

Transformational Government Framework Primer Version 1.0

Working Draft 05

(Includes proposed modifications to Committee Note Draft 01 / Public Review Draft 01)

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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.

Status:

To be completed

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Disclaimer

1

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.

Comment [PFB1]: This disclaimer can now be removed

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)¹ and several US agencies are looking to update and consolidate the
42 'Federal Enterprise Architecture' (FEA)² into a new 'Unified Government Enterprise Architecture
43 Framework' (UGEAF).

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

¹ European Interoperability Framework (EIF) for European public services, see
http://ec.europa.eu/isa/strategy/doc/annex_ii_eif_en.pdf

² 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*”³,

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 less on service~~
73 ~~customers as passive recipients of services and more~~ with citizens ~~and businesses~~ as owners of
74 and participants in the creation of public services, ~~not as passive recipients of services.~~

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

76 *Transforming services around the citizen and business user*

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

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

83 now grappling with the legacy of thousands of fragmented, silo-focused websites: more than
84 270,000 in the US public sector, 9,000 in Germany, and 3,000 in the UK. An increasing number of
85 governments are now seeking to make a fundamental strategic shift, towards a holistic,
86 citizencustomer-centred approach, driven at the whole-of-government level.

87 This shift includes, in leading countries, a move to a "one-stop" citizencustomer-centric "one-stop
88 service" delivered over multiple channels.

Comment [PFB2]: Align with wording of Pattern [6]

89 "One-stop service" as used in the TGF does not imply that all government services need to be
90 brought together in one physical place or website. Typically, a one-stop service brings together the
91 majority of content and services used by the majority of people, leaving more specialist services to
92 engage with their customers either through service-specific channels or through one-stop services
93 focused on specific clusters or sectors of customer need

Comment [PFB3]: Clarification of "one stop service" as part of "NZ edit", covering Pattern [6] Transformational Business Model

94 *e-Enabling the frontline*

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

101 *Empowering ~~the citizen~~Stakeholders*

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

Comment [PFB4]: Issue #124

109 *Cross-government efficiency*

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

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

122 A key focus of Transformational Government is therefore to move towards a service-oriented and
123 building-block approach to ICT and back-office service architecture across all parts of government -
124 reaping efficiency gains while at the same time enabling better, more [citizencustomer](#)-focused
125 service delivery. As “cloud computing” gains traction and momentum, this approach opens up even
126 greater scope to achieve large-scale efficiency savings while simultaneously improving organizational
127 agility.

128 Purpose of the Transformational Government Framework

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

- 131 • the unparalleled breadth and depth of its service offering;
- 132 • the fact that it provides a universal service, engaging with the whole population rather than
133 picking and choosing its customers;
- 134 • structures, governance, funding & culture which are all organized around specific business
135 functions, not around meeting [citizencustomer](#) needs in a holistic way.

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

139 **Transformational Government Framework: purpose**

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

145 Target audience for the Transformational Government Framework

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

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

153 Secondary audiences for the Transformational Government Framework include:

- 154 • Leaders of international organisations working to improve public sector delivery, whether at a
155 global level (e.g. World Bank, United Nations) or a regional one (e.g. European Commission,
156 ASEAN⁴, IADB⁵)
- 157 • Professional bodies that support industry sectors by the development and maintenance of
158 common practices, protocols, processes and standards to facilitate the production and operation

⁴The Association of Southeast Asian Nations

⁵The Inter-American Development Bank

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- 159 of services and systems within the sector, where the sector needs to interact with government
160 processes and systems.
- 161 • Academic and other researchers working in the field of public sector reform.
 - 162 • Civil society institutions engaged in debate on how technology can better enable service
163 transformation.

164 Overview of the Transformational Government 165 Framework

166 There are four main components to the Framework:

- 167 • Guiding Principles
- 168 • ~~Delivery Frameworks~~Critical Success Factors
- 169 • ~~Delivery Frameworks~~Critical Success Factors and
- 170 • A Benefits Realisation Framework

Comment [PFB5]: Issue #194
Component 2 and 3 swapped around

Comment [PFB6]: Issue #62 – several
instances of this change (make “benefit”
plural) over following pages (not all called
out)

171 Component 1: Guiding Principles for Transformation

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

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

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

181 Component 2: Service Delivery Processes

Comment [PFB7]: Issue #194
Component 2 and 3 swapped around

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

- 184 • business management,
- 185 • customer management,
- 186 • channel management, and
- 187 • technology management based on the principles of service-oriented architecture.

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

190 Component 3: Critical Success Factors

Comment [PFB8]: Issue #194
Component 2 and 3 swapped around

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

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

201 | **Component 4: Benefits Realisation Framework**

202 | The Benefits Realisation Framework is needed to ensure that the Transformation Government
203 | program ultimately delivers all of its intended benefits and impacts in practice. Logically, the design
204 | and delivery of a Benefits Realisation Strategy is a part of the Business Management task, and is a
205 | core responsibility for the Transformational Government Leadership and the collaborative
206 | stakeholder governance model described in the TGF Business Management Framework. It is of such
207 | vital importance however that it is highlighted as a distinct component of the overall Framework.

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

- 210 | • **Failure to pro-actively manage the downstream benefits after an individual ICT project has**
211 | **been completed.** Often, ICT projects are seen as “completed” once the technical
212 | implementation is initially operational. In order to reap the full projected benefits (efficiency
213 | savings, customer service improvements etc.), on-going management is essential, often involving
214 | significant organizational and cultural changes. A study for the European Commission⁶ calculated
215 | that, as a rule of thumb, organizational change accounts for 55% of the full costs of
216 | e-Government projects in Europe, while ICT only accounts for 45%. Yet these organisational
217 | change costs are often not fully factored in or delivered, resulting in a failure to maximize the
218 | potential benefits of the ICT investments.
- 219 | • **Failure at a whole-of-Government level to undertake the restructuring of the public labour**
220 | **market to take advantage of new efficiencies.** Effective delivery of e-Government services –
221 | both externally in service delivery to citizens and businesses and internally in modernising the
222 | operations of government – opens up the potential to reduce significantly the cost of
223 | government. As the cost of delivering government services falls, so governments need to plan
224 | and implement the necessary restructuring of the public sector labour market to realize
225 | efficiency benefits in the traditional paper-based channels. These efficiency savings can then
226 | either be returned to the tax payer in the form of lower taxes, or recycled into priority front-line
227 | public services such as health and education. A study by the OECD in 2006⁷ showed that this
228 | “whole-of-government” approach to efficiency savings had until that point been a feature of
229 | only a few countries, notably Canada, the UK and Finland. Increasingly though, financial
230 | pressures are forcing governments to focus on this issue.

231 | The Transformational Government Framework does not seek to specify in detail what benefits and
232 | impacts a Transformational Government program should seek to achieve – that is a matter for each
233 | individual government. However, the TGF does set out a best practice approach to benefits
234 | realisation.

⁶ Source: e-Government Economics Project

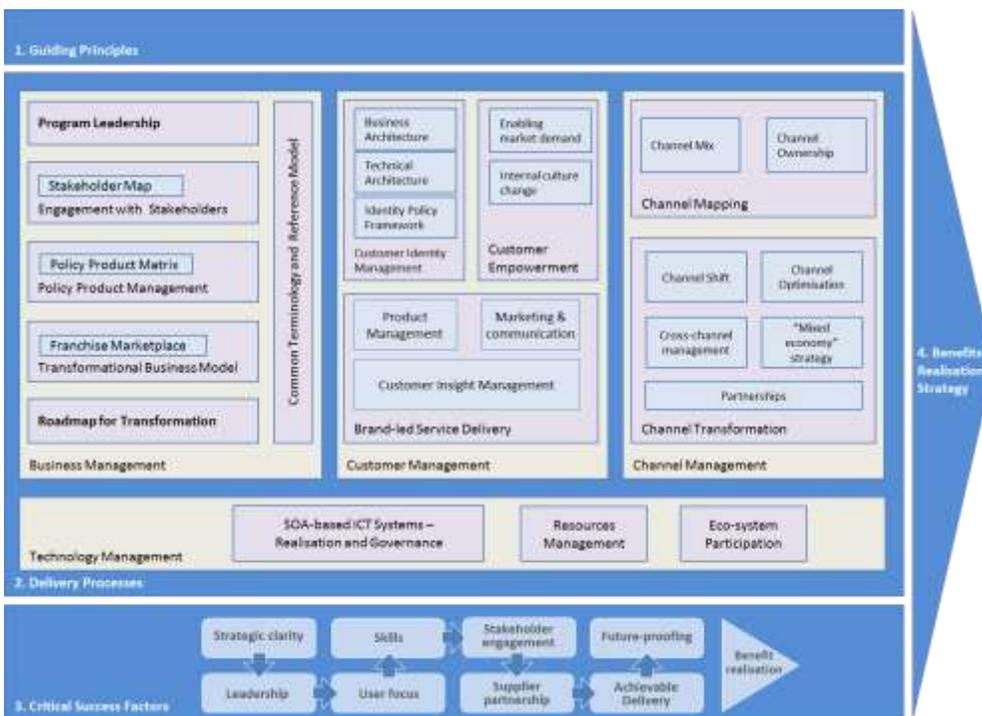
⁷ IT Outlook 2006, OECD

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235 Part II: The Transformational Government Framework

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

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



242
243 Figure 1: *The overall framework*

Comment [PFB9]: Figure updated

244 Each of these components is described in more detail below. These components, together with the
245 main concepts that they encompass, are expressed in a more formal structure as a set of “patterns”
246 in the related “Core Patterns” of the TGF Pattern Language [TGF-PL-Core].

Comment [PFB10]: Issue #53 – whole section, lines 240-287 re-written

247 **Component 1: Guiding Principles**

248 The TGF Guiding Principles are set out below, and must be used by any Transformational
249 Government program conforming to the ~~TGF~~ **Framework**. ~~These principles together represent an~~
250 ~~enduring statement of values which the Leadership for a Transformational Government program~~
251 ~~should adopt and use consistently as a basis to steer business decision-making throughout the~~
252 ~~conception, development, implementation and follow-up of that program. These are explicitly~~
253 ~~declaratory statements of principle (“We believe...”) that reflect the desired commitment of the~~
254 ~~program Leadership as well as indicating the expectations from all Stakeholders.~~

255 **Develop a We believe in detailed and segmented understanding of your**
256 **citizen and business customers**

- 257 • ~~Own the-These~~ customers ~~should be owned~~ at the whole-of-government level
- 258 • ~~Don't assume you know what users of your services think – research, research, research~~
259 ~~Decisions should be based upon the results of research rather than assumptions being made~~
260 ~~about what customers think~~
- 261 • ~~Invest in developing a r~~Real-time, event-level understanding of citizen and business interactions
262 with government ~~should be developed~~

263 **Build We believe in services built around customer needs, not**
264 **organisational structure**

- 265 • ~~Provide people-Customers should be provided with a “one-stop service” experience in their~~
266 ~~dealings with one place to access~~ government, built around their needs (such as accessibility)
- 267 • ~~Don't try to restructure- Government~~ ~~should not be continually restructured in order to ~~do~~~~
268 ~~achieve this - build instead~~ "customer franchises" ~~should be created which that~~ sit within the
269 existing structure of government and act as change agents
- 270 • ~~Deliver s~~Services ~~should be delivered~~ across multiple channels ~~–but use using~~ Service-Oriented
271 Architecture (SOA) principles to join it all up, reduce infrastructure duplication, and ~~to~~
272 encouraginge customers into lower cost channels where ~~possible~~appropriate
- 273 • ~~Don't spend money on technology before addressing o~~rganisational and business change ~~must~~
274 ~~be addressed before money is spent on technology~~
- 275 • ~~Don't reinvent wheels – build a A~~ cross-government strategy ~~should be built~~ for common citizen
276 ~~and business~~ data sets (e.g. name, address) and common ~~citizen-customer~~ applications (e.g.
277 authentication, payments, notifications)

Comment [PFB11]: New wording based on “NZ edit”, covering Pattern [6] Transformational Business Model

278 **Citizen Service We believe that transformation is done with citizens and**
279 **businesses, not to them**

- 280 • ~~Engage citizens-All~~ stakeholders ~~should be engaged~~ directly in service design and delivery
- 281 • ~~Give citizens-Customers should be given~~ the technology tools that enable them to create public
282 value themselves

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- 283 • ~~Give citizens~~ People should be given ownership and control of their personal data - and ~~make~~ all
284 non-personally identifiable ~~government~~ data held by government should be freely open for
285 reuse and innovation by ~~citizens and~~ third parties

286 We believe in Growing the market for transformed services

- 287 • ~~Ensure that your s~~Service transformation plans are should be integrated with an effective digital
288 inclusion strategy to build access to and demand for e-services across society
- 289 • ~~Recognise that~~ Partnerships should be built with other market players (in the private, voluntary
290 and community sectors) ~~will have a in recognition of their~~ significant influence on
291 ~~citizen~~customer attitudes and behaviour ~~so build partnerships which and~~ enable the market
292 and others to work with ~~you~~ government to deliver jointly-owned objectives.

