TOGAF
Version 9 Enterprise Edition

Module 8
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

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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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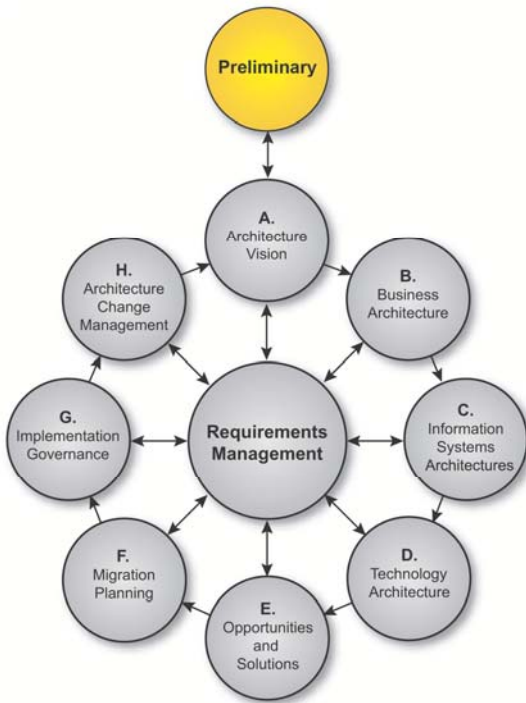*TOGAF* ™

