TOGAF Standard Courseware V9 Edition

TOGAF
Version 9 Enterprise Edition

Module 8
Preliminary Phase

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Preliminary Phase

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Module Objectives

The objectives of this module are to understand:

- The objectives of the Preliminary Phase
- The approach for the phase
- The steps of the phase
- The main inputs needed for it
- What the outputs are

The most important objective of the Preliminary Phase is to define how an organization develops its architecture.

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Preliminary Phase: Objectives in detail

- To review the organizational context for the architecture

- To identify the sponsor stakeholder(s) and other major stakeholders

- To ensure that everyone is committed to the success of the process

- To enable the sponsor to create requirements across the affected areas

- To identify and scope the elements that are affected and define the constraints and assumptions

Continued…

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Preliminary Phase: Objectives in detail

- To define the ''architecture footprint'' for the organization
- To define the framework and methods to be used
- To confirm a governance and support framework
- To select and implement supporting tools
- To define the architecture principles that may constrain the architecture work
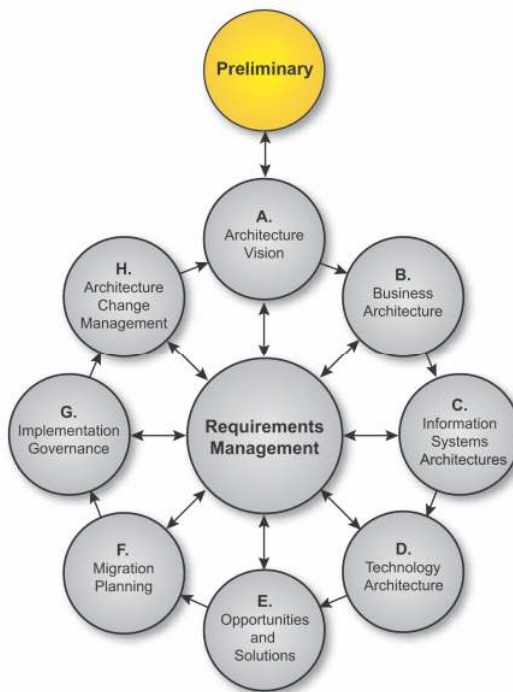
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Approach

- Define the Enterprise
- Identify key drivers and elements in the organizational context
- Define the requirements for architecture work
- Define the architecture principles that will inform any architecture work
- Define the framework to be used
- Define the relationships between management frameworks
- Evaluate the enterprise architecture maturity

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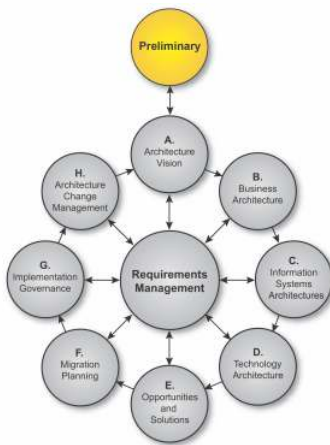# Preliminary Phase: Main inputs

- TOGAF
- Other architecture frameworks
- Business principles, business goals, and business drivers
- Architecture governance strategy
- IT strategy

Any existing:

- organizational model
- architecture framework
- architecture principles
- architecture repository

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Steps

6. **Implement Architecture Tools**

5. **Select and Tailor Architecture Frameworks**

4. **Identify Architecture Principles**

3. **Define the Team**

2. **Confirm Governance and Support Frameworks**

1. **Scope the Enterprise Organizations Impacted**

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1. Scope the enterprise organizations impacted

- Identify core units that will be most affected by the work
- Identify units that will see change to their work but are not directly affected
- Identify extended units that lie outside the scoped enterprise but will be affected in their own enterprise architecture
- Identify communities involved — stakeholders who will be affected and who are in a group
- Identify governance involved

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2. Confirm governance and support frameworks

- The major output of this phase is a framework for architecture governance.
- The existing governance and support models of an organization will probably need to change
- The current governance and support models need to be assessed to understand their content.
- Sponsors and stakeholders will need to be consulted concerning the potential impact

As a result of Step 2 the architecture touch-points and likely impacts should be understood and agreed by relevant stakeholders.

