Technology and Information Services

Pipeline Governance Framework

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DOCUMENT INFORMATION

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ABBREVIATIONS

List of the abbreviations used frequently in this document:

BA	Business Analyst
BP	Business Partner
CSI	Continual Service Improvement
EA	Enterprise Architecture
F&S	Finance & Sustainability
PM	Project Manager
PMO	Project Management Office
S&A	Strategy & Architecture
SD	Solution Delivery
SM	Service Management
TA	Technical Architect
TAG	Technical Architecture Group
TIS	Technology & Information Services
WP	Work Package
WPWG	Work Package Working Group

Contents

1. Introduction

1.1 PURPOSE

The purpose of this document is to establish the framework and governance for the management of the pipeline into Technology and Information Services (TIS). The framework applies to the initiation of new services and service development, from the moment it is identified, to the implementation of a solution and the last stages of liaison with the customer to confirm benefits realisation and evaluate customer experience.

1.2 AUDIENCE

This framework is to be used by all members of TIS and any others authorised to work or conduct business on behalf of TIS.

2. Pipeline description

A diagram representing the pipeline can be seen in Figure 1.

2.1 PHASE 1: UNDERSTAND IDEA

Purpose	Understand and explore the idea
Description	Activities aimed at understanding the viability of the business concept. Tasks are likely to run in parallel.
Owner	BP

No.	Activity	Interface	Document
1.1	New business concept received	Customer	
1.2	Capture high level business requirements	Customer	Opportunity record
1.3	Check whether it is an issue or service improvement request. If so, log via appropriate route	SM	CSI Initiative or Support Call
1.4	Liaise with Finance to check availability of funding stream	F&S	Finance Report
1.5	Liaise with TAG to determine technical viability (quick check, may involve discussion with 3rd party suppliers and SD)	TAG SD 3rd party	Initial Architectural Report
1.6	Summarise findings into outline business case (Value Proposition)	-	Value Proposition (an outline business case)

2.2 PHASE 2: EXPLORE TECHNOLOGY

	Purpose	Understand and explore the technology
	Description	Activities aimed at exploring technical options available and their suitability for providing a supportable and sustainable solution. This phase is usually driven by the Technical Architects. An exception can be triggered that would allow the work to move forward, even though it may not align with architectural principles and/or service design.
	Owner	TAG

No.	Activity	Interface	Document
2.1	Investigate whether business requirements can be addressed with existing technology. If so, log via appropriate route	SM	CSI Initiative or Support Call
2.2	Identify alternative solutions Are they deliverable?	SD and other providers	Feed into 'Architectural Report'
2.3	Are they supportable?	SM	Feed into 'Architectural Report'
2.4	Are they sustainable? Check against EA strategy and Architectural Principles	EA	Feed into 'Architectural Report'
2.5	If the answer to any of the above is "no", instigate impact assessment	-	Feed into 'Architectural Report'
	Engage BA review of business requirements and incorporate into revised Value Proposition	BA	BA Report
2.6	If the answer to 2.2 – 2.3 is "yes", create Work Package detailing proposed solution (will involve discussion with customer, 3rd party suppliers, SD and SM)	SD SM 3rd party	Work Package

2.3 PHASE 3: REVIEW WORK PACKAGE

	Purpose	Review proposed works
	Description	The WPWG will review a proposed Work Package to ensure that appropriate consultation has taken place across TIS and all interested parties. The WPWG has responsibility for approving or rejecting WP submissions and The WPWG will brief the CIO as required. This may trigger an exception that would allow the work to move forward, even though it may not align with architectural principles and/or service design.
	Owner	S&A

No.	Activity	Interface	Document

No.	Activity	Interface	Document
3.1	Review Proposed WP	-	-
3.2	Brief CIO if required	-	-
3.3	Approve or reject WP with appropriate recommendations	-	Minutes of WPWG
	Approval will trigger a scheduling process (Phase 4) which can be in the shape of a project or a quick solution implementation. See Appendix for description of solution provision routes	PMO SD SM	
	Rejection will BP engagement with customer in order to communicate feedback	BP Customer	Set Met record

