The Benefit Realisation Framework is needed to ensure that the Transformation Government  
196 program ultimately delivers all of its intended benefits and impacts in practice. Logically, the design  
197 and delivery of a Benefit Realisation Strategy is a part of the Business Management task, and is a  
198 core responsibility for the Transformational Government Leadership and the collaborative  
199 stakeholder governance model described in the TGF Business Management Framework. It is of such  
200 vital importance however that it is highlighted as a distinct component of the overall Framework.

201 ICT projects in government (and indeed in the private sector) do not automatically deliver benefits.  
202 Governments historically have fallen into two pitfalls which have hindered full benefit realisation:

- 203 • **Failure to pro-actively manage the downstream benefits after an individual ICT project has**  
204 **been completed.** Often, ICT projects are seen as “completed” once the technical  
205 implementation is initially operational. In order to reap the full projected benefits (efficiency  
206 savings, customer service improvements etc.), on-going management is essential, often involving  
207 significant organizational and cultural changes. A study for the European Commission<sup>6</sup> calculated  
208 that, as a rule of thumb, organizational change accounts for 55% of the full costs of  
209 e-Government projects in Europe, while ICT only accounts for 45%. Yet these organisational  
210 change costs are often not fully factored in or delivered, resulting in a failure to maximize the  
211 potential benefits of the ICT investments.
- 212 • **Failure at a whole-of-Government level to undertake the restructuring of the public labour**  
213 **market to take advantage of new efficiencies.** Effective delivery of e-Government services –  
214 both externally in service delivery to citizens and businesses and internally in modernising the  
215 operations of government – opens up the potential to reduce significantly the cost of  
216 government. As the cost of delivering government services falls, so governments need to plan  
217 and implement the necessary restructuring of the public sector labour market to realize  
218 efficiency benefits in the traditional paper-based channels. These efficiency savings can then  
219 either be returned to the tax payer in the form of lower taxes, or recycled into priority front-line  
220 public services such as health and education. A study by the OECD in 2006<sup>7</sup> showed that this  
221 “whole-of-government” approach to efficiency savings had until that point been a feature of  
222 only a few countries, notably Canada, the UK and Finland. Increasingly though, financial  
223 pressures are forcing governments to focus on this issue.

224 The Transformational Government Framework does not seek to specify in detail what benefits and  
225 impacts a Transformational Government program should seek to achieve – that is a matter for each  
226 individual government. However, the TGF does set out a best practice approach to benefit  
227 realisation.

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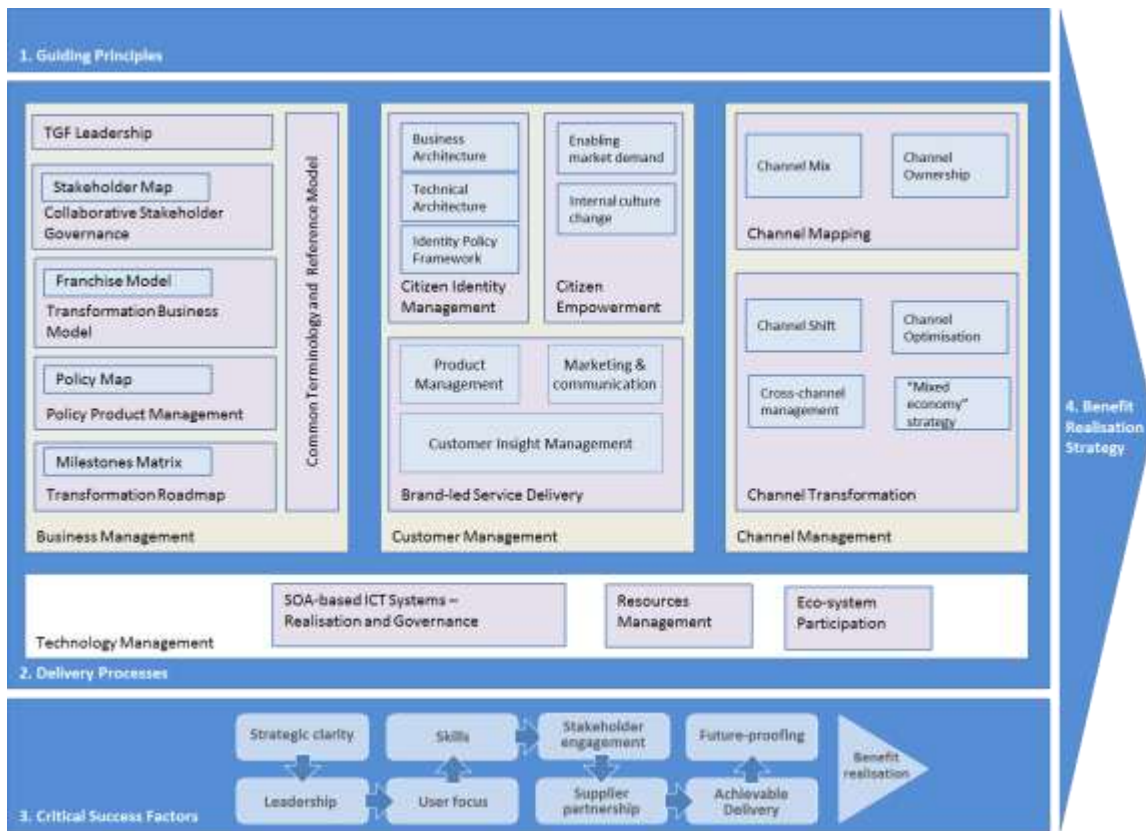
<sup>6</sup> Source: e-Government Economics Project

<sup>7</sup> IT Outlook 2006, OECD

## 228 Part II: The Transformational Government Framework

229 In the increasingly common situation of governments being expected to deliver better and more  
230 services for less cost whilst maintaining high-level oversight and governance, the Transformational  
231 Government Framework provides a framework for designing and delivering an effective program of  
232 technology-enabled change at all levels of government.

233 The Transformational Government Framework can be seen schematically below, made up of four  
234 high-level components:



235

236 Figure 1: The overall framework

237 Each of these components is described in more detail below.

## 238 Component 1: Guiding Principles

239 The TGF Guiding Principles are set out below, and must be used by any Transformational  
240 Government program conforming to the TGF.

### 241 Develop a detailed and segmented understanding of your citizen and 242 business customers

- 243 • Own the customer at the whole-of-government level
- 244 • Don't assume you know what users of your services think - research, research, research
- 245 • Invest in developing a real-time, event-level understanding of citizen and business interactions  
246 with government

### 247 Build services around customer needs, not organisational structure

- 248 • Provide people with one place to access government, built around their needs (such as  
249 accessibility)
- 250 • Don't try to restructure-Government to do this - build "customer franchises" which sit within the  
251 existing structure of government and act as change agents
- 252 • Deliver services across multiple channels - but use Service-Oriented Architecture (SOA) principles  
253 to join it all up, reduce infrastructure duplication, and to encourage customers into lower cost  
254 channels where possible
- 255 • Don't spend money on technology before addressing organisational and business change
- 256 • Don't reinvent wheels - build a cross-government strategy for common citizen data sets (e.g.  
257 name, address) and common citizen applications (e.g. authentication, payments, notifications)

### 258 Citizen Service transformation is done with citizens, not to them

- 259 • Engage citizens directly in service design and delivery
- 260 • Give citizens the technology tools that enable them to create public value themselves
- 261 • Give citizens ownership and control of their personal data - and make all non-personal  
262 government data freely open for reuse and innovation by citizens and third parties

### 263 Grow the market

- 264 • Ensure that your service transformation plans are integrated with an effective digital inclusion  
265 strategy to build access to and demand for e-services across society
- 266 • Recognise that other market players (in the private, voluntary and community sectors) will have  
267 a significant influence on citizen attitudes and behaviour - so build partnerships which enable  
268 the market and others to work with you to deliver jointly-owned objectives.

269 **Manage and measure these nine critical success factors:**



270

271 **Figure 2:** *The nine Critical Success Factors*

272 These nine factors are covered in Component 2 of the TGF.

## 273 Component 2: Critical Success Factors

274 Conformant Transformational Government programs manage and measure these Critical Success  
275 Factors throughout the life of the program.

### 276 Strategic Clarity

- 277 • **All-of-Government view:** Transformational government cannot be pursued on a project-by-  
278 project or agency-specific basis but requires a whole-of-government view, connecting up  
279 relevant activities in different agencies at different levels of government within and between  
280 countries.
- 281 • **Clear vision:** all program stakeholders have a common, agreed and comprehensive view of what  
282 the program is seeking to achieve. In particular, we do not spend money on technology before  
283 identifying the key organizational and business changes needed to deliver our vision.
- 284 • **Strong business case:** we know what outcomes we want to achieve, have base-lined where we  
285 are now, and know how we will measure success.
- 286 • **Focus on results:** although we have a vision of where we want to go, and a set of principles by  
287 which we will move forwards, we do not over-plan. Instead, our strategy focuses on taking  
288 concrete, practical steps in the short to medium term, rather than continually describing the  
289 long-term vision.

### 290 Leadership

- 291 • **Sustained support:** political leaders and senior management are committed to the program for  
292 the long term. This is particularly relevant given the realities of changing political leadership and  
293 underlines the need for continuity across those changes.
- 294 • **Leadership skills:** our program leaders have the skills needed to drive ICT-enabled business  
295 transformation, and have access to external support
- 296 • **Collaborative governance:** leaders from all parts of our and other organizations involved in the  
297 program are motivated for it to succeed, and are engaged in clear and collaborative governance  
298 mechanisms to manage any risks and issues.

## 299 User focus

- 300 • **A holistic view of the customer:** we understand who the customers for our services are - not just  
301 for individual services - but across the Government as a whole. We know our customers, both  
302 internal and external, are different - and understand their needs on a segmented basis.
- 303 • **Citizen-centric delivery:** citizens can access all our services through a "one-stop" service. This is  
304 available over multiple channels and that respond to different needs, but we use web-based  
305 services to join it all up and reduce infrastructure duplication, and we encourage customers into  
306 lower cost channels where possible and compatible with citizen needs (such as accessibility).
- 307 • **Citizen empowerment:** we engage citizens directly in service design and delivery, and provide  
308 them with technology tools that enable them to create public value themselves.

## 309 Stakeholder engagement

- 310 • **Stakeholder communication:** all our stakeholders - users, suppliers, delivery partners elsewhere  
311 in the public, private and voluntary sector, politicians, the media, etc. - have a clear  
312 understanding of our program and how they can engage with it.
- 313 • **Cross-sectoral partnership:** other market players (in the private, voluntary and community  
314 sectors) often have much greater influence on citizen attitudes and behaviour than government  
315 - so our strategy aims to build partnerships which enable the market to deliver our objectives.

## 316 Skills

- 317 • **Skills mapping:** we know that the mix of business change, product and marketing management,  
318 program management, and technology skills needed to deliver transformational change does  
319 not already exist in our organisation. We have mapped out the skills we need, and have a clear  
320 strategy for acquiring and maintaining them.
- 321 • **Skills integration:** we have effective mechanisms in place to maximize value from the skills  
322 available in all parts of our delivery team, bringing together internal and external skills into an  
323 integrated team.

## 324 Supplier Partnership

- 325 • **Smart supplier selection:** we select suppliers based on long-term value for money rather than  
326 price, and in particular based on our degree of confidence that the chosen suppliers will secure  
327 delivery of the expected business benefits.
- 328 • **Supplier integration:** we will manage the relationship with strategic suppliers at top  
329 management level, and ensure effective client/supplier integration into an effective program  
330 delivery team with shared management information systems.

## 331 Future-proofing

- 332 • **Interoperability:** Wherever possible we will use interoperable, open standards which are well  
333 supported in the market-place.
- 334 • **Web-centric delivery:** we will use SOA principles in order to support all of our customer  
335 interactions, from face-to-face interactions by frontline staff to online self-service interactions

- 336 • **Agility:** we will deploy technology using common building blocks which can be re-used to enable  
337 flexible and adaptive use of technology to react quickly to changing customer needs and  
338 demands.
- 339 • **Shared services:** key building blocks will be managed as government-wide resources - in  
340 particular common data sets (e.g. name, address); common citizen applications (e.g.  
341 authentication, payments, notifications); and core ICT infrastructure.

## 342 Achievable Delivery

- 343 • **Phased implementation:** we will avoid a "big bang" approach to implementation, reliant on  
344 significant levels of simultaneous technological and organizational change. Instead, we will  
345 develop a phased delivery roadmap which:
- 346 – works with citizens and businesses to identify a set of services which will bring quick user  
347 value, in order to start building a user base
  - 348 – prioritise those services which can be delivered quickly, at low cost, and low risk using  
349 standard (rather than bespoke) solutions
  - 350 – works first with early adopters within the Government organisation to create exemplars and  
351 internal champions for change
  - 352 – learns from experience, and then drives forward longer term transformations.
- 353 • **Continuous improvement:** we expect not to get everything right first time, but have systems  
354 which enable us to understand the current position, plan, move quickly, and learn from  
355 experience
- 356 • **Risk management:** we need clarity and insight into the consequences of transformation and  
357 mechanisms to assess risk and handle monitoring, recovery and roll-back

## 358 Benefit Realization

- 359 • **Benefit realisation strategy:** we have a clear strategy to ensure that all the intended benefits  
360 from our Transformation Program are delivered in practice, built around the three pillars of  
361 benefit mapping, benefit tracking and benefit delivery.

## 362 Component 3: Delivery Processes

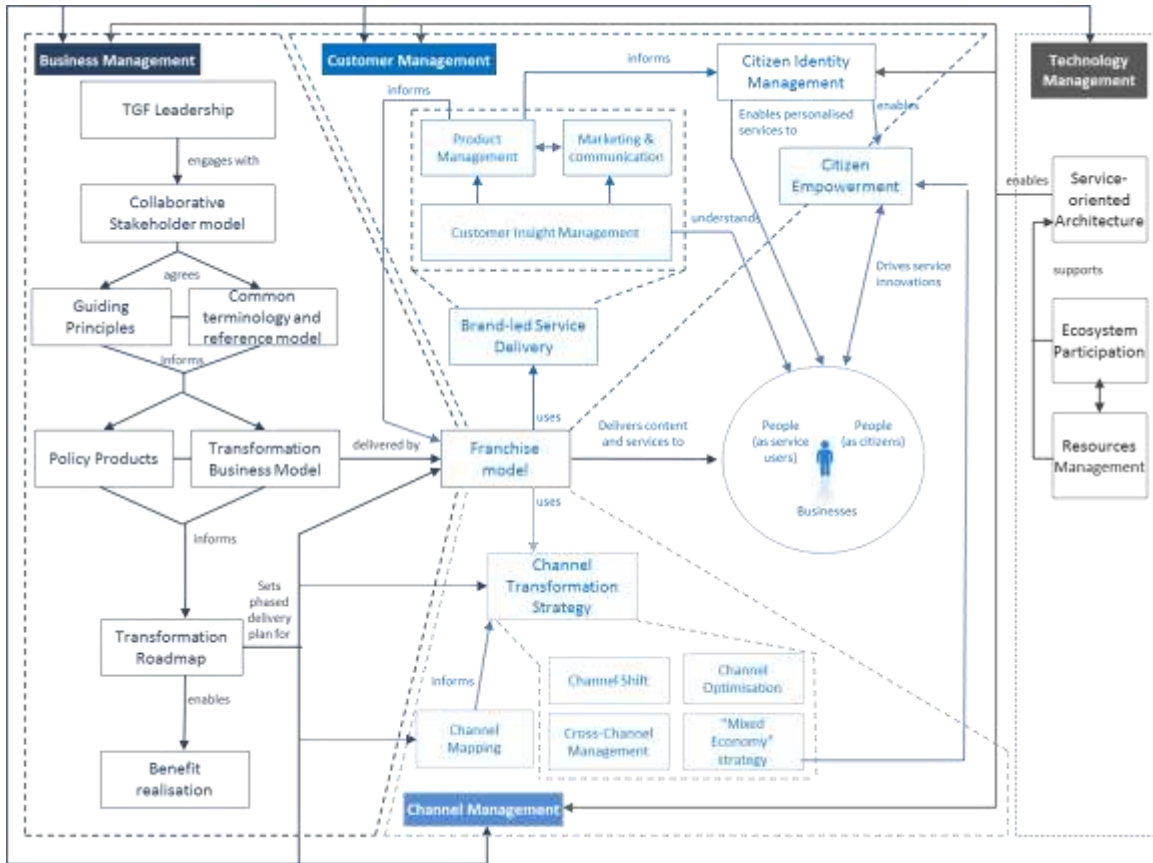
363 Delivering the principles outlined in Component 1, in line with the Critical Success Factors detailed in  
364 Component 2, involves re-inventing every stage of the service delivery process. The Transformational  
365 Government Framework identifies four main **delivery processes**, each of which must be managed in  
366 a government-wide and citizen-centric way in order to deliver effective transformation:

- 367 • Business Management
- 368 • Customer Management
- 369 • Channel Management
- 370 • Technology Management

371 A high-level map of these delivery processes and how their constituent elements interact is  
372 illustrated in summary below. The following sections then look in more detail at each of the four



373 delivery processes, setting out the best practices which should be followed in order to ensure  
 374 conformance with the Transformational Government Framework.

