# *Technology Advice*

| **Special Requirements** | This procedure is a controlled document maintained by Quality Management. It may not be deleted without comparable controls. Please note that this document becomes uncontrolled once printed. Make sure by always referring only to the Repository that you have the right version in use. Deviations from the provision of this document need to be recorded in the Exception Request Workflow. The procedure should be updated when there are changes in EFSA with respect to what is stated in the document (e.g. Relevant Standards, legislation, and documents, change in procedure, etc.). The person responsible for maintaining this procedure up to date is the Lead author with the support of the QM. |
|---|---|

| **Process Responsibility** | Process owners are accountable this procedure being adhered to within their respective or unit. All relevant staff is responsible for the correct implementation of the procedure. Responsibilities for performing specific steps are outlined in the document. |
|---|---|

## SCOPE AND OBJECTIVES

The purpose of this Advice Standard Operating Procedure (SOP) is to provide advice in response to any request from the Business Units or Management in relation to the technological feasibility of a specified improvement to the business. The Advice process is expected to be mainly employed during the Initiating and Planning phases of a project with requirements related to Information Technology (IT) applications, cloud resources and/or data access/data management.

Specifically, the Advice process provides the guidelines on how to:

- elicit the request's compatibility with the technology roadmap and the Enterprise Architecture
- elicit the request's compliance with the security and data protection regulations
- examine the costs and benefits of a specific solution.

**EFSA Process Architecture**

In the framework of the EPA 3.0 process Architecture, this SOP is in relation to the Macroprocess EPA 3.0: 13.1 "Enterprise Architecture", 13.2 "Transformation Implementation" and it also connected to the 8.1 process "Environmental Scanning and Strategic Options Definition", 12.01 Strategy, Planning and Analysis, 13.03 Continuous Improvement

## RELEVANT STANDARDS, LEGISLATION AND DOCUMENTS

The following international standards apply for this process
- EU legislation
- BABOK – Business Analyst Body of Knowledge
- BRM Body of Knowledge
- ISO 27001 and ISO 22301
- ITIL 4 – Information Technology Infrastructure Library
- TOGAF 9.2 Enterprise Architecture.

In the framework of the EPA 3.0 process Architecture, this SOP is in relation to the Macroprocess EPA 3.0 13.1 Enterprise Architecture and 13.2 Innovation Implementation.applicable.

## ABBREVIATIONS AND DEFINITION

| | |
|---|---|
| A&S | Architecture & Solutions Team (within TS) |
| AGB | Appropriate Governance Body |
| CORSER | Corporate Services Unit |
| DPO | Data Protection Officer |
| DW | Digital Workplace Team (within CORSER) |
| EPA | EFSA Process Architecture |
| ISO | Information Security Officer |
| KNOW | Knowledge, Innovation and Partnership Management Unit |
| PCT | Project Core Team |
| PM | Project Manager |
| PMO | Transformation PMO Team (within TS) |
| PO | Project Owner |
| RfE | Ready for Execution. It's a milestone in the PM2 methodology |
| RfP | Ready for Planning. It's a milestone in the PM2 methodology |
| TP | Transformation Partnership Team (within TS) |
| TS | Transformation Services Unit |

## PROCEDURE

| | |
|---|---|
| | Previous SOPs in the process: SOP_001 Govern Technology and Transformation |

| Step 1 | 1.0 Assess the advice typology and identify the necessary technical expertise |
|---|---|
| - TS HoU (Accountable)<br>- A&S TL (Responsible)<br>- TP TL (Responsible)<br>- DW Team (Consulted)<br>- ISO/DPO (Consulted) | 1.1    TS advice may be sought by the Units for a range of different purposes. In this case, the entry point for every new request of advice is the Transformation Partners (TP).<br><br>The first step is the assessment of the type of advice being sought and its context. That assessment may take one of the following forms:<br><br>• Preliminary advice on a newly identified need/ opportunity related to Information Technology, data, application, infrastructure and/or information security. At the same time, there is a verification if the demand is already covered by some ongoing projects or is part of an existing Business Cases already under review<br>• Support in the Initiating and Planning phases of a project involving aspects related to IT, data and/or information security<br>• Support in the Initiating and Planning phases of a process improvement initiative involving aspects related to IT, data and/or information security<br>• Support in the definition/revision of the EFSA Strategy in relation to IT, data and/or information security aspects.<br>1.2    Depending on the type of advice requested, different TS/CORSER expertise may be necessary, i.e.:<br>• TS Architecture & Solution Team for aspects related to the EA and Technology Roadmap<br>• TS Transformation Partners Team for aspects related to requirements elicitation, business case, cost/benefit analysis and/or finding relationships with the EFSA IT/scientific ecosystem<br>• CORSER/ISO for aspects related to IT Services and/or IT Security.<br><br>The output of this step is the identification of the different profiles/expertise necessary to fulfil the request for advice, under the responsibility of the A&S and TP Team Leaders and the accountability of the TS HoU. |
| Step 2 | 2.0 Preliminary Advice for process improvement |
| - TS HoU (Accountable)<br>- A&S (Responsible)<br>- TP (Responsible)<br>- CORSER DW (Responsible)<br>- ISO/DPO (Consulted) | A draft PII template is provided by GPS to the team leader of the A&S team for a review of the Technology implications of a potential PII. (SOPs on Portfolio management and Continuous improvement)<br><br>For the classification of new ideas please also refer to "WIN/SOP051/01 Portfolio-Management of change requests", SOP_51 "Planning & Monitoring" and to the "Continuous Improvement SOP"<br><br>2.1    The advice request is analysed by a team composed of specific technical resources identified in the previous step (i.e., resources from the A&S team and/or the TP team and /or the DW team and/or the ISO/DPO). If necessary, a Business Analyst is also appointed to support the requesting Business Unit. |