293 Manage and measure these nine We believe in managing and measuring 294 key critical success factors:



Comment [PFB12]: Figure updated

295 Figure 2: The nine Critical Success Factors
296

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

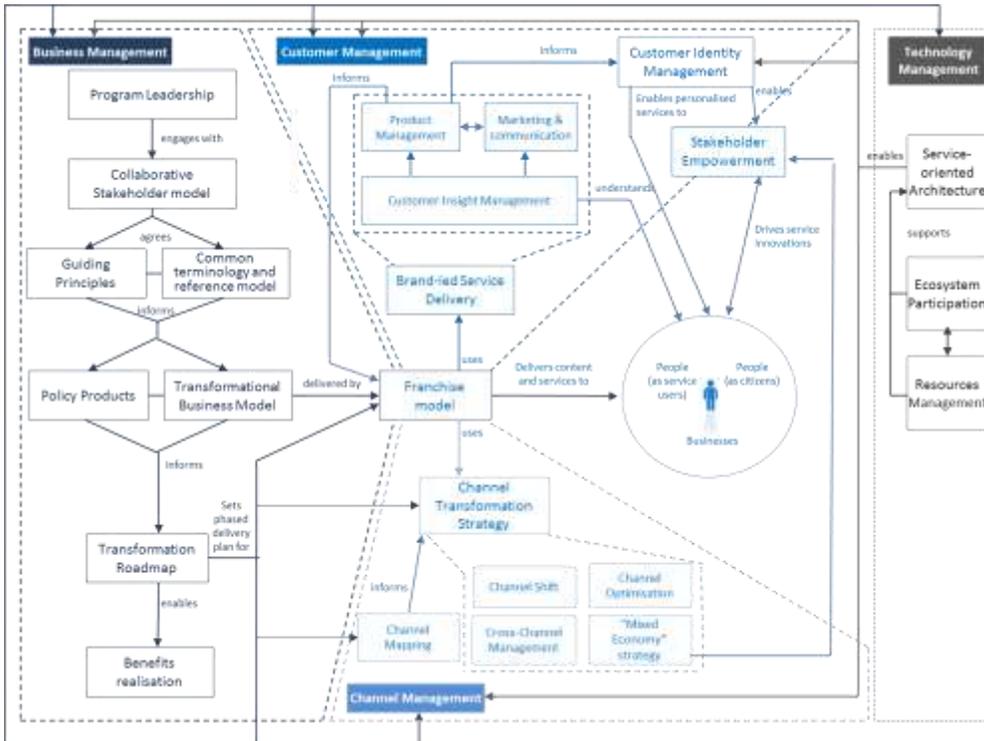
298 Component 2: Delivery Processes

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

- 303 • Business Management
304 • Customer Management
305 • Channel Management
306 • Technology Management

307 A high-level map of these delivery processes and how their constituent elements interact is
308 illustrated in summary below. The following sections then look in more detail at each of the four
309 delivery processes, setting out the best practices which should be followed in order to ensure
310 conformance with the Transformational Government Framework.

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311
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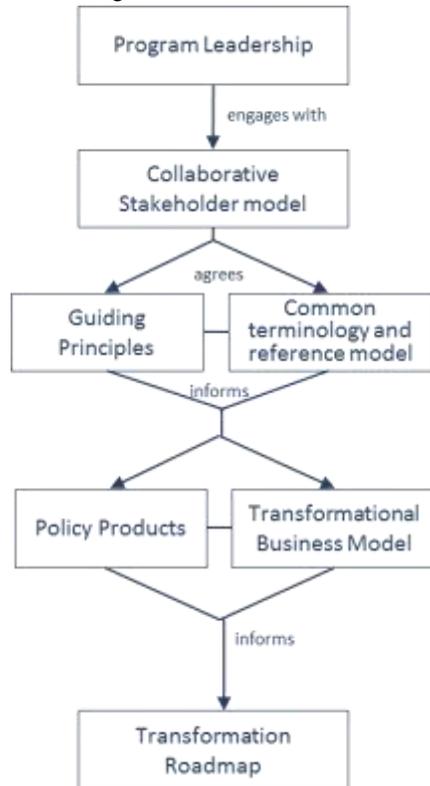
Figure 3: Relationships between the four Delivery Processes for Transformational Government

Comment [PFB13]: Figure updated

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314 Business Management Framework

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



317
318 **Figure 4: Overview of the Business Management Framework**

Comment [PFB14]: Figure updated

- 319 • **Transformational Government leadership:** the key people and governance structures needed to
320 develop and implement a Transformational Government program;
- 321 • A **collaborative Stakeholder Governance Model:** the process by which all key stakeholders are
322 identified, engaged and buy-in to the transformation program;
- 323 • A **common terminology and Reference Model:** ensuring that all stakeholders have a clear,
324 consistent and common understanding of the key concepts involved in Transformational
325 Government; how these concepts relate to each other; how they can be formally modelled; and
326 how such models can be leveraged and integrated into new and existing information
327 architectures;
- 328 • A **Transformational Business Model:** a new virtual business layer within government, focused
329 round the needs of citizens and businesses (the “Franchise Marketplace”), which enables the
330 existing silo-based structure of government to collaborate effectively in understanding and
331 meeting user needs;

Comment [PFB15]: Issue #54

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

Comment [PFB16]: Issue #56

In line with [TGF-PL-Core], Any conformant implementation of the TGF Business

Management Framework:

MUST have **Leadership** 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.

MUST have a **Collaborative Stakeholder Governance Model** demonstrate **engagement with stakeholders**

MUST have an agreed and **shared terminology and reference model** agree and use a **common terminology**

MUST use the **SHOULD** create a **Policy Product Map** to identify all necessary Policy Products

MUST have a **Transformational Business Model**

SHOULD use **consider** the **Franchise Marketplace Model** as part of that model

MUST address **skills** issues

MUST establish a **supplier partnership**

MUST have a phased **Transformation Roadmap for Transformation**

Comment [PFB17]: See comment on Issue #57

Comment [PFB18]: Issue #55

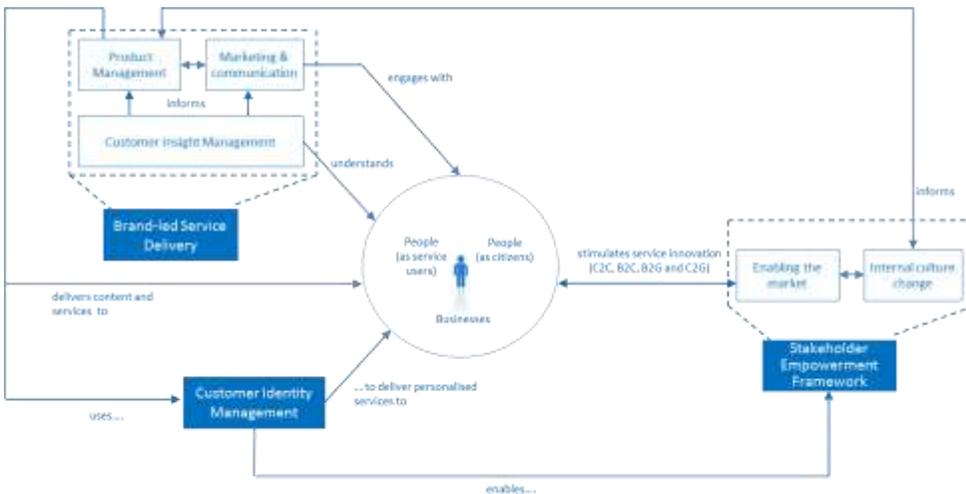
338 Further guidance on how to implement this process is given in Part III (a) of the Primer.
339

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

340 Customer Management Framework

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

- 342 • **Brand-led Service Delivery:** a user-focused framework for ensuring that:
- 343 – Detailed *insight* is gathered into citizen and business needs
 - 344 – This insight informs a **brand-led product management process** covering all stages of
 - 345 government service design and delivery
 - 346 – The brand values for Transformational Government then drive all aspects of **marketing and**
 - 347 **communications** for government services;
- 348 • **Identity Management**⁸: the business architecture, technical architecture, and ~~citizen~~customer-
- 349 centric identity model needed to enable secure and joined-up services which citizens and
- 350 businesses will trust and engage with; and
- 351 • **Citizen Stakeholder Empowerment:** the internal cultural changes and external market-enabling
- 352 actions which enable governments to engage with citizens and businesses as active co-creators
- 353 of public services, rather than their passive recipients.



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Figure 5: Overview of the Customer Management Framework

Comment [PFB19]: Figure updated

In line with [TGF-PL-Core], Any conformant implementation of the TGF Customer Management Framework:

MUST have a **Brand-led Service Delivery Strategy**, which is agreed and managed at a whole-of-government level and which addresses:

- Customer Insight;
- Product Management;
- Marketing and communication;

MUST have a **CitizenCustomer Identity Management Framework**, which:

- uses a federated business model;

⁸ '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.

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

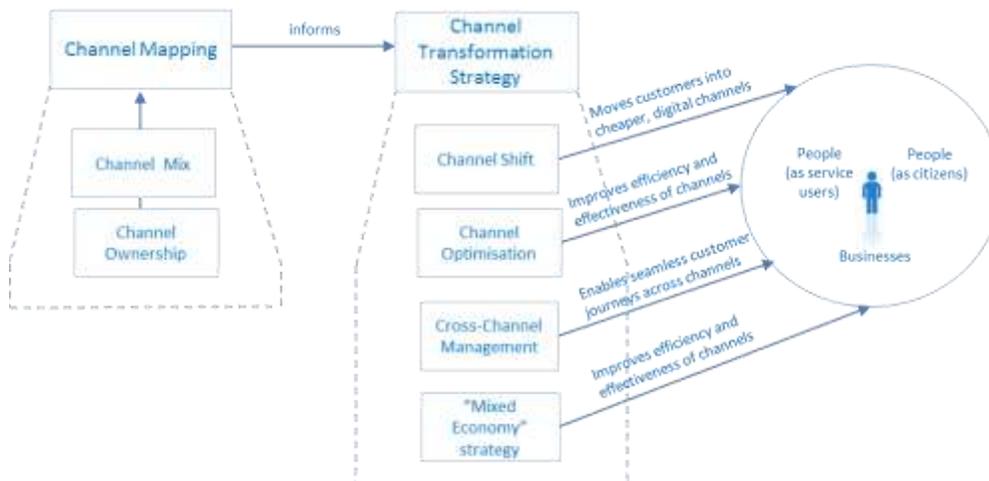
- uses a service-oriented IT architecture;
 - is ~~citizen~~**customer**-centric, giving ~~citizen~~**customer**s control, choice and transparency over personal data;
- MUST** have a **Citizen-Stakeholder Empowerment Framework**, which encourages and enables service innovation in the Citizen-to-Citizen, Business-to-Citizen, and Citizen-to-Government sectors.

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

357 Channel Management Framework

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

- 359 • **Channel Mapping:** a clear audit of what channels are currently used to deliver government
360 services. The TGF Channel Mapping approach includes an analysis of these channels across two
361 key dimensions: which delivery channels are being used ('channel mix') and who owns them
362 ('channel ownership').
- 363 • **Channel Transformation Strategy:** building a new channel management approach centred
364 around the needs and behaviour of citizens and businesses. The key concerns of such an
365 approach include:
 - 366 – Channel Optimization;
 - 367 – Channel Shift;
 - 368 – Cross-Channel Management; and
 - 369 – development of a "Mixed Economy" in service provision through private and voluntary
370 sector intermediaries.



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Figure 6: Overview of the Channel Management Framework

Comment [PFB20]: Figure updated

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

In line with [TGF-PL-Core], Any conformant implementation of the Channel Management Framework:

MUST have a clear **mapping of existing channels**, and their cost structures

MUST have a **Channel Transformation Strategy** 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.