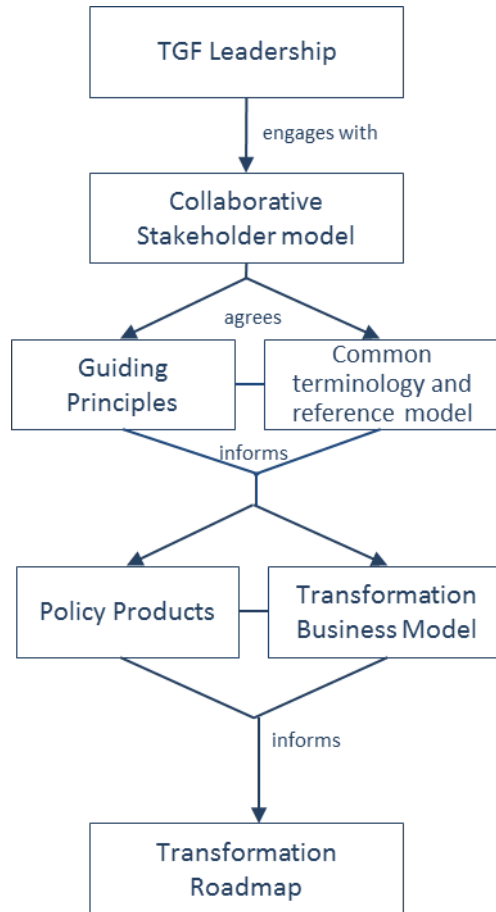


375  
 376 **Figure 3: Relationships between the four Delivery Processes for Transformational Government**

377

## 378 Business Management Framework

379 The Transformational Government Framework identifies six key aspects of business management  
380 which must be tackled at the whole-of-government level:



381

382 **Figure 4: Overview of the Business Management Framework**

- 383 • **Transformational Government leadership:** the key people and governance structures needed to  
384 develop and implement a Transformational Government program;
- 385 • **A collaborative Stakeholder Governance Model:** the process by which all key stakeholders are  
386 identified, engaged and buy-in to the transformation program;
- 387 • **A common terminology and Reference Model:** ensuring that all stakeholders have a clear,  
388 consistent and common understanding of the key concepts involved in Transformational  
389 Government; how these concepts relate to each other; how they can be formally modelled; and  
390 how such models can be leveraged and integrated into new and existing information  
391 architectures;
- 392 • **A Transformation Business Model:** a new virtual business layer within government, focused  
393 round the needs of citizens and businesses (the “Franchise Marketplace”), which enables the  
394 existing silo-based structure of government to collaborate effectively in understanding and  
395 meeting user needs;

- 396
- 397
- 398
- 399
- 400
- 401
- The **development and management of Policy Products:** these documents formally define government-wide goals for achieving government transformation and thus constitute the documented commitment of any conformant agency to the transformational process;
  - A **Transformation Delivery Roadmap:** giving a four to five year view of how the program will be delivered, with explicit recognition of priorities and trade-offs between different elements of the program.

<b>Any conformant implementation of the TGF Business Management Framework:</b>
<b>MUST</b> have <b>Leadership</b> which involves:
– Clear accountability at both the political and administrative levels
– Deployment of formal program management disciplines
– A clearly identified mix of leadership skills
– Engagement of a broad-based leadership team across the wider government.
<b>MUST</b> have a <b>Collaborative Stakeholder Governance Model</b>
<b>MUST</b> have an agreed and <b>shared terminology and reference model</b>
<b>MUST</b> have a <b>Transformation Business Model</b>
<b>SHOULD</b> use the <b>Franchise Marketplace Model</b>
<b>MUST</b> use the <b>Policy Product Map</b> to identify all necessary Policy Products
<b>MUST</b> have a phased <b>Transformation Roadmap</b>

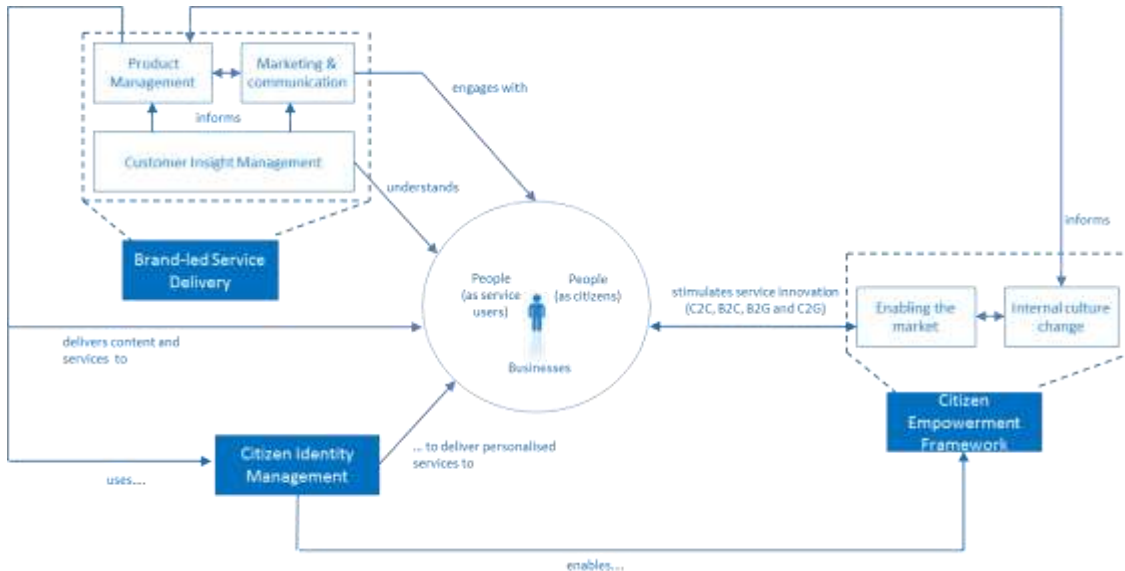
402 Further guidance on how to implement this process is given in Part III (a) of the Primer.

403

## 404 Customer Management Framework

405 There are three key parts to the TGF Customer Management Framework:

- 406 • **Brand-led Service Delivery:** a user-focused framework for ensuring that:
- 407 – Detailed *insight* is gathered into citizen and business needs
  - 408 – This insight informs a **brand-led product management process** covering all stages of
  - 409 government service design and delivery
  - 410 – The brand values for Transformational Government then drive all aspects of **marketing and**
  - 411 **communications** for government services;
- 412 • **Identity Management**<sup>8</sup>: the business architecture, technical architecture, and citizen-centric
- 413 identity model needed to enable secure and joined-up services which citizens and businesses will
- 414 trust and engage with; and
- 415 • **Citizen Empowerment:** the internal cultural changes and external market-enabling actions which
- 416 enable governments to engage with citizens and businesses as active co-creators of public
- 417 services, rather than their passive recipients.



418  
419 Figure 5: Overview of the Customer Management Framework

Any conformant implementation of the TGF Customer Management Framework:
<b>MUST</b> have a <b>Brand-led Service Delivery Strategy</b> , which is agreed and managed at a whole-of-government level and which addresses:
– Customer Insight;
– Product Management;
– Marketing and communication;
<b>MUST</b> have a <b>Citizen Identity Management Framework</b> , which:
– uses a federated business model;
– uses a service-oriented IT architecture;

<sup>8</sup> 'Identity Management' is correctly termed 'Identity Information Management' as identity itself is not technically managed but intrinsic to us as humans. It is often shortened to Identity Management, which will be used throughout.

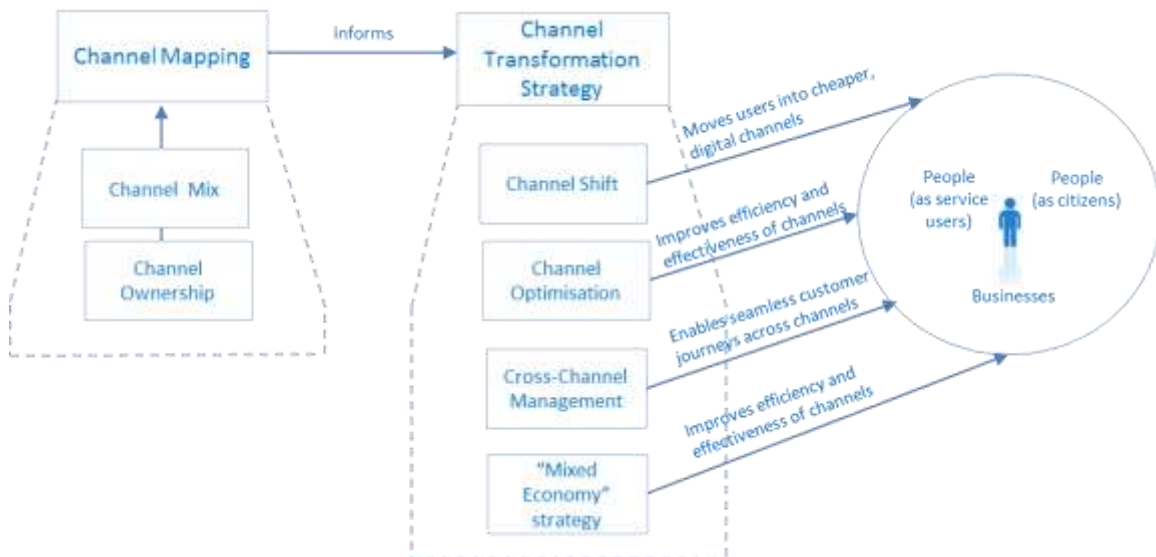
- is citizen-centric, giving citizens control, choice and transparency over personal data;  
**MUST** have a **Citizen Empowerment Framework**, which encourages and enables service innovation in the Citizen-to-Citizen, Business-to-Citizen, and Citizen-to-Government sectors.

420 Further guidance on how to implement this process is given in Part III (b) of this TGF Primer.

## 421 Channel Management Framework

422 The two key parts of the Channel Management Framework are:

- 423 • **Channel Mapping:** a clear audit of what channels are currently used to deliver government  
424 services. The TGF Channel Mapping approach includes an analysis of these channels across two  
425 key dimensions: which delivery channels are being used ('channel mix') and who owns them  
426 ('channel ownership').
- 427 • **Channel Transformation Strategy:** building a new channel management approach centred  
428 around the needs and behaviour of citizens and businesses. The key concerns of such an  
429 approach include:
  - 430 – Channel Optimization;
  - 431 – Channel Shift;
  - 432 – Cross-Channel Management; and
  - 433 – development of a "Mixed Economy" in service provision through private and voluntary  
434 sector intermediaries.



435  
436 **Figure 6:** Overview of the Channel Management Framework

<b>Any conformant implementation of the Channel Management Framework:</b>
<b>MUST</b> have a clear <b>mapping of existing channels</b> , and their cost structures
<b>MUST</b> have a <b>Channel Transformation Strategy</b> which addresses the following elements:
– Shifting service users into lower cost, digital channels;
– Optimising the cost and performance of each channel, including through use of benchmarking;
– Improving cross-channel management, with the aim of providing a seamless user experience across different channels;
– Developing a thriving mixed economy in the delivery of government services by private and voluntary sector intermediaries.

437 Further guidance on how to implement this process is given in Part III (c) of this TGF Primer.

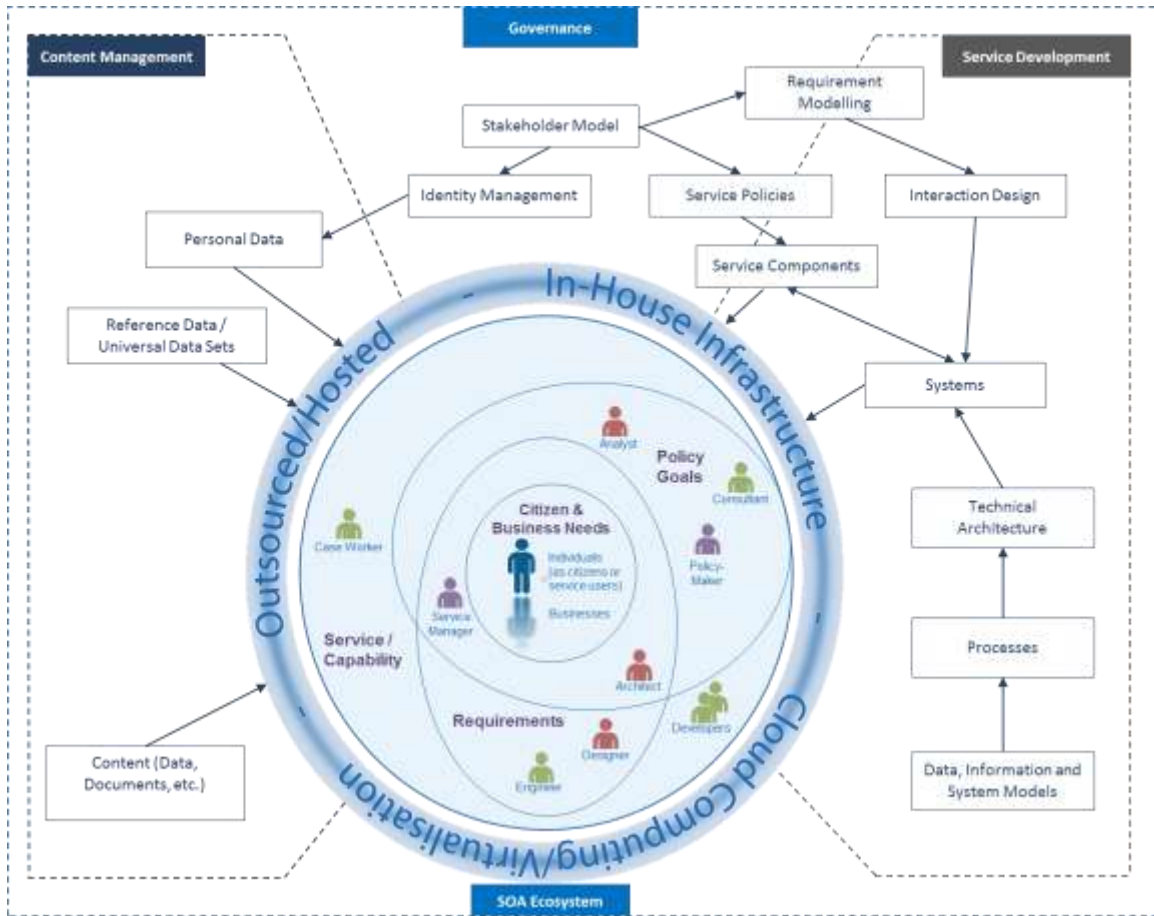
### 438 **Technology Management Framework**

439 The elements of the TGF Technology Management Framework are as follows:

- 440 • Resources Management: the explicit identification and management of all information and
- 441 technology resources;
- 442 • Ecosystem Participation: a clear model and understanding of the stakeholders, actors and
- 443 systems that comprise the overall service ecosystem and their relationships to each other;
- 444 • Realisation and governance of ICT systems based on SOA principles

445

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 The patent provisions of the OASIS IPR Policy do not apply.



