

SUCCESSFUL DELIVERY
POCKETBOOK

Preparation

Getting ready for programme/project initiation



Office of Government Commerce

Introduction

This Pocketbook explains how to plan for successful delivery. It describes the steps that need to be taken to initiate effective programmes and projects.

Guidance from HM Treasury, the Delivery Unit and other central bodies describes what is required in a delivery plan. The Pocketbook explains how to produce the information you need. It uses proven best practice techniques, taking account of lessons learned from Gateway reviews and other sources; it integrates with existing programme/project and risk management guidance.

Critical factors for successful delivery are:

- the right scope – investment linked to clear outcomes that support strategic objectives; goals that are realistic and based on knowledge of what is achievable
- adequate skills and resources, matched to the demands of the programme/project
- processes for delivery that are based on approaches that are likely to work.

Who should read the Pocketbook?

- If you are a senior manager, the Pocketbook helps you to initiate programmes and projects.
- If your task is to deliver a policy to meet Public Service Agreement (PSA) targets, the Pocketbook helps you to check that delivery plans are achievable.
- If your task is to scrutinise delivery plans, the Pocketbook provides you with an outline of the activities and information that you need to check.

Terminology

- **Policy:** the translation of government's political priorities and principles into programmes and courses of action to deliver desired changes [NAO definition]
- **Benefit:** a measurable improvement
- **Project:** particular way of managing activities to deliver specific outputs over a specified period of time and within defined resource constraints
- **Programme:** management framework for co-ordinating related projects to deliver outcomes and benefits
- **Portfolio management:** selection and co-ordination of an organisation's overall portfolio of programmes and projects

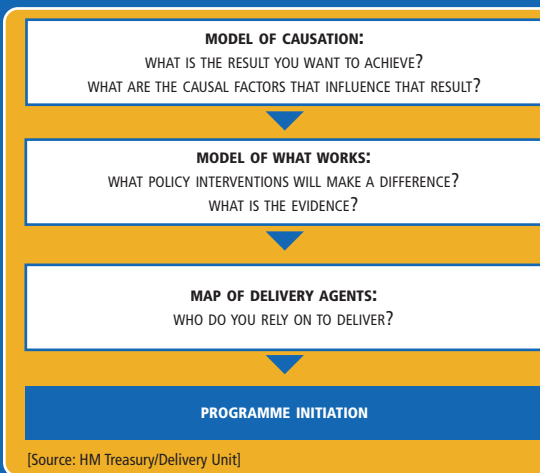
For details of guidance, tools and techniques, see the back cover.

What do you have to be able to do?

Your objectives in delivery planning are to:

- initiate a programme or project to achieve the outcomes you want; this may be delivery of a policy requirement or implementation of a major change to the business and might involve a number of organisations collaborating to deliver the outcome
- make sure that it can be delivered as part of the current and planned commitments of all the organisations involved.

The figure below summarises what you need to consider for programme and project initiation – what you want to achieve (model of causation), what is likely to achieve that outcome (model of what works) and who will deliver it on your behalf (map of delivery agents). The Pocketbook helps you to think through these aspects.

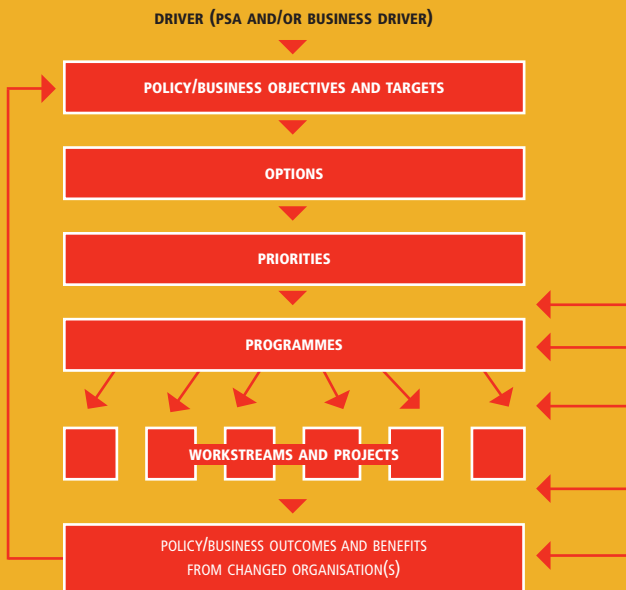


You also need to consider the context of your organisation's current work and plans. New programmes will be delivered in a complex multi-project environment where there will be inevitable conflicts and interactions – such as conflicting priorities for scarce resources and interdependencies between projects. There must be continuous alignment of progress (projects and programmes) with the business direction. This means that you have to balance the relationships of project to programme, project to project, programme to programme and projects/programmes to the business.

