**Business Case  
Project Code - TILOGEDIT**

**Purpose:**

**This document is the template for producing a business case.**

**The business case describes the justification for one or several initiative(s) (IT or non-IT initiatives) in terms of the value to be added to the business as a result of the initiative outcomes.**

**Prior submission for the IT requirements analysis, the initial business case should be composed of the core document and 2 annexes: Business Requirements log, and Business Case Methodological Review.**

**After the IT requirements analysis, the business case should be updated and completed with 2 additional annexes: IT Scenario Feasibility, and IT Financial Cost and Benefits / Scenario.**

**A business case assists in the determination of strengths and weaknesses of a proposal in a systematic and objective manner. The business case should be designed to be business oriented and measurable.**

**This document is designed as a tool to assist decision makers and/or business analysts in consideration of implementation issues.**

**A business case is a major input for the IT Programme Management. At various stages, the business case can be updated. For instance, the initial business case is amended after the IT requirements analysis.**

**Every business case should demonstrate that considerable thought has been given to the implementation of proposals and to how it will be managed.**

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# **Executive Summary**

**This section highlights the key points in the business case, which should include important benefits. Some stakeholders will only read this section, so ensure that all pertinent information is succinctly included here (e.g. context, reasons for the BPM analysis, main results, and implementation scenarios)**

Trilogue Negotiations are a complex legal construct allowing European Co-legislators to enter into a direct contact to exchange and align own respective positions in order to speed up the outcome of the legislative procedure. In principle, the outcome of a Trilogue should not differ substantially from a position achieved when following a standard legislative procedure setup.

European Parliament regulates own approach to Trilogue Negotiations in Rules of Procedures (rule 73 & 74 and Annex XIX). It establishes that Trilogue “[...] has demonstrated its vitality and flexibility in increasing significantly the possibilities for agreement at first and second reading”. It also refers to Trilogues as “conducted in an informal framework”.

The flexibility and informality of the process has not been conductive in establishing a formalised process across working parties, and setup for each Trilouge can differ significantly. This maintained use of an off-the-shelf text editor in the preparation to and during the negotiations. As the complexity of the files grow, the text editor does not handle prolonged edition sessions, let alone allow to build new features that would result in a faster process and better quality content.

Currently the content is prepared under time pressure with a task-inappropriate set of IT tools. The Business Owners have expressed a wish to study a possible solutions to the problem.

This Business Case puts forward three possible scenarios:

**- Do Nothing -** a Status Quo scenario, where the process goes as it does today - no special IT support, no attempt to elevate the best practices, and use of the off-the-shelf set of tools.

The scenario is discounted. Frequency and severity of end-users problems forces DG ITEC to address the performance issues.

**- Update Desktop Hardware -** where all the pieces of the process remain as-is, but an attempt is made to offset the software performance issues by providing a new generation of PC hardware.

This scenario ultimately is also discounted, as it addresses only one Business Objectives and does not address communication and text quality improvements. These can only be addressed with a custom software.

**- Own custom Trilogue Editor** - where current best practices are elevated, yet the system retains a high degree of flexibility as not to put off existing users accustomed to flexibility of the setup.

This scenario comes recommended, as it is the only one that - with high degree of certainty - allows to address majority of the Business Objectives.

# **Business Objectives and Expected Benefits**

| **Business Objective** | | | | **Benefit (Detailed Business Objective)** | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **N°** | **Name** | **P/S[[1]](#footnote-1)** | **Description** | **N°** | **Name** | **Type\*** | **Related KPIs N°** |
| **BO-01** | Structured Content Exchange | P | Internal staff should be able to exchange content in a structured format with the Council and possibly EC.² |  | Less errors when merging content, clearer versions, allows automated archiving. | DNM |  |
| **BO-02** | Edition Performance Enchancements | P | MS Word has not been designed to support large table with content - as Trilogue negotiations are handled |  | Improved user experience and overall efficiency in managing the content prepared and exchanged for Trilogue negotiations | DNM |  |
| **BO-03** | Less time editing presentation, more time for content work | P | Trilogue Tables should not be manually formatted. |  | Less time spent on the side of End Users when creating, updating, exporting Trilogue Table content. More time to work on the content. | DNM |  |
| **BO-04** | New insights into the content / Better Communication of Change Impact | S | A new approach to text edition with flexible dynamic views that do not require changes of the content |  | Custom, temporary presentation, custom views and/or filters would give a new perspective on the content – resulting in a better quality content. | DNM |  |
| **BO-05** | Enhance Content Quality | S | Drafting and changes to existing text should facilitate adherence to interinstitutional drafting rules |  | Intercepting or guiding users to appropriate solutions would result in better quality content and less time at the verification stage. | DNM |  |
| **BO-06** | Ensure version control | S | Versions must be automatically stored to allow future archiving |  | System would prevent valuable information loss. | DNM |  |
| **BO-07** | Possible Platform Independence | S | Current generation of tools do not scale up, nor does it scale to different platforms and viewport sizes |  | Dynamic Edition Platform that – in principle – could scale up to any size document and could scale to different end clients (platforms) | DNM |  |
| **BO-08** | Prepare basis for – part 2 – or Trilogue process – Pre-adoption Finalization | P | DLA & DQL must be able to continue collaboration with a structured content. |  | Ensures the entire Business Process chain benefits from the new solution. | IN |  |
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**Before an organisation starts analyzing, or optimizing business processes, it should define the business objectives it wants to achieve by modelling the organisation's business objectives hierarchy.**