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

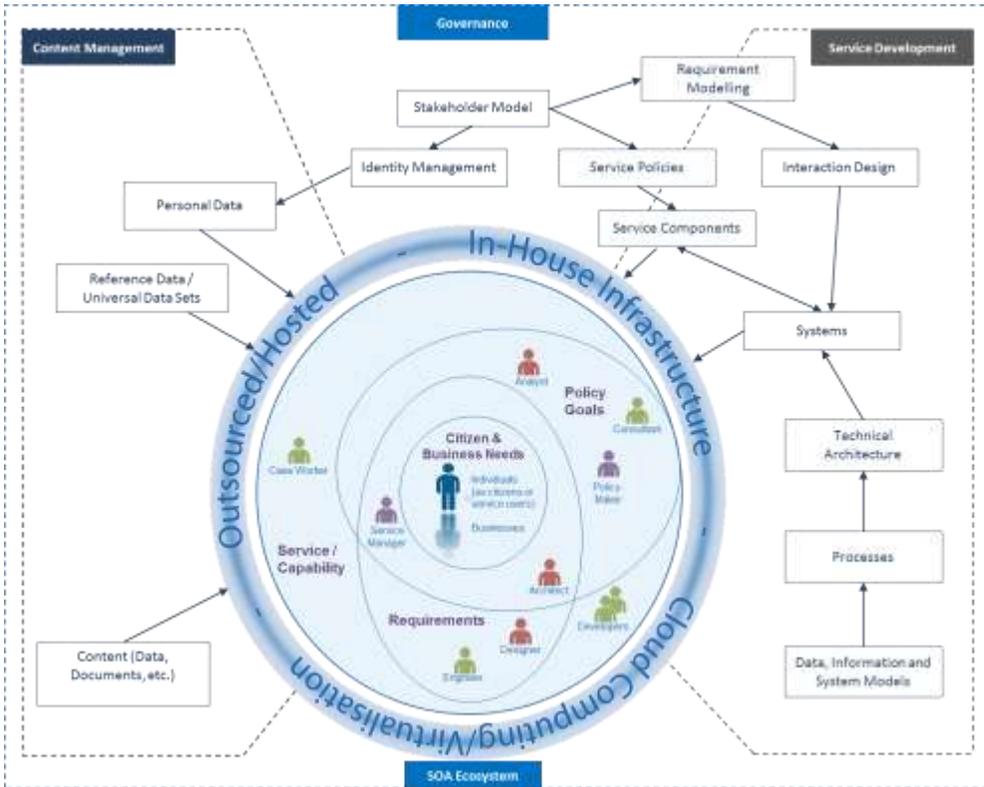
374 **Technology Management Framework**

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

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

381

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382
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Figure 7: Overview of the Technology Management Framework

In line with [TGF-PL-Core], Any conformant implementation of the Technology Management Framework:

MUST 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;

MUST explicitly model the stakeholders, actors and systems that comprise the overall service ecosystem and their relationships to each other

SHOULD maintain and update the stakeholder model on a regular basis

MUST use the OASIS 'Reference Model for SOA' as the primary source for core concepts and definitions of the SOA paradigm, including

- A clear understanding of the goals, motivations and requirements that any SOA-based system is intended to address;
- Identifiable boundaries of ownership of all components (and identity of the components themselves) in any SOA ecosystem;
- Discrete service realisation and re-use that provides a capability to perform some work on behalf of another party;
- The specification of any capability that is offered for use by another party with clear service descriptions and contracts

SHOULD consider the OASIS 'SOA Reference Architecture Framework' when designing specific SOA-based systems

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

Comment [PFB21]: Issue #194
Components 2 and 3 swapped over

385 **Component 3: Critical Success Factors**

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

388 **Strategic Clarity**

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

402 Leadership

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

411 User focus

- 412 • **A holistic view of the customer:** we understand who the customers for our services are - not just
413 for individual services - but across the Government as a whole. We know our customers, both
414 internal and external, are different - and understand their needs on a segmented basis.
- 415 • **CitizenCustomer-centric delivery:** [citizencustomer](#) can access all our services through a "one-
416 stop" service". This is available over multiple channels and that respond to different needs, but
417 we use web-based services to join it all up and reduce infrastructure duplication, and we
418 encourage customers into lower cost channels where possible and compatible with [citizen](#)
419 [individual](#) needs (such as accessibility).
- 420 • **Citizen-Stakeholder empowerment:** we engage [citizencustomers](#) directly in service design and
421 delivery, and provide them with technology tools that enable them to create public value
422 themselves.

423 Stakeholder engagement

- 424 • **Stakeholder communication:** all our stakeholders - users, suppliers, delivery partners elsewhere
425 in the public, private and voluntary sector, politicians, the media, etc. - have a clear
426 understanding of our program and how they can engage with it.
- 427 • **Cross-sectoral partnership:** other market players (in the private, voluntary and community
428 sectors) often have much greater influence on [citizencustomer](#) attitudes and behaviour than
429 government - so our strategy aims to build partnerships which enable the market to deliver our
430 objectives.

431 Skills

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

439 Supplier Partnership

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

446 Future-proofing

- 447 • **Interoperability:** Wherever possible we will use interoperable, open standards which are well
448 supported in the market-place.
- 449 • **Web-centric delivery:** we will use SOA principles in order to support all of our customer
450 interactions, from face-to-face interactions by frontline staff to online self-service interactions
- 451 • **Agility:** we will deploy technology using common building blocks which can be re-used to enable
452 flexible and adaptive use of technology to react quickly to changing customer needs and
453 demands.
- 454 • **Shared services:** key building blocks will be managed as government-wide resources - in
455 particular common customer data sets (e.g. name, address); common citizen applications and
456 application interfaces (e.g. authentication, payments, notifications); and core ICT infrastructure.

Comment [PFB22]: Issue #89

457 Achievable Delivery

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

473 Benefits Realization

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

Component 4: Benefits Realisation Strategy

The three parts of the TGF Benefits Realisation Strategy are:

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

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

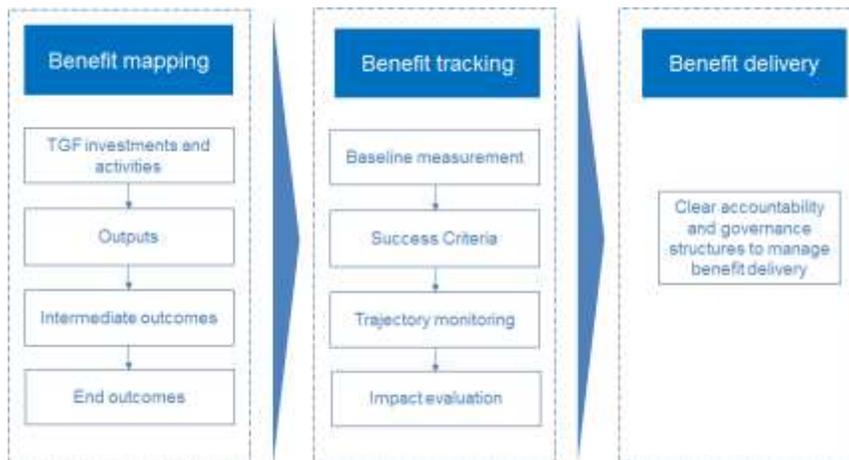


Figure 8: Overview of the Benefits Realisation Strategy

In line with [TGF-PL-Core], 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

493 Terminology and Reference Model

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

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

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

503 Core Terminology

504 Accessibility

505 *A policy prescription that aims at ensuring that people with disabilities and the*
506 *elderly can use public services with the same service levels as all other*
507 *~~citizens~~ individuals.*

508 Channel

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

510 Customer

511 *Any natural or legal person (a citizen or a business) who uses a public service.*
512 *Standard SOA terminology refers to “consumer” but “customer” is to be preferred in*
513 *order to highlight a more active role than is implied by (the more passive term)*
514 *consumer.*

515 Customer Franchise

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

522 Delegate

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

524 Delivery Roadmap

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

527 Ecosystem

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

Comment [PFB23]: Propose to delete category headings in this section and have a single, alphabetically arranged list of terms

Comment [PFB24]: Issue 67

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Franchise Marketplace

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”.

Goal

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

Inclusion

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.

Interoperability

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.

Leadership

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

Need

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

Objective

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

One-stop Service

A service designed around the needs of citizens and businesses. Such a service brings content and transactions from a wide number of different government agencies, and from different layers of government, enabling them to be integrated as a “one stop” point of service delivery, according to common service standards and with common marketing and communication.

Comment [PFB25]: New definition added, proposed as part of “NZ edit”, covering Pattern [6] Transformational Business Model

Policy Product

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

Requirement

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

Security

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

Service-Oriented, Service-Oriented

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

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

- 573 **Stakeholder**
574 *Any claimant inside or outside an organisation who have a vested interest in any*
575 *problem and/or its solution*
- 576 **Stakeholder Governance Model**
577 *Model and process in which key stakeholders are identified, engaged and buy-in to*
578 *the transformation program*
- 579 **System**
580 *A collection of components organized to accomplish a specific function or set of*
581 *functions*
- 582 **Transformational Government**
583 *A managed, ~~citizen~~customer-centred, process of ICT-enabled change in the public*
584 *sector*

Conformance Criteria

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

1. **MUST use the Guiding Principles** set out in Component 1 of the TGF
2. **MUST have delivery processes for business management, customer management, channel management and technology management** which address the best practices described in Component 2 of the TGF. Specifically, this means:
 - a) A Business Management Framework which:
 - **MUST have Leadership 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.
 - **MUST have a Collaborative Stakeholder Governance Model**
 - **MUST have an agreed and common terminology and reference model**
 - **MUST have a Transformation Business Model**
 - **SHOULD use the Franchise Marketplace Model**
 - **MUST use the Policy Product Map** as a tool to help identify Policy Products needed within the relevant government
 - **MUST have a phased Transformation Roadmap**
 - b) A Customer Management Framework which:
 - **MUST have a Brand-led Service Delivery Strategy**, which is agreed and managed at a whole-of-government level and which addresses:
 - Customer Insight
 - Product Management
 - Marketing and communication
 - **MUST have a Citizen Identity Management Framework**, which:
 - Uses a federated business model
 - Uses a service-oriented architecture (as part of the wider SOA described in the TGF Technology Management Framework)
 - 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, Citizen to Government, and Business to Government sectors
 - c) A Channel Management Framework which:
 - **MUST have a clear mapping of existing channels**, and their cost structures
 - **MUST have a Channel Transformation Strategy** which addresses the following elements:

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- 622 Shifting service users into lower cost, digital channels
623 Optimising the cost and performance of each channel, including through use of
624 benchmarking
625 Improving cross-channel management, with the aim of providing a seamless user experience
626 across different channels
627 — Developing a thriving mixed economy in the delivery of government services by private
628 and voluntary sector intermediaries.
- 629 d) A Technology Management Framework which:
- 630 ● **MUST** manage information and ICT system resources as distinct, valued assets including
631 issues related to the Identification, ownership, stewardship and usage policies for each asset
632 type;
 - 633 ● **MUST** explicitly model the stakeholders, actors and systems that comprise the overall
634 service ecosystem and their relationships to each other
 - 635 ● **SHOULD** maintain and update the stakeholder model on a regular basis
 - 636 ● **MUST** use the OASIS 'Reference Model for SOA' as the primary source for core concepts and
637 definitions of the SOA paradigm, including
 - 638 — A clear understanding of the goals, motivations and requirements that any SOA-based
639 system is intended to address;
 - 640 — Identifiable boundaries of ownership of all components (and identity of the components
641 themselves) in any SOA ecosystem;
 - 642 — Discrete service realisation and re-use that provides a capability to perform some work
643 on behalf of another party;
 - 644 — The specification of any capability that is offered for use by another party with clear
645 service descriptions and contracts
- 646 3. **MUST measure and manage the Critical Success Factors** outlined in Component 3 of the TGF
- 647 4. **SHOULD seek regular, independent review of performance** against these Critical Success
648 Factors
- 649 5. **MUST have a Benefit Realisation Strategy** which addresses the areas of benefit mapping,
650 benefit tracking and benefit delivery as described in Component 4 of the TGF
- 651 In terms of the primary users identified for the TGF in Part I:
- 652 ● A conformant government will be able to demonstrate and document that it is engaged in a
653 Transformation Program which complies with all these criteria;
 - 654 ● A conformant private sector organisation will be able to demonstrate and document that it
655 provides products and services which help governments to comply with all these criteria;

Comment [PFB26]: Issue #57

656 Part III: Guidance Notes

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

- 659 • The TGF Business Management Framework
- 660 • The TGF Customer Management Framework
- 661 • The TGF Channel Management Framework
- 662 • The TGF Technology Management Framework
- 663 • TGF Terminology.