Delivery planning framework

The figure below shows how policy or business objectives and targets are translated into outcomes and benefits from change. Options for delivery are explored to identify an acceptable mix of cost, benefit and risk to deliver the required outcomes; however, not all policies lead to implementation programmes. The delivery chain may be complex, involving a number of different organisations. The current priorities relating to the organisation's programme portfolio are revisited. Prioritisation leads to selected programmes (each with their own priorities) in the updated portfolio. They are made up of workstreams and projects that deliver the required results and feed progress against targets back up to the policy/business objectives.

A programme management approach increases the chances of success. It focuses on the delivery of benefits and outcomes; it helps you to plan for early/incremental realisation of benefits to reduce net costs and risk.



To arrive at a set of selected programmes and projects, you should follow the steps described on pages 6-11 and summarised on pages 12-13. The steps help you to make informed decisions about your delivery plan, which are documented under the headings shown below (right).

If your project involves procurement, you will require an independent Gateway review. You use a Project Profile Model (available online at www.ogc.gov.uk) to establish the exact structure of that review.

STRATEGIC ASSESSMENT:

STRATEGIC FIT
OPTIONS EXPLORED
ACHIEVABILITY
VFM
AFFORDABILITY

**DELIVERY PLAN
DEVELOPMENT**

STRATEGIC ASSESSMENT

HIGH LEVEL OPTIONS IDENTIFIED

STRATEGIC OUTLINE CASE; OPTIONS APPRAISED IN LINE WITH GREEN BOOK

OUTLINE BUSINESS CASE AND FULL BUSINESS CASE; BENEFIT, COST AND RISK ALLOCATION ACROSS SUPPLY CHAIN

BUSINESS CASE UPDATED IN READINESS FOR SERVICE DELIVERY

POST IMPLEMENTATION REVIEW AND BENEFITS EVALUATION

**INFORMATION IN A
DELIVERY PLAN:**

PROPOSED OPTION/S
PROGRAMME/PROJECT BRIEF
COMMUNICATION STRATEGY
BENEFITS/PERFORMANCE
MANAGEMENT STRATEGY
RISK MANAGEMENT STRATEGY

Delivery planning

This section of the Pocketbook describes the steps you should take to decide on the best way forward to achieve the outcome you want. For each step there is a recommended approach and guidance on techniques to help you to identify the information that will go into your delivery plan (summarised on pages 10 and 11). For convenience, the steps are described in a sequence; in practice, you will revisit some of the steps as your available choices become clear. The steps and their interdependencies with each other are shown on pages 12 and 13. For each step, useful techniques are indicated; they are described on pages 14-22.

1: Determine the scope: what to deliver and when

- **Techniques:** business analysis; benefits cascade; outcome relationship mapping; strategic context; modular and incremental delivery
- **Information produced contributes to:** high level options and programme/project brief

Describe why the work needs to be done – for example, to meet a policy imperative or respond to a business driver for change. Describe the required outcome in measurable, time-based terms – what you want to change and how you will know that you have changed it. Identify high level benefits, how they contribute to strategic objectives and how they will be measured. Identify the causal factors – what needs to be in place for the outcome to happen? Describe the actions/projects that need to be undertaken. Identify high level options for meeting the business need; identify the option with the most acceptable mix of cost, benefit and risk.

2: Estimate the resources and capabilities (people, physical resources and funding) you will need

- **Techniques:** capability matrix; high level cost management approach
- **Information contributes to:** programme/project brief and business case

Base your estimates on what others have done, wherever possible. Look at the dependencies between current programmes and projects in your organisation to arrive at the optimum allocation of resources. Establish the skills and expertise you need (capability to do the job) and the numbers

of people who will be required over the lifetime of the project (capacity). Estimate the whole-life cost of the change – people and physical resources (buildings, technology etc). Consider whether your organisation has enough experience and skills to manage new arrangements where they involve working with others. Determine the budget/resource limits and where the costs will fall.

3: Identify potential sources of capability

- **Techniques:** capability matrix; commercial knowledge; knowledge of technology opportunities
- **Information contributes to:** high level options

Investigate who could deliver the required outcome. Look at the whole supply chain – your organisation, business partners, suppliers and their suppliers, your advisers and your customers. Consider innovative ways of delivery, such as collaborating with the private sector where there are appropriate incentives for them to do so. Look at what others are doing. Where relevant, look at opportunities to exploit technology to deliver the capability you need.