**Expected benefits are derived from the business objectives. Business objectives are to be achieved by promoting benefits and implementing new business processes and related initiatives.**

**Describe the benefits that the outcomes of the initiative will deliver expressed in measurable terms. Benefits should be both qualitative and quantitative.**

**Relevant objectives or benefits can be assigned to the KPIs for evaluating their achievement (see chapter 3).**

**You can additionally insert here your objective/benefit diagram(s).**

\*Benefit Types:

• DM: Direct Monetary benefits (measurable);

• DNM: Direct Non-Monetary benefits (measurable);

• IN: INdirect benefits (not measurable).

# **Key Performance Indicators**

**List the key performance indicators against which the new / modified business processes will be assessed. The "To-be" KPI could be described within the "To-be" map (in the ARIS BPM analysis space).**

**A KPI is an indicator or a benchmark for measuring a degree of objective accomplishment.**

**Where possible, key performance indicators should include both quantitative (e.g. achieving a numerical target) and qualitative (e.g. level of end user satisfaction) indicators. They should cover both effectiveness of the business process in achieving the desired objectives and efficiency. Most importantly, KPI should be objective, realistic, attainable, and measurable.**

**For each indicator, it is advisable to identify the points of measurement and the information needed, how it will be collected, frequency of reporting, validity and reliability. It should contain an actual value and a target value.**

**Metrics: Explain the way the KPI is calculated. In case several metrics are possible, compare, evaluate and recommend the best one, justifying your choice**

| **KPI N°** | **KPI Name** | **Metrics (Point of measurement)** | **Actual Value** | **Target Value** | **Related business process or activity** |
| --- | --- | --- | --- | --- | --- |
| [KPI-01] |  |  |  |  |  |
| [KPI-02] |  |  |  |  |  |
| ... |  |  |  |  |  |
| [KPI-n] |  |  |  |  |  |

**The KPIs will be included in the scope of the definition of the e-Parliament KPI definition**

# **Potential Business Scenarios**

**A scenario describes a way to implement one initiative. Several scenarios are possible for each initiative. The ultimate purpose of this chapter is to provide a founded recommendation for one viable scenario, and to get a decision.**

**It is important to include the status quo option ("as-is" or "do nothing" scenario) as it will act as the baseline for quantifying the other scenarios.**

**The advantages and disadvantages of each scenario should be fully explored and evaluated in terms of their costs and risks**

## List of the possible scenarios

**Identify; describe every possible scenario that can address the business need. Include the status quo scenario.**

**In the following tables, the ID identifies a scenario.**

| **ID** | **Title** | **Description (high level)** |
| --- | --- | --- |
| **SC-01** | Status Quo | No actions are taken by DG ITEC. The Trilogue Processes remain unchanged. |
| **SC-02** | Desktop Hardware Upgrade | Desktop computers of individuals working on current generation of Trilogue Software are to be updated to the level offsetting majority of the stated and observed performance problems. The Trilogue Processes remain unchanged. |
| **SC-03** | Custom Trilogue Software | DG ITEC, in close collaboration with Business Owners as well as end-users, is to work on a custom piece of software to alleviate current performance problems, as well as design solution to automated archiving, versioning and content consolidation. The scenario, while fulfilling Business Objectives, is to prepare the process for Trilogue Pre-Adoption & Finalization. |

## Alignment

**Describe how the scenario supports the organisation's current business objectives.**

| **ID** | **Alignment with business objectives / benefits** |
| --- | --- |
| **SC-01** | **None** |
| **SC-02** | **BO-02** |
| **SC-03** | **BO-01, BO-02, BO-03, BO-04, BO-05, BO-06, BO-07, BO-08** |

## Details - Scenario 1 - Status Quo

This section presents the financial and non-financial impacts of the scenario. List the positive and negative non-financial impacts: organisational, technological, regulatory and others. Then list all the costs elements.