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

667 Part III (a): Guidance on the TGF Business Management 668 Framework

669 Introduction

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

- 671 • Context
- 672 • Overview of key components in the TGF Business Management Framework
- 673 • Detailed description of and guidance on the key components

674 Context

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

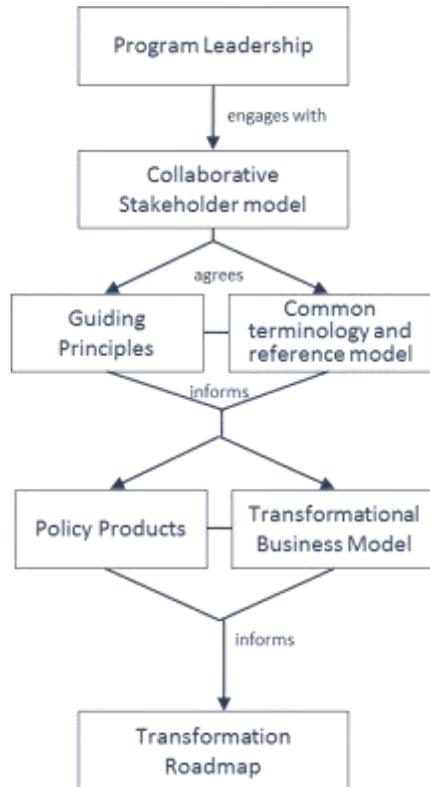
682 Overview of key components in the TGF Business Management 683 Framework

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

- 686 • **Transformational Government leadership:** the key people and governance structures needed to
687 develop and implement a Transformational Government program
- 688 • A **collaborative Stakeholder Governance Model:** the process by which all key stakeholders are
689 identified, engaged and buy-in to the transformation program, including to the Guiding
690 Principles described in Component 1 of the TGF
- 691 • A **common terminology and reference architecture:** ensuring that all stakeholders have a clear,
692 consistent and common understanding of the key concepts involved in Transformational
693 Government and how these inter-relate
- 694 • A **Transformation Business Model:** a new virtual business layer within government, focused
695 round the needs of citizens and businesses, which enables the existing silo-based structure of
696 government to collaborate effectively in understanding and meeting user needs
- 697 • The **development and management of Policy Products** that constitute the documented
698 commitment to the transformational process of any conformant agency
- 699 • A **Transformation Delivery Roadmap:** giving a four to five year view of how the program will be
700 delivered, with explicit recognition of priorities and trade-offs between different elements of the
701 program.

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

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703
704 **Figure 9: Key components of the Business Management Framework**

705 Transformational Government Leadership

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

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

- 711 • **A clear focus of accountability:** at both the political and administrative levels there should be an
712 explicit functional responsibility for the Transformation Program. These functions should be
713 occupied by individuals with sufficient authority to command the resources and mobilise the
714 support necessary to fulfil this mission.
- 715 • Deployment of **formal program management disciplines:** to deliver effective-Government-wide
716 transformation, it is vital to use a formalised program management approach, such as PRINCE 2⁹.

⁹ 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.

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

- 717 • Ensuring the **right skills mix in the leadership team**. Effective leadership of a Transformation
718 Program requires the senior accountable leaders to have access to a mix of key skills in the
719 leadership team which they build around them, including: strategy development skills,
720 stakeholder engagement skills, marketing skills, commercial skills and technology management
721 skills. Deployment of a formal competency framework such as SFIA¹⁰ can be helpful in identifying
722 and building the right skill sets.
- 723 • Building a **broad-based leadership team across the wider government**. It is not essential that all
724 Ministers and senior management are committed to the transformation program from the
725 outset. Indeed, a key feature of an effective roadmap for transformation is that it nurtures and
726 grows support for the strategy through the implementation process. However, it is important
727 that the program is seen not simply as a centralised or top-down initiative. Sharing leadership
728 roles with senior colleagues across the Government organisation is therefore important. Further
729 detail on this is set out in the section below on a collaborative stakeholder model.

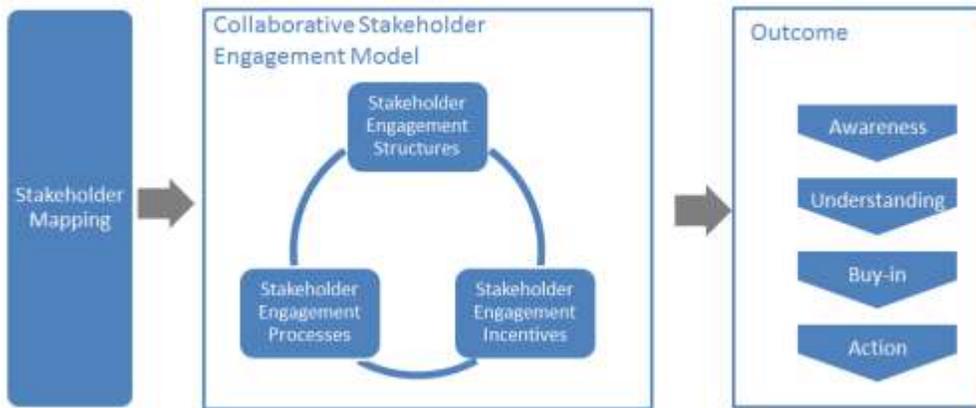
730 Collaborative Stakeholder Governance Model

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

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

¹⁰ 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.

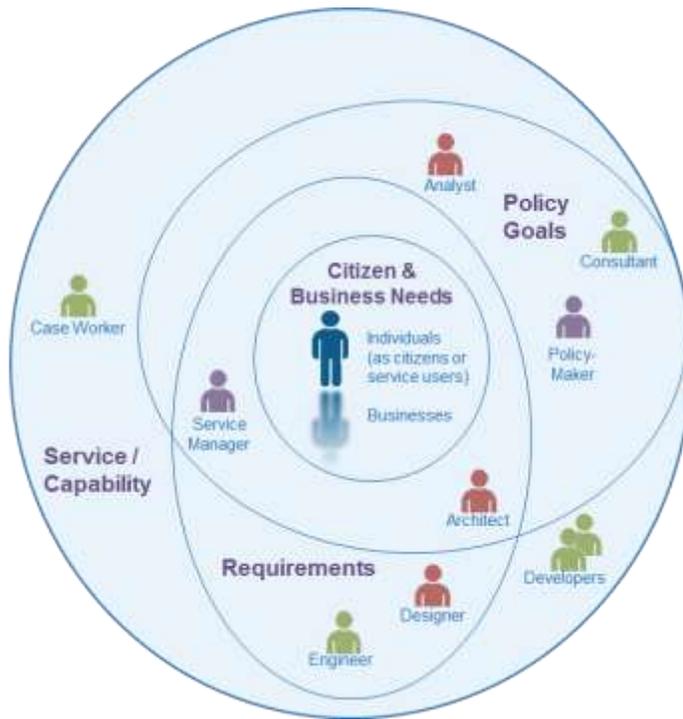
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740
 741 **Figure 10: Overview of Collaborative Stakeholder Governance**

742 *Stakeholder Mapping*

743 It is vital to describe and map the complete landscape of relevant stakeholders. The
 744 Transformational Government Framework puts the individual – whether acting on their own behalf
 745 as a citizen or on behalf of another citizen or of a business-as someone acting within a business or
 746 other role – at the centre:



747
 748 **Figure 11: Landscape of some key stakeholders**

749 This view deliberately and completely avoids the rather generic concept of ‘User’ that is dominant in
 750 traditional IT stakeholder engagement models, preferring rather to identify the different interests

751 and concerns that are at stake (the mauve labels) and the key groups of stakeholders (the different
752 people icons) in the development of any service.
753 The figure is by no means complete nor the only 'valid' view. It seeks instead to illustrate that the
754 process of transformation requires reappraisal of the current set-up and assessment of what needs
755 to change.

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

- 763 • A **service** (or ICT capability made available as a service) is understood as responding to a set of
764 requirements and policy goals (some of which overlap) – stakeholders concerned at this level
765 include, for example, case workers in a public administration or developers who have worked
766 with them in delivering a specific service;
- 767 • **Requirements** encapsulate and formalise vaguely stated goals and needs of citizens and
768 businesses and take on board the policy goals of the political sponsor or champion –
769 stakeholders at this level include, for example, managers of public service who can articulate the
770 needs of their respective services, the information and systems architects who capture those
771 needs as formal requirements that engineers can work with to develop services;
- 772 • **Policy Goals** capture the high-level concerns and priorities of the political authorities and
773 continually assess how these goals reflect key citizen and business concerns – stakeholders
774 include policy makers and senior management as well as consultants and analysts involved in
775 helping identify technology and administrative trends that can be used to leverage those goals;
776 and finally;
- 777 • Citizen and Business **Needs** that, ultimately, can only be fully understood by the people
778 concerned themselves – nonetheless stakeholders at this level can also include citizen or
779 business associations, consumer and other interest groups who engage with policy makers to
780 advance the interests of certain groups with distinct needs and are able to articulate those needs
781 in ways that can be used by analysts and consultants.

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

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

790 *The Stakeholder Engagement Model*

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

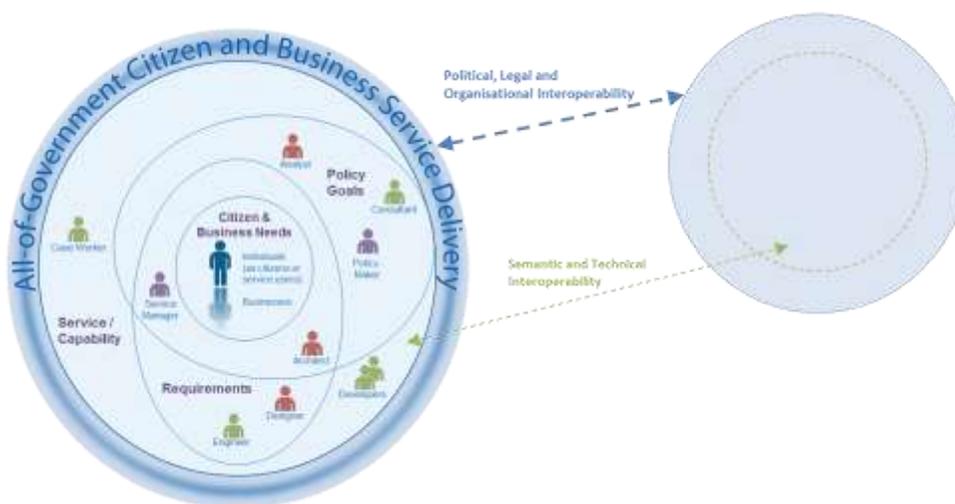
- 793 • **Stakeholder Engagement Structures:** the organisational arrangements put in place to lead the
794 transformation programme, e.g.:
795 central unit(s)
796 governance boards
797 – industry partnership board
- 798 • **Stakeholder Engagement Processes:** the processes and work flows through which the TGF
799 Leadership and the different TGF Stakeholders interact, e.g.:
800 reporting and accountability processes
801 risk management processes
802 issue escalation processes
803 consultation processes
804 – collaborative product development processes.
- 805 • **Stakeholder Incentives:** the set of levers available to drive change through these governance
806 structures and processes. These will vary by government, but typical levers being deployed
807 include:
808 central mandates
809 political leadership
810 administrative championship
811 personal performance incentives for government officials
812 – alignment between public policy objectives and the commercial objectives of private sector
813 partners.
- 814 There is no one right model for doing this successfully, but any conformant TGF program needs to
815 make sure that it has used the framework above to define its own Collaborative Stakeholder
816 Engagement Model which explicitly articulates all of these elements: a comprehensive stakeholder
817 map, coupled with the structures, processes and incentives needed to deliver full understanding and
818 buy-in to the program, plus effective stakeholder action in support of it.

819 *Collaboration between TGF Programs*

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

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

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825
826 **Figure 12: Collaboration between TGF programs through different levels of Interoperability**

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

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

839 **Common Terminology and Reference Model**

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

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

845 *Why have a terminology and reference model?*

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

849 international environment such as global standardization initiatives, the distinction is important as it
850 is common concepts that we wish to work with, not common terms¹¹.

851 This distinction also helps avoid common modelling pitfalls. Terms that may seem similar or the same
852 across two or more languages may actually refer to different concepts; or a single term in one
853 language could be understood to refer to more than one concept which another language expresses
854 with discrete terms: For example, the English *term* 'service' can refer to different *concepts* - an
855 organisational unit (such as 'Passport Service') or something that is performed by one for another
856 (such as 'a dry cleaning service'), whereas discrete terms are used for the discrete concepts in
857 German ('Dienst' or 'Dienstleistung'). As the TGF is intended for use anywhere in the world, it is
858 important to ensure that (ideally) global concepts can be transposed and translated and thus
859 understood in other languages: we therefore need to associate an explicit definition with each
860 concept as we do in a dictionary. The TGF uses the structure and methodology of an existing
861 international standard to create its terminology¹²

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

869 The TGF does not include a formal ontology but is sufficiently clear in its concepts, definitions and
870 relationships between concepts that the Framework will use consistently as an internally coherent
871 set. It does include however a "reference model" that is clear enough that subsequent ontology
872 development is possible if so desired.

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

876 Transformational Business Model

877 *Weaknesses of current models*

878 A central task of the TGF leadership and collaborative stakeholder model is to develop a new and
879 effective business model which enables the machinery of government to deliver ~~citizen~~customer-
880 centric "one stop services" in practice.