4: Decide who will carry out the required processes and policies

- **Techniques:** strategic context; modularity
- **Information contributes to:** high level options; programme brief

Look at the proposed way/s forward in the context of the business, its current portfolio and priorities; check that they fit with the organisation's strategy. Check for opportunities to collaborate with others and for overlaps with projects already planned or underway; look at the interfaces with other initiatives/organisations. Establish how much is new or changing in terms of people and the way they work, services and physical resources such as buildings and IT. Make a realistic assessment of the likelihood of success, given your organisation's existing commitments, priorities, capability and capacity. Consider whether critical business processes would be affected; consider breaking the work down into smaller packages instead of doing everything at once. Revisit the priorities; in addition, expect the unexpected – could you cope with unforeseen change?

5: Determine who will be accountable for what

- **Technique:** governance roles
- **Information contributes to:** high level performance management approach; programme/project brief

Establish who will be responsible for making investment decisions (for example, the Board, partners) and who will be senior individual responsible for the project/programme as its owner. Check that the right person is given the role, in terms of their authority and responsibilities in relation to the proposed change. Define high level governance structures and responsibilities; consider how different responsibilities fit together and how everyone involved will understand their role and responsibility. Define high level arrangements for reporting downwards on policy and business requirements, reporting upwards on progress, performance and risks and taking prompt action as required. For joint projects, identify the additional arrangements that need to be in place. Ensure that reporting lines will be kept as short as possible.

6: Identify similar projects that have succeeded

- **Technique:** research and commercial intelligence
- **Information contributes to:** high level options

Compare your project with other ways of delivering a similar outcome – public/private sector and internationally. Take account of factors that could affect success, such as cultural differences. Identify why others have succeeded – or failed – and the lessons learned from their experiences.

7: Determine an acceptable balance of cost, benefit and risk – and how they should be managed

- **Techniques:** options appraisal; risk management approach
- **Information contributes to:** high level options; programme brief

Confirm the solution that offers best value for money; obtain approval from senior management. Revisit the key risks to performance and delivery. Risks relating to performance could include lack of public interest leading to poor take-up of a service; risks relating to performance could include over-ambitious timescales, inadequate resources and lack of essential skills.

Consider the whole supply chain, including intermediaries, and how risks could be allocated and managed. For the proposed way forward, identify an acceptable balance of costs, benefits and risk. Consider a wide range of possibilities and the trade-offs associated with each. If it is an innovative approach, consider how to manage the risks and how well your organisation could cope with the scale of change proposed by more radical options. Establish that each of the proposed options are practical, realistic and viable; consider how well each option meets stakeholder needs. Contingency plans need to be outlined at this stage.

8: Determine how you will work with other delivery agents and stakeholders to share information and knowledge

- **Techniques:** stakeholder segmentation; stakeholder map
- **Information contributes to:** communications strategy

Consider who your stakeholders are and what they want – the people who will be involved in/affected by the change and/or influence the outcome. Resolve any conflicting demands. Think about how you will achieve stakeholder buy-in and overcome any resistance to the change. Consider the perceptions that might have to change and how behaviours could be changed.

9: Determine arrangements for monitoring and reporting progress. Identify the performance measures and incentives you will need

- **Technique:** Goal Question Metric
- **Information contributes to:** high level performance management approach

Set milestones – that is, progress checkpoints at specified intervals – against intermediate targets towards the required outcome. These milestones will enable you to track progress against plans and take action on any feedback relating to progress. Identify performance measures that are SMART (specific, measurable, achievable, realistic and time-based); determine mechanisms for reliable and regular performance information. Think about the incentives for staff, partners and suppliers that will encourage a successful outcome. Check that performance information can be collected efficiently and in good time to take remedial action if required.

What information do you need for delivery planning?

Use the outlines below as a starting point for your own delivery planning documentation. You will need this information for programme/project initiation.

High level options

This establishes the scope and context of the proposed way forward; it provides input to business case development.

- Why the work needs to be done: business/policy need and required outcomes; benefits and success criteria against targets
- Scope of the programme/project: what is included; what is excluded; boundaries
- Strategic context: contribution to strategy and fit with current priorities
- Constraints such as timescales and resources
- High level options appraisal and recommended option/s, balancing cost, benefit and risk
- Cost: a realistic estimate that is affordable
- Required resources (capability and capacity), demonstrating that the way forward is achievable
- Sourcing: where the resources will come from (internally, partners, suppliers etc)

Programme or project brief

This defines the programme's/project's objectives in outline and provides input to detailed programme/project planning. Information for a programme brief is shown below.