### Business requirements coverage

Identify the business requirements covered by this scenario. Refer to the deliverable "Business Requirements log (BREQ)"

None.

### Potential business and organisational impact

There is no change to current business process. The process remains, as it is today - decentralised, and informal.

### Potential technological impact

None

### Personal data impact

The processing of personal data[[2]](#footnote-2) is subject to specific requirements enshrined in Regulation EC n°45/2001. Therefore, any impact on personal data shall be identified as soon as possible.

Annex 7 shall be filled in if at least one of the here below boxes has been ticked whilst contact shall be made with the Data Protection Service of the Institution by the Business Owner (MOA).

|  |
| --- |
| What categories of personal data will be processed? |
| Administrative data (name, email, phone numbers, function, personnel number ...)  Data related to criminal convictions (criminal records)  Evaluation data (cv, annual staff reports, …)  Data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, trade-union membership  Data concerning health or sex life  Financial data (bank account, ...)  Profiling data (consumption habits, use of technical log files, GPS coordinates, …) - Please specify:  Biometric data (hand-written signature, fingerprints, …) - Please specify:  Other - Please specify: |

### Other potential impact

None

### Benefits and costs analysis

List all the cost elements related to the scenario and produce initial estimates of the costs.

Typical business case costs include equipment (purchase and maintenance) and labour (training and operation).

If the costs and the benefits can be quantified, you can conduct a cost-benefit analysis by which you weigh expected costs against expected benefits to determine the best (or most profitable) course of action

The cost and financial analysis can be completed within the next version of the business case.

There are no benefits in Status Quo scenario. All the content in the files remains handled manually by End Users.

### Risk assessment and mitigation actions

Identify the risks and conduct a risk assessment for the scenario, along with the development of a risk response.

The business case must identify all material risks associated with the scenario, an indication as to who is positioned to bear those risks, and a proposed means to manage risk.

Each scenario will invariably involve some element of risk and uncertainty. Risk encompasses a range of factors, which may result in a scenario failing to deliver the expected outputs and/or outcomes at the estimated cost and time.

Both risk and uncertainty are rarely able to be removed, but can usually be managed. The risks should be assessed in detail and strategies developed to reduce or manage them for the preferred option.

Where appropriate mitigation actions can be devised to manage the risks, they should be documented and included in the business case.

To assist in identifying the various risks inherent in a scenario, the following categories of risk should be considered:

Change in law/policy, commercial, commissioning, completion/construction, contractual, demand, economic, environmental, financial, implementation, investment planning, management, obsolescence, operations, organisational, political, private sector, regulatory/technological, residual value, and upgrade.

These risks need to be assessed for the business case on an ongoing and routine basis during initiative execution (including the degree of risk sensitivity associated with assumptions used). A risk management planning process should also be covered.

|  |  |
| --- | --- |
| Risk | Mitigation action |
| Continuing performance problems with the current generation of Trilogue Tables IT supporting tools. | Continue investigation into the problem set and designing appropriate solution, acceptable by the Business and the End Users. |
|  |  |
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|  |  |
|  |  |

## Details - Scenario 2 - Desktop Hardware Upgrade

This section presents the financial and non-financial impacts of the scenario. List the positive and negative non-financial impacts: organisational, technological, regulatory and others. Then list all the costs elements.

### Business requirements coverage

Identify the business requirements covered by this scenario. Refer to the deliverable "Business Requirements log (BREQ)"

### Potential business and organisational impact

Major impact lies on the side of DG ITEC that is responsible for individual workstations of all EP staff. Apart of this particular impact, no other changes would take place at the EP regarding the Trilogue Table processes.

### Potential technological impact

No technical impact, besides the need to study and establish performance needs of the current generation of IT tools used in Trilogue Processes.

### Personal data[[3]](#footnote-3) impact

The processing of personal data is subject to specific requirements enshrined in Regulation EC n°45/2001. Therefore, any impact on personal data shall be identified as soon as possible.

Annex 7 shall be filled in if at least one of the here below boxes has been ticked whilst contact shall be made with the Data Protection Service of the Institution by the Business Owner (MOA).

|  |
| --- |
| What categories of personal data will be processed? |
| Administrative data (name, email, phone numbers, function, personnel number ...)  Data related to criminal convictions (criminal records)  Evaluation data (cv, annual staff reports, …)  Data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, trade-union membership  Data concerning health or sex life  Financial data (bank account, ...)  Profiling data (consumption habits, use of technical log files , GPS coordinates, …) - Please specify:  Biometric data (hand-written signature, fingerprints, …) - Please specify:  Other - Please specify: |

### Other potential impact

### Benefits and costs analysis

List all the cost elements related to the scenario and produce initial estimates of the costs.