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3. Define the team and organization

- Determine existing enterprise and business capability
- Conduct an architecture/business change maturity assessment
- Identify gaps in existing work areas
- Allocate key roles and responsibilities for enterprise architecture capability management and governance
- Write requests for change for existing projects
- Scope new enterprise architecture work
- Determine constraints on enterprise architecture work
- Review and agree with sponsors and board
- Assess budget requirements

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4. Identify and establish architecture principles

- Principles are rules and guidelines that say how an organization fulfils its mission.
- Enterprise principles enable decision-making
- IT principles guide the use and deployment of IT resources and assets
- Architecture principles are a subset of IT Principles, and include:
  - Architecture process principles
  - Architecture implementation principles

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Defining Architecture Principles

- Why
  - Architecture principles provide a framework for decision making
- Who
  - Defined by the Lead Architect
  - In conjunction with
    - The Enterprise CIO
    - Architecture Board
    - Other key business stakeholders

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TOGAF Template for Principles

Name

- Should represent the essence of the rule, and be memorable
- Should not mention specific technology platforms
- Should avoid ambiguous words

Statement

- Should succinctly and unambiguously communicate the fundamental rule

Continued…

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TOGAF Template for Principles

Rationale

- Should highlight the business benefits of adhering to the principle, using business terminology
- Should describe the relationship to other principles

Implications

- Should highlight the requirements for the business and for IT for carrying out the principle.
- Should state the business impact and consequences of adopting the principle

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An Example Statement of Principles

The following set of principles have been approved by the Internal Architecture Board.

Business Principles:
1. Primacy of Principles
2. Maximize Benefit to the Enterprise
3. Compliance with the Law
4. Availability at Anytime from Anywhere
5. Business Continuity
6. Citizenship

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An Example Statement of Principles

7. Custodianship
8. De-Customization
9. Painless User Experience
10. Self-Serve
11. Sharing of Information

Architecture Principles:
1. De-Skill
2. One Source
3. Content Management

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Example: Primacy of Principles

Statement	Principles apply throughout the enterprise and override all other considerations when decisions are made
Rationale	The only way we can provide a recognized, consistent and measurable level of operations is if all parts of the enterprise abide by the principles when making decisions
Implications	Without this principle, short-term consideration, supposedly convenient exceptions, and inconsistencies would rapidly undermine the management of information. Information management initiatives will not be permitted to begin until they are examined for compliance with the principles. A conflict with a principle will be resolved by changing the conflicting initiative, which could delay or prevent the initiative.

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Example: Self-Serve

Statement	Customers should be able to serve themselves
Rationale	Applying this principle will improve customer satisfaction, reduce administrative overhead, and potentially improve revenue.
Implications	There is an implication to improve ease-of-use and minimize training needs; for example, members should be able to update their contact details, etc. and be able to buy additional membership products online.

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Five Qualities of Principles

1. **Understandable**: they can be quickly grasped. Intent is clear and unambiguous.

2. **Robust:** they enable good decisions about architectures and plans, and enable enforceable policies and standards to be created. A principle must be precise to support consistent decision making in complex situations.

3. **Complete:** every potentially important principle governing the management of IT is defined. Principles cover every situation perceived.
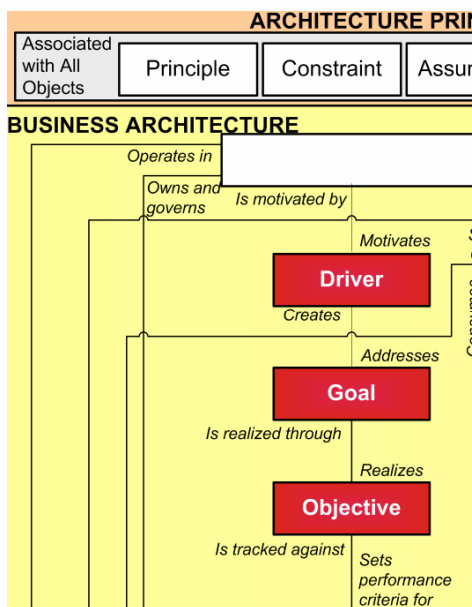
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Five Qualities of Principles

4. **Consistent:** strict adherence to one principle may require loose interpretation of another. Principles must be expressed in a way that allows a balance of interpretations and should not be contradictory.