- Background to the business need
- Vision statement: a description of the capabilities the organisation seeks to achieve from the programme, including performance measures, service levels, costs; key targets
- Main stakeholders
- Benefits expected and how measured
- Estimate of overall effort required and who will do it
- Outline of activities required
- Key milestones, including critical stages
- Relationship between success factors and key interfaces/dependencies with other programmes

Communication strategy

This manages the perceptions and expectations of all stakeholders.

- Objective: what you want to achieve – describe the primary changes in perception/behaviour required
- Audiences: the stakeholders – state whether they are directly or indirectly affected by the policy/change and whether they are key players. Identify which ones to inform, influence or control – which of the stakeholders must you keep satisfied, take into consideration or keep informed?
- Messages: what you need/want to tell them – set out key messages that need to be covered, which will support the intended outcomes
- Tactics: how you will reach the various stakeholders – list the means of reaching the key groups, showing priorities, dates/milestones and who will be responsible for each action (by organisation and role if not by name). Categorise the activities as: consult; keep informed; make aware

High level risk management approach

This identifies the major risks and who will manage them.

- Principal risks and barriers, with evaluation of the nature and extent of risks; how linked to other risks
- How each risk will be managed – minimised, transferred etc
- Who will be responsible for what (and why) across the whole supply chain
- How to deal with things going wrong: contingency plan

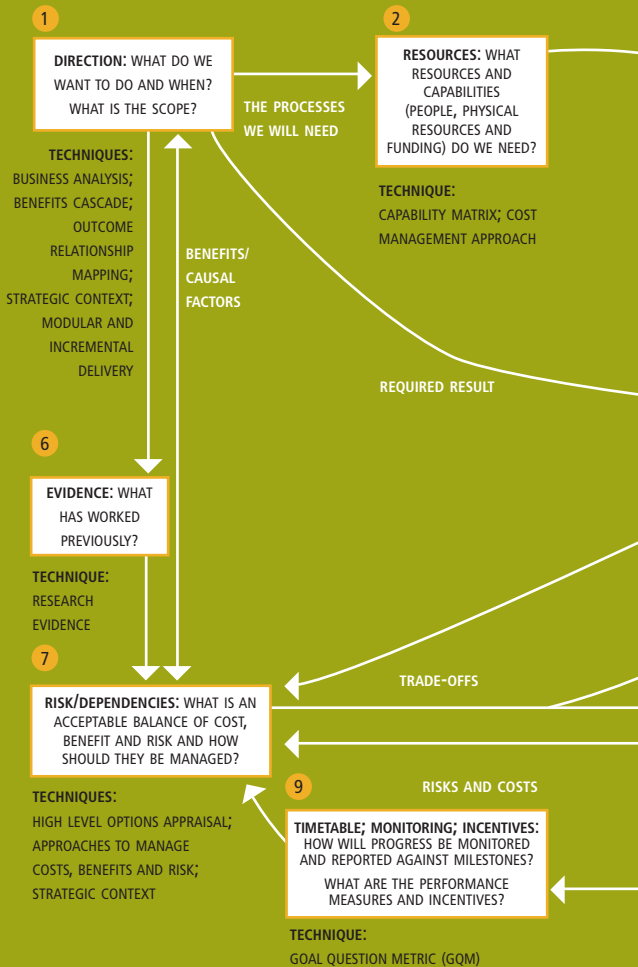
High level performance management approach

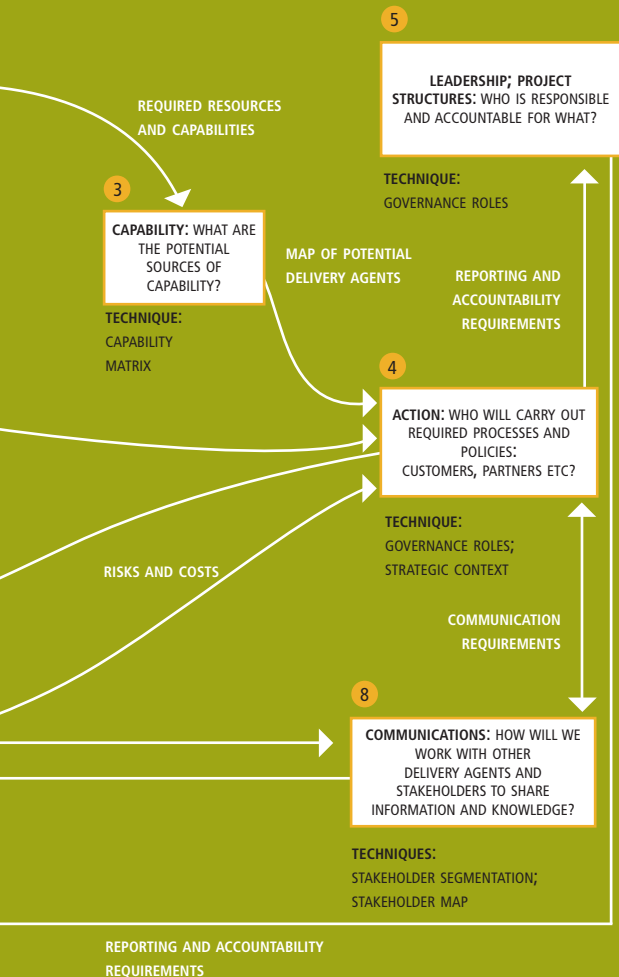
This identifies who will be responsible for assessing and taking action on benefits realisation and performance, what to do and when.