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

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

¹² "Terminology work – Vocabulary – Part 1: Theory and application" [ISO 1087-1:2000]

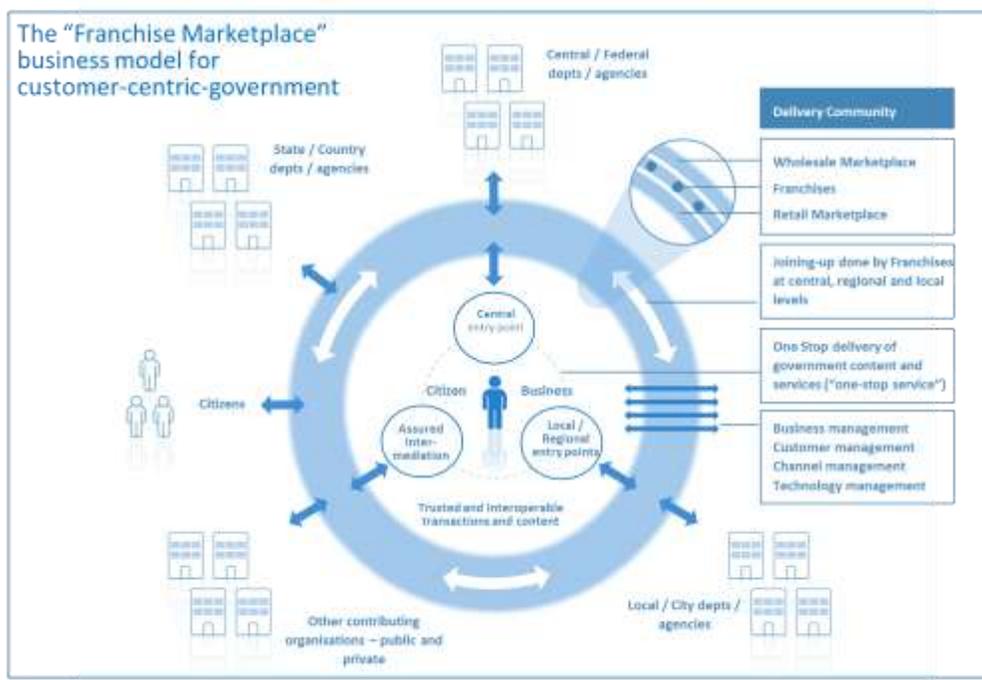
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886 delivery chain based around specific government functions. The experience of governments around
887 the world over the last two decades is that this simply does not work.

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

892 *The Franchise Marketplace Model*

893 This Framework recommends implementation of a business model which permits the joining-up of
894 services from all parts of government and external stakeholders in a way that makes sense to citizens
895 and businesses, yet without attempting to restructure the participating parts of government.
896 Conceptually, this leads to a model where the existing structure of government continues to act as a
897 supplier of services, but intermediated by a "virtual" business infrastructure based around customer
898 needs. A top-level view of such a virtual, market-based approach to citizen-service transformational
899 government is set out in the figure below:



Comment [PFB27]: Figure updated

900
901 **Figure 13: Overview of the Franchise Marketplace**

902 Key features of this business model are:

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

- 907 customer centric services - which in turn, is proven to drive higher service take-up and greater
908 customer satisfaction.
- 909 • Franchises provide a risk-averse operational structure that enables functionally-organised
910 government agencies at national, regional and local to work together in a customer-focused
911 "Delivery Community". They do this by :
 - 912 – Enabling government to create a "virtual" delivery structure focused on customer needs
 - 913 – Operating across the existing structure of Government (because they are led by one of the
914 existing "silos") and resourced by organisations that have close links with the relevant
915 customer segment including, possibly, some outside of government
 - 916 – Dividing the task into manageable chunks
 - 917 – Removing a single point of failure
 - 918 – Working to a new and precisely-defined operating model so as to ensure consistency
 - 919 – Working across and beyond government to manage the key risks to ~~citizen~~customer-centric
920 service delivery
 - 921 – Acting as change agents inside-Government departments / agencies.
 - 922 • The model enables a "mixed economy" of service provision:
 - 923 – firstly, by providing a clear market framework within which private and voluntary sector
924 service providers can repackage public sector content and services; and
 - 925 – secondly by deploying 'Web 2.0' type approaches across government that promote re-use
926 and 'mash-ups' of existing content and services, to make this simpler and cheaper at a
927 technical level.
 - 928 • The whole model is capable of being delivered using Cloud Computing

929 This Franchise model represents an important break-through in the shift from a traditional
930 e-Government approach towards ~~citizen-service~~transformational government. Certainly, the model
931 as a whole or key elements of it has been adopted successfully in governments as diverse as the UK,
932 Hong Kong, Croatia, Abu Dhabi and Australia (where it has been adopted by both the South Australia
933 and Queensland governments).

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

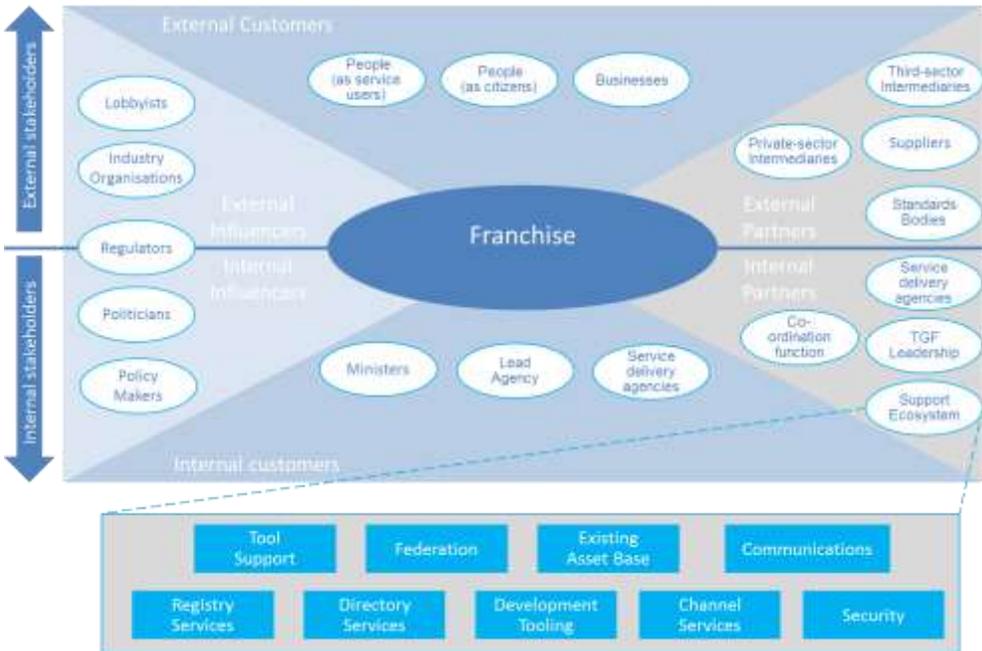
938 *Enabling the Franchise Marketplace Model*

939 A number of relationships need to be managed by a franchise to enable it to develop, maintain and
940 deliver transformational ~~citizen~~customer-centric one-stop services. These represent different
941 viewpoints that can be broadly classified as:

- 942 • **Customers:** Those citizens and businesses to whom the franchise delivers content and services,
943 plus those internal stakeholders to whom the franchise provides a service within the
944 government.
- 945 • **Partners:** Those who are actors in the normal operation and delivery of the service, both
946 internally and externally to the government.

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



950
 951 **Figure 14: Relationships in the Franchise Marketplace**

952 *The Franchise*

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

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

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

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

964 *Customers*

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

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

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

973 *Partners*

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

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

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

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

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

986 *Influencers*

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

991 *Policy Product Management*

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

1000 Over recent years, several governments have published a wide range of Policy Products as part of
1001 their work on Interoperability Frameworks and Enterprise Architectures, and other governments are
1002 therefore able to draw on these as reference models when developing their own Policy Products.
1003 However, we believe that the set of Policy Products required to ensure that a holistic, government -
1004 wide vision for transformation can be delivered is much broader than is currently being addressed in
1005 most Interoperability Frameworks and Enterprise Architectures.

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

1006 A TGF-conformant transformation program will use the matrix shown below to create a map of the
1007 Policy Products that are needed to deliver the program effectively. This matrix maps the four
1008 delivery processes described in Component 2 of the TGF (Business Management, Customer
1009 Management, Channel Management and service-oriented Technology Management) against the five
1010 interoperability domains identified in what is currently the broadest of Interoperability Frameworks -
1011 the European Interoperability Framework (EIF): technical, semantic, organisational, legal and policy
1012 interoperability. While the EIF framework is conceptually complete, by mapping it against these core
1013 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

1014 *Figure 15: A Policy Product Map completed with examples of individual policy products. Each cell in the*
1015 *matrix may contain one or more policy products depending on the outcome of relevant analysis*

1016 A full analysis of the Policy Products which we recommend are typically needed to deliver an
1017 effective and holistic transformation program will be included in a separate Committee Note “Tools
1018 and Models for the Business Management Framework”. Although the detailed Policy Products in that
1019 note are advisory and not all of them may be needed, any conformant transformation program
1020 MUST use the overall framework and matrix of the Policy Product Map in order to conduct at
1021 minimum a gap analysis aimed at identifying the key Policy Products needed for that government,
1022 taking the Committee Note into account as guidance.

1023 Transformation Roadmap for Transformation

Comment [PFB28]: Issue #59

1024 Finally, it is essential that the vision, strategy, business model and policies for ~~citizen-service~~
1025 transformational government are translated into an effective ~~Transformation~~ Roadmap for
1026 Transformation.

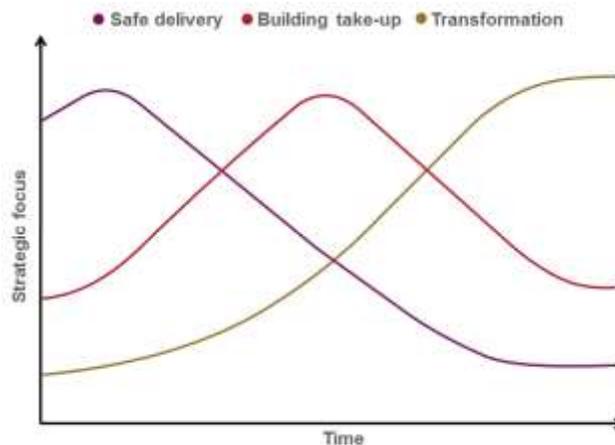
1027 Since everything can clearly not be done at once, it is vital to map out which elements of the
1028 transformation programme need to be started immediately, which can be done later, and in what
1029 order. There is no one-size-fits all strategy which governments can use, since strategy needs to be
1030 tailored to the unique circumstances of each government's situation.

1031 However, all governments face the same strategic trade-offs: needing to ensure clear line-of-sight
1032 between all aspects of programme activity and the end outcomes which the Government is seeking
1033 to achieve, and to balance quick wins with the key steps needed to drive longer term transformation.

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

1034 In the early days of the Transformational Government program, we recommend that the major
1035 strategic focus should be on **safe delivery** - that is, prioritising high benefit actions which help to
1036 accelerate belief and confidence across the Government and the wider stakeholder community that
1037 ICT-enabled change is possible and beneficial - but which can be delivered with very low levels of
1038 risk. As the programme develops, and an increasing number of services become available, the
1039 strategic focus can move towards **building take-up**: that is, building demand for online services and
1040 creating a critical mass of users. Once that critical mass starts to appear, the strategic focus can start
1041 to shift towards fuller **transformation**: in other words, to start driving out some of the more
1042 significant transformational benefits that high levels of service take-up enables, for example in terms
1043 of reducing the cost of government service delivery.

1044 As the diagram below makes clear, these strategic foci are not mutually exclusive, but overlap.
1045 Crucially, in the Safe Delivery phase there will also be some vital steps needed in order to pave the
1046 way for longer term transformation, particularly in respect of establishing the business case for
1047 transformation, and embedding the strategy in effective governance processes. But the diagram
1048 shows how the strategic weight between each consideration should shift over time.



1049 Figure 16: Roadmap priorities over time

1050 Guided by the strategic trade-off framework described above, experience shows that a phased
1051 approach is the most successful. Typically, an effective Delivery Roadmap will cover five main phases.

1052 *Plan*

1053 The preparation and planning needed to develop a tailored Delivery Roadmap for the Government,
1054 to ensure that the business case for transformation is fully articulated, and that all key stakeholders
1055 are on-board. Key outputs from this phase should include:

- 1056 • Transformation vision: a high level document setting out the agreed future model for
1057 transformation of our client organisation and its re-engineered business processes
- 1058 • Strategic business case: the key costs and benefits associated with the transformation
1059 programme
- 1060 • Delivery roadmap: a multi-year transformation plan, covering, among other things:
1061 – A change management plan (including communication and training plans)

- 1062 – Central capability building and governance processes
- 1063 – A sourcing strategy
- 1064 – A strategy for moving towards a service oriented ICT architecture
- 1065 – A risk management strategy
- 1066 – A high level benefits realisation plan, setting out the actions needed to ensure full
- 1067 downstream delivery of the intended benefits from the transformation programme.