446

447 **Figure 7: Overview of the Technology Management Framework**

<b>Any conformant implementation of the Technology Management Framework:</b>
<b>MUST</b> manage information and ICT system resources as distinct, valued assets including issues related to the Identification, ownership, stewardship and usage policies for each asset type;
<b>MUST</b> explicitly model the stakeholders, actors and systems that comprise the overall service ecosystem and their relationships to each other
<b>SHOULD</b> maintain and update the stakeholder model on a regular basis
<b>MUST</b> use the OASIS 'Reference Model for SOA' as the primary source for core concepts and definitions of the SOA paradigm, including
<ul style="list-style-type: none"><li>– A clear understanding of the goals, motivations and requirements that any SOA-based system is intended to address;</li><li>– Identifiable boundaries of ownership of all components (and identity of the components themselves) in any SOA ecosystem;</li><li>– Discrete service realisation and re-use that provides a capability to perform some work on behalf of another party;</li><li>– The specification of any capability that is offered for use by another party with clear service descriptions and contracts</li></ul>
<b>SHOULD</b> consider the OASIS 'SOA Reference Architecture Framework' when designing specific SOA-based systems

448 Further guidance on how to implement this process is given in Part III (d) of this TGF Primer.

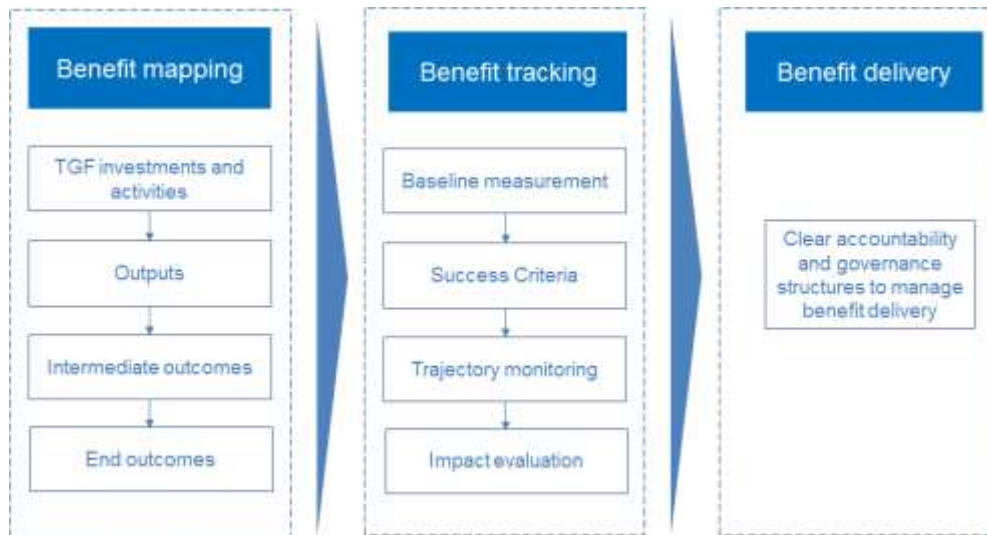


## 449 Component 4: Benefit Realisation Strategy

450 The three parts of the TGF Benefit Realisation Strategy are:

- 451 • **Benefit Mapping:** which sets out all the intended outcomes from the transformation program  
452 and gives visibility of how the outputs from specific activities and investments in the program  
453 flow through to deliver those outcomes;
- 454 • **Benefit Tracking:** which takes this a step further by baselining current performance against the  
455 target output and outcomes, defining “smart” success criteria for future performance, and  
456 tracking progress against planned delivery trajectories aimed at achieving these success criteria;  
457 and
- 458 • **Benefit Delivery:** which ensures that governance arrangements are in place to ensure continued  
459 benefits after the initial transformation program is implemented.

460 The relationship between these parts and conformance criteria for this element of the TGF are  
461 shown below.



462

463 **Figure 8: Overview of the Benefit Realisation Strategy**

**Any conformant implementation of the Benefit Realisation Strategy:**

**MUST** clearly identify and quantify the impacts and outcomes that implementation of the TGF aims to achieve

**SHOULD** ensure clear line-of-sight between every investment and activity in the programme, the immediate outputs these produce, and the final targeted outcomes

**MUST** establish clear and quantified baselines for the current performance of target outputs and outcomes

**MUST** set measurable success criteria

**SHOULD** track progress against planned delivery trajectories for each of the targeted outputs and outcomes

**MUST** establish clear accountability and governance structures to manage benefit delivery

464

---

## 465 Terminology and Reference Model

466 The Business Management Framework of the TGF includes formal terminology and a reference  
467 model in order to ensure that all stakeholders have a clear, consistent and common understanding of  
468 the key concepts involved in Transformational Government; how these concepts relate to each  
469 other; how they can be formally modelled; and how such models can be leveraged and integrated  
470 into new and existing information architectures.

471 This enables any conformant agency to use a common terminology without ambiguity and be sure  
472 that these terms are used consistently throughout all work.

473 Some key concepts are already introduced below. Further guidance on how the terminology is  
474 composed and how a reference model may be used is given in Part III (a) of this Primer.

## 475 Core Terminology

### 476 *TGF Leadership, Stakeholders, Administrations and Agencies*

#### 477 **Leadership**

478 *Key people and governance structures needed to develop and implement a*  
479 *Transformational Government program*

#### 480 **Stakeholder**

481 *Any claimant inside or outside an organisation who have a vested interest in any*  
482 *problem and/or its solution*

#### 483 **Stakeholder Governance Model**

484 *Model and process in which key stakeholders are identified, engaged and buy-in to*  
485 *the transformation program*

### 486 *Transformation Business Model*

#### 487 **Delivery Roadmap**

488 *A detailed multi-year plan for the delivery of an overall cross-government vision for*  
489 *service transformation*

#### 490 **Transformational Government**

491 *A managed, citizen-centred, process of ICT-enabled change in the public sector*  
492

### 493 *Policy formulation and Policy Products*

#### 494 **Goal**

495 *A broadly stated, unmeasured but desired outcome. Not to be confused with an*  
496 **Objective**

#### 497 **Need**

498 *A general statement expressed by a stakeholder of something that is required. Not*  
499 *to be confused with a Requirement*

#### 500 **Objective**

501 *A specific, measurable and achievable outcome that a participant seeks to achieve*  
502

#### 502 **Policy Product**

503 *A document that has been formally adopted on a government-wide basis and aimed*  
504 *at helping achieve one or other goal of citizen service transformation*

505 **Requirement**

506 *A formal statement of a desired result that, if achieved, will satisfy a need*

507 *Service delivery and the Franchise Marketplace Model*

508 **Accessibility**

509 *A policy prescription that aims at ensuring that people with disabilities and the*  
510 *elderly can use public services with the same service levels as all other citizens.*

511 **Channel**

512 *A particular means and/or path of delivery of a service to a customer*  
513

514

**Customer Franchise**

515

*A collaborative organisation created by the government with the purpose of: understanding the needs of a specific customer segment for government services (such as, for example, parents, motorists, disabled people, land and property); championing the needs of that segment within government; aggregating content and transactions for that segment from across government and beyond; and delivering that content and services as part of the wider Franchise Marketplace.*

516

517

518

519

520

521

**Franchise Marketplace**

522

*The virtual business infrastructure within which Customer Franchises collaborate with each other and other stakeholders to deliver user-centric, trusted and interoperable content and transactions to citizens and businesses. The Franchise Marketplace is the business model recommended by the TGF for best delivering the TGF Guiding Principle of “Build services around customer needs, not organisational structure”.*

523

524

525

526

527

528

**Delegate**

529

*Some person or agent acting with authority on behalf of another person.*

530

**Inclusion**

531

*A policy prescription that aims at allowing everyone to take full advantage of the opportunities offered by new technologies to overcome social and economic disadvantages and exclusion.*

532

533

534

*SOA and Technology Infrastructure*

535

**Ecosystem**

536

*A set of ICT systems and stakeholders together with the environment and context within which they all operate*

537

538

**Interoperability**

539

*The ability of disparate and diverse organisations to interact towards mutually beneficial and agreed common goals, involving the sharing of information and knowledge between the organisations, through the business processes they support, by means of the exchange of data between their respective ICT systems.*

540

541

542

543

**Security**

544

*The set of mechanisms for ensuring and enhancing trust and confidence in a system.*

545

**Service-Orientation, Service-Oriented**

546

*A paradigm for organizing and utilizing distributed capabilities that may be under the control of different ownership domains.*

547

548

**System**

549

*A collection of components organized to accomplish a specific function or set of functions*

550

551

## 552 Conformance Criteria

553 A consolidated view of the conformance criteria described in the TGF is given below. Any conformant  
554 implementation of this Framework:

- 555 **1. MUST use the Guiding Principles** set out in Component 1 of the TGF
- 556 **2. MUST have delivery processes for business management, customer management, channel**  
557 **management and technology management** which address the best practices described in  
558 Component 2 of the TGF. Specifically, this means:
- 559 a) A Business Management Framework which:
- 560 • **MUST have Leadership which involves:**
    - 561 – Clear accountability at both the political and administrative levels;
    - 562 – Deployment of formal program management disciplines;
    - 563 – A clearly identified mix of leadership skills;
    - 564 – Engagement of a broad-based leadership team across the wider government.
  - 565 • **MUST have a Collaborative Stakeholder Governance Model**
  - 566 • **MUST have an agreed and common terminology and reference model**
  - 567 • **MUST have a Transformation Business Model**
  - 568 • **SHOULD use the Franchise Marketplace Model**
  - 569 • **MUST use the Policy Product Map** as a tool to help identify Policy Products needed within  
570 the relevant government
  - 571 • **MUST have a phased Transformation Roadmap**
- 572 b) A Customer Management Framework which:
- 573 • **MUST have a Brand-led Service Delivery Strategy**, which is agreed and managed at a whole-  
574 of-government level and which addresses:
    - 575 – Customer Insight
    - 576 – Product Management
    - 577 – Marketing and communication
  - 578 • **MUST have a Citizen Identity Management Framework**, which:
    - 579 – Uses a federated business model
    - 580 – Uses a service-oriented architecture (as part of the wider SOA described in the TGF  
581 Technology Management Framework)
    - 582 – Is citizen-centric, giving citizens control, choice and transparency over personal data
  - 583 • **MUST have a Citizen Empowerment Framework**, which encourages and enables service  
584 innovation in the Citizen-to-Citizen, Business-to-Citizen, Citizen-to-Government, and  
585 Business-to-Government sectors
- 586 c) A Channel Management Framework which:
- 587 • **MUST have a clear mapping of existing channels**, and their cost structures
  - 588 • **MUST have a Channel Transformation Strategy** which addresses the following elements:

- 589 – Shifting service users into lower cost, digital channels  
590 – Optimising the cost and performance of each channel, including through use of  
591 benchmarking  
592 – Improving cross-channel management, with the aim of providing a seamless user  
593 experience across different channels  
594 – Developing a thriving mixed economy in the delivery of government services by private  
595 and voluntary sector intermediaries.
- 596 d) A Technology Management Framework which:
- 597 • **MUST** manage information and ICT system resources as distinct, valued assets including  
598 issues related to the Identification, ownership, stewardship and usage policies for each asset  
599 type;
  - 600 • **MUST** explicitly model the stakeholders, actors and systems that comprise the overall  
601 service ecosystem and their relationships to each other
  - 602 • **SHOULD** maintain and update the stakeholder model on a regular basis
  - 603 • **MUST** use the OASIS 'Reference Model for SOA' as the primary source for core concepts and  
604 definitions of the SOA paradigm, including
    - 605 – A clear understanding of the goals, motivations and requirements that any SOA-based  
606 system is intended to address;
    - 607 – Identifiable boundaries of ownership of all components (and identity of the components  
608 themselves) in any SOA ecosystem;
    - 609 – Discrete service realisation and re-use that provides a capability to perform some work  
610 on behalf of another party;
    - 611 – The specification of any capability that is offered for use by another party with clear  
612 service descriptions and contracts
- 613 **3. MUST measure and manage the Critical Success Factors** outlined in Component 3 of the TGF
- 614 **4. SHOULD seek regular, independent review of performance** against these Critical Success  
615 Factors
- 616 **5. MUST have a Benefit Realisation Strategy** which addresses the areas of benefit mapping,  
617 benefit tracking and benefit delivery as described in Component 4 of the TGF
- 618 In terms of the primary users identified for the TGF in Part I:
- 619 • A conformant government will be able to demonstrate and document that it is engaged in a  
620 Transformation Program which complies with all these criteria.
  - 621 • A conformant private-sector organisation will be able to demonstrate and document that it  
622 provides products and services which help governments to comply with all these criteria.

## 623 Part III: Guidance Notes

624 This part of the TGF Primer sets out some initial guidance to help TGF users understand and  
625 implement the TGF, focusing in particular on:

- 626 • The TGF Business Management Framework
- 627 • The TGF Customer Management Framework
- 628 • The TGF Channel Management Framework
- 629 • The TGF Technology Management Framework
- 630 • TGF Terminology.

631 We envisage issuing further guidance over time, but this initial set of guidance notes is intended to  
632 give a deeper view of the context for these major elements of the TGF, and to highlight best practice  
633 approaches to its implementation.

---

## 634 Part III (a): Guidance on the TGF Business Management 635 Framework

### 636 Introduction

637 The TGF Business Management Framework is in four main sections:

- 638 • Context
- 639 • Overview of key components in the TGF Business Management Framework
- 640 • Detailed description of and guidance on the key components

### 641 Context

642 For largely historical reasons, governments are generally organised around individually accountable  
643 vertical silos (for example, tax, health, transport) with clear demarcations between central, regional,  
644 and local government. Even within a particular tier of government, several organisations can have  
645 responsibility for different aspects of the same person, same asset or same process. Yet citizen and  
646 business needs cut across these demarcations. In moving to a customer-centric approach, it is vital to  
647 redress this fragmented approach to business management, and to put in place business  
648 management processes which operate at the whole-of-government level.

### 649 Overview of key components in the TGF Business Management 650 Framework

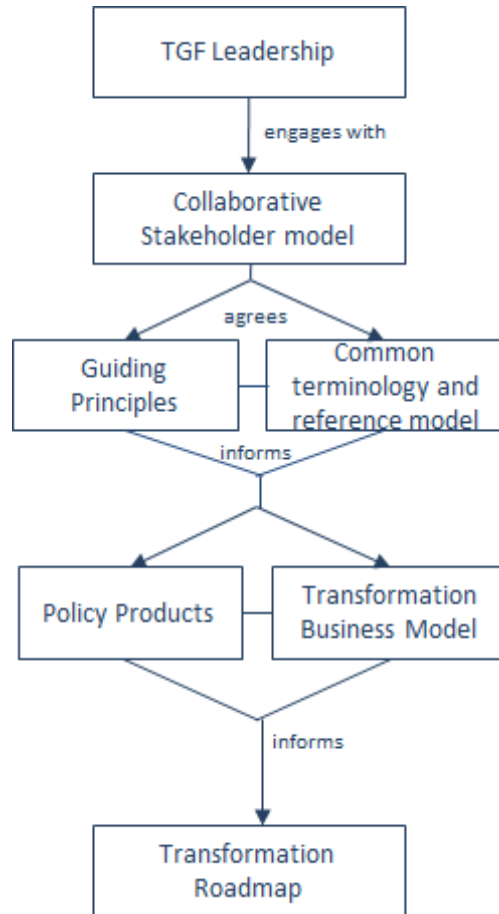
651 The Transformational Government Framework identifies six key aspects of business management  
652 which need to be tackled in this way:

- 653 • **Transformational Government leadership:** the key people and governance structures needed to  
654 develop and implement a Transformational Government program
- 655 • **A collaborative Stakeholder Governance Model:** the process by which all key stakeholders are  
656 identified, engaged and buy-in to the transformation program, including to the Guiding  
657 Principles described in Component 1 of the TGF
- 658 • **A common terminology and reference architecture:** ensuring that all stakeholders have a clear,  
659 consistent and common understanding of the key concepts involved in Transformational  
660 Government and how these inter-relate
- 661 • **A Transformation Business Model:** a new virtual business layer within government, focused  
662 round the needs of citizens and businesses, which enables the existing silo-based structure of  
663 government to collaborate effectively in understanding and meeting user needs
- 664 • **The development and management of Policy Products** that constitute the documented  
665 commitment to the transformational process of any conformant agency
- 666 • **A Transformation Delivery Roadmap:** giving a four to five year view of how the program will be  
667 delivered, with explicit recognition of priorities and trade-offs between different elements of the  
668 program.