|  | <ul><li>If the advice request is related to a review of the Enterprise Architecture (EA) and technology roadmap go to SOP_048 Govern Technology and Transformation.</li><li>If the advice request is related to a change request for an existing application already in use go to SOP_050 Enhance products and services.</li><li>If the advice concerns a PII the following steps are performed to analyse the request.</li></ul><br>2.2 The task of the A&S team is to verify the technical feasibility and compatibility of the business request with the technology roadmap currently in place in EFSA. TS (A&S) determines if the business request can be accomplished using the Architecture Building Block (ABB) and/or Solution Building Block (SBB) already in use in EFSA. In particular, the A&S team assesses the impacts on data, application, and technology infrastructure of the advice request. If necessary, TS (A&S) also can start a "Scan" (SOP_053 Technology Scan) or a feasibility study as part of an Enhance/PII process. If no solution is identified, proceed to Step 3.<br><br>2.3 The CORSER DW Team and the ISO verifies the possible impacts of the identified solution in terms of IT Services and information security. The ISO may also require the involvement of the DPO if it is necessary to assess Data Protection aspects.<br><br>2.4 The A&S Team collects and organises the information provided by the different teams (CORSER, ISO, DPO, TP).<br><br>2.5 The team leader of the A&S team replies to GPS for finalising the classification of the request.<br><br>2.6 Further inputs / analysis will be provided to the PII lead during the initiation phase of the PII (see SOP on Continuous Improvement and WIN/SOP051/01 Portfolio)<br><br>The output of this step is a technical report, including recommendations, to be provided in response to the advice request. |
| **Step 3** | 3.0 Support the preparation of the Business Case (PM$^2$: project initiating phase) |
| <ul><li>Requestor (Accountable)</li><li>TP (Responsible)</li><li>A&S (Consulted)</li><li>ISO/DPO (Consulted)</li><li>DW (Informed)</li></ul> | 3.1 A Project Initiation Request (containing information about the requestor, business needs and desired project outcomes) is provided to the TP team by the Requestor. The Requestor can be any Unit expressing a business need.<br><br>3.2 TP collects the information to describe the project's alignment with the organisation's strategic objectives, to identify the corporate KPIs the project contributes to and to provide a justification for the investment in time and effort, and to set out the budgetary needs.<br><br>The output of this step is a document written by TP to support the PO in the preparation of the Business Case. |
| **Step 4** | 4.0 Support the preparation of the Project Charter (PM$^2$: project initiating phase) |
| <ul><li>Requestor (Accountable)</li><li>PMO (Responsible)</li></ul> | 4.1 A Business Case (covering the business context, problem description, project description, possible alternative solutions, costs and timetable) is provided to PMO by the requestor. |

| | |
|---|---|
| - TP (Consulted)<br>- A&S (Consulted)<br>- ISO/DPO (Consulted)<br>- DW (Informed) | 4.2    PMO provides input to the Project Charter and consults TP and A&S teams to verify milestones, deliverables, project organisation.<br>4.3    TS, with involvement of DW, ISO and DPO, produces **a high-level design of the proposed application(s)** and identifies financial and organisational impacts.<br>4.4    Based on the above documentation, the PM creates the **Project Charter** (a more detailed project plan). It defines the project's objectives (i.e., scope, time, cost, quality), high-level requirements, risks and constraints, as well as the project's milestones and deliverable(s). |
| **Step 5** | 5.0 Support the preparation of the PM$^2$ Planning phase deliverables |
| - PM (Accountable)<br>- PCT (Responsible)<br>- PMO (Consulted)<br>- TP (Consulted)<br>- A&S (Consulted)<br>- ISO/DPO (Consulted)<br>- DW (Consulted) | 5.1    The Project Manager and Project Core Team (PCT), supported by PMO, draft the project documentation foreseen by the PM$^2$ methodology:<br>• **Project Handbook,** which defines the project's management approach.<br>• **Project Work Plan**, which specifies the project scope and appropriate approach, decides on a schedule for the tasks involved, estimates the necessary resources and develops the detail of the project plans.<br>• **Project Stakeholder Matrix**, which identifies all project stakeholders.<br>• **Communications Management Plan**<br>• **Transition Plan**<br>• **Business Implementation Plan**.<br>5.2    Several times during the Planning Phase, the documentation can be updated based on inputs provided by TP and A&S in terms of architectural design (Application, Data and Technological infrastructure) and Business Case.<br>5.3    The documentation is finalized<br>5.4    At the end of the Planning Phase, the PSC/AGB reviews the above documents and decides whether to allow the project to move forward (RfE). |
| | Following SOPs in the process:n/a |

## ANNEXES

### *SOP Processes overview*

*The EPA macroprocesses of Enterprise Architecture (ref. EPA 13.1), Transform EFSA (ref. EPA 13.2) and Continuous improvement (ref. EPA 13.3) have been considered while defining the Standard Operating Procedures (SOPs).  To better identify the interrelations with the EPA 3.0 processes and the other Units processes, the TS+Corser SOPs can be grouped and interrelated in 3 macro scenarios:*

- *Technological Advice (ref. EPA 13.1 Enterprise Architecture)*
- *Project Implementation (ref. EPA 13.2 Innovation Implementation)*
- *Compliance and Performance Improvement (ref. EPA 13.3 Continuous improvement)*
- *Digital Services (ref. EPA 5.6)*

*The figure below provides an overview of the SOPs and their interrelationships.*