5. **Stable:** Principles must be enduring, yet able to accommodate change.

An amendment process should be established for adding, removing, or altering principles after they are ratified.

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Principles and the Metamodel

ARCHITECTURE PRI			
Associated with All Objects	Principle	Constraint	Assur

BUSINESS ARCHITECTURE

Operates in

Owns and governs — Is motivated by

Motivates

Driver

Creates

Addresses

Goal

Is realized through

Realizes

Objective

Is tracked against — Sets performance criteria for

- Information related to Principles can be modeled, if the right information is captured
- The metamodel relates Principles back to specific drivers, goals and objectives

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5. Select and tailor architecture frameworks

- **Terminology Tailoring**: it is best to use terminology that is understood across the enterprise.

- **Process Tailoring**: the ADM is a generic process. Process tailoring allows us to remove tasks that are done elsewhere, add organization-specific tasks and align the ADM processes with external process frameworks.

- **Content Tailoring**: using the TOGAF Architecture Content Framework, this allows adoption of third-party content frameworks and customization of the framework to support organization-specific requirements

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Terminology Tailoring

- Lack of agreement on the precise meanings of terms can cause problems of communication during the Architecture Engagement.

- Define and agree standard terminology

- Provide a Glossary, if appropriate

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Process Tailoring

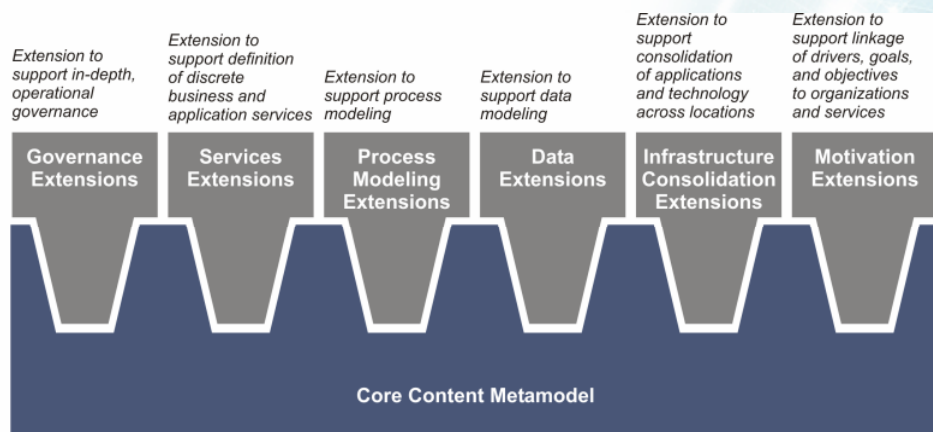- Re-order the phases of the ADM

- Only use a subset of the phases

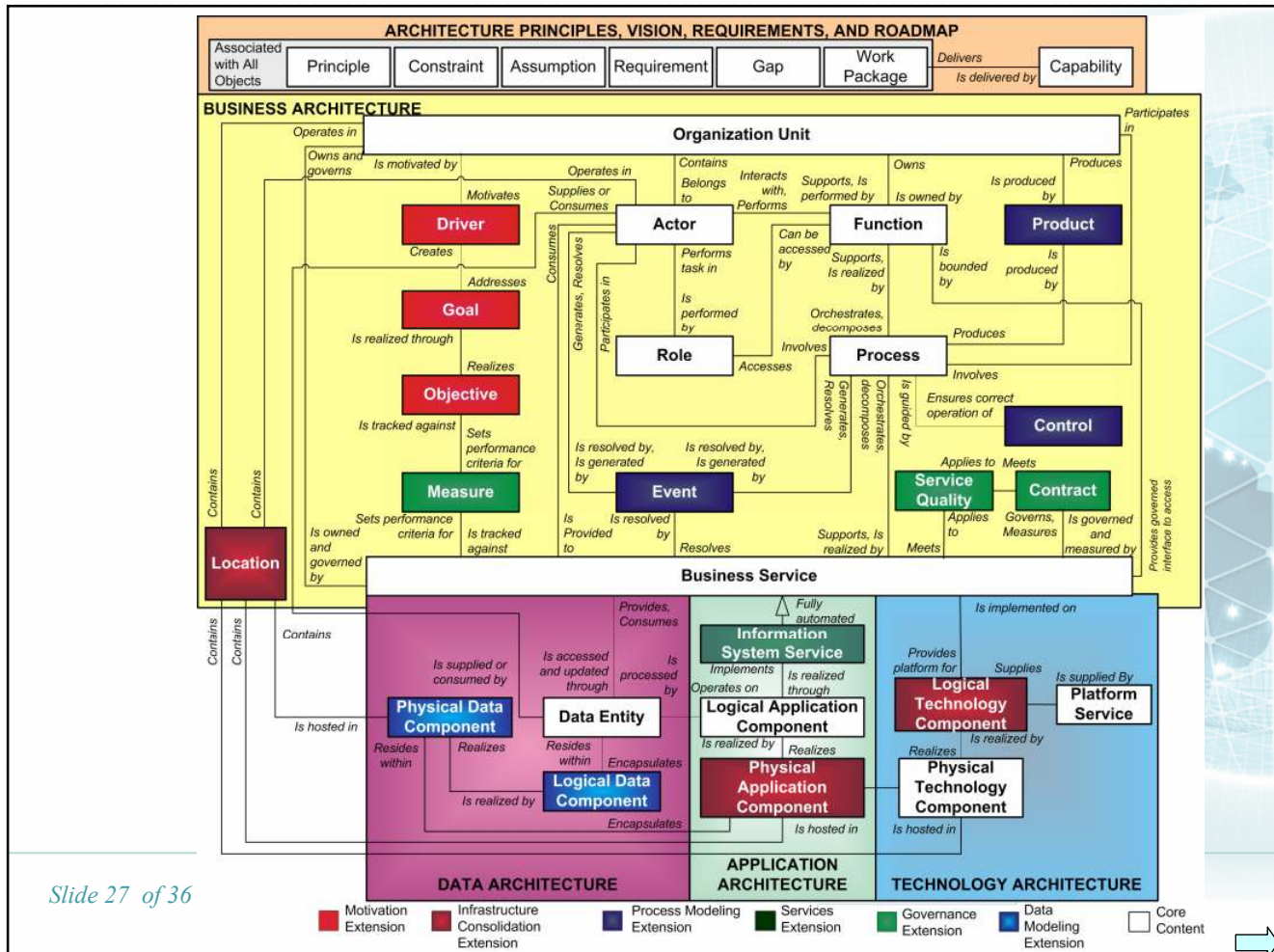- Complete the Information Systems or Technology

  Architecture first

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Content Tailoring

Extension to support in-depth, operational governance

Extension to support definition of discrete business and application services

Extension to support process modeling

Extension to support data modeling

Extension to support consolidation of applications and technology across locations

Extension to support linkage of drivers, goals, and objectives to organizations and services

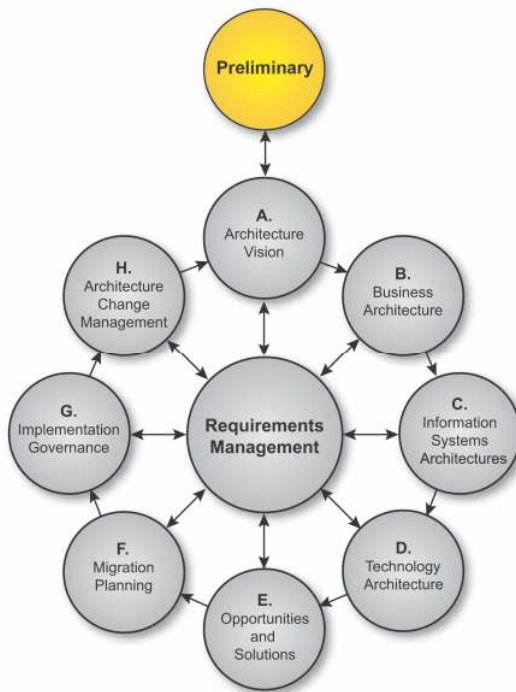| Governance Extensions | Services Extensions | Process Modeling Extensions | Data Extensions | Infrastructure Consolidation Extensions | Motivation Extensions |

Core Content Metamodel

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6. Implement architecture tools

In this step we must select appropriate architecture tools.