669 A high level view of the logical relationships between these components is illustrated below.



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The patent provisions of the OASIS IPR Policy do not apply.



670 **Figure 9:** Key components of the Business Management Framework

## 671 Transformational Government Leadership

672 Transformation programs require sustained leadership over a period of years.

673 There is no “ideal” leadership structure for a transformation program: the optimal positioning of the  
674 leadership team will depend on the context of each specific government. However, global  
675 experience suggests the following factors are vital to address in whichever way is most appropriate  
676 for the specific context:

- 677 • **A clear focus of accountability:** at both the political and administrative levels there should be an  
678 explicit functional responsibility for the Transformation Program. These functions should be  
679 occupied by individuals with sufficient authority to command the resources and mobilise the  
680 support necessary to fulfil this mission.
- 681 • Deployment of **formal program management disciplines:** to deliver effective-Government-wide  
682 transformation, it is vital to use a formalised program management approach, such as PRINCE 2<sup>9</sup>.

<sup>9</sup> PRINCE2 is a process-based approach for project management, providing an easily tailored and scalable project management methodology for the management of all types of projects. The method is the de-facto standard for project management in the UK and is practiced worldwide. It is in the public domain, offering non-proprietary best practice guidance on project management. PRINCE2 is a registered trademark of the UK government’s Office of Government Commerce.

- 683 • Ensuring the **right skills mix in the leadership team**. Effective leadership of a Transformation  
684 Program requires the senior accountable leaders to have access to a mix of key skills in the  
685 leadership team which they build around them, including: strategy development skills,  
686 stakeholder engagement skills, marketing skills, commercial skills and technology management  
687 skills. Deployment of a formal competency framework such as SFIA<sup>10</sup> can be helpful in identifying  
688 and building the right skill sets.
- 689 • Building a **broad-based leadership team across the wider government**. It is not essential that all  
690 Ministers and senior management are committed to the transformation program from the  
691 outset. Indeed, a key feature of an effective roadmap for transformation is that it nurtures and  
692 grows support for the strategy through the implementation process. However, it is important  
693 that the program is seen not simply as a centralised or top-down initiative. Sharing leadership  
694 roles with senior colleagues across the Government organisation is therefore important. Further  
695 detail on this is set out in the section below on a collaborative stakeholder model.

## 696 Collaborative Stakeholder Governance Model

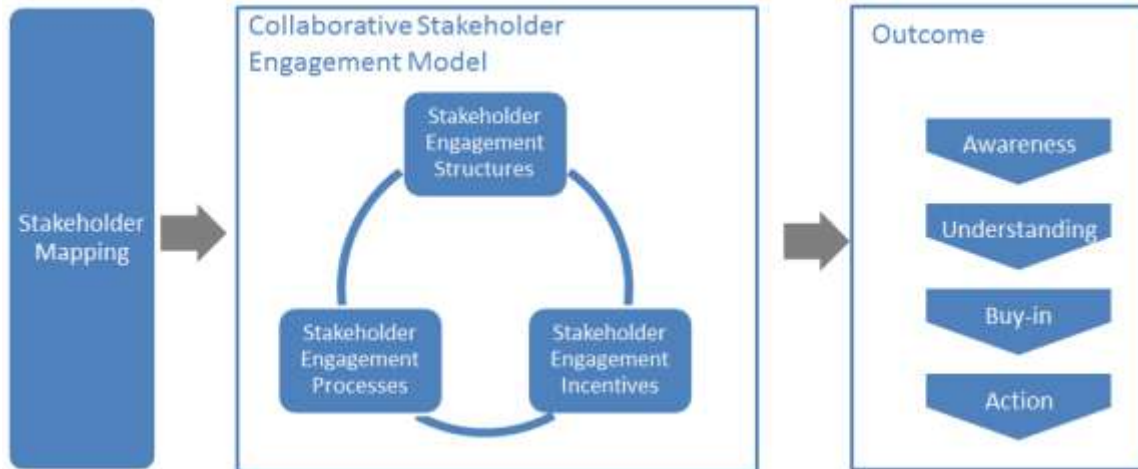
697 Development and delivery of an effective Transformational Government program requires  
698 engagement with a very wide range of stakeholders, not only across the whole of government but  
699 also with the private sector, voluntary and community sectors as well as with business and citizen  
700 users of public services. A significant effort is needed to include all stakeholders in the governance  
701 of the Transformational Government program at an appropriate and effective level.

702 Key elements are set out below that a conformant TGF program will need to address in developing  
703 its Collaborative Stakeholder Governance Model, if it is to engage successfully with stakeholders and  
704 align them effectively behind shared objectives. Each of these elements is then discussed in more  
705 detail.

---

<sup>10</sup> The Skills Framework for the Information Age (SFIA) provides a common reference model for the identification of the skills needed to develop effective Information Systems (IS) making use of ICT, enabling employers of ICT professionals to carry out a range of HR activities against a common framework of reference - including skill audit, planning future skill requirements, development programmes, standardisation of job titles and functions, and resource allocation. The Skills Framework for the Information Age is owned by The SFIA Foundation: [www.SFIA.org.uk](http://www.SFIA.org.uk).

This is a Non-Standards Track Work Product.  
The patent provisions of the OASIS IPR Policy do not apply.

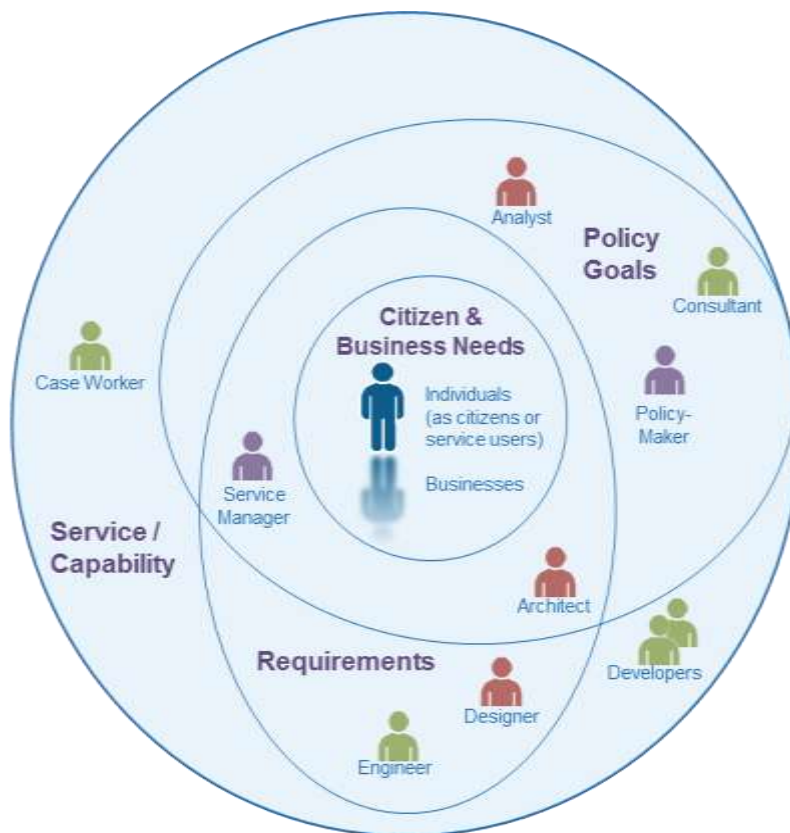


706

707 **Figure 10:** Overview of Collaborative Stakeholder Governance

### 708 *Stakeholder Mapping*

709 It is vital to describe and map the complete landscape of relevant stakeholders. The  
710 Transformational Government Framework puts the individual – whether as a citizen or as someone  
711 acting within a business or other role – at the centre:



712

713 **Figure 11:** Landscape of some key stakeholders

714 This view deliberately and completely avoids the rather generic concept of ‘User’ that is dominant in  
715 traditional IT stakeholder engagement models, preferring rather to identify the different interests  
716 and concerns that are at stake (the mauve labels) and the key groups of stakeholders (the different  
717 people icons) in the development of any service.

718 The figure is by no means complete nor the only ‘valid’ view. It seeks instead to illustrate that the  
719 process of transformation requires reappraisal of the current set-up and assessment of what needs  
720 to change.

721 By clearly separating out key stakeholder groups and starting to understand and articulate their  
722 specific concerns *as stakeholders* (any individual’s *role* may vary according to context: in one  
723 situation, a person is a parent; in another, a policy-maker; or another, a service provider), we can  
724 start to understand how stakeholders relate (in different roles): to each other; to various  
725 administrations and services involved; to policy drivers and constraints; and how these all come  
726 together in a coherent ecosystem supported by a Transformational Government Framework. In this  
727 view,

- 728 • A **service** (or ICT capability made available as a service) is understood as responding to a set of  
729 requirements and policy goals (some of which overlap) – stakeholders concerned at this level  
730 include, for example, case workers in a public administration or developers who have worked  
731 with them in delivering a specific service;
- 732 • **Requirements** encapsulate and formalise vaguely stated goals and needs of citizens and  
733 businesses and take on board the policy goals of the political sponsor or champion –  
734 stakeholders at this level include, for example, managers of public service who can articulate the  
735 needs of their respective services, the information and systems architects who capture those  
736 needs as formal requirements that engineers can work with to develop services;
- 737 • **Policy Goals** capture the high-level concerns and priorities of the political authorities and  
738 continually assess how these goals reflect key citizen and business concerns – stakeholders  
739 include policy makers and senior management as well as consultants and analysts involved in  
740 helping identify technology and administrative trends that can be used to leverage those goals;  
741 and finally;
- 742 • Citizen and Business **Needs** that, ultimately, can only be fully understood by the people  
743 concerned themselves – nonetheless stakeholders at this level can also include citizen or  
744 business associations, consumer and other interest groups who engage with policy makers to  
745 advance the interests of certain groups with distinct needs and are able to articulate those needs  
746 in ways that can be used by analysts and consultants.

747 The various ellipses in the diagram above are deliberately not concentric circles. This is to underline  
748 that the process of establishing a service or capability is not a linear one going from needs, goals and  
749 requirements. In reality stages are often inter-related.

750 The mapping of stakeholders and their principal concerns at a generic level is used as a key input to  
751 the TGF reference model outlined in the next section and that needs to be validated within any TGF  
752 program. It is valuable as a tool for encouraging collaborative governance as it renders explicit many  
753 of the relationships and concerns that are often left implicit but nonetheless impact on an  
754 organisation’s ability to reflect stakeholders’ concerns.

## 755 *The Stakeholder Engagement Model*

756 However, it is not enough simply to map and understand stakeholder relationships and concerns. An  
757 effective TGF program will also address the three other dimensions of the model illustrated above:

- 758 • **Stakeholder Engagement Structures:** the organisational arrangements put in place to lead the  
759 transformation programme, e.g.:
  - 760 – central unit(s)
  - 761 – governance boards
  - 762 – industry partnership board
- 763 • **Stakeholder Engagement Processes:** the processes and work flows through which the TGF  
764 Leadership and the different TGF Stakeholders interact, e.g.:
  - 765 – reporting and accountability processes
  - 766 – risk management processes
  - 767 – issue escalation processes
  - 768 – consultation processes
  - 769 – collaborative product development processes.
- 770 • **Stakeholder Incentives:** the set of levers available to drive change through these governance  
771 structures and processes. These will vary by government, but typical levers being deployed  
772 include:
  - 773 – central mandates
  - 774 – political leadership
  - 775 – administrative championship
  - 776 – personal performance incentives for government officials
  - 777 – alignment between public policy objectives and the commercial objectives of private sector  
778 partners.

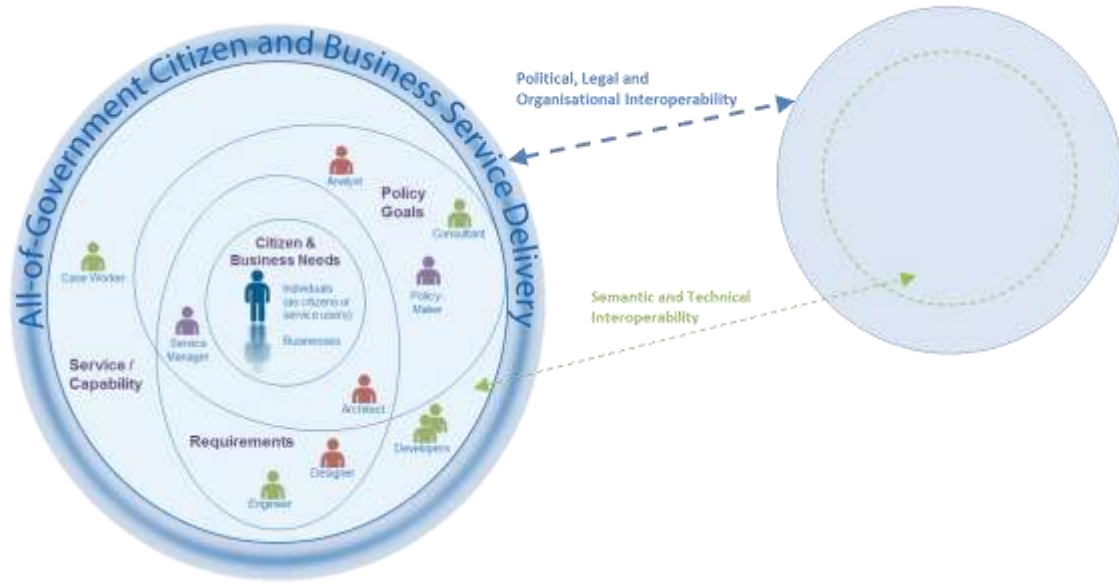
779 There is no one right model for doing this successfully, but any conformant TGF program needs to  
780 make sure that it has used the framework above to define its own Collaborative Stakeholder  
781 Engagement Model which explicitly articulates all of these elements: a comprehensive stakeholder  
782 map, coupled with the structures, processes and incentives needed to deliver full understanding and  
783 buy-in to the program, plus effective stakeholder action in support of it.

## 784 *Collaboration between TGF Programs*

785 The model clearly focuses attention *within* any specific TGF program. However (and increasingly)  
786 collaboration is required also *between* governments and, by implication, between TGF programs.

787 In the figure below, we see that collaboration between TGF programs is favoured at the political,  
788 legal and organisational levels and only later, if and when necessary, at the more 'tightly-coupled'  
789 semantic and technical levels.

This is a Non-Standards Track Work Product.  
The patent provisions of the OASIS IPR Policy do not apply.



790

791 **Figure 12:** Collaboration between TGF programs through different levels of Interoperability

792 This approach is also consistent with the SOA paradigm for service development – not only are  
793 requirements defined and services offered independently of any underlying technology or  
794 infrastructure but also one TGF program can be seen (and may need to be seen) as a ‘service  
795 provider’ to another TGF program’s ‘service request’. For example, a business wishing to establish  
796 itself in a second country may need to provide authenticated information and credentials managed  
797 by government or business in the first country.