1068 *Initiate*

- 1069 In this first phase of delivery, the focus is on building the maximum of momentum behind the
1070 Roadmap for the minimum of delivery risk. This means focusing in particular on three things:
- 1071 • some early quick wins to demonstrate progress and early benefits, for a minimum of delivery risk
 - 1072 and using little or no technology expenditure
 - 1073 • embedding the Roadmap in governance structures and processes which will be needed to inform
 - 1074 all future investments, notably the frameworks of enterprise architecture, customer service
 - 1075 standards and issue/risk management that will be required
 - 1076 • selecting effective delivery partners.

1077 *Deliver*

- 1078 In this phase, some of the more significant investments start coming on stream - for example, the
1079 first version of the major "one-stop" ~~citizen~~customer-facing delivery platforms, and the first wave of
1080 transformation projects from "champion" or "early adopter" agencies within the Government

1081 *Consolidate*

- 1082 In this phase, the focus shifts towards driving take-up of the initial services, expanding the initial one-
1083 stop service over more channels, learning from user feedback, and using that feedback to specify
1084 changes to the business and technology architectures being developed as longer term, strategic
1085 solutions

1086 *Transform*

- 1087 Finally, the program looks to build out the broader range of e-transformation projects, drive forward
1088 the migration of all major ~~citizen~~customer-facing services towards the new one-stop channels, and
1089 complete the transition to the full strategic IT platform needed to guarantee future agility as
1090 business and customer priorities change.

1091 Part III (b): Guidance on the TGF Customer Management 1092 Framework

1093 Introduction

1094 The TGF Customer Management Framework is in three main sections:

- 1095 • Context
- 1096 • Overview of key components in the TGF Customer Management Framework
- 1097 • Detailed description of and guidance on the key components

1098 Context

1099 The first of the Guiding Principles identified in Component 1 of the TGF is:

- 1100 ~~Develop a~~ *We believe in detailed and segmented understanding of your citizen*
1101 *and business customers:*
- 1102 • ~~Own the~~ *These customers should be owned at the whole-of-government level;*
 - 1103 • ~~Don't assume you know what users of your services think – research, research,~~
1104 ~~research~~ *Decisions should be based upon the results of research rather than*
1105 *assumptions being made about what customers think;*
 - 1106 • ~~Invest in developing a r~~ *Real-time, event-level understanding of citizen and*
1107 *business interactions with government should be developed"*

1108 Putting these principles into practice involves taking a holistic, market-driven approach to every step
1109 of the service design and delivery process. This in turn often requires new skills and management
1110 practices to be brought into government. The TGF Customer Management Framework draws
1111 together best practice on how to do this.

Comment [PFB29]: Modified in line with Issue #53 re-write of Guiding Principles

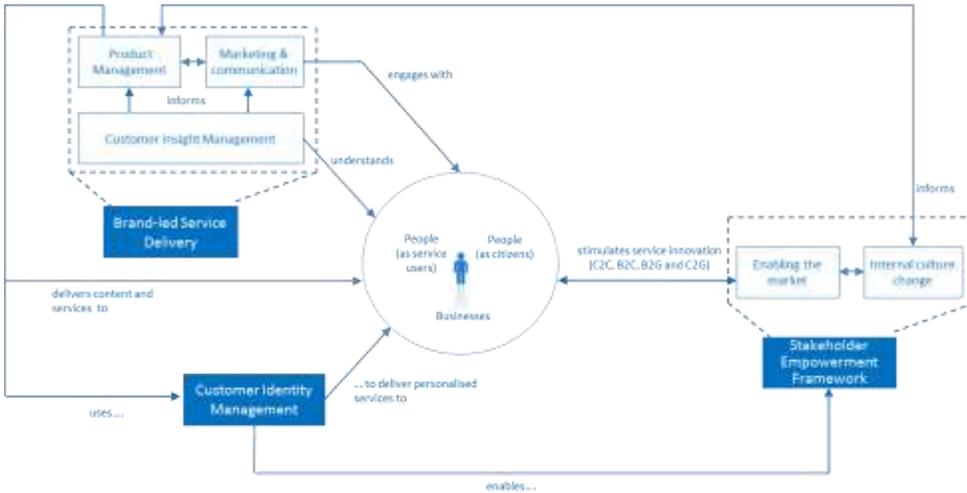
1112 Overview of key components in the TGF Customer Management 1113 Framework

1114 There are three key components of the TGF Customer Management Framework:

- 1115 • Brand-led Service Delivery
- 1116 • Identity Management
- 1117 • ~~Citizen Stakeholder~~ Empowerment

1118 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.



1119

1120 **Figure 17: Overview of the Customer Management Framework**

Comment [PFB30]: Figure updated

1121 Brand and Marketing Strategy

1122 Marketing is critical to effective ~~citizen-service~~ transformational government, yet is something at
1123 which government traditionally does not excel. Often, marketing is fundamentally misunderstood
1124 within government - as being equivalent to advertising or perhaps, more broadly, as being equivalent
1125 to communication.

1126 Properly understood, however, marketing is the process of:

- 1127 • Understanding the target market for government services in all its breadth and complexity
- 1128 • Learning what is needed in order to meet citizen/customer needs
- 1129 • Developing an offer for citizens and businesses that they will engage with
- 1130 • Establishing a clear set of brand values for that offer - a set of underpinning statements that
- 1131 adequately describe what the product or service will deliver and how
- 1132 • Delivering that offer through appropriate channels, in a way which fully delivers on the brand
- 1133 values
- 1134 • Generating awareness about the offer
- 1135 • Creating desire/demand for the offer
- 1136 • Reminding people
- 1137 • Changing the offer in the light of experience

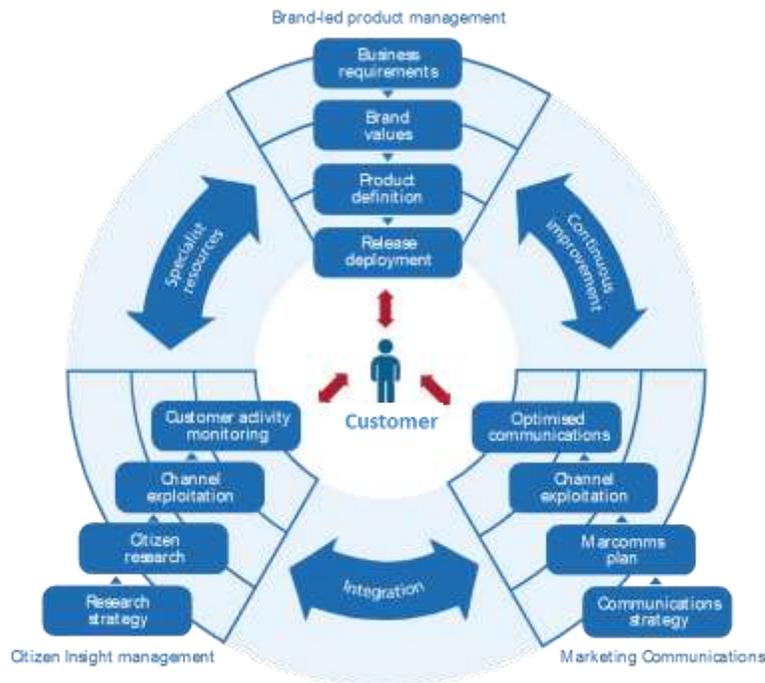
1138 This is the process that a brand-led consumer product company such as Procter and Gamble or Virgin
1139 would go through when developing a new product. However, it is not typically how governments
1140 manage their own service development, and governments generally lack the skills to do it.

1141 Moreover, the challenge faced by governments is significantly more complex than any private sector
1142 company, given the greater range and complexity of services and governments need to provide a
1143 universal service rather than pick and choose its customers. Yet if governments are to succeed in the
1144 ambition of shifting service delivery decisively away from traditional channels to lower-cost digital
1145 channels, then these marketing challenges have to be met.

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1146 | And given the fact that a) **citizencustomer** needs cut across organisational boundaries in government
1147 | and b) the skills for delivering an effective brand-led marketing approach to service transformation
1148 | will inevitably be in short supply, it is important that these challenges are addressed at a
1149 | government-wide level.

1150 | A TGF-conformant Transformation Program will establish government-wide processes for managing
1151 | the three core elements of the TGF Brand-led Service Delivery Framework illustrated below:



1152 |
1153 | Figure 18: *Brand-led Service Delivery Framework*

- 1154 | • **CitizenCustomer** insight
1155 | • Brand-led product management
1156 | • Marketing communications

1157 | **CitizenCustomer** insight must inform all aspects of the process, and involves a comprehensive
1158 | programme of qualitative and quantitative research to understand and segment the customer base
1159 | for government services. The learnings from this need to be fed into a brand-led product
1160 | management process - not as a one-off input of initial research, but through a continuous process of
1161 | iterative design and customer testing. A key output from this will be a set of brand values for the
1162 | service, which then need to drive all aspects of service delivery, and marketing communications for
1163 | the service.

1164 | This is an iterative process of continuous improvement, not a linear one. Continuous **citizencustomer**
1165 | insight research is needed to ensure that both the service delivery experience and the marcoms
1166 | activity remain aligned with the brand values, through successive phases of release deployment. As

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1167 the service is implemented, across a range of channels, best practice management information
1168 systems can be deployed to ensure that the Government now has real-time, event-level
1169 management information about the experience of all customers - which in turn provides a powerful
1170 feedback loop into further innovation in the service design.

1171 Often, this will require the Government to bring in specialist resources, because typically it may face
1172 significant gaps in terms of the people and skills needed to manage brand-led product development
1173 and marketing cycles of this nature.

1174 Identity Management

1175 Identity management is a key enabler, yet something with which most governments struggle. At the
1176 heart of that struggle is often a failure to put the ~~citizen~~customer at the centre of government's
1177 thinking about identity.

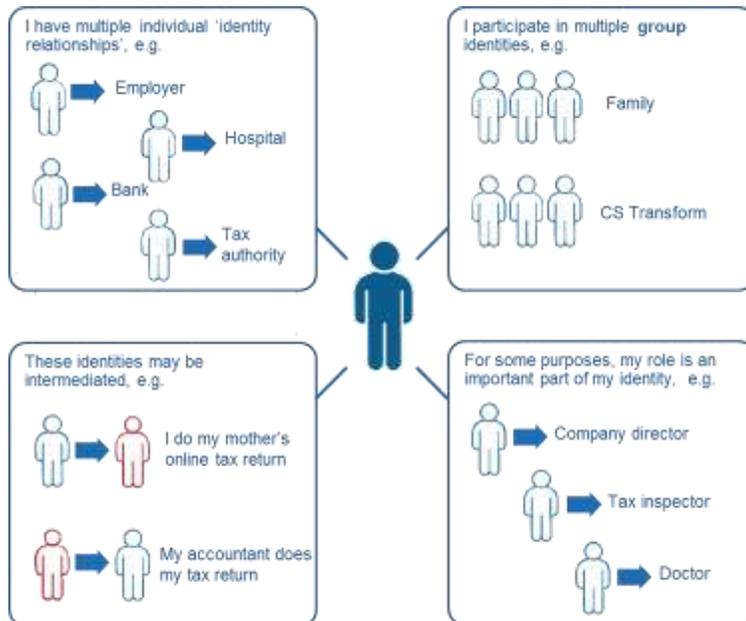
1178 A wide range of agencies, standards bodies and advocacy groups are deeply involved in many
1179 aspects of this work, from technical models for privacy management (such as the OASIS PMRM
1180 technical committee¹³) through to the business, legal and social issues around online identity
1181 assurance (such as promoted by Open Identity Exchange, OIX¹⁴). It is not the purpose of the
1182 Transformational Government Framework to address the details of identity management or
1183 recommend specific policies or approaches but rather to give high-level guidance on the main issues
1184 that a conformant program should seek to address.

1185 Identity is a complex, and by definition deeply personal, concept. As the following figure illustrates, a
1186 single ~~citizen~~person in fact has multiple, overlapping "identities".

¹³ See http://www.oasis-open.org/committees/tc_home.php?wg_abbrev=pmrm

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

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1187
1188 Figure 19: *Complexity of identities*

1189 Each identity may be associated with different rights and permissions, even different addresses.
1190 These identities overlap, but in some cases the citizen-individual concerned may want to keep them
1191 separate in order to protect his or her privacy. At other times, the citizen/he or she may want them to
1192 be joined up, and be frustrated at constantly having to furnish government with the same
1193 information over and over again.