- Critical measures/indicators of success
- How performance is to be reported and monitored to ensure appropriate accountability across the supply chain
- Governance framework – responsibilities and reporting arrangements for progress, performance, risk and issues that need to be resolved upwards; reporting arrangements for requirements downwards
- Arrangements for ensuring that the programme remains appropriate and relevant and continues to deliver the intended outcomes cost-effectively

Delivery planning overview

This figure shows the questions you need to ask in order to make realistic decisions about delivery. It shows the links and dependencies between the key questions. The activities to support the questions are described on pages 6-11.





Essential techniques

Business analysis

Business analysis helps you to gain a full understanding of the current and future business of your organisation, the way in which its business has been – and could be – conducted and of the imperatives and constraints acting upon it.

Business analysis questions

- What are the biggest constraints and how could they be removed?
- How could technology be used to change the way we do things?
- What tasks could we get our customers to do?
- What tasks could we get our partners and suppliers to do?
- What alternatives are there to the current delivery channel?

Benefits cascade

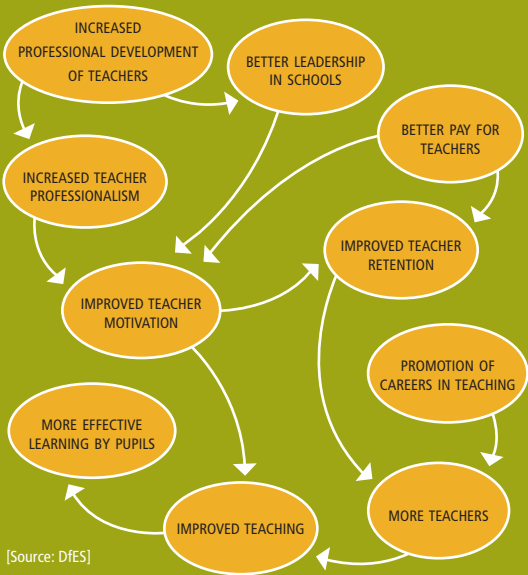
A benefits cascade shows the links between your highest level vision and objectives down to proposed options for delivery. If links cannot be made, reconsider what you are planning to do and why.

- Vision
- Aims (linked to PSA)
- Business objectives
- Strategic themes
- Strategic benefits ('shopping list' of things to achieve)
- Key programmes and projects
- Project objectives
- Options
- Optimum mix of benefits, cost and risk

Outcome relationship mapping (opposite, top) shows the dependencies between intended outcomes - for example, more effective learning by pupils cannot occur without improved teaching.

A high level benefits management strategy (opposite) helps you to think through the practical steps that need to be in place to realise planned benefits.

Outcome relationship mapping

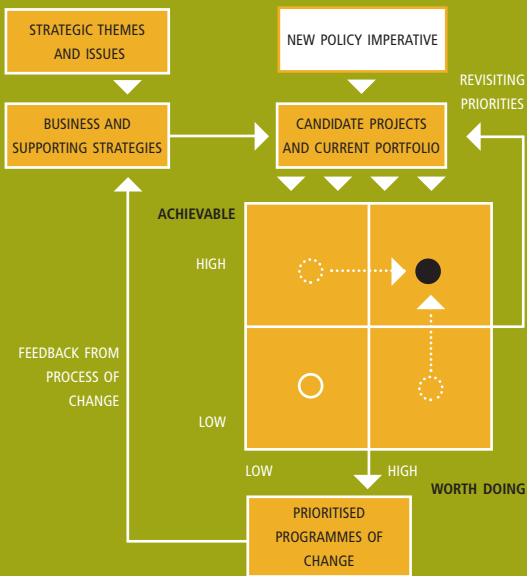


Benefits management strategy



Strategic context

In the figure below, use the achievability/worth-doing matrix to determine whether you can achieve what you want to do for your programme/project and whether it is worth doing. If it is difficult to achieve, consider how difficulties could be overcome – more time, more resources etc. If it is not worthwhile, consider whether changing the scope would make a significant difference. Revisit the box in the wider context of current priorities by carrying out a portfolio analysis (including re-planning and estimating) – can everything be done? If not, decide what needs to change – for example, delaying current initiatives or acquiring additional capability.