*   The implementation of the tools may range from a trivial task to a more involved system implementation activity utilizing the TOGAF Content Metamodel
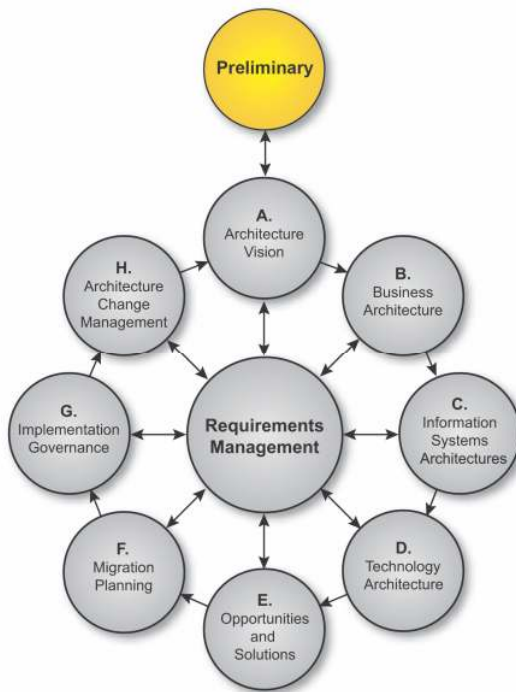
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Preliminary Phase: Outputs

- Organizational model for enterprise architecture
- Tailored Architecture Framework, including architecture principles
- Initial Architecture Repository
- Restatement of business principles, goals and drivers
- Request for Architecture Work
- Governance Framework
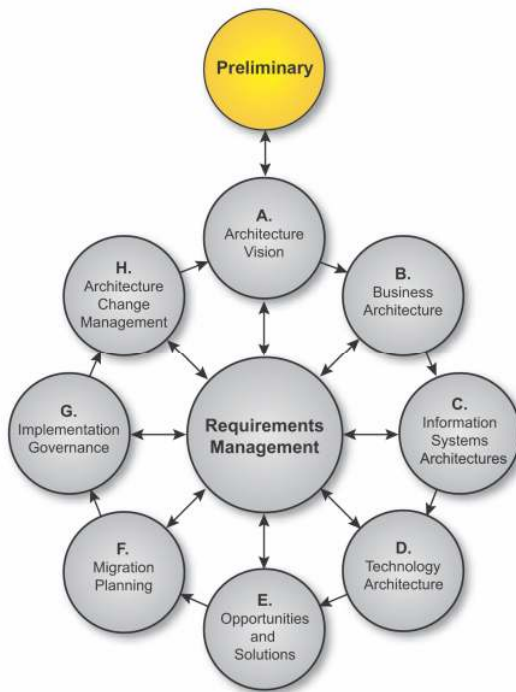
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Summary

- The main objective of the preliminary phase is to prepare an organization for a successful Enterprise Architecture project by defining "how we do architecture"

Continued…

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Summary

- The steps are as follows:
  - Scope the enterprise organizations impacted
  - Confirm governance and support frameworks
  - Define the team
  - Identify architecture principles
  - Select and tailor architecture frameworks
  - Implement architecture tools

Exercises

- Select 7 principles at random from the *Example Set of Architecture Principles* in TOGAF Chapter 23
- For each selected principle state whether it applies to your organization or not, and give your reasons.

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Test Yourself Question

Q. Which one of the following is completed during the Preliminary Phase of the TOGAF ADM?

A. Architecture Principles

B. Gap Analysis

C. Impact Analysis

D. Statement of Architecture Work

E. Requirements Gathering

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Test Yourself Question

Q. Which one of the following is a reason to adapt the ADM?

A. All of the answers below.
B. The use of TOGAF is being integrated with another framework.
C. The ADM is being used for a purpose other than enterprise architecture.
D. The enterprise is a large federated organization.
E. The IT Governance model needs to be tailored.

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Test Yourself Question

Q. According to TOGAF all of the following statements about an Architecture Board are true, *except* _____

A. It oversees governance of the enterprise architecture

B. It produces usable governance material

C. It meets regularly

D. It consists of 12 members

E. It represents key stakeholders in the architecture

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