1194 Governments have often struggled to manage this complexity. Typically, identity is defined
1195 separately in relation to each silo-based government service. Even countries which have traditionally
1196 had the simplicity of a single citizen identifier (such as Finland, where there has been a single
1197 population register since 1634), have tended to build up separate and inconsistent business
1198 processes for identity verification. Although the advent of e-Government held out the promise of
1199 significant simplification of identity management - bringing service improvement gains for the
1200 citizen/customer and efficiency savings for the Government - significant barriers remain. These
1201 include legal barriers that have grown up over centuries of piecemeal approaches taken by public
1202 administrations (as well as, more recently, also by the private sector) and put in place often to
1203 protect individuals from the effects of equally piecemeal processes. As such the impact of any
1204 changes must be considered very carefully.

1205 Many of the tools which governments have put in place to guarantee security in the online world
1206 (passwords, PINs, digital signatures etc), have in practice acted as barriers to take-up of online
1207 services. And attempts to join up databases to enable cross-government efficiencies and service
1208 improvements have often been met with mistrust and suspicion by citizens/users.

1209 Increasingly, however, a set of best practices is emerging around the world which we believe
1210 represents a way forward for citizen-service transformational government, which is broadly
1211 applicable across a very wide range of governments.

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1212 Key aspects of this are:

1213 *Business Architecture*

1214 Firstly, a business architecture for identity management which is based on federation between a
1215 wide range of trusted organisations (the Government, banks, employers etc), and a clear model for
1216 cross-trust between these organisations.

1217 *Technical Architecture*

1218 Secondly, a technology architecture to support this which does not rely on monolithic and potentially
1219 vulnerable large databases, but which, in line with the SOA paradigm, uses Internet-based gateway
1220 services to act as a broker between the different databases and IT systems of participants in the
1221 federated trust model.

1222 *CitizenCustomer-centric Identity Model*

1223 Thirdly - and perhaps most importantly - a citizencustomer service model for identity management
1224 which places citizens-individuals themselves directly in control of their own data, able to manage
1225 their own relationship with government – whether on their own behalf as citizens or in another
1226 identity relationship or intermediated role – and with clearly visible controls to reassure them that
1227 this is the case. This citizencustomer-centric approach to identity management is illustrated in the
1228 figure below.



1229
1230 Figure 20: Overview of CitizenCustomer-Centric Identity Model

1231 No one-Government has implemented all features of this approach, but all are being successfully
1232 deployed around the world, and together they represent our view of the approach to identity
1233 management which will best help deliver Transformational Government.

1234 CitizenStakeholder Empowerment Framework

1235 We argued in Part I of the TGF that a defining feature of Transformational Government programs is
1236 that they focus on the "citizen"-active stakeholder not the passive "customerconsumer" - that is,

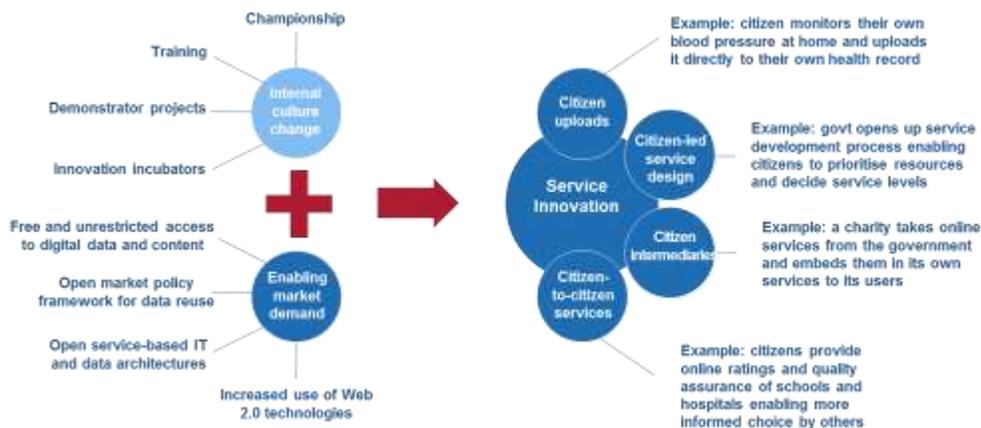
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1237 they seek to engage with citizens and businesses as owners of and participants in the creation of
1238 public services, not as passive recipients of services.

1239 What does this mean in practice?

1240 Citizen-Stakeholder empowerment involves a set of changes which are much more fundamental than
1241 the online consultations and "e-participation" initiatives which characterised the first wave of
1242 e-Government programmes. It is also more fundamental than the application of the latest
1243 generation of technologies to government - although such technologies do have a role to play.

1244 The key shift is to think of service delivery not as something which is done by government to citizens
1245 and businesses but as something in which they are active co-creators of services - or even where
1246 public services are delivered directly citizen-to-citizen with no or minimal government involvement.
1247 Innovators in government who are making that shift are starting to develop a wide range of new
1248 ways to create public value and enhance services, as illustrated:



1249
1250 Figure 21: Overview of Citizen-Stakeholder Empowerment Framework

1251 This figure also highlights two important enablers of this innovation, which we believe are important
1252 to address as part of a Transformational Government program:

- 1253 • Action on the supply side within government, to help create a culture of open innovation within
1254 the public sector. Such a culture change - which reflects an increasing trend in the private sector
1255 to see external ideas and collaborations as being the key to successful innovation - is particularly
1256 challenging in the public sector given the strong tradition of internal control over decision-
1257 making and policy development. So pro-active change management is essential.
- 1258 • Action to enable demand-side pull by citizencustomers and third party organisations
1259 outside-Government. Particularly important here is the principle that all non-personal data held
1260 by government should be open, public, easily reusable, and available at marginal cost - which for
1261 digital information means free. By opening up government data, content and services for reuse
1262 and repurposing by others, government can enable a level of service innovation and market
1263 reach that it could not hope to achieve on its own. Most governments also find that simply
1264 making data and content available in theory is not sufficient: in practice they also need to
1265 facilitate market-based public service delivery by:

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- 1266 – building a business model of rules and processes which enable a level-playing field for new
- 1267 market entrants (see the “Wholesale Intermediary Market” component of Part III (b))
- 1268 – establishing a service-oriented technology architecture based around open standards and
- 1269 technologies which makes it easier in practical terms for third parties to re-purpose and
- 1270 repackage-Government content (see Part III (d)).

1271 Part III (c): Guidance on the TGF Channel Management 1272 Framework

1273 Introduction

1274 The TGF Channel Management Framework is in two main sections:

- 1275 • Context
- 1276 • Overview of key components in the TGF Channel Management Framework
- 1277 Detailed description of and guidance on the key components

1278 Context

1279 Channel management is often a weak spot in government service delivery, with widespread
1280 duplication, inefficiency and lack of user-focus. Experience has shown the common pitfalls to include:

- 1281 • Managing new, digital channels as "bolt-ons", with business and technical architectures which
1282 are entirely separate from traditional face-to-face or paper-based channels
- 1283 • No common view of **citizencustomer** service across multiple channels
- 1284 • Operational practices, unit costs and service standards for many channels which fall well below
1285 standards set for those channels in the private sector
- 1286 • A reliance on government-owned channels, with insufficient understanding of how to partner
1287 with private and voluntary sector organisations who have existing trusted channels to
1288 government customers
- 1289 • Unproductive and costly competition among service delivery channels

1290 Transformational Government programs seek to avoid these pitfalls, by building a channel
1291 management approach centred around the needs and behaviour of citizens and businesses.

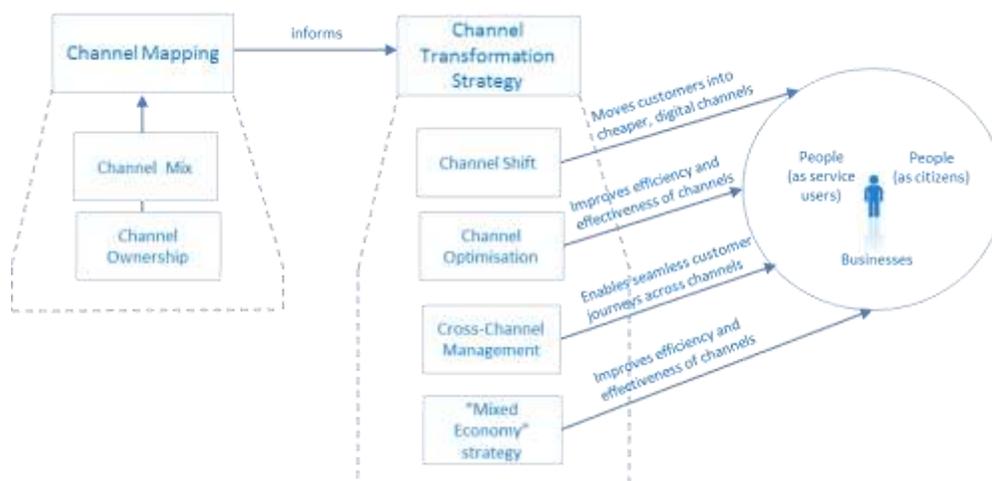
1292 Overview of key components in the TGF Channel Management 1293 Framework

1294 The two key elements of the approach recommended in the Transformational Government
1295 Framework are:

- 1296 • **Channel Mapping:** a clear audit of what existing channels are currently used to deliver
1297 government services. The TGF Channel Mapping approach includes an analysis of these channels
1298 across two key dimensions: which delivery channels are being used ('channel mix') and who
1299 owns them ('channel ownership').
- 1300 • **Channel Transformation Strategy:** the TGF helps build a new channel management approach
1301 centred around the needs and behaviour of citizens and businesses. The key components of such
1302 an approach include:
 - 1303 – Channel Optimization
 - 1304 – Channel Shift
 - 1305 – Cross-Channel Management

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- 1306 – Development of a “mixed economy” in service provision through private and voluntary
1307 sector intermediaries.
1308 A high level view of the logical relationships between these components is illustrated below.



1309
1310 **Figure 22: Overview of the Channel Management Framework**

Comment [PFB31]: Figure updated

1311 Channel Mapping

1312 A vital first step in developing a ~~citizen~~**customer**-centric channel management strategy is to carry out
1313 a mapping of existing delivery channels across government, and to put a cost to each transaction
1314 delivered through these channels based on standard industry assumptions. This will highlight
1315 duplication across government (for example, having multiple high-street locations in the same town
1316 serving different government departments or agencies), and the savings that can be achieved by
1317 joining government services together and using the most efficient delivery channel in each case.

1318 A common finding in channel audits of this type is that much ~~customer~~**customer** contact between
1319 governments and ~~citizens~~**customer** is unnecessary, hidden and uncosted. For example, many
1320 governments have literally thousands of public service telephone contact numbers.

1321 Much of the contact that results between citizen or business users and the Government is therefore:

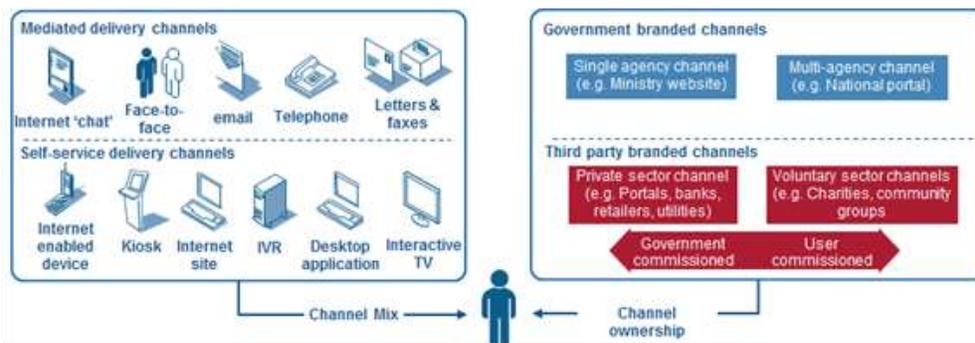
- 1322 • unnecessary - because the user is struggling to find the right place to get the service they need,
1323 resulting in multiple contacts before their need is finally resolved
1324 • hidden and uncosted - because only some of these customer contacts are caught by existing
1325 management information systems. The rest are just lost within the broader operational
1326 structure and budget of government.

1327 A clear map of customer interactions by channel, and the true costs of these, therefore provides
1328 essential data in building the business case for service transformation.

1329 In undertaking this mapping, we recommend that a holistic approach is taken to understanding the
1330 range of channels through which government services are and could be delivered. Government
1331 services can be delivered through a wide range of different channels. It can be helpful to think of that
1332 range as varying across two key dimensions, as illustrated below:

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- 1346
- **Channel mix:** that is, the physical type of channel being used. Traditionally, channels for government service delivery have included the face-to-face channel (through high-street and other locations), traditional mail and the traditional telephone. More recently, interactive voice recognition (IVR) and the Internet have become important channels. A key distinction is the extent to which the channel is based around self-service by the **citizen/customer**, or requires some form of intermediation - either in person (e.g. the **citizen/customer** visiting a government office or an official visiting the citizens in the community) or remotely (e.g. by telephone or email).
 - **Channel ownership:** it is important to understand, too, the variety of "channel ownership" options which are available. Traditionally, channels for government services have been branded as belonging to a specific government agency. Increasingly, governments looking to develop a **citizen/customer**-centric approach have also started to badge these on a government-wide basis: either covering a single channel (such as a national government portal), or multiple channels (such as Service Canada, which spans walk-in offices, contact centres, and the web).