Preliminary Phase: Main inputs
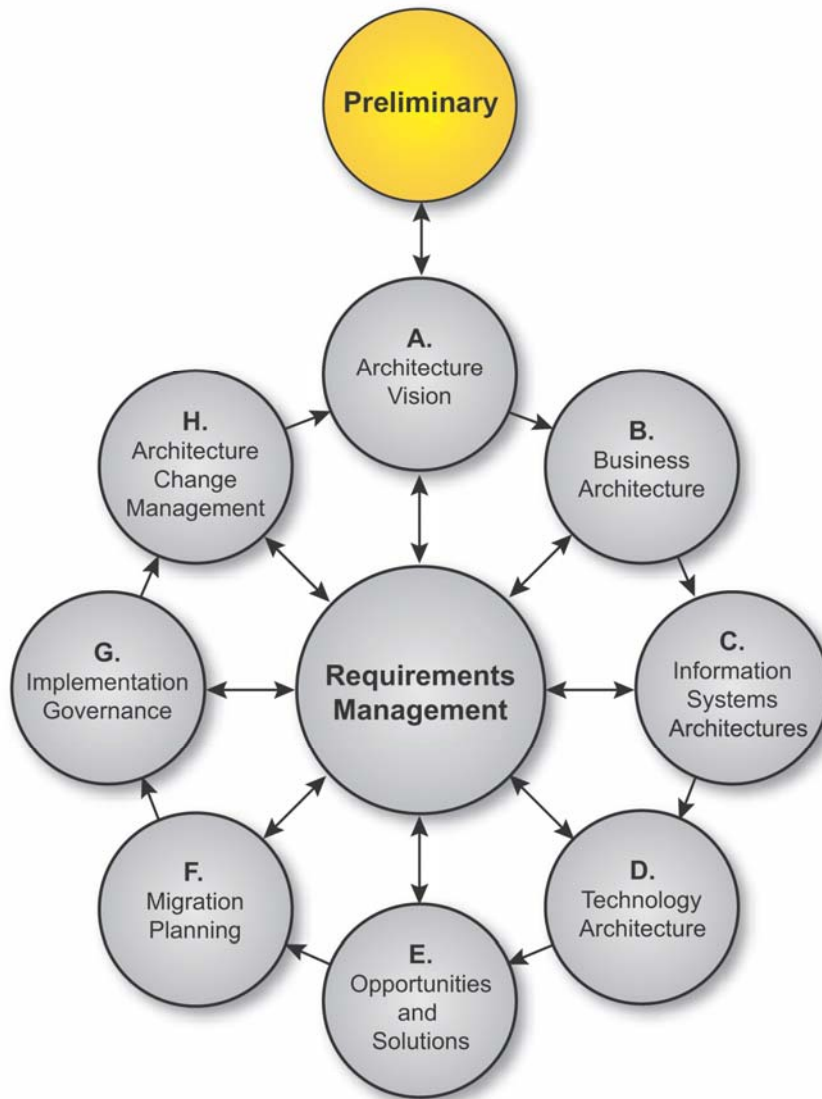
- TOGAF

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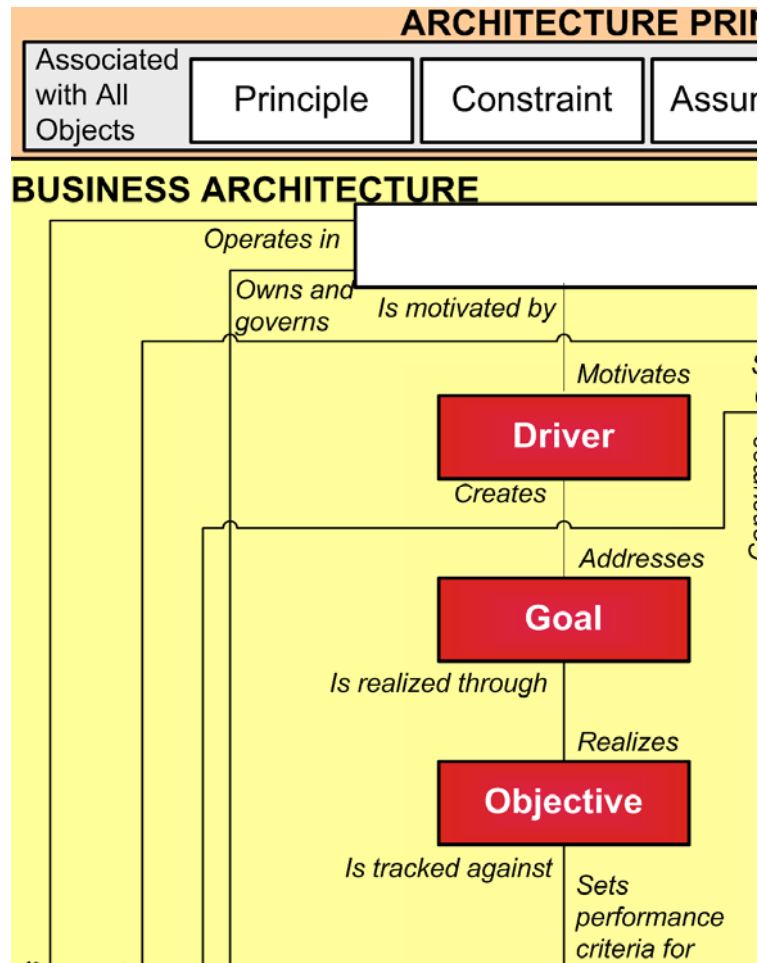
- Information related to Principles can be modeled, if the right information is captured
- The metamodel relates Principles back to specific drivers, goals and objectives

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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