798 A further advantage of this approach is that it becomes easier to identify and manage high level  
799 government requirements for services: whether in the choice of ICT standards that may need to be  
800 used to address a particular technology issue or determining the criteria for awarding public  
801 procurement contracts, this approach allows a ‘loose-coupling’ at the level of clearly defined high-  
802 level policy needs rather than the more tightly-coupled and often brittle approach of specifying  
803 particular technologies, software or systems.

## 804 Common Terminology and Reference Model

805 In any change program of this breadth and complexity, it is vital that all stakeholders have a common  
806 understanding of the key concepts involved and how they interrelate, and have a common language  
807 to describe these in.

808 We therefore recommend that a TGF-conformant transformation program should seek to agree with  
809 stakeholders a common Terminology and Transformation Reference Model.

### 810 *Why have a terminology and reference model?*

811 In everyday life, we use **terms** – ‘citizen’, ‘need’, ‘service’ – as common, often implicitly accepted  
812 labels for **concepts**. The concept is the abstract mental idea (which should be universal and language  
813 independent) to which the term gives a material expression in a specific language. Particularly in an

814 international environment such as global standardization initiatives, the distinction is important as it  
815 is common concepts that we wish to work with, not common terms<sup>11</sup>.

816 This distinction also helps avoid common modelling pitfalls. Terms that may seem similar or the same  
817 across two or more languages may actually refer to different concepts; or a single term in one  
818 language could be understood to refer to more than one concept which another language expresses  
819 with discrete terms: For example, the English *term* ‘service’ can refer to different *concepts* - an  
820 organisational unit (such as ‘Passport Service’) or something that is performed by one for another  
821 (such as ‘a dry cleaning service’), whereas discrete terms are used for the discrete concepts in  
822 German (‘Dienst’ or ‘Dienstleistung’). As the TGF is intended for use anywhere in the world, it is  
823 important to ensure that (ideally) global concepts can be transposed and translated and thus  
824 understood in other languages: we therefore need to associate an explicit definition with each  
825 concept as we do in a dictionary. The TGF uses the structure and methodology of an existing  
826 international standard to create its terminology<sup>12</sup>

827 Concepts do not exist in isolation, however. It is the broader understanding of the relationships  
828 between concepts that give those concepts fuller meaning and allow us to model our world, our  
829 business activities, our stakeholders, etc. in a way that increases the chance that our digital systems  
830 are an accurate reflection of our work. In information science, an ontology is a formal representation  
831 of knowledge as a set of concepts within a domain, and the relationships between those concepts. It  
832 can be used to describe the domain (the coverage should be sufficiently comprehensive to include all  
833 concepts relevant to the domain) and to reason about the domain.

834 The TGF does not include a formal ontology but is sufficiently clear in its concepts, definitions and  
835 relationships between concepts that the Framework will use consistently as an internally coherent  
836 set. It does include however a “reference model” that is clear enough that subsequent ontology  
837 development is possible if so desired.

838 The TGF Primer already includes formal definitions of key concepts used throughout the Framework  
839 and a complete terminology and reference model – that formalizes the concepts and the  
840 relationships between them – is prepared as a separate deliverable.

## 841 Transformation Business Model

### 842 *Weaknesses of current models*

843 A central task of the TGF leadership and collaborative stakeholder model is to develop a new and  
844 effective business model which enables the machinery of government to deliver citizen-centric  
845 services in practice.

846 It is failure to address this requirement for a new business model which, arguably, has been the  
847 greatest weakness of most traditional e-Government programmes. For the most part, the transition  
848 to e-Government has involved overlaying technology onto the existing business model of  
849 government: a business model based around unconnected silos - in which policy-making, budgets,  
850 accountability, decision-making and service delivery are all embedded within a vertically-integrated

---

<sup>11</sup> This is central to all multi-lingual thesauri, for example, where the core item of organisation is the concept, not the term.

<sup>12</sup> “Terminology work – Vocabulary – Part 1: Theory and application” [ISO 1087-1:2000]

851 delivery chain based around specific government functions. The experience of governments around  
852 the world over the last two decades is that this simply does not work.

853 So what is the new business model which is required to deliver citizen service transformation? Many  
854 attempts have been made by governments to introduce greater cross-government coordination, but  
855 largely these have been "bolted on" to the underlying business model, and hence experience only  
856 limited success.

### 857 *The Franchise Marketplace Model*

858 This Framework recommends implementation of a business model which permits the joining-up of  
859 services from all parts of government and external stakeholders in a way that makes sense to citizens  
860 and businesses, yet without attempting to restructure the participating parts of government.

861 Conceptually, this leads to a model where the existing structure of government continues to act as a  
862 supplier of services, but intermediated by a "virtual" business infrastructure based around customer  
863 needs. A top-level view of such a virtual, market-based approach to citizen service transformation is  
864 set out in the figure below:



865  
866 **Figure 13:** *Overview of the Franchise Marketplace*

867 Key features of this business model are:

- 868 • The model puts into place a number of agile cross-government virtual "franchise businesses"  
869 based around customer segments (such as, for example, parents, motorists, disabled people).  
870 These franchises are responsible for gaining full understanding of their customers' needs so that  
871 they can deliver quickly and adapt to changing requirements over time in order to deliver more



872 customer centric services - which in turn, is proven to drive higher service take-up and greater  
873 customer satisfaction.

- 874 • Franchises provide a risk-averse operational structure that enables functionally-organised  
875 government agencies at national, regional and local to work together in a customer-focused  
876 "Delivery Community". They do this by :
  - 877 – Enabling government to create a "virtual" delivery structure focused on customer needs
  - 878 – Operating across the existing structure of Government (because they are led by one of the  
879 existing "silos") and resourced by organisations that have close links with the relevant  
880 customer segment including, possibly, some outside of government
  - 881 – Dividing the task into manageable chunks
  - 882 – Removing a single point of failure
  - 883 – Working to a new and precisely-defined operating model so as to ensure consistency
  - 884 – Working across and beyond government to manage the key risks to citizen-centric service  
885 delivery
  - 886 – Acting as change agents inside-Government departments / agencies.
- 887 • The model enables a "mixed economy" of service provision:
  - 888 – firstly, by providing a clear market framework within which private and voluntary sector  
889 service providers can repackage public sector content and services; and
  - 890 – secondly by deploying 'Web 2.0' type approaches across government that promote re-use  
891 and 'mash-ups' of existing content and services, to make this simpler and cheaper at a  
892 technical level.
- 893 • The whole model is capable of being delivered using Cloud Computing

894 This Franchise model represents an important break-through in the shift from a traditional  
895 e-Government approach towards citizen service transformation. Certainly, the model as a whole or  
896 key elements of it has been adopted successfully in governments as diverse as the UK, Hong Kong,  
897 Croatia, Abu Dhabi and Australia (where it has been adopted by both the South Australia and  
898 Queensland governments).

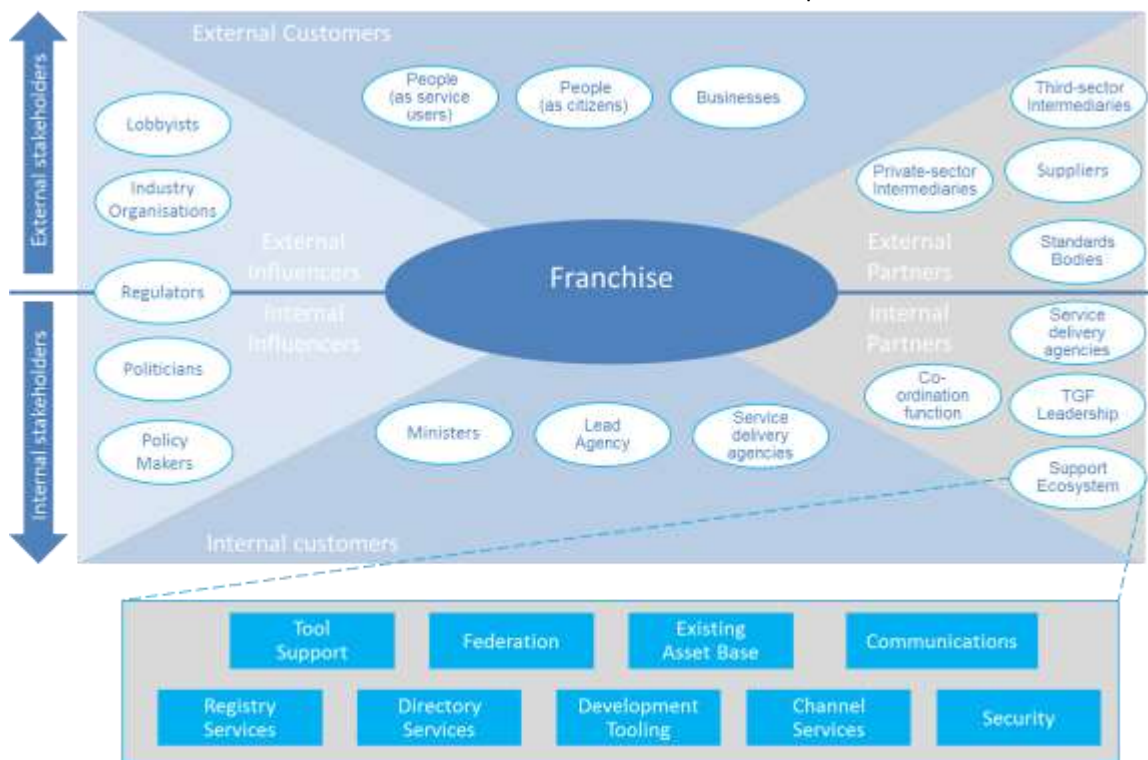
899 It is clearly possible that alternate models may develop in future. But however the Transformational  
900 Government agenda develops, every government will need to find some sort of new business model  
901 along these lines, rather than continue simply to overlay technology onto an old silo-based business  
902 model built for an un-networked world.

### 903 *Enabling the Franchise Marketplace Model*

904 A number of relationships need to be managed by a franchise to enable it to develop, maintain and  
905 deliver transformational citizen-centric services. These represent different viewpoints that can be  
906 broadly classified as:

- 907 • **Customers:** Those citizens and businesses to whom the franchise delivers content and services,  
908 plus those internal stakeholders to whom the franchise provides a service within the  
909 government.
- 910 • **Partners:** Those who are actors in the normal operation and delivery of the service, both  
911 internally and externally to the government.

- 912 • **Influencers:** those who have a political, business or altruistic interest in the service and the part  
913 that it plays in broader government, business and social scenarios.  
914 • **Internal Customers:** Those who work with the franchise to develop and maintain the service.



915

916 **Figure 14:** Relationships in the Franchise Marketplace

### 917 *The Franchise*

918 The franchise is based around a customer segment. It may contain bodies drawn from central,  
919 regional, and state government and others that contribute to serving that segment.

920 It MUST have a lead organisation that ensures its interests are represented to other franchises and  
921 bodies. It MUST also have sponsoring organisations that with a responsibility for the full range of  
922 service perspectives across the segment.

923 The franchise is responsible for ensuring that all relationships with external bodies are managed and  
924 for the provision of supporting assets necessary to allow organisations within the franchise and  
925 working with it to discharge their responsibilities in an open, consultative and transparent manner.

926 Despite the importance of the franchise concept, it is not intended to add unnecessary bureaucracy  
927 – rather, it is intended to provide a lightweight framework within which participants can work  
928 naturally and cooperatively.

### 929 *Customers*

930 Customers are the most important actors in operational services as the services MUST address their  
931 needs and those of the people that they represent.

932 Thus, as well as being users, it is essential that they are consulted during the proposal stage for all  
933 services. Once operational, this group SHOULD to be involved in customer satisfaction exercises and  
934 the development of any service enhancements to ensure that their needs continue to be met.

935 It is vital that Franchises identify their internal government customers and apply similar customer  
936 research and customer satisfaction measurement to these internal customer relationships as well as  
937 to external ones.

### 938 *Partners*

939 Many partners will be involved in helping the Franchise effectively to deliver the requirements of its  
940 customer segment. The partnership may involve:

- 941 • working with the franchise to develop and maintain the service
- 942 • providing the supporting assets which give a technical underpinning for this and other services.

943 The supporting assets provide the technical underpinning for project delivery. Where they are  
944 publically owned, it is intended that they will provide light-touch governance and facilities (primarily  
945 technical) to support franchises and inter-working between them and with standards bodies.

946 It is essential that they ensure the provision and availability of assets that are universal (i.e.  
947 fundamental items that are required by all public sector organisations) or common (i.e. assets used  
948 across multiple franchises).

949 Tooling SHOULD to be provided with the aim of supporting all stakeholders and facilitating their  
950 collaboration.

### 951 *Influencers*

952 The influencers are those who identify, and possibly mandate, the need for a service. Accordingly, it  
953 is vital that they are able to steer developments within and across franchises. They also have a  
954 responsibility to ensure that all stakeholders are aligned and are organisationally capable of  
955 discharging their responsibilities.

## 956 *Policy Product Management*

957 We define a "Policy Product" as: any document which has been formally adopted on a government-  
958 wide basis in order to help achieve the goals of citizen service transformation. These documents vary  
959 in nature (from statutory documents with legal force, through mandated policies, to informal  
960 guidance and best practice) and in length (some may be very lengthy documents; others just a few  
961 paragraphs of text). Policy Products are important drivers of change within government: first  
962 because the process of producing them, if managed effectively, can help ensure strategic clarity and  
963 stakeholder buy-in; and second because they then become vital communication and management  
964 tools.

965 Over recent years, several governments have published a wide range of Policy Products as part of  
966 their work on Interoperability Frameworks and Enterprise Architectures, and other governments are  
967 therefore able to draw on these as reference models when developing their own Policy Products.  
968 However, we believe that the set of Policy Products required to ensure that a holistic, government -  
969 wide vision for transformation can be delivered is much broader than is currently being addressed in  
970 most Interoperability Frameworks and Enterprise Architectures.

971 A TGF-conformant transformation program will use the matrix shown below to create a map of the  
 972 Policy Products that are needed to deliver the program effectively. This matrix maps the four  
 973 delivery processes described in Component 2 of the TGF (Business Management, Customer  
 974 Management, Channel Management and service-oriented Technology Management) against the five  
 975 interoperability domains identified in what is currently the broadest of Interoperability Frameworks -  
 976 the European Interoperability Framework (EIF): technical, semantic, organisational, legal and policy  
 977 interoperability. While the EIF framework is conceptually complete, by mapping it against these core  
 978 delivery processes, a much clearer sense can be gained of the actions which are needed.

The TGF Policy Product Map	Political Interoperability	Legal Interoperability	Organisational Interoperability	Semantic Interoperability	Technical Interoperability
Business Management	Strategic Business Case for overall Programme	Legal vires for inter-agency collaboration	Benefits Realisation Plan	Business Process Model	Technology roadmap
Customer Management	Identity Management Strategy	Privacy, data protection and data security legislation	Federated trust model for cross-agency identity management	Common data standards	Single sign-on architecture
Channel Management	Intermediaries Policy	Pro-competitive regulatory framework for the telecoms sector	Channel Management guidelines	Web accessibility guidelines	Presentation architecture
Technology Management	Information Security policy	Procurement legislation	Service level agreements	Physical data model	Interoperability Framework

979 **Figure 15:** A Policy Product Map completed with examples of individual policy products. Each cell in the  
 980 matrix may contain one or more policy products depending on the outcome of relevant analysis

981 A full analysis of the Policy Products which we recommend are typically needed to deliver an  
 982 effective and holistic transformation program will be included in a separate Committee Note “Tools  
 983 and Models for the Business Management Framework”. Although the detailed Policy Products in that  
 984 note are advisory and not all of them may be needed, any conformant transformation program  
 985 MUST use the overall framework and matrix of the Policy Product Map in order to conduct at  
 986 minimum a gap analysis aimed at identifying the key Policy Products needed for that government,  
 987 taking the Committee Note into account as guidance.