Typical business case costs include equipment (purchase and maintenance) and labour (training and operation).

If the costs and the benefits can be quantified, you can conduct a cost-benefit analysis by which you weigh expected costs against expected benefits to determine the best (or most profitable) course of action

The cost and financial analysis can be completed within the next version of the business case.

The scenario would allow dealing with the biggest performance hurdle, as communicated by the End Users. However, any Business Objectives not related to performance would not be fulfilled.

### Risk assessment and mitigation actions

Identify the risks and conduct a risk assessment for the scenario, along with the development of a risk response.

The business case must identify all material risks associated with the scenario, an indication as to who is positioned to bear those risks, and a proposed means to manage risk.

Each scenario will invariably involve some element of risk and uncertainty. Risk encompasses a range of factors, which may result in a scenario failing to deliver the expected outputs and/or outcomes at the estimated cost and time.

Both risk and uncertainty are rarely able to be removed, but can usually be managed. The risks should be assessed in detail and strategies developed to reduce or manage them for the preferred option.

Where appropriate mitigation actions can be devised to manage the risks, they should be documented and included in the business case.

To assist in identifying the various risks inherent in a scenario, the following categories of risk should be considered:

Change in law/policy, commercial, commissioning, completion/construction, contractual, demand, economic, environmental, financial, implementation, investment planning, management, obsolescence, operations, organisational, political, private sector, regulatory/technological, residual value, and upgrade.

These risks need to be assessed for the business case on an ongoing and routine basis during initiative execution (including the degree of risk sensitivity associated with assumptions used). A risk management planning process should also be covered.

|  |  |
| --- | --- |
| Risk | Mitigation action |
| Possible insurmountable incompatibility of MS Word with the needs of the Trilogue Tables - a column presentation across the entire document. | An early careful study the performance limitations of MS Word and other alternative text editors capable of handling tables |
|  |  |
|  |  |
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## Details - Scenario 3 - Custom Trilogue Software

This section presents the financial and non-financial impacts of the scenario. List the positive and negative non-financial impacts: organisational, technological, regulatory and others. Then list all the costs elements.

### Business requirements coverage

Identify the business requirements covered by this scenario. Refer to the deliverable "Business Requirements log (BREQ)"

### Potential business and organisational impact

At the moment the Trilogue Negotiations are an informal construct. The same is true to any support processes that surround them – including creation, presentation and updating of Trilogue Tables. While the initial design of a custom Trilogue Table editor would attempt to replicate the flexibility, there will be limits. These edge cases must be managed with the Business Owners of the process in an appropriate manner and may require to create a body to manage it.

Additionally, more data would be produced in the updated process of drafting and updating a Trilogue Table. That data, while initially not be used to a full extent, would present an opportunity to allow some internal organisation of the EP to use it in a new way.

### Potential technological impact

Any custom solution would ultimately require collaboration from the other negotiating parties. This presents a new common influence of the negotiating parties onto each other at the technical level. This common interaction would need to be formalised and maintained throughout the lifecycle of the solution.

Additionally – depending on the further analysis – some of End Users have expressed wishes of working with a more nimble, mobile devices – portables, netbooks or tablets. Further analysis should address the wishes of users with possible IT security concerns.

### Personal data[[4]](#footnote-4) impact

The processing of personal data is subject to specific requirements enshrined in Regulation EC n°45/2001. Therefore, any impact on personal data shall be identified as soon as possible.

Annex 7 shall be filled in if at least one of the here below boxes has been ticked whilst contact shall be made with the Data Protection Service of the Institution by the Business Owner (MOA).

|  |
| --- |
| What categories of personal data will be processed? |
| Administrative data (name, email, phone numbers, function, personnel number ...)  Data related to criminal convictions (criminal records)  Evaluation data (cv, annual staff reports, …)  Data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, trade-union membership  Data concerning health or sex life  Financial data (bank account, ...)  Profiling data (consumption habits, use of technical log files , GPS coordinates, …) - Please specify:  Biometric data (hand-written signature, fingerprints, …) - Please specify:  Other - Please specify: |

### Other potential impact

Given high numbers of legislative procedures entering into Trilogue, there is a public interest in the process as expressed by the inquiry of the EU Ombudsman. Depending on the decision of Business Owners it may result in a need to integrate some of the Trilogue Table versions into a publication systems by any of the negotiation parties.