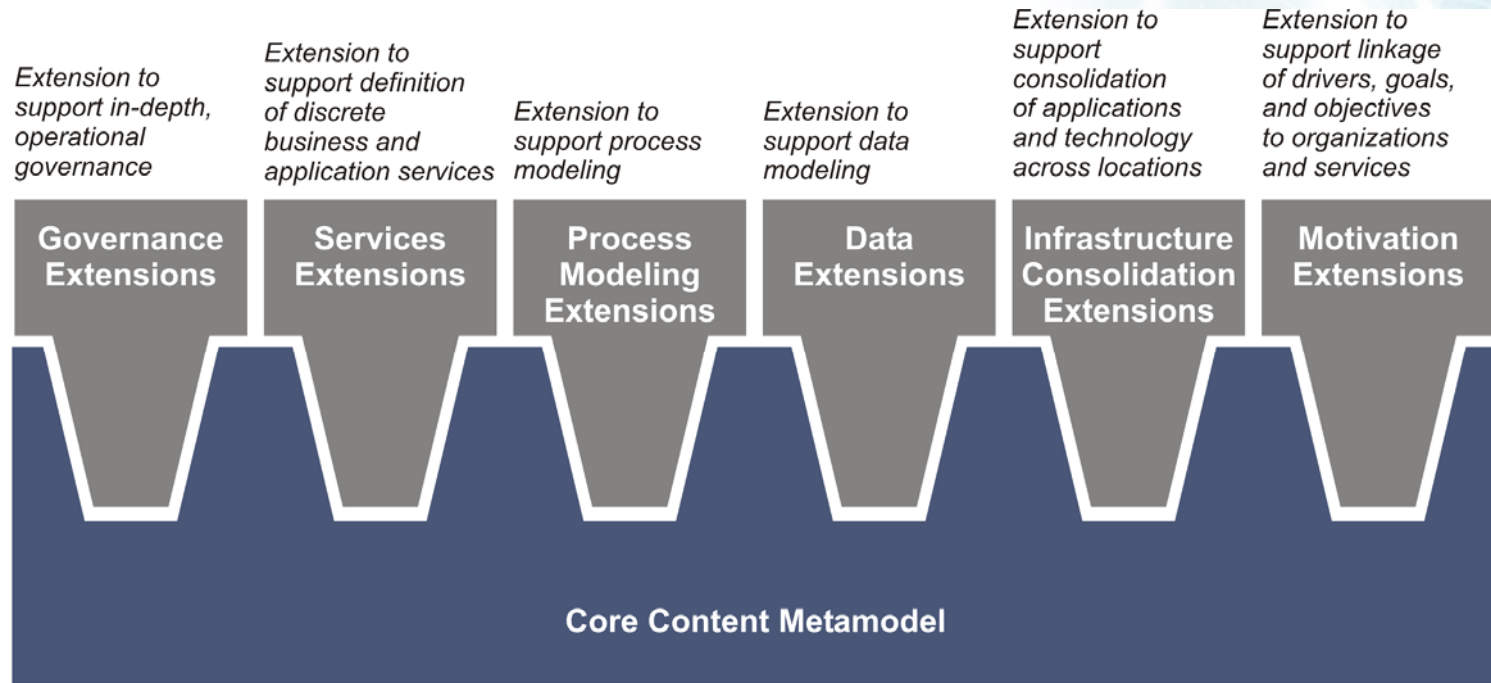- Provide a Glossary, if appropriate

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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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ARCHITECTURE PRINCIPLES, VISION, REQUIREMENTS, AND ROADMAP

Associated with All Objects | Principle | Constraint | Assumption | Requirement | Gap | Work Package | Delivers / Is delivered by | Capability

BUSINESS ARCHITECTURE

Organization Unit

Driver · Goal · Objective · Measure · Location · Actor · Role · Event · Function · Process · Control · Service Quality · Contract · Product · Business Service

DATA ARCHITECTURE · APPLICATION ARCHITECTURE · TECHNOLOGY ARCHITECTURE

Physical Data Component · Data Entity · Logical Data Component · Information System Service · Logical Application Component · Physical Application Component · Logical Technology Component · Physical Technology Component · Platform Service