## 988 Transformation Roadmap

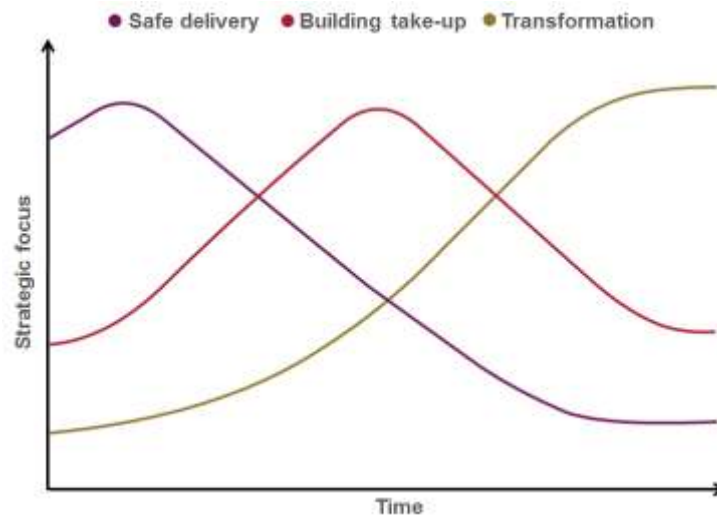
989 Finally, it is essential that the vision, strategy, business model and policies for citizen service  
 990 transformation are translated into an effective Transformation Roadmap.

991 Since everything can clearly not be done at once, it is vital to map out which elements of the  
 992 transformation programme need to be started immediately, which can be done later, and in what  
 993 order. There is no one-size-fits all strategy which governments can use, since strategy needs to be  
 994 tailored to the unique circumstances of each government's situation.

995 However, all governments face the same strategic trade-offs: needing to ensure clear line-of-sight  
 996 between all aspects of programme activity and the end outcomes which the Government is seeking  
 997 to achieve, and to balance quick wins with the key steps needed to drive longer term transformation.

998 In the early days of the Transformational Government program, we recommend that the major  
999 strategic focus should be on **safe delivery** - that is, prioritising high benefit actions which help to  
1000 accelerate belief and confidence across the Government and the wider stakeholder community that  
1001 ICT-enabled change is possible and beneficial - but which can be delivered with very low levels of  
1002 risk. As the programme develops, and an increasing number of services become available, the  
1003 strategic focus can move towards **building take-up**: that is, building demand for online services and  
1004 creating a critical mass of users. Once that critical mass starts to appear, the strategic focus can start  
1005 to shift towards fuller **transformation**: in other words, to start driving out some of the more  
1006 significant transformational benefits that high levels of service take-up enables, for example in terms  
1007 of reducing the cost of government service delivery.

1008 As the diagram below makes clear, these strategic foci are not mutually exclusive, but overlap.  
1009 Crucially, in the Safe Delivery phase there will also be some vital steps needed in order to pave the  
1010 way for longer term transformation, particularly in respect of establishing the business case for  
1011 transformation, and embedding the strategy in effective governance processes. But the diagram  
1012 shows how the strategic weight between each consideration should shift over time.



1013 Figure 16: *Roadmap priorities over time*

1014 Guided by the strategic trade-off framework described above, experience shows that a phased  
1015 approach is the most successful. Typically, an effective Delivery Roadmap will cover five main phases.

### 1016 *Plan*

1017 The preparation and planning needed to develop a tailored Delivery Roadmap for the Government,  
1018 to ensure that the business case for transformation is fully articulated, and that all key stakeholders  
1019 are on-board. Key outputs from this phase should include:

- 1020 • Transformation vision: a high level document setting out the agreed future model for
- 1021 transformation of our client organisation and its re-engineered business processes
- 1022 • Strategic business case: the key costs and benefits associated with the transformation
- 1023 programme
- 1024 • Delivery roadmap: a multi-year transformation plan, covering, among other things:
- 1025 – A change management plan (including communication and training plans)

- 1026 – Central capability building and governance processes
- 1027 – A sourcing strategy
- 1028 – A strategy for moving towards a service oriented ICT architecture
- 1029 – A risk management strategy
- 1030 – A high level benefit realisation plan, setting out the actions needed to ensure full
- 1031 downstream delivery of the intended benefits from the transformation programme.

### 1032 *Initiate*

- 1033 In this first phase of delivery, the focus is on building the maximum of momentum behind the
- 1034 Roadmap for the minimum of delivery risk. This means focusing in particular on three things:
- 1035 • some early quick wins to demonstrate progress and early benefits, for a minimum of delivery risk
  - 1036 and using little or no technology expenditure
  - 1037 • embedding the Roadmap in governance structures and processes which will be needed to inform
  - 1038 all future investments, notably the frameworks of enterprise architecture, customer service
  - 1039 standards and issue/risk management that will be required
  - 1040 • selecting effective delivery partners.

### 1041 *Deliver*

- 1042 In this phase, some of the more significant investments start coming on stream - for example, the
- 1043 first version of the major "one-stop" citizen-facing delivery platforms, and the first wave of
- 1044 transformation projects from "champion" or "early adopter" agencies within the Government

### 1045 *Consolidate*

- 1046 In this phase, the focus shifts towards driving take-up of the initial services, expanding the initial one-
- 1047 stop service over more channels, learning from user feedback, and using that feedback to specify
- 1048 changes to the business and technology architectures being developed as longer term, strategic
- 1049 solutions

### 1050 *Transform*

- 1051 Finally, the program looks to build out the broader range of e-transformation projects, drive forward
- 1052 the migration of all major citizen-facing services towards the new one-stop channels, and complete
- 1053 the transition to the full strategic IT platform needed to guarantee future agility as business and
- 1054 customer priorities change.

## 1055 Part III (b): Guidance on the TGF Customer Management 1056 Framework

### 1057 Introduction

1058 The TGF Customer Management Framework is in three main sections:

- 1059 • Context
- 1060 • Overview of key components in the TGF Customer Management Framework
- 1061 • Detailed description of and guidance on the key components

### 1062 Context

1063 The first of the Guiding Principles identified in Component 1 of the TGF is:

1064 *“Develop a detailed and segmented understanding of your citizen and business*  
1065 *customers:*

- 1066 • *Own the customer at the whole-of-government level;*
- 1067 • *Don't assume you know what users of your services think - research, research,*  
1068 *research;*
- 1069 • *Invest in developing a real-time, event-level understanding of citizen and*  
1070 *business interactions with government”*

1071 Putting these principles into practice involves taking a holistic, market-driven approach to every step  
1072 of the service design and delivery process. This in turn often requires new skills and management  
1073 practices to be brought into government. The TGF Customer Management Framework draws  
1074 together best practice on how to do this.

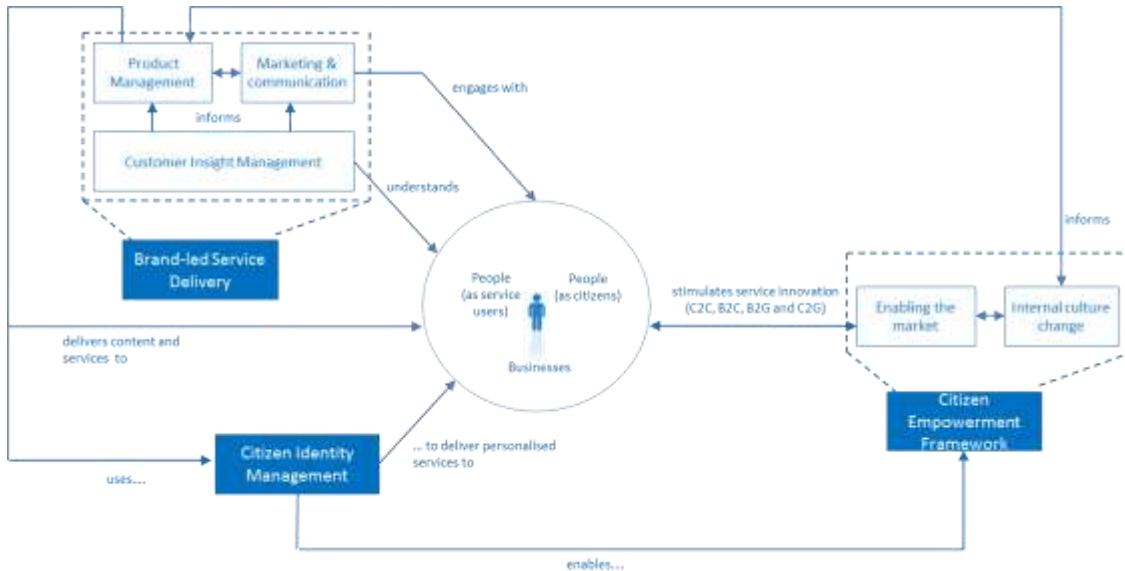
### 1075 Overview of key components in the TGF Customer Management 1076 Framework

1077 There are three key components of the TGF Customer Management Framework:

- 1078 • Brand-led Service Delivery
- 1079 • Identity Management
- 1080 • Citizen Empowerment

1081 A high level view of the logical relationships between these components is illustrated below.

This is a Non-Standards Track Work Product.  
The patent provisions of the OASIS IPR Policy do not apply.



1082  
1083 Figure 17: Overview of the Customer Management Framework

## 1084 Brand and Marketing Strategy

1085 Marketing is critical to effective citizen service transformation, yet is something at which  
1086 government traditionally does not excel. Often, marketing is fundamentally misunderstood within  
1087 government - as being equivalent to advertising or perhaps, more broadly, as being equivalent to  
1088 communication.

1089 Properly understood, however, marketing is the process of:

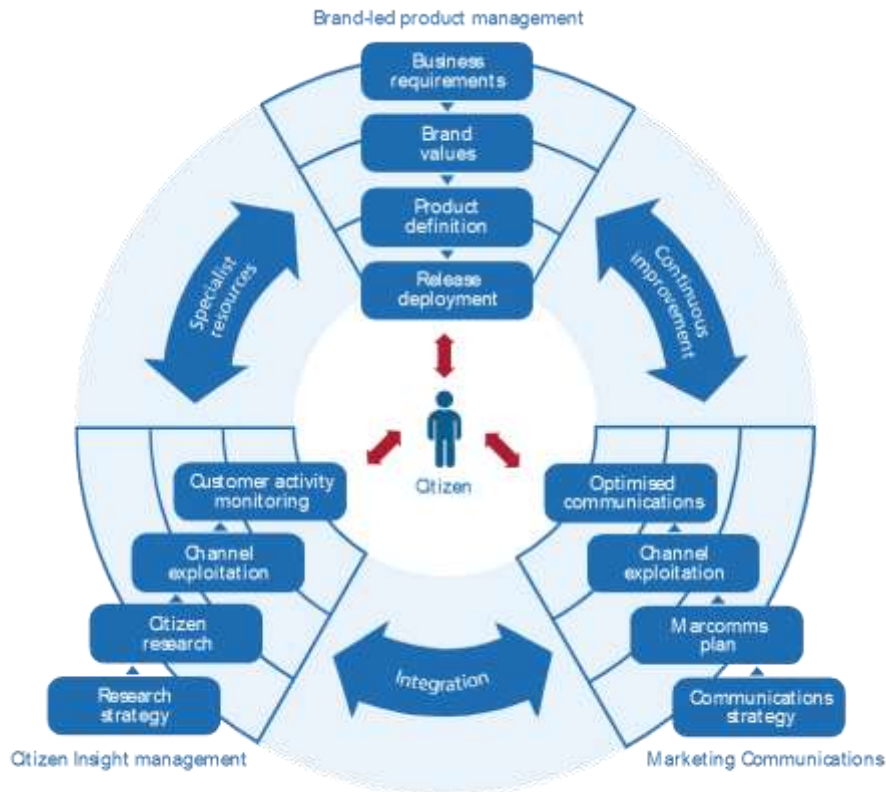
- 1090 • Understanding the target market for government services in all its breadth and complexity
- 1091 • Learning what is needed in order to meet citizen needs
- 1092 • Developing an offer for citizens and businesses that they will engage with
- 1093 • Establishing a clear set of brand values for that offer - a set of underpinning statements that  
1094 adequately describe what the product or service will deliver and how
- 1095 • Delivering that offer through appropriate channels, in a way which fully delivers on the brand  
1096 values
- 1097 • Generating awareness about the offer
- 1098 • Creating desire/demand for the offer
- 1099 • Reminding people
- 1100 • Changing the offer in the light of experience

1101 This is the process that a brand-led consumer product company such as Proctor and Gamble or Virgin  
1102 would go through when developing a new product. However, it is not typically how governments  
1103 manage their own service development, and governments generally lack the skills to do it.  
1104 Moreover, the challenge faced by governments is significantly more complex than any private sector  
1105 company, given the greater range and complexity of services and governments need to provide a  
1106 universal service rather than pick and choose its customers. Yet if governments are to succeed in the  
1107 ambition of shifting service delivery decisively away from traditional channels to lower-cost digital  
1108 channels, then these marketing challenges have to be met.



1109 And given the fact that a) citizen needs cut across organisational boundaries in government and b)  
1110 the skills for delivering an effective brand-led marketing approach to service transformation will  
1111 inevitably be in short supply, it is important that these challenges are addressed at a government-  
1112 wide level.

1113 A TGF-conformant Transformation Program will establish government-wide processes for managing  
1114 the three core elements of the TGF Brand-led Service Delivery Framework illustrated below:



1115

1116 Figure 18: *Brand-led Service Delivery Framework*

- 1117 • Citizen insight  
1118 • Brand-led product management  
1119 • Marketing communications

1120 Citizen insight must inform all aspects of the process, and involves a comprehensive programme of  
1121 qualitative and quantitative research to understand and segment the customer base for government  
1122 services. The learnings from this need to be fed into a brand-led product management process - not  
1123 as a one-off input of initial research, but through a continuous process of iterative design and  
1124 customer testing. A key output from this will be a set of brand values for the service, which then  
1125 need to drive all aspects of service delivery, and marketing communications for the service.

1126 This is an iterative process of continuous improvement, not a linear one. Continuous citizen insight  
1127 research is needed to ensure that both the service delivery experience and the marcoms activity  
1128 remain aligned with the brand values, through successive phases of release deployment. As the  
1129 service is implemented, across a range of channels, best practice management information systems

1130 can be deployed to ensure that the Government now has real-time, event-level management  
1131 information about the experience of all customers - which in turn provides a powerful feedback loop  
1132 into further innovation in the service design.

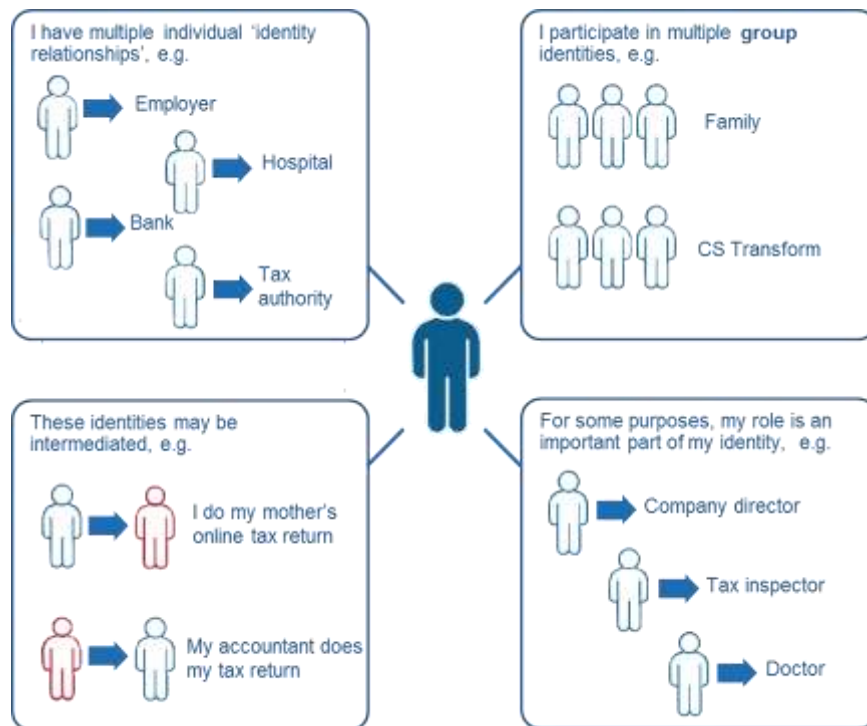
1133 Often, this will require the Government to bring in specialist resources, because typically it may face  
1134 significant gaps in terms of the people and skills needed to manage brand-led product development  
1135 and marketing cycles of this nature.