2.4 PHASE 4: IMPLEMENT SOLUTION
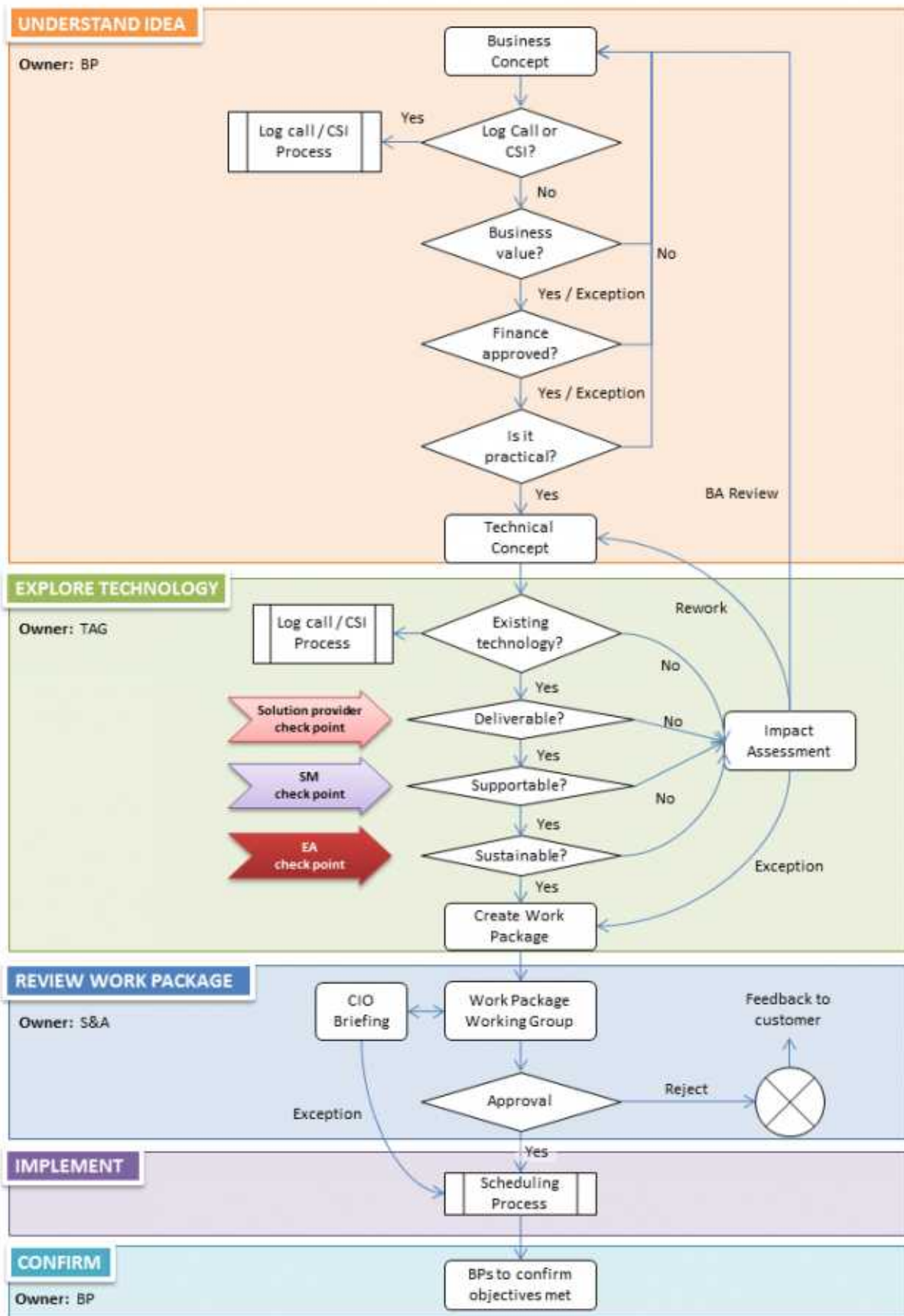
Purpose	Implement solution
Description	Implementation can be in the shape of a project (lead by PMO, SD or an external project manager) or small works to be carried out by SM, SD or an external supplier. See Appendix for description of solution provision routes
Owner	Each solution provider

2.5 PHASE 5: CONFIRM BENEFITS REALISATION

Purpose	Confirm
Description	Confirm benefits realisation and evaluate customer experience
Owner	BP

No.	Activity	Interface	Document
5.1	Meet customer to confirm benefits (value) realisation and evaluate customer experience	Customer	Set Met record