Legend:
- Motivation Extension
- Infrastructure Consolidation Extension
- Process Modeling Extension
- Services Extension
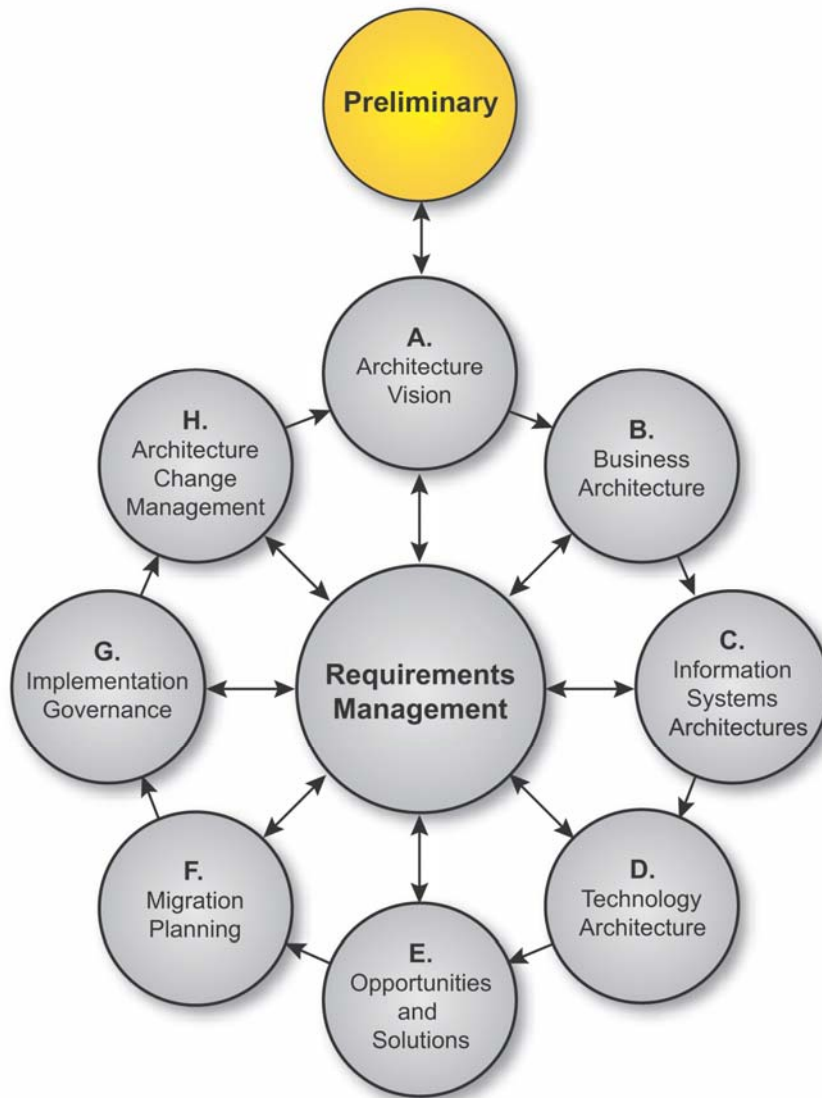- Governance Extension
- Data Modeling Extension
- Core Content

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
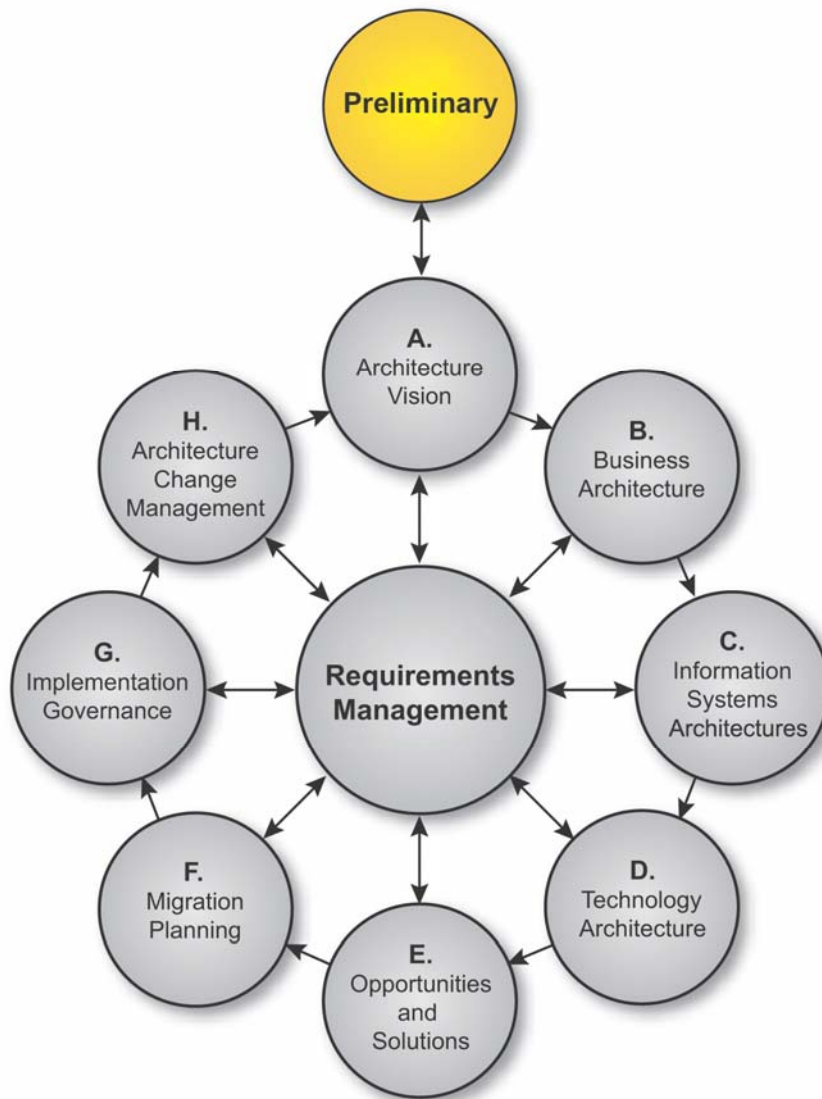
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Preliminary Phase: Outputs