### Benefits and costs analysis

List all the cost elements related to the scenario and produce initial estimates of the costs.

Typical business case costs include equipment (purchase and maintenance) and labour (training and operation).

If the costs and the benefits can be quantified, you can conduct a cost-benefit analysis by which you weigh expected costs against expected benefits to determine the best (or most profitable) course of action

The cost and financial analysis can be completed within the next version of the business case.

This scenario presents the highest benefits to the Business Owners, as it is the only one that could account for all the expected Objectives. It also remains flexible as to what the objectives are.

It, however, remains the most costly one – as it would require a custom development and subsequent maintenance.

### Risk assessment and mitigation actions

Identify the risks and conduct a risk assessment for the scenario, along with the development of a risk response.

The business case must identify all material risks associated with the scenario, an indication as to who is positioned to bear those risks, and a proposed means to manage risk.

Each scenario will invariably involve some element of risk and uncertainty. Risk encompasses a range of factors, which may result in a scenario failing to deliver the expected outputs and/or outcomes at the estimated cost and time.

Both risk and uncertainty are rarely able to be removed, but can usually be managed. The risks should be assessed in detail and strategies developed to reduce or manage them for the preferred option.

Where appropriate mitigation actions can be devised to manage the risks, they should be documented and included in the business case.

To assist in identifying the various risks inherent in a scenario, the following categories of risk should be considered:

Change in law/policy, commercial, commissioning, completion/construction, contractual, demand, economic, environmental, financial, implementation, investment planning, management, obsolescence, operations, organisational, political, private sector, regulatory/technological, residual value, and upgrade.

These risks need to be assessed for the business case on an ongoing and routine basis during initiative execution (including the degree of risk sensitivity associated with assumptions used). A risk management planning process should also be covered.

|  |  |
| --- | --- |
| Risk | Mitigation action |
| Negotiating Parties do not progress at an even speed | Careful planning and accounting of the progress. Additionally a system may need to deliver some of the Benefits when running in a stand-alone mode. |
| Technology stack could not deliver on the needed performance and/or features | Proficient Architecture Design, preferably in a way that would allow changes to the technology stack in the lifecycle of the project. |
| As the process is informal and flexible, the Requirements may change late into the project development | Embrace early wide User Tests, test before code. Divide project into many smaller deliveries, where each one brings some benefits to the End Users and Business Owners. |
| Technology choices potentially not yet in the list of internal IT standards. | Early evaluation of the needs of the Technical Architecture, collaborate with the appropriate services to include the chosen technologies in the internal IT standards and preparation for operations and support. |
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# **Justification and Recommendation**

**Built upon the detailed analysis of scenarios (chapter 4 Potential BPM Analysis scenarios), identify the preferred scenario. The recommendation is based on the net benefits of the viable scenario over all others.**

| **Scenarios Findings** | | |
| --- | --- | --- |
| **Scenario** | **Screening summary** | **Rationale**  **(Reasons for inclusion or exclusion)** |
| **SC-01: Status Quo** | Excluded | Does not present any sort of solution to end users daily performance issues and does not respond to any of the Business Objectives. |
| **SC-02: Desktop Hardware Upgrade** | Excluded | While presents a – possible – solution to the biggest user stated daily issues, does not answer to any other Business Objectives. |
| **SC-03: Custom Trilogue Software** | Recommended | Answers to all of the Business Objectives as presented by the Business Owners and potentially answers to End Users major problem – performance. |

# **Implementation Plan**

Once the analysis has been completed and the recommended scenario has been identified, the next step involves outlining how the initiative will be implemented. (Major expected deliverables, timing constraints, interdependencies with other initiatives …)

## Assumptions, constraints and dependencies

List and describe all the assumptions, constraints, and dependencies associated with the ability to address the main requirements

|  |  |
| --- | --- |
| Type  (A, C, D) | Description |
| Assumptions | |
| A | There is a common agreement between negotiating parties the SC-03 solution is desirable. |
| A | There is a common structured XML content format and transport platform specification that the parties agree to. |
| A | The project will be run in an iterative and incremental way. For this reason there will be an DGIPOL/EXPO User Group to provide feedback throughout the project lifecycle. |
| A | A joint end user group for the EP and Council will test the exchange patterns and use cases. |
| Constraints | |
| C | **Project setup** – at the moment this has not been established. Any inter-institutional project generates a set of specific constrains that could cascade into any level of the internal project. |
| C | **Technical Limitations – Architectural Design**. At the moment it has not been established to what extend all the Business Objectives can be fulfilled with the scenario SC-03. |
| C |  |
| C |  |
| C |  |
| C |  |
| Dependencies | |
| D | Technical implementation progress of other negotiating parties has impact on the technical decisions and progress of the EP |
| D |  |
| D |  |
| D |  |
| D |  |
| D |  |
| D |  |

