Transformational Government Framework – Tools and Models for the Business Management Framework

Version 1.0 – Policy Products

Working Draft 01

Abstract:

This Committee Note contains detailed information and guidance on a range of tools and models identified in the TGF Primer and TGF Core Pattern Language. It will be an evolving document as more aspects are addressed, but in this first version the focus is on Policy Products. Policy Products are the written policies, frameworks and standards which inform government activity.

The TGF Primer contains the following statement:

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

This Committee Note sets out the minimum set of Policy Products deemed necessary for consideration in any Transformational Government program. Further guidance on any aspects can be obtained from the TGF Technical Committee using the “Send A Comment” facility on the TC website - <http://www.oasis-open.org/committees/tc_home.php?wg_abbrev=tgf>

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# Policy Product Management

Traditional policy approaches for e-government have often been too narrowly focused. An effective Transformational Government program requires a more holistic approach to policy development and this necessitates the need for a much broader range of policy products. We define a "Policy Product" as: any document which has been formally adopted on a government-wide basis in order to help achieve the goals of transformational government. These documents vary in nature (from statutory documents with legal force, through mandated policies, to informal guidance and best practice) and in length (some may be very lengthy documents; others just a few paragraphs of text). Policy Products are important drivers of change within government: first because the process of producing them, if managed effectively, can help ensure strategic clarity and stakeholder buy-in; and second because they then become vital communication and management tools.

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

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

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| **Delivery Processes** | **Interoperability Levels** | | | | |
| **Political** | **Legal** | **Organizational** | **Semantic** | **Technical** |
| Business Management | See 2.1 | See 2.2 | See 2.3 | See 2.4 | See 2.5 |
| Customer Management | See 3.1 | See 3.2 | See 3.3 | See 3.4 | See 3.5 |
| Channel Management | See 4.1 | See 4.2 | See 4.3 | See 4.4 | See 4.5 |
| Technology Management | See 5.1 | See 5.2 | See 5.3 | See 5.4 | See 5.5 |

**Figure 1: Policy Product Matrix**

The following sections provide detailed guidance on the minimum set of policy products considered necessary for any Transformational Government program. For each cell in the matrix, a list of products is shown together with a definition of the product and also examples of good practice for each product where these exist.

It is only possible to set down a minimum set of products because the list will almost certainly evolve and expand over time and also local implementations may find the need for other products to suit their local circumstances.

# Business Management Layer

* 1. Business Management/Political Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Cross Government Vision for Customer Service Transformation | A clear description of the desired future state for more effective and efficient service delivery, which is endorsed at the highest political and administrative levels of the government. | UK - <http://www.cabinetoffice.gov.uk/cio/transformational_government/strategy.aspx> |
| Governance Model |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm>  UK - <http://interim.cabinetoffice.gov.uk/govtalk.aspx>  USA - <http://www.whitehouse.gov/omb/e-gov/fea> |
| Risk Management Strategy | A cross-government view of the key risks to achieving the overall vision for service transformation, underpinned by mitigation strategies, including best practice guidance to individual agencies on how to manage agency-level risks. | ISO 31000: Risk management -- Principles and guidelines on implementation (<http://www.iso.org/iso/catalogue_detail.htm?csnumber=43170>).  UK - (<http://www.ogc.gov.uk/guidance_management_of_risk_4441.asp>) |
| Strategic Business Case for overall program |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm> |