High level options appraisal

To determine the optimum balance of cost, benefit and risk for proposed options, carry out a high level options appraisal using the tables below.

STRATEGIC FIT	GOOD FIT	ADEQUATE FIT	POOR FIT	
HOW WELL DOES THE OPTION SUPPORT THE BUSINESS STRATEGY AND CURRENT PRIORITIES? IF IT IS A POOR FIT, CAN WE CHANGE THE SCOPE? SHOULD WE DO IT AT ALL?				

OPTIONS	WIDE RANGE	MEDIUM RANGE	NARROW RANGE	
HAVE WE EXPLORED A WIDE RANGE? HAVE WE CONSIDERED INNOVATIVE APPROACHES AND/OR COLLABORATION WITH OTHERS? IF NOT, WHY NOT?				

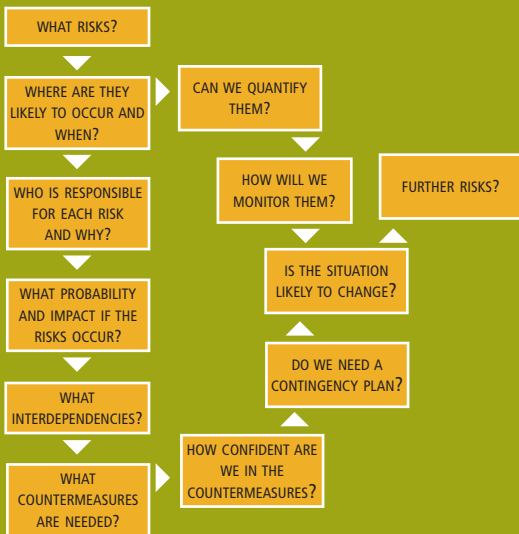
ACHIEVABILITY	EASILY ACHIEVED	ACHIEVABLE	DIFFICULT TO ACHIEVE	
CAN WE ACHIEVE THIS WITH OUR CURRENT CAPABILITY AND CAPACITY? IF NOT, HOW CAN WE ACQUIRE THE CAPABILITY WE NEED AND/OR CHANGE THE SCOPE?				

VALUE FOR MONEY	GOOD VFM	ADEQUATE VFM	POOR VFM	
CAN WE GET VALUE FOR MONEY FROM OUR PROPOSED SOURCES (EG PARTNERS, SUPPLIERS)? IF NOT, CAN WE MAKE OUR PROPOSED OPTION ATTRACTIVE TO A WIDER MARKET?				

AFFORDABILITY	VERY AFFORDABLE	AFFORDABLE	NOT AFFORDABLE	
CAN WE OBTAIN THE BUDGET REQUIRED TO DO THIS? IF NOT, CAN WE REDUCE THE SCOPE OR DELIVER IT OVER A LONGER PERIOD OF TIME? CAN WE SEEK FUNDING FROM OTHER SOURCES?				

High level risk management approach

You have to make choices about the risks you are willing to take to achieve the required outcome. A high level risk management approach helps you to think through the practical steps that need to be in place to manage risks across the whole supply chain.



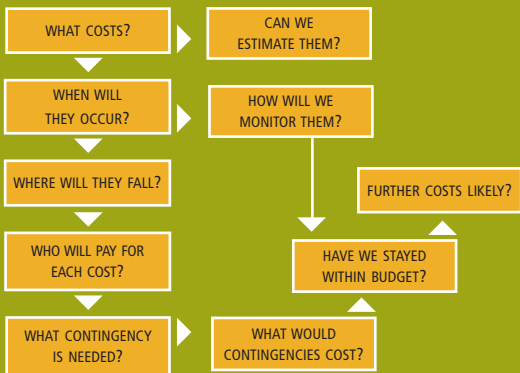
Modular and incremental delivery

These approaches help you to reduce risk by breaking delivery down into manageable components.