## 1136 Identity Management

1137 Identity management is a key enabler, yet something with which most governments struggle. At the  
1138 heart of that struggle is often a failure to put the citizen at the centre of government's thinking about  
1139 identity.

1140 A wide range of agencies, standards bodies and advocacy groups are deeply involved in many  
1141 aspects of this work, from technical models for privacy management (such as the OASIS PMRM  
1142 technical committee<sup>13</sup>) through to the business, legal and social issues around online identity  
1143 assurance (such as promoted by Open Identity Exchange, OIX<sup>14</sup>). It is not the purpose of the  
1144 Transformational Government Framework to address the details of identity management or  
1145 recommend specific policies or approaches but rather to give high-level guidance on the main issues  
1146 that a conformant program should seek to address.

1147 Identity is a complex, and by definition deeply personal, concept. As the following figure illustrates, a  
1148 single citizen in fact has multiple, overlapping "identities".



1149

<sup>13</sup> See [http://www.oasis-open.org/committees/tc\\_home.php?wg\\_abbrev=pmrm](http://www.oasis-open.org/committees/tc_home.php?wg_abbrev=pmrm)

<sup>14</sup> See <http://openidentityexchange.org/>

1150 Figure 19: *Complexity of identities*

1151 Each identity may be associated with different rights and permissions, even different addresses.  
1152 These identities overlap, but in some cases the citizen may want to keep them separate in order to  
1153 protect his or her privacy. At other times, the citizen may want them to be joined up, and be  
1154 frustrated at constantly having to furnish government with the same information over and over  
1155 again.

1156 Governments have often struggled to manage this complexity. Typically, identity is defined  
1157 separately in relation to each silo-based government service. Even countries which have traditionally  
1158 had the simplicity of a single citizen identifier (such as Finland, where there has been a single  
1159 population register since 1634), have tended to build up separate and inconsistent business  
1160 processes for identity verification. Although the advent of e-Government held out the promise of  
1161 significant simplification of identity management - bringing service improvement gains for the citizen  
1162 and efficiency savings for the Government - significant barriers remain. These include legal barriers  
1163 that have grown up over centuries of piecemeal approaches taken by public administrations (as well  
1164 as, more recently, also by the private sector) and put in place often to protect individuals from the  
1165 effects of equally piecemeal processes. As such the impact of any changes must be considered very  
1166 carefully.

1167 Many of the tools which governments have put in place to guarantee security in the online world  
1168 (passwords, PINs, digital signatures etc), have in practice acted as barriers to take-up of online  
1169 services. And attempts to join up databases to enable cross-government efficiencies and service  
1170 improvements have often been met with mistrust and suspicion by citizens.

1171 Increasingly, however, a set of best practices is emerging around the world which we believe  
1172 represents a way forward for citizen service transformation, which is broadly applicable across a very  
1173 wide range of governments.

1174 Key aspects of this are:

1175 *Business Architecture*

1176 Firstly, a business architecture for identity management which is based on federation between a  
1177 wide range of trusted organisations (the Government, banks, employers etc), and a clear model for  
1178 cross-trust between these organisations.

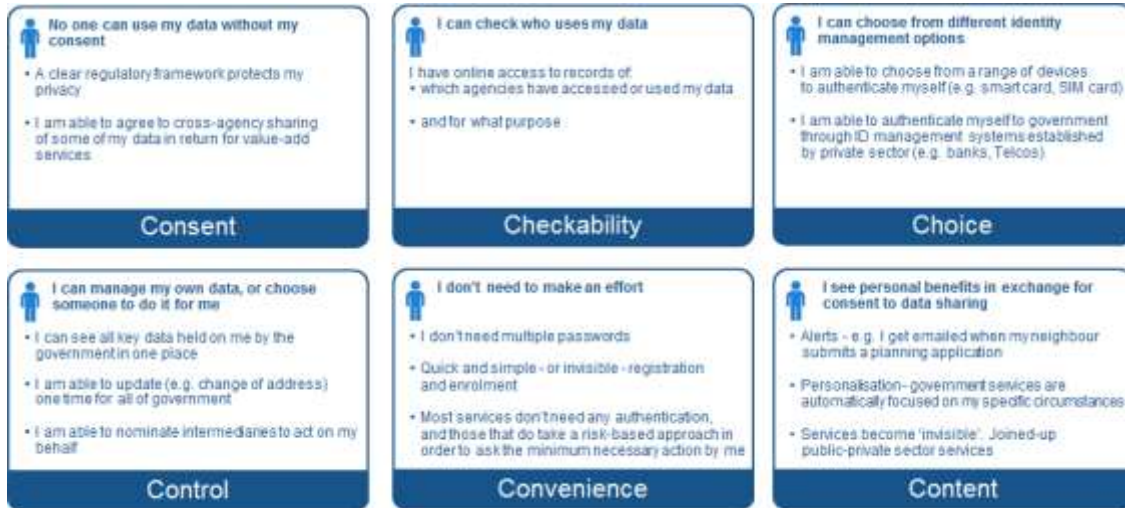
1179 *Technical Architecture*

1180 Secondly, a technology architecture to support this which does not rely on monolithic and potentially  
1181 vulnerable large databases, but which, in line with the SOA paradigm, uses Internet-based gateway  
1182 services to act as a broker between the different databases and IT systems of participants in the  
1183 federated trust model.

1184 *Citizen-centric Identity Model*

1185 Thirdly - and perhaps most importantly - a citizen service model for identity management which  
1186 places citizens themselves directly in control of their own data, able to manage their own  
1187 relationship with government – whether on their own behalf as citizens or in another identity

1188 relationship or intermediated role – and with clearly visible controls to reassure them that this is the  
1189 case. This citizen-centric approach to identity management is illustrated in the figure below.



1190  
1191 Figure 20: Overview of Citizen-Centric Identity Model

1192 No one-Government has implemented all features of this approach, but all are being successfully  
1193 deployed around the world, and together they represent our view of the approach to identity  
1194 management which will best help deliver Transformational Government.

## 1195 Citizen Empowerment Framework

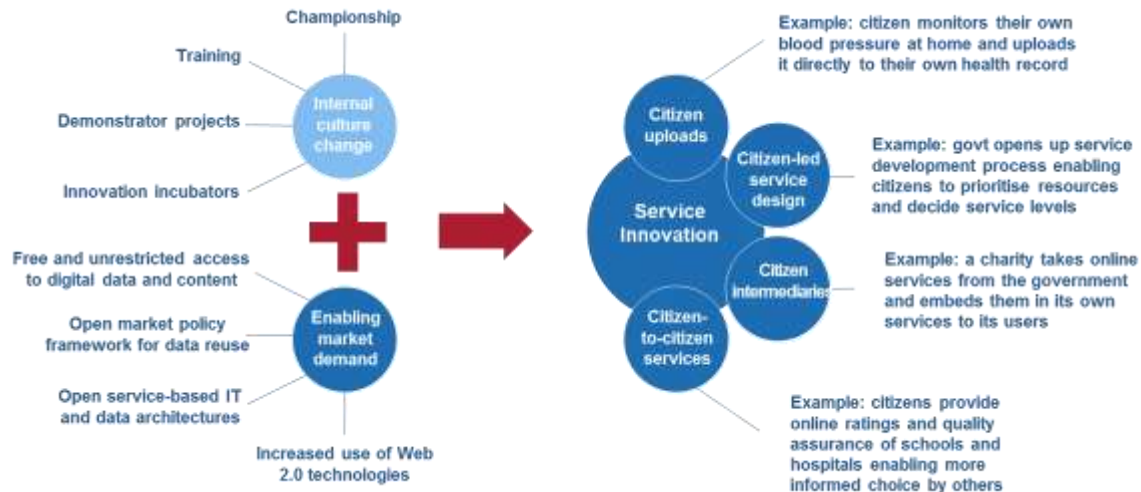
1196 We argued in Part I of the TGF that a defining feature of Transformational Government programs is  
1197 that they focus on the "citizen" not the "customer" - that is, they seek to engage with citizens and  
1198 businesses as owners of and participants in the creation of public services, not as passive recipients  
1199 of services.

1200 What does this mean in practice?

1201 Citizen empowerment involves a set of changes which are much more fundamental than the online  
1202 consultations and "e-participation" initiatives which characterised the first wave of e-Government  
1203 programmes. It is also more fundamental than the application of the latest generation of  
1204 technologies to government - although such technologies do have a role to play.

1205 The key shift is to think of service delivery not as something which is done by government to citizens  
1206 and businesses but as something in which they are active co-creators of services - or even where  
1207 public services are delivered directly citizen-to-citizen with no or minimal government involvement.  
1208 Innovators in government who are making that shift are starting to develop a wide range of new  
1209 ways to create public value and enhance services, as illustrated:

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The patent provisions of the OASIS IPR Policy do not apply.



1210  
1211 Figure 21: *Overview of Citizen Empowerment Framework*

1212 This figure also highlights two important enablers of this innovation, which we believe are important  
1213 to address as part of a Transformational Government program:

- 1214 • Action on the supply side within government, to help create a culture of open innovation within  
1215 the public sector. Such a culture change - which reflects an increasing trend in the private sector  
1216 to see external ideas and collaborations as being the key to successful innovation - is particularly  
1217 challenging in the public sector given the strong tradition of internal control over decision-  
1218 making and policy development. So pro-active change management is essential.
- 1219 • Action to enable demand-side pull by citizens and third party organisations outside-Government.  
1220 Particularly important here is the principle that all non-personal data held by government should  
1221 be open, public, easily reusable, and available at marginal cost - which for digital information  
1222 means free. By opening up government data, content and services for reuse and repurposing by  
1223 others, government can enable a level of service innovation and market reach that it could not  
1224 hope to achieve on its own. Most governments also find that simply making data and content  
1225 available in theory is not sufficient: in practice they also need to facilitate market-based public  
1226 service delivery by:
  - 1227 – building a business model of rules and processes which enable a level-playing field for new  
1228 market entrants (see the “Wholesale Intermediary Market” component of Part III (b))
  - 1229 – establishing a service-oriented technology architecture based around open standards and  
1230 technologies which makes it easier in practical terms for third parties to re-purpose and  
1231 repackage-Government content (see Part III (d)).

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## 1232 Part III (c): Guidance on the TGF Channel Management 1233 Framework

### 1234 Introduction

1235 The TGF Channel Management Framework is in two main sections:

- 1236 • Context
- 1237 • Overview of key components in the TGF Channel Management Framework
- 1238 • Detailed description of and guidance on the key components

### 1239 Context

1240 Channel management is often a weak spot in government service delivery, with widespread  
1241 duplication, inefficiency and lack of user-focus. Experience has shown the common pitfalls to include:

- 1242 • Managing new, digital channels as "bolt-ons", with business and technical architectures which  
1243 are entirely separate from traditional face-to-face or paper-based channels
- 1244 • No common view of citizen service across multiple channels
- 1245 • Operational practices, unit costs and service standards for many channels which fall well below  
1246 standards set for those channels in the private sector
- 1247 • A reliance on government-owned channels, with insufficient understanding of how to partner  
1248 with private and voluntary sector organisations who have existing trusted channels to  
1249 government customers
- 1250 • Unproductive and costly competition among service delivery channels

1251 Transformational Government programs seek to avoid these pitfalls, by building a channel  
1252 management approach centred around the needs and behaviour of citizens and businesses.

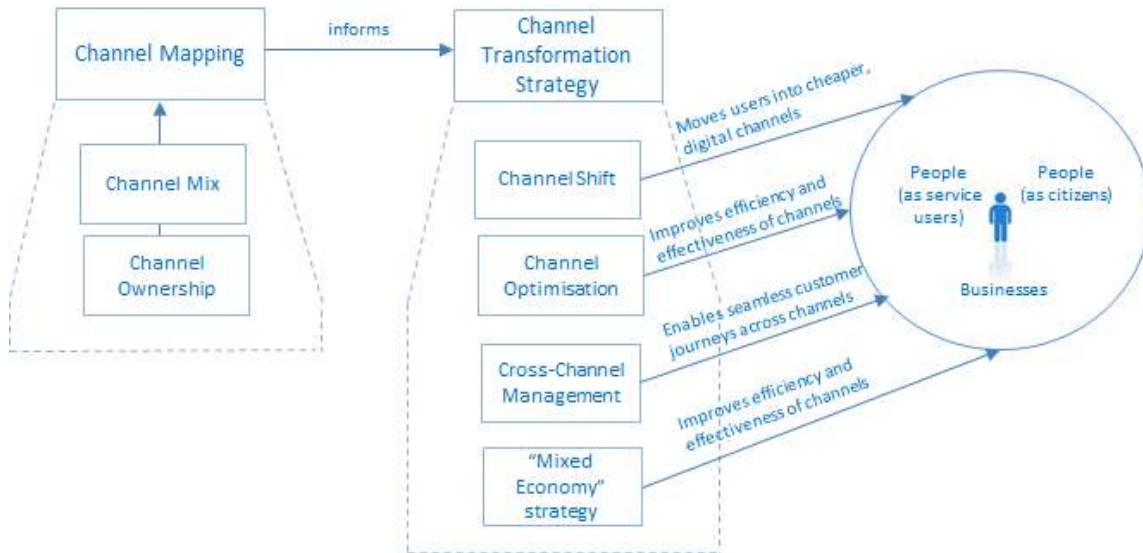
### 1253 Overview of key components in the TGF Channel Management 1254 Framework

1255 The two key elements of the approach recommended in the Transformational Government  
1256 Framework are:

- 1257 • **Channel Mapping:** a clear audit of what existing channels are currently used to deliver  
1258 government services. The TGF Channel Mapping approach includes an analysis of these channels  
1259 across two key dimensions: which delivery channels are being used ('channel mix') and who  
1260 owns them ('channel ownership').
- 1261 • **Channel Transformation Strategy:** the TGF helps build a new channel management approach  
1262 centred around the needs and behaviour of citizens and businesses. The key components of such  
1263 an approach include:
  - 1264 – Channel Optimization
  - 1265 – Channel Shift
  - 1266 – Cross-Channel Management

- 1267 – Development of a “mixed economy” in service provision through private and voluntary  
1268 sector intermediaries.

1269 A high level view of the logical relationships between these components is illustrated below.



1270

1271 Figure 22: Overview of Channel Management Framework

## 1272 Channel Mapping

1273 A vital first step in developing a citizen-centric channel management strategy is to carry out a  
1274 mapping of existing delivery channels across government, and to put a cost to each transaction  
1275 delivered through these channels based on standard industry assumptions. This will highlight  
1276 duplication across government (for example, having multiple high-street locations in the same town  
1277 serving different government departments or agencies), and the savings that can be achieved by  
1278 joining government services together and using the most efficient delivery channel in each case.

1279 A common finding in channel audits of this type is that much customer contact between  
1280 governments and citizens is unnecessary, hidden and uncoded. For example, many governments  
1281 have literally thousands of public service telephone contact numbers.