* 1. Business Management/Legal Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Legal Framework for public private partnership | A Public Private Partnership (PPP) involves a relationship between a public sector authority and a private party, in which the private party provides a public service or project and assumes substantial financial, technical and operational risk in the project. There are a number of ways that a PPP can be introduced and most if not all will require some sort of legal framework in which to operate. Given the potential importance of PPP in delivering citizen service transformation, putting in place the necessary enabling legislation where this does not already exist can be an important task in the Roadmap. |  |
| Legal Vires for inter-agency collaboration | This represents the legal basis for inter-agency collaboration, data and information exchanges and other joint activities. Very often existing laws and practices prohibit full inter-agency working, for example by limiting the ability of an agency to act for tightly prescribed purposes. An early step in the Transformation Roadmap for many governments is therefore the identification and redressing of such legal barriers. |  |
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* 1. Business Management/Organisational Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Benefits Realization Plan |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm> |
| Business Case best practice guidance |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm> |
| Funding Model | An agreed funding model and budgetary process which is tailor-made to meet the needs of a cross-government transformational programme. Most Governments find that traditional, “silo-based” budgetary mechanisms are insufficient to deliver citizen-centric e-Government, and that new funding models need to be developed. Examples include central government innovation funding (from Treasury), top slicing, donation funding, large player sponsorship and reinvesting revenue from volume based fee services. |  |
| Key Services Portfolio |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm> |
| Performance Management Framework |  | USA - <http://www.whitehouse.gov/omb/e-gov/fea> |
| Transformation competency framework | A taxonomy of the competences required to deliver ICT-enabled transformation in the public sector, along with tools enabling organisations to assess their competency gaps and individuals to build their own personal development plans. | UK -  <http://www.cabinetoffice.gov.uk/cio/itprofession/competency_framework/framework_v4.aspx> |
| Transformation Roadmap | A Transformation Roadmap takes the overall cross-government vision for service transformation and underpins it with a detailed, multi-year delivery plan. | UK - <http://www.cabinetoffice.gov.uk/cio/transformational_government/implplan.aspx> |

* 1. Business Management/Semantic Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Business Process Model |  | USA - <http://www.whitehouse.gov/omb/e-gov/fea>  Zachman - [www.zachman.com](http://www.zachman.com) |
| Logical Data Model |  | USA - <http://www.whitehouse.gov/omb/e-gov/fea>  Zachman - [www.zachman.com](http://www.zachman.com) |
| Metadata Repository |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm>  UK - <http://interim.cabinetoffice.gov.uk/govtalk.aspx> |
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* 1. Business Management/Technical Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Information Preservation Framework |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm> |
| Technology Roadmap |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm>  Zachman - [www.zachman.com](http://www.zachman.com) |
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# Customer Management Layer

* 1. Customer Management/Political Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Identity Management Strategy |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm> |
| Privacy and Data Sharing Policy |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm> |
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* 1. Customer Management/Legal Cell

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| **Policy Product** | **Description** | **Example(s)** |
| eSignatures and eBusiness enabling legislation |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm>  USA - <http://www.whitehouse.gov/omb/e-gov/fea> |
| Privacy, data protection and data security legislation |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm>  USA - <http://www.whitehouse.gov/omb/e-gov/fea> |
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* 1. Customer Management/Organisational Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Brand Management Guidelines | The government-wide strategy and supporting operational processes needed to ensure a trusted, consistent brand identity for an integrated, multi-channel, citizen-centric service delivery platform. |  |
| Cross-government Customer Segmentation Framework | A methodology for mapping out the diverse types of e-Government customer, giving all public sector service delivery organisations: a) a common basis for segmenting their customer base, relating to characteristics that cause their customers to have differing product or service needs (including geographic, demographic, psychographic and behavioural factors); and b) a framework for identifying which services address overlapping customer segments and therefore need to be developed, delivered and marketed in an integrated manner. |  |
| Federated trust model for cross-agency identity management |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm>  USA - <http://www.whitehouse.gov/omb/e-gov/fea> |
| Marketing and Communications Strategy | A government-wide approach for promoting the services made available through a citizen service transformation programme, covering: a) the process of understanding and segmenting citizen requirements; b) establishing what the messages are, how they are communicated (language, format), where they are communicated (channel management) and at what stages throughout the lifetime of the programme. |  |
| Service definition for One Stop Government services | Transformational Government programmes typically involve a shift from silo-based delivery towards an integrated, multi-channel, citizen-centric service delivery platform offering “one stop” service delivery for government. Developing such a service requires a clear end-to-end service definition: a comprehensive documentation describing the product which will be offered to all customers. |  |

* 1. Customer Management/Semantic Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Common Data Standards |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm>  UK - <http://interim.cabinetoffice.gov.uk/govtalk.aspx>  USA - <http://www.whitehouse.gov/omb/e-gov/fea> |
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* 1. Customer Management/Technical Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Single Sign-on Architecture |  | UK - <http://interim.cabinetoffice.gov.uk/govtalk.aspx> |
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# Channel Management Layer