## Time scale

**This section provides information about the period over which the initiative should run, and the period over which the benefits should be realized. This information is subsequently used to help timing decisions when planning (IT programme plan, IT project plan)**

**For each scenario, you can complete this form referring to the To-be map.**

**List all entity types identified within the data map. An entity type in an application is a logical group of permanent data as seen from the perspective of the user. It is a group of data that an experienced user considers as a significant and useful unit or object. An equivalent to this kind of logical group of data is an object type in data modelling.**

**An internal entity type meets the following criteria:**

* **It is used by the application to be counted.**
* **It is maintained by the application to be counted.**

**An external entity type meets the following criteria:**

* **It is used by the application to be counted.**
* **It is not maintained by the application to be counted.**
* **It is maintained by a different application (excluded from count).**
* **It is directly available to the application to be counted.**

Incremental delivery of the project is recommended to allow for early feedback on the design and the implementation of the solution. The final delivery of the software is foreseen at the end of 2018. The exact scope that will be fulfilling the Business Objectives and the Organisation of the project delivery will need to be refined and agreed with all the stakeholders.

# **ANNEX for Data Protection**

Please be aware that this annex is a work in progress that may be completed and/or modified, depending on the phase of the project.

At the initial Business Case stage, it may be only considered as a basis to further discuss the characteristic of the processing with the Data Protection Service.

If the personal data coverage is different per scenario, please complete different questionnaire per scenario.

|  |  |  |
| --- | --- | --- |
| ID | Question | Answer |
| Impact on personal data | | |
| I1 | Are personal data directly provided by data subjects or collected via another source (e.g. CODICT)? | from the data subject  other source of collection |
| I2 | Is the processing solely based on the consent of Data subjects[[5]](#footnote-5) (without any legal basis)? | Yes  No |
| I3 | Are personal data handled by an external provider? If yes, please understand in the questions below external provider as defined in the processor's definition[[6]](#footnote-6) | Yes  No |
| I4 | Are disclosures of personal data to entities established outside the EU planned? | Yes  No |
| Risk assessment | | |
| R1 | Are access rights foreseen and given according to criticality (e.g. need-to-know …)? | Yes  No  Please specify (BREQ reference): |
| R2 | What would be the magnitude of harm to data subjects if personal data were disclosed either intentionally or unintentionally to non-authorized third persons? | low  medium  high  critical  Please explain why: |
| R3 | Can data subjects easily access their personal data and notably if handled by a processor5? | Yes  No |
| R4 | Can data subjects easily rectify their personal data and notably if handled by a processor5? | Yes  No |
| R5 | How will consistency of the processing be ensured across the various storage locations? |  |
| Mitigation actions | | |
| A1 | Verification of the necessity of collecting personal data (making sure that no other less intrusive way exists) | Remaining work  Done  Other: |
| A2 | Making contact with the Data Protection Service and notifying the processing operation to it | Remaining work  Done  Other: |
| A3 | Definition of a proportionate data retention period and associated procedures of deletion and regular checks of personal data accuracy | Remaining work  Done  Other: |
| A4 | Planning a functionality enabling to manage the deletion of personal data by the end of the retention period | Remaining work  Done  Other: |
| A5 | Verification of the competence of the foreseen recipients as well as of the necessity of the foreseen transfers to those recipients | Remaining work  Done  Other: |
| A6 | Physical reminder (e.g. disclaimer) to recipients that personal data transferred cannot be used for other purposes than the one for which they have been transferred | Remaining work  Done  Other: |
| A7 | Design of appropriate physical and logical security measures | Remaining work  Done  Other: |
| A8 | Information of data subjects through a privacy statement describing the processing operation | Remaining work  Done  Other: |
| A9 | Ensure that data subjects can easily exercise their rights of access and rectification by contacting the data controller[[7]](#footnote-7) | Remaining work  Done  Other: |
| A10 | If the processing operation is voluntary and thus based on consent, plan friendly opt-in and opt-out functionalities | Remaining work  Done  Other: |
| A11 | In case a processor is entrusted with the processing on behalf of the data controller, a detailed data protection clause shall be inserted within the contract, defining its rights and obligations and the fact it may only use personal data upon and according to data controller's instructions and is subject to regulation 45/2001 | Remaining work  Done  Other: |
| Follow-up actions | | |
| A12 | Performance of regular updates of the data protection documentation (notification to the Data Protection Service, privacy statement) | Remaining work  Planned  Other: |

# **ANNEX to assess security needs**

The purpose of this annex is to identify security needs that relate business processes and scenarios to the Information Systems at hand. The Annex itself is located in the BREQ file/log.