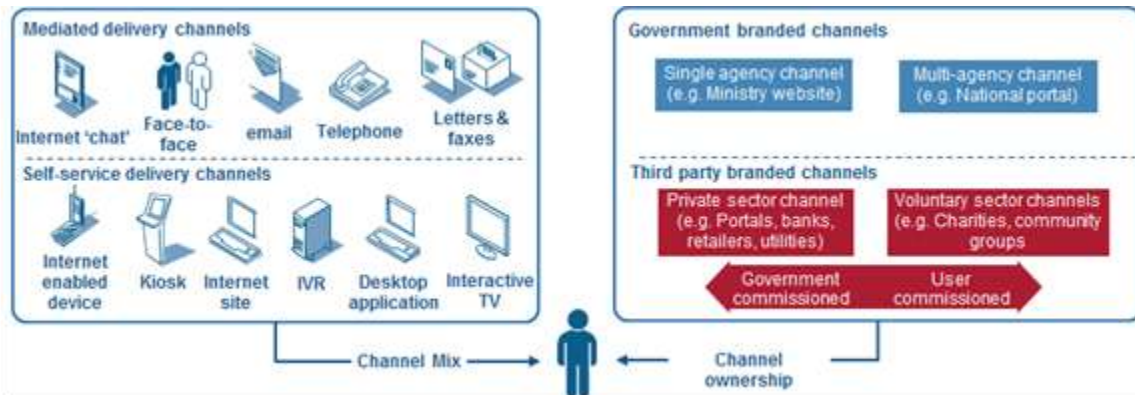
1282 Much of the contact that results between citizen or business users and the Government is therefore:

- 1283 • unnecessary - because the user is struggling to find the right place to get the service they need,  
1284 resulting in multiple contacts before their need is finally resolved  
1285 • hidden and uncoded - because only some of these customer contacts are caught by existing  
1286 management information systems. The rest are just lost within the broader operational  
1287 structure and budget of government.

1288 A clear map of customer interactions by channel, and the true costs of these, therefore provides  
1289 essential data in building the business case for service transformation.

1290 In undertaking this mapping, we recommend that a holistic approach is taken to understanding the  
1291 range of channels through which government services are and could be delivered. Government  
1292 services can be delivered through a wide range of different channels. It can be helpful to think of that  
1293 range as varying across two key dimensions, as illustrated below:

- 1294 • **Channel mix:** that is, the physical type of channel being used. Traditionally, channels for  
1295 government service delivery have included the face-to-face channel (through high-street and  
1296 other locations), traditional mail and the traditional telephone. More recently, interactive voice  
1297 recognition (IVR) and the Internet have become important channels. A key distinction is the  
1298 extent to which the channel is based around self-service by the citizen, or requires some form of  
1299 intermediation - either in person (e.g. the citizen visiting a government office or an official  
1300 visiting the citizens in the community) or remotely (e.g. by telephone or email).
- 1301 • **Channel ownership:** it is important to understand, too, the variety of "channel ownership"  
1302 options which are available. Traditionally, channels for government services have been branded  
1303 as belonging to a specific government agency. Increasingly, governments looking to develop a  
1304 citizen-centric approach have also started to badge these on a government-wide basis: either  
1305 covering a single channel (such as a national government portal), or multiple channels (such as  
1306 Service Canada, which spans walk-in offices, contact centres, and the web).



1307  
1308 Figure 23: Overview of Channel Mapping

## 1309 Channel Transformation Strategy

1310 Once a full Channel Mapping has captured the current channel mix and cost base, it is important to  
1311 map out a strategy for the future desired channel mix, and the future customer experience over  
1312 different channels.

1313 The key elements of this Channel Transformation Strategy are discussed below.

### 1314 Channel Shift

1315 Successful private-sector businesses are more effective at this than government. They understand  
1316 that each channel opens up different ways to create value for customers, so they differentiate  
1317 services across channels. They also take a hard-nosed approach to channel management, with  
1318 customers being incentivised to use the channels that are most efficient from a business point of  
1319 view. And they realise that channel shift is a complicated process, which needs planning over a multi-  
1320 year period.

1321 Transformational Government programs adopt a similar approach, setting out clear strategies for  
1322 channel shift<sup>7</sup>. Typically though they recognise two distinct differences between the public and  
1323 private sector:



- 1324 • First, government has an obligation to provide services on a universal basis, so is not able to pick  
1325 and choose which customers it will engage with through different channels. "Directed choice"  
1326 towards cheaper channels is therefore the strategy selected for most citizen-facing services  
1327 (although a number of governments are increasingly looking to make Internet-only services the  
1328 norm for businesses).
- 1329 • Second, in terms of the online channel, government is in a unique position compared with any  
1330 other online service provider. Whereas an online bank or retailer is limited by the size of the  
1331 online population in the market, a government can take action significantly to increase that  
1332 online population. "Digital inclusion" policies, aimed at increasing the proportion of citizens who  
1333 have access to and confidence in using online channels, are therefore an important part of  
1334 government channel strategies which would not normally be seen in their private-sector  
1335 counterparts.

### 1336 *Channel optimisation*

1337 As well as seeking to shift future service delivery to an optimal channel mix, Transformational  
1338 Government programs seek to optimise the performance of each individual channel. In the UK for  
1339 example, a government-wide review<sup>15</sup> of customer contact found that contact centre performance  
1340 lagged significantly behind private sector benchmarks, and that on average operational savings of  
1341 25% could be achieved in public centre contact centres over a 3 year period by adopting best  
1342 practices.

### 1343 *Cross-Channel Service Management*

1344 However, it is vital not to think about channel optimisation solely on a channel-by-channel basis.  
1345 There are two imperatives for taking a cross-channel approach to service delivery:

- 1346 • First, to improve service to citizens. Citizens do not simply want services to be available  
1347 through a choice of channels. Rather they want services to be delivered in an integrated way  
1348 across channels. Transformational Government programs therefore focus on achieving an  
1349 integrated view of customer interactions across all channels.
- 1350 • Second, to reduce costs. A shared service approach to channel management can deliver  
1351 significant efficiency savings. By building channel support services around a common, web-based  
1352 infrastructure, governments can both reduce costs while also facilitating joined-up services.

### 1353 *Development of a Mixed Economy in Service Provision*

1354 Finally, it is essential to recognise that a citizen-centric approach involves delivering services where  
1355 citizens want to receive them - and this may often mean that it is important to deliver services  
1356 through private or voluntary sector intermediaries.

1357 This is particularly important as services become digitised, potentially reducing the marginal costs of  
1358 delivery to near zero and hence making it easier for third party organisations to bundle public sector  
1359 services with their own service offerings. This can be challenging for governments, however, since  
1360 for the first time it means that they are "competing" for customers with other organisations.

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<sup>15</sup> *Service Transformation: A better service for citizens and businesses, a better deal for taxpayers*, see  
[http://webarchive.nationalarchives.gov.uk/+http://www.hm-treasury.gov.uk/media/4/F/pbr06\\_varney\\_review.pdf](http://webarchive.nationalarchives.gov.uk/+http://www.hm-treasury.gov.uk/media/4/F/pbr06_varney_review.pdf)

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1361 Establishing clear ground rules for how this sort of mixed economy of service provision should work,  
1362 on a basis that will encourage private and voluntary sector organisations to become actively  
1363 involved, is therefore an important task for government in creating the policy framework for  
1364 Transformational Government and SHOULD be addressed using the Franchise Marketplace Model  
1365 outlined above.

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## 1366 Part III (d): Guidance on the TGF Technology 1367 Management Framework

1368 The TGF Technology Management Framework is in three main sections:

- 1369 • Context
- 1370 • Overview of key components in the TGF Technology Management Framework
- 1371 • Detailed description of and guidance on the key components

### 1372 Context

1373 The transformations to business, customer and channel management described above require a new  
1374 approach to technology and in particular a commitment to the paradigm and principles of Service  
1375 Oriented Architecture (SOA) and SOA-based infrastructure, as defined in the OASIS 'Reference Model  
1376 for Service-Oriented Architecture [SOA-RM].

1377 Transformational Government demands a single view of the citizen or business, delivered inside an  
1378 integrated business and channels architecture. In terms of ICT, all of this requires governments to  
1379 learn from private-sector best practice. Industry is moving towards a model of company-wide,  
1380 service-orientated enterprise architecture, where common building blocks using open standards can  
1381 be re-used to enable flexible and adaptive use of technology to react quickly to changing customer  
1382 needs and demands. Increasingly, companies are gaining even greater efficiency benefits by  
1383 managing these building blocks as a service, provided not only from within their own ICT architecture  
1384 but also from within "the Cloud" - the dynamically-scalable set of private and public computing  
1385 resources now being offered as a service over the Internet.

1386 Governments are increasingly taking this 'building block' approach to technology development. Key  
1387 building blocks such as ICT infrastructure, common data sets, and identity verification need to be co-  
1388 ordinated effectively. While much can be learned from the private sector, simply importing industry  
1389 practices will not solve this coordination problem within government.

1390 Governments are taking different approaches to the co-ordination function: some build central  
1391 infrastructure for use by all departments and agencies; others identify lead departments to build and  
1392 implement common solutions; others have a more decentralised approach, allowing departments to  
1393 develop their own solutions according to a common architecture and standard set. However, finding  
1394 an effective approach which works within a specific government is vital, since without this sort of  
1395 technology flexibility, then Transformational Government becomes impossible - or possible only at  
1396 great expense and with significant wasteful and duplicated ICT expenditure.

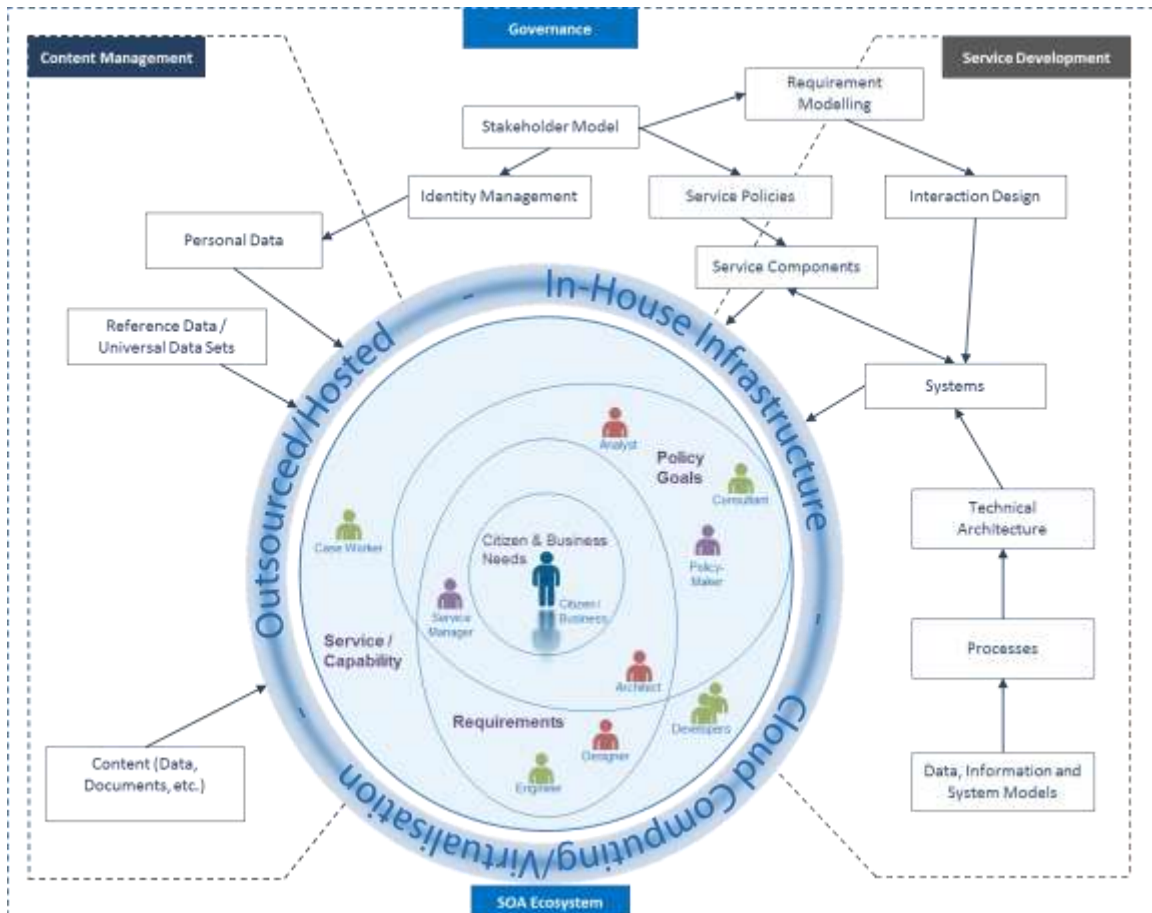
### 1397 Overview of key components in the TGF Technology Management 1398 Framework

1399 The Technology Management Framework is modelled as one of the four TGF delivery processes, but  
1400 it is concerned with more than "just" the delivery of services using ICT. Its focus on the SOA  
1401 paradigm is key to an approach that puts citizens and businesses as customers at the centre of a  
1402 service ecosystem with many stakeholders, roles and systems involved.

1403 The three key elements of the approach recommended in the Transformational Government  
1404 Framework are:

- 1405 • Resources Management which underpins ecosystem governance
- 1406 • Ecosystem Participation
- 1407 • Realisation and governance of SOA-based ICT systems

1408 A high level view of the logical relationships between these components is illustrated below.



1409  
1410 Figure 24: Overview of Technology Management Framework

## 1411 Resources Management

1412 This entails the explicit identification and management of resources as valued assets, whether  
1413 information resources (data sets, documents, models, processes, etc.) and technology 'soft products'  
1414 (systems, applications and services).

## 1415 Eco-system Participation

1416 Best practice technology management requires a clear model and understanding of the stakeholders,  
1417 actors and systems that comprise the overall service ecosystem and their relationships to each other.  
1418 The model must be maintained and updated as stakeholders change over time and over the course  
1419 of any development effort thus ensuring that requirements are continually evaluated and revised.  
1420

1421 Citizens and businesses, as potential customers, must be understood as stakeholders in the  
1422 ecosystem with ‘needs’ (often imprecisely formulated) that they seek to satisfy through use of a  
1423 service; but citizens and businesspeople are also human actors interacting with pieces of technology  
1424 in precisely-defined interactions. These system-focussed interactions are a result of accurately  
1425 modelling the processes required of both system and user in order to deliver a particular service  
1426 capability conforming to explicit ‘requirements’. Requirements in turn are revised and updated to  
1427 reflect changes in stakeholder composition and concerns.

1428 Stakeholders are clearly distinguished and modelled – including the fact that they play different roles  
1429 in different contexts (and which therefore has implications for role-based authentication).  
1430 Stakeholder composition is also a good predictor of project risk – understand and modelling  
1431 stakeholder types helps identify and mitigate risk. Stakeholder modelling underlines that every  
1432 participant in an ICT development project is implicitly an intermediary representing diverse  
1433 stakeholder interests in the deployed service.

### 1434 SOA-based system realisation and governance

1435 Service-Oriented Architecture (SOA) must be understood in its broadest sense – as a paradigm for  
1436 organising and using capabilities distributed and managed across different ownership domains. In  
1437 this sense, SOA is technology and platform agnostic and thus provides an appropriate foundation for  
1438 the technology management framework.

1439 Disparate systems are weaved together as part of a coherent ecosystem while specific ‘services’,  
1440 broken down into functional components, are identifiable as distinct from the underlying  
1441 technologies that deliver them. This encourages ecosystem agility, allowing services to be mixed and  
1442 matched, composed and re-used – it remains agile and flexible without being brittle, as with many  
1443 systems where service functionality is tailored and tightly-coupled to addressing a specific problem.  
1444 Ownership and governance – of information resources as well as ICT products – is federated across  
1445 ownership boundaries and explicit service descriptions and contracts ensure that everyone knows  
1446 the ‘rules of engagement and use’ when using any service.

1447 Key concerns of such an approach include:

- 1448 – SOA technical architecture and component service (“building block”) realisation and re-use;
- 1449 – Service policies;
- 1450 – Identity Management;
- 1451 – Cloud Computing (Service and Infrastructure Virtualisation);
- 1452 – Interaction Design, based on end-user needs

1453

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- 1480 17-03-2011: (compared to Working Draft 02) Finalised remaining edits agreed by TC at adoption;  
1481 Update of ToC; Numbering of Figures