Figure 1. Pipeline

3. Document management

3.1 DOCUMENT DEFINITIONS

Document	Description	Owner	Code
Architectural Report	Evaluates technical suitability of solutions available, highlighting any implication drawn from Architectural Principles and University and TIS strategies.	TAG	AR
Business Analyst Report	Provides detailed analysis of business processes and business requirements to aid the identification of appropriate solutions.	BA	BAR
Business Case	The justification for an organisational activity, which typically contains costs, benefits, risks and timescales, and against which continuing viability is tested.	BP	BC
Finance Report	Outlines alignment with business plan and details funding stream. May be incorporated within the Opportunity record	F&S	FR
Initial Architectural Report	Provides brief option appraisal of technical solutions available May be incorporated within the Opportunity record	TAG	IAR
Opportunity Record	A preliminary record of the business concept being proposed or raised by the customer Opportunities can enter the pipeline via S&A BPs and as a result of existing projects that already being run by PMO or SD.	BP	-
Project Brief	Statement that describes the purpose, cost, time and performance requirements, and constraints for a project. It is created pre-project during the Starting up a Project process and is used during the Initiating a Project process to create the Project Initiation Documentation and its components. It is superseded by the Project Initiation Documentation and not maintained.	PM	PB
Project Initiation Documentation	A logical set of documents that brings together the key information needed to start the project on a sound basis and that conveys the information to all concerned with the project.	PM	PID
Set Met Meeting Record	Notes from the Set Met meeting should be incorporated within the Opportunity record	BP	-
Value Proposition	An customer-focussed statement of the proposed solution and the value and benefits to the customer for final agreement before implementation.	BP	VP
Work Package	The set of information relevant to the creation of one or more products. It will contain a description of the work, the Product Description(s), details of any constraints on production, costs, timescales, and confirmation of the	S&A	WP

Document	Description	Owner	Code
	agreement between the originator and the person or Team Manager who is to implement the Work Package that the work can be done within the constraints. It should contain a level of detail appropriate for each the work needed.		

3.2 NAMING CONVENTION

3.2.1 NAMING OF OPPORTUNITIES

Opportunities can enter the pipeline through various routes, e.g. via S&A BPs and as a result of existing projects that already being run by PMO or SD. Regardless of their origin, all opportunities should be named according to the following convention:

[Year].[Sequence Number].[Code] [Opportunity name]

Code, Year and Sequence Number are defined as follows:

	Description	Example
Year	The last two digits of the current year	14, 15
Sequence number	The sequence number should be maintained through the pipeline.	0135, 0298
Code	Short code referencing document type, e.g.: Value Proposition, Architectural Report, etc.	VP, AR, WP

Examples [*Check whether we need prefix OPP*]:

Document type	#	Year	Sequence number	Code (Document type)	Document code + Opportunity name
Value Proposition	OPP	14	0001	VP	14.0001.VP *Document name*
Finance Report		14	0001	FR	14.0001. FR *Document name*
Architectural Report		14	0001	AR	14.0001. AR *Document name*

Document type	#	Year	Sequence number	Code (Document type)	Document code + Opportunity name
Business Analyst Report		14	0001	BAR	14.0001. BAR *Document name*
Initial Architectural Report		14	0001	IAR	14.0001. IAR *Document name*
Work Package		14	0001	WP	14.0001. WP *Document name*
Project Brief		14	0001	PB	
Project Initiation Document		14	0001	PID	

3.2.2 NAMING OF BACKGROUND DOCUMENTS RELATING TO OPPORTUNITIES

Background documents will be stored in a folder with prefix matching that of the opportunity they link to.

4. Roles and responsibilities

Role	Description of role and responsibilities
Business Analyst (BA)	Has responsibility for detailed analysis of business processes and business requirements to aid the identification of appropriate solutions
Business Partner (BP)	Has primary responsibility for customer engagement and for defining the Value Proposition.
Chief Information Officer (CIO)	The CIO is responsible for the Enterprise Architecture Program, providing strategic direction, and enforcing its requirements. The CIO establishes, maintains, and approves the Enterprise Architecture. The CIO, or designee, supplements this Policy by approving procedures, technical standards, and guidelines.
Customer	The person or group who commissioned the work and will benefit from the end results.
Enterprise Architect (EA)	Has responsibility for leading on the creation of the Enterprise Architecture strategy and governance on behalf of the CIO.
Project Manager (PM)	The person given the authority and responsibility to manage a project on a day-to-day basis to deliver the required products within the constraints agreed with the Project Board.
Stakeholder	Any individual, group or organization that can affect, be affected by,

Role	Description of role and responsibilities
	or perceive itself to be affected by, an initiative (programme, project, activity).
Technical Architect Group (TAG)	The TAG is responsible for: • Providing a holistic view of the Enterprise Architecture to enable individual initiatives to be evaluated against long-term objectives; • Defining and maintaining the 0 – 3 year roadmap; • Ensuring development initiatives are aligned with guiding principles and target architectures; • Defining segment target architecture by process/system domain or network layer; • Defining implementation processes and tracking mechanisms; and • Documenting synchronisation points and dependencies across Product, Process, ICT and Network areas.
User	The person or group who will use one or more of the products.
Work Package Working Group (WPWG)	The primary role of the WPWG is to ensure that correct consultation has occurred across TIS before any change to the Enterprise Architecture is implemented. The WPWG will also ensure that priorities and capabilities are aligned prior to implementation.