This form has to be filled in together with the Cassandre team. Please, contact the Centre d'assurances et d'analyses de risques at [CASSANDRE@europarl.europa.eu](mailto:CASSANDRE@europarl.europa.eu). The follow-up and additional queries are under the responsibility of the Risk manager and the Cassandre programme management.

Each requirement within the BREQ Log must be assessed according to the three following axes:

1. AVAILABILITY: what is the maximum unavailability time for the Information System?

* What would be the impact on the Parliament if the unavailability time of the Information System would be longer?
* Is the information System supporting the EP sessions?
  + Critical the week before the session
  + Critical during the session (when MEPs are there only?)
  + Critical on Fridays after the session
  + Other
* Is the Information System availability need higher only in certain periods of the year?
  + At the end of the year
  + Nights
  + Weekends
  + Other
* What are the Information System's Recovery time objective (RTO) i.e. the time lost from normal business process functioning and the Recovery point objective (RPO). i.e. the data lost or not backed up during that period of time?
* If the Information System is not available, what will be the workaround?

If a high level of availability is needed, the design of the application must be in line with requirements from the Operation Unit (e.g. application should be stateless...).

2. INTEGRITY: what are the integrity needs of the Information System?

* What would be, in the worst case scenario, the possible impact on the Parliament if a breach of integrity occurs?
* Are business measures already foreseen?

3. CONFIDENTIALITY: What are the confidentialities needs of the information System?

* What would be, in the worst case scenario, the possible impact on the Parliament if the information is disclosed?

Levels 2, 3 and 4 relate to classified data: no system exists today at the EP that can handle this information. Handling these data will be more constraining (e.g. no transfer via e-mail, stand-alone PC with no access to network or internet, when necessary only manual handling...).

Classified Information Unit is in charge of classified information.   
Information Systems with a confidentiality level equal or higher than 2 will be transferred to the responsibility of this Unit, after an initial assessment within DG ITEC.

Availability

|  |  |
| --- | --- |
| Level | Data maximum unavailability |
| 0 | More than 3 days |
| 1 | Between 1 day and 3 days |
| 2 | Between 4 hours and 1 day |
| 3 | Between a few minutes and 4 hours |
| 4 | Less than a few minutes |

Integrity

|  |  |
| --- | --- |
| Level | Data integrity |
| 1 | Could be disadvantageous to the Parliament |
| 2 | Could be disadvantageous to the interests of the Parliament |
| 3 | Could harm the essential interests of the Parliament |
| 4 | Could seriously harm the essential interests of the Parliament |

Confidentiality

|  |  |
| --- | --- |
| Level | Data confidentiality |
| 0 | Public |
| 1 | Other confidential information |
| 2 | RESTREINT UE / EU RESTRICTED |
| 3 | CONFIDENTIEL UE / EU CONFIDENTIAL |
| 4 | SECRET UE / EU SECRET |

Notes

* This maximum level of unavailability cannot be guaranteed today by the standard IT platform: alternative processes/tools need to be studied (e.g. back-up application, implementation of a parallel business process, etc.).
* See Bureau decision of 15 April 2013 "Rules governing the treatment of confidential Information by the European Parliament".
* The security needs and relevant BREQ shall be used for the planning of tests for Information Systems. If you are a Project Manager in charge of the implementation, please contact the test coordinator at Reception Testing Service when using the planning documents [MTP](http://www.evol2wiki.ep.parl.union.eu/wiki/display/testcell/Master+Test+Plan) and TAS.