* 1. Channel Management/Political Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Acccessibility policies and guidance |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm> |
| Digital Inclusion Strategy | A strategy for ensuring that all citizens and businesses can enjoy the benefits of service transformation through digital channels. Typically, developed in partnership with the private and voluntary sectors, such a strategy will set out the government’s approach to addressing the key access, confidence and motivation barriers to digital engagement. | European Commission - (<http://ec.europa.eu/information_society/activities/einclusion/policy/index_en.htm>)  UK - (<http://www.culture.gov.uk/what_we_do/broadcasting/6216.aspx>) |
| e-Service Take-up Strategy | A statement of the government’s approach to ensuring high levels of take-up for e-services, covering service design, marketing, incentives, compulsion and other techniques, including best practice guidance to individual agencies on how to develop effective take-up strategies for individual services. |  |
| Intermediaries Strategy |  | UK - <http://interim.cabinetoffice.gov.uk/govtalk.aspx> |

* 1. Channel Management/Legal Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Pro-competitive Regulatory Framework for the Telecoms sector | A key foundation for transformational government is the low-cost bandwidth and service innovation which flows from a competitive telecommunications sector. There is a strong body of evidence (from organisations such as the OECD, World Bank, and ITU) showing that privatisation, liberalisation and effective competition regimes drive down prices, drive up choice and innovation, and result in significant levels of market growth. This requires both guiding policy and suitable legislative provisions, along with a designated and empowered authority to implement them. Together, these constitute the Regulatory Framework within which the sector is controlled and managed. | European Commission - <http://ec.europa.eu/information_society/policy/ecomm/current/index_en.htm> |
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* 1. Channel Management/Organisational Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Channel Integration Framework |  | USA - <http://www.whitehouse.gov/omb/e-gov/fea> |
| Channel Management guidelines |  | UK - <http://interim.cabinetoffice.gov.uk/govtalk.aspx>  USA - <http://www.whitehouse.gov/omb/e-gov/fea> |
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* 1. Channel Management/Semantic Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Web Accessibility guidelines |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm>  UK - <http://interim.cabinetoffice.gov.uk/govtalk.aspx> |
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* 1. Channel Management/Technical Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Presentation Architecture |  | Zachman - [www.zachman.com](http://www.zachman.com) |
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# Technical Management Layer

* 1. Technical Management/Political Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Cloud Strategy |  | UK - [www.cabinetoffice.gov.uk/resource-library/uk-government-ict-strategy-resources](http://www.cabinetoffice.gov.uk/resource-library/uk-government-ict-strategy-resources)  USA - [www.cio.gov/pages.cfm/page/IT-Reform-Federal-Cloud-Computing-Strategy-Published](http://www.cio.gov/pages.cfm/page/IT-Reform-Federal-Cloud-Computing-Strategy-Published) |
| Information Security Policy |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm>  UK - <http://interim.cabinetoffice.gov.uk/govtalk.aspx>  USA - <http://www.whitehouse.gov/omb/e-gov/fea> |
| Open Source Policy |  | UK - <http://www.cabinetoffice.gov.uk/resource-library/open-source-procurement-toolkit> |
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* 1. Technical Management/Legal Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Framework Contracts |  |  |
| Procurement Legislation |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm> |
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* 1. Technical Management/Organisational Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Service Level Agreements |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm> |
| Supplier Management guidelines | Transformational Government requires effective, partnership-based relationships with suppliers. Supplier Management guidelines set out a formalised and robust way of managing, monitoring and developing supplier performance. They focus on the overall relationship with the supplier rather than the specific relationship around an individual contract. | UK - <http://www.ogc.gov.uk/documents/StrategicSupplierManagementOverview.pdf> |
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* 1. Technical Management/Semantic Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Physical Data Model |  | Zachman - [www.zachman.com](http://www.zachman.com) |
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* 1. Technical Management/Technical Cell

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| **Policy Product** | **Description** | **Example(s)** |
| Application Architecture |  | Zachman - [www.zachman.com](http://www.zachman.com) |
| Interoperability Framework |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm>  Hong Kong - [www.ogcio.gov.hk/eng/infra/eif.htm](http://www.ogcio.gov.hk/eng/infra/eif.htm)  NZ - [www.ict.govt.nz/guidance-and-resources/standards-compliance/e-gif](http://www.ict.govt.nz/guidance-and-resources/standards-compliance/e-gif) |
| Network Architecture |  | Zachman - [www.zachman.com](http://www.zachman.com) |
| Security Architecture |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm>  UK - <http://interim.cabinetoffice.gov.uk/govtalk.aspx> |
| Service-oriented Architecture |  | European Commission - <http://ec.europa.eu/isa/policy/policy3_en.htm> |

# Revision History