- **Pilots** or prototypes, to test on a small scale whether the proposed option would work in practice – but large enough to mimic the real thing
- **Modules** – a distinct part of the programme/project that delivers some benefit even if the other parts of the programme/project are not complete (eg providing one component of the planned service and adding others later)
- **Increments** – delivery in phases rather than a 'big bang', allowing evolutionary development and/or implementation of the overall change (eg fully operational to one region rather than nationwide)

High level cost management approach

A high level **cost management approach** helps you to identify when and where costs will fall and how costs could be displaced – savings or benefits achieved in one area could add to costs elsewhere in the organisation or supply chain. This is especially significant where the organisation has to maintain parallel channels for service delivery.

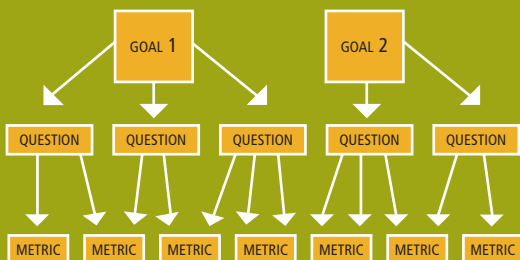


Performance technique: Goal Question Metric (GQM)

This technique helps you to measure performance by:

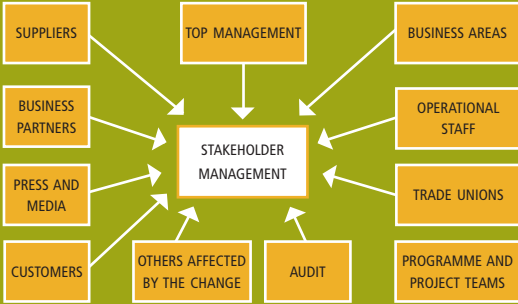
- defining goals associated with the programme, especially the critical milestones towards the intended outcome
- asking questions about progress towards those goals
- defining the key metrics (that is, performance measures of how much and when) to provide quantitative answers, to check actual progress against assumptions.

(Source: Basili and Rombach)



Stakeholder segmentation

Stakeholders are the groups or individuals who are directly involved in the programme/project and/or affected by the proposed change. Grouping stakeholders into segments helps the programme to develop effective strategies for dealing with the inevitable diversity of interests and influence. Segmentation also helps to ensure the channels for communication reflect the needs of the stakeholder groups and can be targeted appropriately.



Stakeholder map

A Stakeholder Map lists each of the stakeholder segments against their particular interest area in the programme and can be used as input to the planning and implementation of the necessary communications process for a programme.

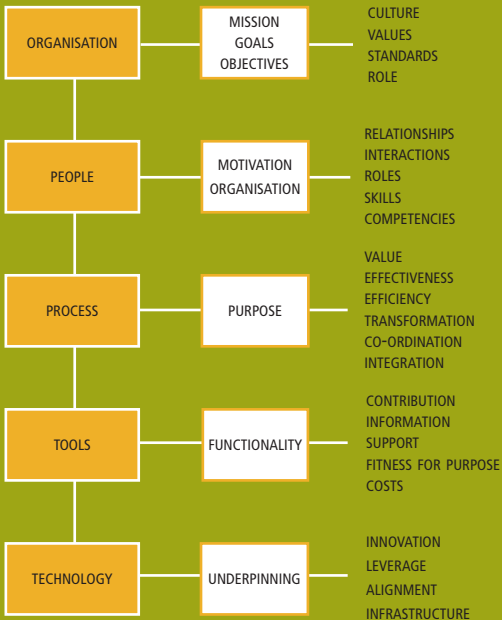
STAKEHOLDER SEGMENTS	KEY LINKAGE TO STRATEGIC DIRECTION	IMPACT ON STAFF	IMPACT ON CUSTOMERS	PUBLIC SAFETY	COMPETITIVE POSITION
SEGMENT A	★		★		
SEGMENT B		★		★	
SEGMENT C		★			
SEGMENT D					★
SEGMENT E			★		
SEGMENT F	★	★			★
SEGMENT G			★		

★ indicates that the stakeholders in this segment are interested in influencing, or the implications of, this area of the programme's activities

Capability matrix

Look at the capabilities available to you across the whole supply chain: your organisation, your partners, your advisers, your customers, your suppliers and their suppliers. Decide who is best placed to provide the capability you need. The table below summarises the characteristics of the capabilities you will require.

For example, you want to have a service delivered by third parties. As an organisation you will take on the role of a client and need to think about the culture, values and standards you will require to make the contractual arrangement with the third party work well. You consider each of the components on the left in the same way - such as the skills that people will need; the efficiency of processes, the support to be provided by tools and the level of innovation in technology.