1347
1348 Figure 23: Overview of Channel Mapping

1349 Channel Transformation Strategy

1350 Once a full Channel Mapping has captured the current channel mix and cost base, it is important to
1351 map out a strategy for the future desired channel mix, and the future customer experience over
1352 different channels.

1353 The key elements of this Channel Transformation Strategy are discussed below.

1354 Channel Shift

1355 Successful private-sector businesses are more effective at this than government. They understand
1356 that each channel opens up different ways to create value for customers, so they differentiate
1357 services across channels. They also take a hard-nosed approach to channel management, with
1358 customers being incentivised to use the channels that are most efficient from a business point of
1359 view. And they realise that channel shift is a complicated process, which needs planning over a multi-
1360 year period.

1361 Transformational Government programs adopt a similar approach, setting out clear strategies for
1362 channel shift⁷. Typically though they recognise two distinct differences between the public and
1363 private sector:

- 1364 • First, government has an obligation to provide services on a universal basis, so is not able to pick
1365 and choose which customers it will engage with through different channels. "Directed choice"
1366 towards cheaper channels is therefore the strategy selected for most ~~citizen~~customer-facing
1367 services (although a number of governments are increasingly looking to make Internet-only
1368 services the norm for businesses).
- 1369 • Second, in terms of the online channel, government is in a unique position compared with any
1370 other online service provider. Whereas an online bank or retailer is limited by the size of the
1371 online population in the market, a government can take action significantly to increase that
1372 online population. "Digital inclusion" policies, aimed at increasing the proportion of ~~citizens~~
1373 ~~individuals~~ who have access to and confidence in using online channels, are therefore an
1374 important part of government channel strategies which would not normally be seen in their
1375 private-sector counterparts.

1376 *Channel optimisation*

1377 As well as seeking to shift future service delivery to an optimal channel mix, Transformational
1378 Government programs seek to optimise the performance of each individual channel. In the UK for
1379 example, a government-wide review¹⁵ of customer contact found that contact centre performance
1380 lagged significantly behind private sector benchmarks, and that on average operational savings of
1381 25% could be achieved in public centre contact centres over a 3 year period by adopting best
1382 practices.

1383 *Cross-Channel Service Management*

1384 However, it is vital not to think about channel optimisation solely on a channel-by-channel basis.
1385 There are two imperatives for taking a cross-channel approach to service delivery:

- 1386 • First, to improve service to ~~citizen~~customers. ~~Citizen~~Customer do not simply want services
1387 to be available through a choice of channels. Rather they want services to be delivered in an
1388 integrated way across channels. Transformational Government programs therefore focus on
1389 achieving an integrated view of customer interactions across all channels.
- 1390 • Second, to reduce costs. A shared service approach to channel management can deliver
1391 significant efficiency savings. By building channel support services around a common, web-based
1392 infrastructure, governments can both reduce costs while also facilitating joined-up services.

1393 *Development of a Mixed Economy in Service Provision*

1394 Finally, it is essential to recognise that a ~~citizen~~customer-centric approach involves delivering
1395 services where ~~citizen~~customers want to receive them - and this may often mean that it is important
1396 to deliver services through private or voluntary sector intermediaries.

1397 This is particularly important as services become digitised, potentially reducing the marginal costs of
1398 delivery to near zero and hence making it easier for third party organisations to bundle public sector
1399 services with their own service offerings. This can be challenging for governments, however, since
1400 for the first time it means that they are "competing" for customers with other organisations.

¹⁵ *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

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1401 Establishing clear ground rules for how this sort of mixed economy of service provision should work,
1402 on a basis that will encourage private and voluntary sector organisations to become actively
1403 involved, is therefore an important task for government in creating the policy framework for
1404 Transformational Government and SHOULD be addressed using the Franchise Marketplace Model
1405 outlined above.

1406 Part III (d): Guidance on the TGF Technology 1407 Management Framework

1408 The TGF Technology Management Framework is in three main sections:

- 1409 • Context
- 1410 • Overview of key components in the TGF Technology Management Framework
- 1411 • Detailed description of and guidance on the key components

1412 Context

1413 The transformations to business, customer and channel management described above require a new
1414 approach to technology and in particular a commitment to the paradigm and principles of Service
1415 Oriented Architecture (SOA) and SOA-based infrastructure, as defined in the OASIS 'Reference Model
1416 for Service-Oriented Architecture [SOA-RM].

1417 Transformational Government demands a single view of the citizen or business, delivered inside an
1418 integrated business and channels architecture. In terms of ICT, all of this requires governments to
1419 learn from private-sector best practice. Industry is moving towards a model of company-wide,
1420 service-orientated enterprise architecture, where common building blocks using open standards can
1421 be re-used to enable flexible and adaptive use of technology to react quickly to changing customer
1422 needs and demands. Increasingly, companies are gaining even greater efficiency benefits by
1423 managing these building blocks as a service, provided not only from within their own ICT architecture
1424 but also from within "the Cloud" - the dynamically-scalable set of private and public computing
1425 resources now being offered as a service over the Internet.

1426 Governments are increasingly taking this 'building block' approach to technology development. Key
1427 building blocks such as ICT infrastructure, common data sets, and identity verification need to be co-
1428 ordinated effectively. While much can be learned from the private sector, simply importing industry
1429 practices will not solve this coordination problem within government.

1430 Governments are taking different approaches to the co-ordination function: some build central
1431 infrastructure for use by all departments and agencies; others identify lead departments to build and
1432 implement common solutions; others have a more decentralised approach, allowing departments to
1433 develop their own solutions according to a common architecture and standard set. However, finding
1434 an effective approach which works within a specific government is vital, since without this sort of
1435 technology flexibility, then Transformational Government becomes impossible - or possible only at
1436 great expense and with significant wasteful and duplicated ICT expenditure.

1437 Overview of key components in the TGF Technology Management 1438 Framework

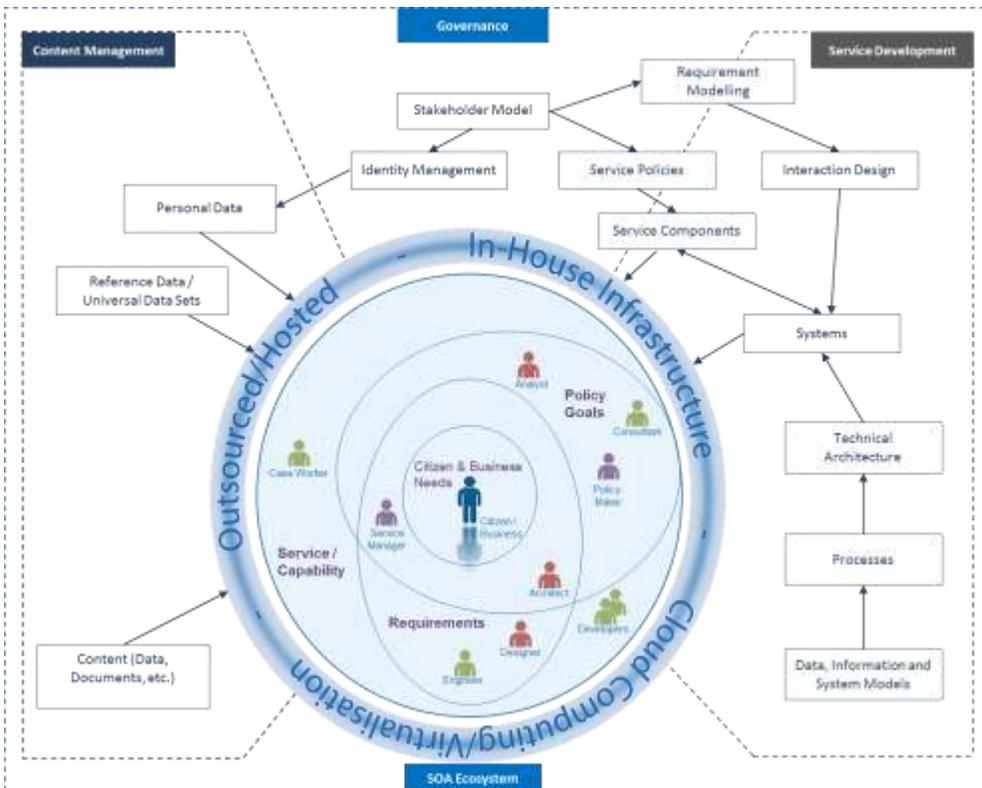
1439 The Technology Management Framework is modelled as one of the four TGF delivery processes, but
1440 it is concerned with more than "just" the delivery of services using ICT. Its focus on the SOA
1441 paradigm is key to an approach that puts citizens and businesses as customers at the centre of a
1442 service ecosystem with many stakeholders, roles and systems involved.

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1443 The three key elements of the approach recommended in the Transformational Government
1444 Framework are:

- 1445 • Resources Management which underpins ecosystem governance
- 1446 • Ecosystem Participation
- 1447 • Realisation and governance of SOA-based ICT systems

1448 A high level view of the logical relationships between these components is illustrated below.



1449
1450 Figure 24: Overview of Technology Management Framework

1451 Resources Management

1452 This entails the explicit identification and management of resources as valued assets, whether
1453 information resources (data sets, documents, models, processes, etc.) and technology 'soft products'
1454 (systems, applications and services).

1455 Eco-system Participation

1456 Best practice technology management requires a clear model and understanding of the stakeholders,
1457 actors and systems that comprise the overall service ecosystem and their relationships to each other.
1458 The model must be maintained and updated as stakeholders change over time and over the course
1459 of any development effort thus ensuring that requirements are continually evaluated and revised.
1460

1461 Citizens and businesses, as potential customers, must be understood as stakeholders in the
1462 ecosystem with 'needs' (often imprecisely formulated) that they seek to satisfy through use of a
1463 service; but citizens and businesspeople are also human actors interacting with pieces of technology
1464 in precisely-defined interactions. These system-focussed interactions are a result of accurately
1465 modelling the processes required of both system and user in order to deliver a particular service
1466 capability conforming to explicit 'requirements'. Requirements in turn are revised and updated to
1467 reflect changes in stakeholder composition and concerns.

1468 Stakeholders are clearly distinguished and modelled – including the fact that they play different roles
1469 in different contexts (and which therefore has implications for role-based authentication).
1470 Stakeholder composition is also a good predictor of project risk – understand and modelling
1471 stakeholder types helps identify and mitigate risk. Stakeholder modelling underlines that every
1472 participant in an ICT development project is implicitly an intermediary representing diverse
1473 stakeholder interests in the deployed service.

1474 SOA-based system realisation and governance

1475 Service-Oriented Architecture (SOA) must be understood in its broadest sense – as a paradigm for
1476 organising and using capabilities distributed and managed across different ownership domains. In
1477 this sense, SOA is technology and platform agnostic and thus provides an appropriate foundation for
1478 the technology management framework.

1479 Disparate systems are weaved together as part of a coherent ecosystem while specific 'services',
1480 broken down into functional components, are identifiable as distinct from the underlying
1481 technologies that deliver them. This encourages ecosystem agility, allowing services to be mixed and
1482 matched, composed and re-used – it remains agile and flexible without being brittle, as with many
1483 systems where service functionality is tailored and tightly-coupled to addressing a specific problem.
1484 Ownership and governance – of information resources as well as ICT products – is federated across
1485 ownership boundaries and explicit service descriptions and contracts ensure that everyone knows
1486 the 'rules of engagement and use' when using any service.

1487 Key concerns of such an approach include:

- 1488 – SOA technical architecture and component service ("building block") realisation and re-use;
- 1489 – Service policies;
- 1490 – Identity Management;
- 1491 – Cloud Computing (Service and Infrastructure Virtualisation);
- 1492 – Interaction Design, based on end-user needs

1493

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1497 Participants:

1498 Hans Aanesen, Individual Member
1499 Oliver Bell, Microsoft Corporation
1500 John Borrás, Individual Member
1501 Peter F Brown, Individual Member
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1514 Trond Arne Undheim, Oracle Corporation
1515 Colin Wallis, New Zealand Government
1516 David Webber, Oracle Corporation
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1519 **Revision History**

1520 17-03-2011: (compared to Working Draft 02) Finalised remaining edits agreed by TC at adoption;
1521 Update of ToC; Numbering of Figures

1522 [13-11-2011: Incorporation of edits proposed in line with comments to Committee Note Draft Public](#)
1523 [Review and alignment with "TGF Pattern Language – Core Patterns" WD05](#)