- 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
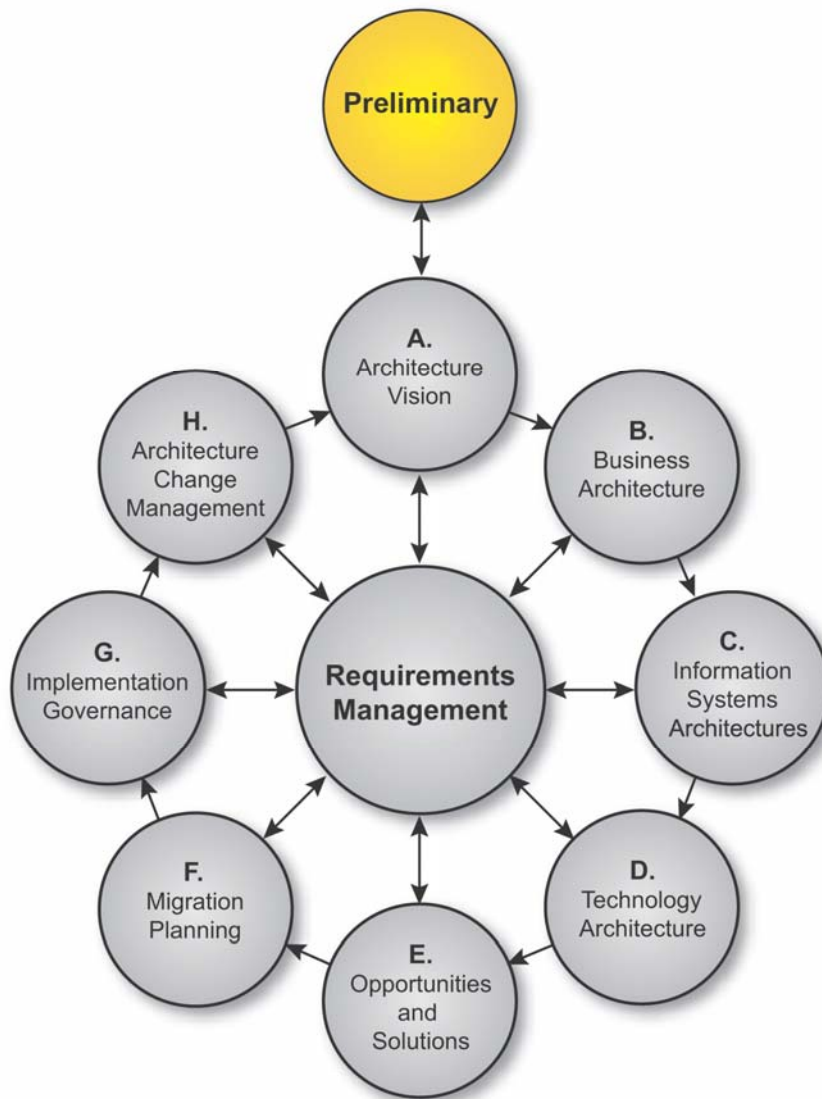
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Summary

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

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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

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