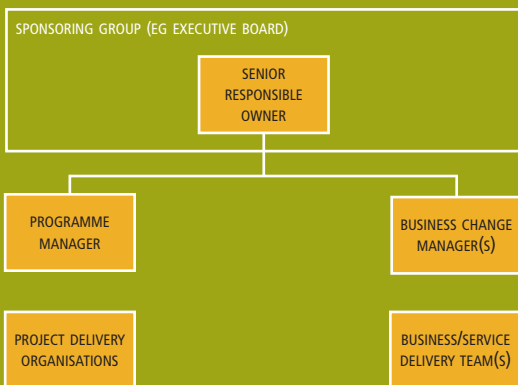


Governance roles

Use the figure below as a starting point to identify who should be responsible and accountable for what. Note that the Senior Responsible Owner (SRO) is a generic title. It means an individual who is senior and takes personal responsibility for the successful outcome of a programme or project.

In construction projects this role is referred to as Project Owner. The Programme Director is another application of this generic title.

- **Sponsoring Group:** responsible for making the investment decision. For cross-cutting initiatives, clarify who holds the budget, who pays for what and when.
- **SRO:** if it is a cross-cutting initiative, there should be a single SRO with overall responsibility for a successful outcome, supported by representatives from each of the collaborating organisations. Where private sector partners/suppliers are involved, there should be a senior manager with an equivalent role
- **Programme manager:** role includes responsibility for communication with key stakeholders; effective operation of the programme; identifying/resolving cross-cutting issues
- **Project delivery organisations:** to fit specific project needs.
- **Business change manager(s):** responsible for transition and embedding of change. For cross-cutting initiatives, there should be one for each organisation involved.
- **Business/service delivery team(s):** external to the programme organisation. Where multiple agencies are involved, you must define clear reporting lines for each.



Quick check

The major causes of failure

Recent lessons learned from Gateway reviews identify these factors as persistent sources of problems:

- unclear objectives and success criteria
- insufficient involvement of key stakeholders
- weak risk management
- unclear roles and responsibilities
- lack of appropriate skills
- weak financial control
- poor market knowledge

If it looks as though your project could be at risk because of any of these factors, revisit the relevant steps on pages 6-11 and the essential techniques on pages 14-22.

Characteristics of effective policy making

These aspects of policy making are also relevant to most major projects involving change.

- Forward looking: outcomes clearly defined; long term view of the likely effect and impact of the change
- Outward looking: takes account of factors nationally, in Europe and internationally; reflects knowledge and lessons learned from the experience of other countries
- Innovative, flexible and creative: questioning traditional ways of doing things; looks at new ways of working that other organisations have adopted
- Evidence-based: best available evidence (both reliable and comprehensive) used; key stakeholders involved from an early stage and throughout
- Inclusive: key stakeholders involved directly; account taken of the impact on all people affected by the change
- Joined up: holistic view, looking beyond immediate boundaries to government strategic objectives
- Review: process for constant review to ensure that the change is really dealing with issues it was designed to solve
- Evaluate: process systematic evaluation of the effectiveness of the change; success criteria defined
- Learns lessons for the future

[Source: CMPS]

Further information

The principles outlined in this Pocketbook are explained in more detail in OGC's Successful Delivery Toolkit (available on the OGC website at www.ogc.gov.uk/sdtoolkit).

The current set of complementary guidance from the centre to help departments develop their delivery plans includes:

- introduction to programme management, which makes the principles accessible to a senior audience; developed by OPSR and OGC as a key part of the Successful Delivery Toolkit (see below)
- the Delivery Unit's Toolbox, which is intended to help both the Delivery Unit and departments analyse and evaluate delivery plans; provide a structure for monitoring progress against targets; solve emerging problems
- business planning guidance from the Cabinet Office
- OGC's Pocketbook (this document) and underpinning Successful Delivery Toolkit
- OGC's programme, project and risk management approaches (in the OGC Successful Delivery Toolkit)
- the OGC Gateway process to review programmes/projects.

Who is involved in developing the Pocketbook

The central organisations involved in developing the Pocketbook include:

- Centre for Management and Policy Studies (CMPS) www.cmps.gov.uk
- HM Treasury: www.hm-treasury.gov.uk
- National Audit Office: www.nao.gov.uk
- Office of e-Envoy: www.e-envoy.gov.uk
- Office of Government Commerce: www.ogc.gov.uk
- Office of Public Services Reform: www.number-10.gov.uk/output/page465.asp
- Delivery Unit: www.cabinet-office/pmd

In addition, a number of departments and other public sector organisations have contributed their ideas and good practice. Their contribution is acknowledged with thanks.

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