4.1 THE WORK PACKAGE WORKING GROUP

Membership	• Head of Strategy and Architecture • Technical Architecture Group Manager • Technical representatives from TIS: ○ SD and SM • Relevant BP • …
Terms of Reference	Review and approve (or reject) Work Package documents Ensure that correct consultation has occurred across TIS before any change to the Enterprise Architecture is implemented. Ensure that priorities and capabilities are aligned prior to implementation. Brief the CIO, as required.

5. Glossary of related terms

Term	Description
Activity	A process, function or task that occurs over time, has recognizable results and is managed. It is usually defined as part of a process or plan.
Approval	The formal confirmation that a product is complete and meets its requirements (less any concessions) as defined by its Product Description.
Approver	The person or group (e.g. a Project Board) who is identified as qualified and authorized to approve a (management or specialist) product as being complete and fit for purpose.
Assumption	A statement that is taken as being true for the purposes of planning, but which could change later.
Architecture	The structure of components, their interrelationships, and the principles and guidelines governing their design and evolution overtime.
Baseline architecture	The set of products that portrays the existing enterprise, the current business practices, and technical infrastructure. Commonly referred to as the "as-is" architecture.
Benefit	The measurable improvement resulting from an outcome perceived as an advantage by one or more stakeholders.
Business concept	An issue, idea or proposal worth exploring as a potential opportunity
Change request	A proposal for a change to a baseline. It is a type of issue.
Checkpoint	A team-level, time-driven review of progress.
Constraints	Restrictions or limitations to the execution of a project or idea.
Continual Service Improvement (CSI)	A process responsible for continually aligning and re-align existing IT services to the changing business needs and implementing improvements to IT services that support business processes.
Dependencies	The relationship between products or activities.
Enterprise	The network of entities and interconnecting relationships, which form the University's extended organisation: students, staff, suppliers, the wider community, city, regional, national and international partners.
Enterprise Architecture (EA)	Embeds a way of thinking and working, in conjunction with an associated toolkit of techniques, focused on interweaving business and IT together, improving structural performance and delivering on commitments to stakeholders.
Exception	An exclusion from TIS Architectural Principles and service design
Information Technology	Applied computer systems, both hardware and software, and often including networking and telecommunications, usually in the context of a business or other enterprise. This often refers to the name of the part of the enterprise that deals with all things electronic.
Issue	A relevant event that has happened, was not planned, and requires management action. It can be any concern, query, request for change or suggestion raised during a project, or during the course of engagement with customers.

Term	Description
Objective	The purpose or intention of a particular activity
Opportunity	A set of requirements and circumstances that makes possible to deliver new TIS services and/or enhance existing TIS services.
Plan	A detailed proposal for doing or achieving something which specifies the what, when, how and by whom
Problem/concern	A type of issue (other than a request for change or service improvement initiative) that needs to resolved or escalated.
Process	A structured set of activities designed to accomplish a specific objective. A process takes one or more defined inputs and turns them into defined outputs.
Product	An input or output, whether tangible or intangible, that can be described in advance, created and tested.
Project	A temporary organization that is created for the purpose of delivering one or more business products/outputs according to a specified Business Case.
Project management	The planning, delegating, monitoring and control of all aspects of the project, and the motivation of those involved, to achieve the project objectives within the expected performance targets for time, cost, quality, scope, benefits and risks.
Scope	For a plan, the sum total of its products and the extent of their requirements.
Solution architecture	How an individual information management system, or information acquisition will comply with the requirements of the Target Architecture.
Strategy	An approach or line to take, designed to achieve a long-term aim.
Target architecture	The set of products that portray the future or end-state enterprise, generally captured in the organisations strategic thinking and plans. Commonly referred to as the "to-be" architecture.
User acceptance	A specific type of acceptance by the person or group who will use the product once it is handed over into the operational environment

Appendix

SOLUTION PROVISION

Solution provision may be internal (SD and/or SM) or external or mixture of both.

Complex solutions should be delivered as a project. In this case, project management will be provided by SD, PMO or an external project manager depended upon deliverable.

Solution provision options						
No project management		**With project management**				
Internal		External	Solution provision		Project management	
			Internal	External	Internal	External
SD	SM		SD SM		PMO SD	