# **ANNEXES for the Initial Business Case**

## Annex - Business Requirements log

**Refer to or insert your Business Requirements log.**

## Annex - Business Case Methodological Review

**Business Case Methodological Review completed by the BPM Expert from ITEC-BPM Service and answered by the Business Owner-MOA (supported by the Business Analyst).**

**The Business Case Methodological Review table is to facilitate the collect of all remarks, comments and modifications proposed during the methodological review of the initial Business Case. Its objectives are to ease the validation process, and to keep track of all the remarks and decisions.**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **ID** | **Initials of the reviewer** | **Chapter, paragraph, etc.** | **Remark** | **Answer** |
| 1 |  |  |  |  |
| 2 |  |  |  |  |
| 3 |  |  |  |  |
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| 15 |  |  |  |  |

# **ANNEXES for IT Requirements Analysis**

## Annex - IT Scenario Feasibility

**Refer to or insert the document provided by ITEC-CONCEPT Unit**

## Annex - IT Financial Costs and Benefits / scenario

**Refer to or insert the document provided by ITEC-CONCEPT Unit**

# **ANNEX - Document control**

## Circulation

| DG or Company | Role | Name/Initials | | ERICA[[8]](#footnote-8) code |
| --- | --- | --- | --- | --- |
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## Change history

| Version number[[9]](#footnote-9) | Status[[10]](#footnote-10) | Date | Initials | Summary of changes |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
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## Applicable documents

**Applicable documents are standards, specimen plans which need to be applied and whose application is verifiable.**

| N° | Document name | Description[[11]](#footnote-11) |
| --- | --- | --- |
| [1] | "Charter Scope and Management Plan - CSMP" | Deliverable of the BPM analysis (insert reference) |
| [2] | "As-is" map | Deliverable of the BPM analysis (insert reference) |
| [3] | Business Process Analysis (BPA) report | Deliverable of the BPM analysis (insert reference) |
| [4] | "To-be" map | Deliverable of the BPM analysis (insert reference) |
| [5] | Business glossary | Deliverable of the BPM analysis (insert reference) |
|  |  |  |

## Reference documents

Reference documents are a help or a support but are not directly applicable (e.g. software reference manuals, sample files from outside firms, meeting papers).

| N° | Document name | Description |
| --- | --- | --- |
| [1] | Guide - Benefit Realisation Management | Available on [STANDARDS website](http://www.ismsnet.ep.parl.union.eu/ispnet/cms/Accueil/preconisations/P_Methodologie/PPO4EP), section "Vos indispensables" |
| [2] |  |  |

## Glossary

| **Abbreviation** | **Description** |
| --- | --- |
| BA | Business Analyst |
| BC | Business Case |
| BO | Business Objective |
| BPA | Business Process Analysis |
| BPM | Business Process Management |
| BPOw | Business Process Owner |
| BREQ | Business Requirements |
| EP | European Parliament |
| KPI | Key Performance Indicator |
| MTP | Master Test Plan |
| TAS | Test plan for Application Security [A3], performed since 2016 in the dedicated TAS-Labo (isolated infrastructure) |
| DLA | Directorate of Legislative Acts (European Parliament) |
| DLQ | Directorate of Legislative Quality (European Council) |

## Usage conventions

Where a chapter or section is not considered to be applicable, put ‘NOT APPLICABLE’. Feel free to insert new sections (chapter, paragraph) as needed.

Click on the Show/Hide  button in the toolbar to display/hide guidance.

**Guidance displayed.**

1. P: Primary, S: Secondary. [↑](#footnote-ref-1)
2. Personal data means any information related to an identified or identifiable natural person (the data subject). An identifiable person can be identified directly or indirectly by reference to an identification number or to one or more factors specific to his or her physical, physiological, mental, economic, cultural or social identity [↑](#footnote-ref-2)
3. Personal data means any information related to an identified or identifiable natural person (the data subject). An identifiable person can be identified directly or indirectly by reference to an identification number or to one or more factors specific to his or her physical, physiological, mental, economic, cultural or social identity [↑](#footnote-ref-3)
4. Personal data means any information related to an identified or identifiable natural person (the data subject). An identifiable person can be identified directly or indirectly by reference to an identification number or to one or more factors specific to his or her physical, physiological, mental, economic, cultural or social identity [↑](#footnote-ref-4)
5. Data subjects are the natural persons whose personal data are processed. [↑](#footnote-ref-5)
6. Processor means here external provider - intra-muros or extra-muros- (e.g. service provider having won a EP tender) [↑](#footnote-ref-6)
7. The Data controller is the entity determining the purposes and means of the processing of personal data (e.g. Unit, Directorate or Directorate-General). [↑](#footnote-ref-7)
8. **E**: Examination **R**: Responsible, **A**: Approval, **C**: Contribution, **I**: Informed [↑](#footnote-ref-8)
9. Naming convention: Procedure 'Program & Project naming convention' ([STANDARDS website](http://www.ismsnet.ep.parl.union.eu/ispnet/cms/Accueil/preconisations/P_Methodologie)) [↑](#footnote-ref-9)
10. Status: Draft, Final, Approved [↑](#footnote-ref-10)
11. Description: Note, summary, link, etc. [↑](#footnote-ref-11)