

The OGC Gateway™ Process **A manager's checklist**

OGC Best Practice – **Gateway to success**



OGC Gateway™ Process

Review 0

Strategic assessment (for programmes only)

Ongoing strategic assessment

The need for the programme confirmed; check that it is likely to achieve the desired outcomes



This is a programme-only review that investigates the direction and planned outcomes of the programme, together with the progress of its constituent projects. It is repeated over the life of the programme at key decision points.

- Why do we have to deliver this programme, and does it have to be done now?
- Is there a good strategic fit:
 - with other programmes planned or underway?
 - with wider organisational and public sector strategies?
- Who are the main stakeholders, and do we have their support?
- Do we understand the scope and what will constitute success?
- Are there realistic plans for achieving and evaluating the desired outcomes, and how will we monitor progress?
- Have we identified the main programme risks, including the track record of the organisation and made effective arrangements for managing them?
- Are we confident that we have the right skills, leadership and capability to achieve success?
- Are appropriate management controls in place?
- Has provision been made for the financial and other resources required?
- Have we engaged adequately with the market to identify delivery options?

OGC Gateway™ Process Review 1

Business justification

Business justification

The business requirement can be delivered; affordability, achievability and value for money established



This first Project Review comes after the Strategic Business Case has been prepared. It focuses on the project's business justification, prior to the key decision on approval for a development proposal.

- How does this project contribute to wider organisational and public sector strategies, within and outside the organisation?
- Is the Strategic Business case complete and robust – does it meet the needs of the business, is it affordable and achievable, will it deliver value for money?
- Are the scope, scale and requirements realistic, clear and unambiguous?
- Do we have internal/external authority and stakeholder support for the project?
- Have the critical success factors and desired benefits been identified and agreed with stakeholders?
- Have we explored a sufficiently wide range of options to meet the business need and identified a preferred way forward?
- Have we identified major risks, and do we have outline risk management plans?
- Can we confirm our planning assumptions, and are there plans, for the project in place for the next stage?
- Is there a clearly defined and agreed project management structure, with key roles and responsibilities identified?
- Has the interest of the market been considered?

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Review 2

Delivery strategy

Delivery strategy

The acquisition and delivery strategy are appropriate for the desired business change; implementation plans are in place



This Review investigates the Outline Business Case and the delivery strategy before any formal approaches are made to prospective suppliers or delivery partners. The Review may be repeated in long or complex procurement situations.

- Is the Outline Business Case complete and robust, and does it still meet the business need?
- Are the requirements clear and unambiguous, and are they aligned with the programme to which the project contributes?
- Are we being realistic about our ability to achieve a successful outcome?
- Have we explored all relevant options for delivery of the requirement?
- Is the recommended delivery strategy robust, legal and appropriate, with the right approach to development and implementation that is broken down into manageable components?
- Is the Project Plan, through to completion, sufficiently detailed and realistic?
- Do we have the right skills, capabilities and management expertise to ensure success?
- Do we have adequate financial controls, funding and resourcing? Can we confirm availability of funding for the whole project?
- Do we have enough commercial expertise to understand the supplier market capability and track record?
- Do we have adequate risk and issue management plans and procedures?

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Review 3

Investment decision

Investment decision

The project is still required, affordable and achievable; implementation plans are robust; investment decision is appropriate



This Review investigates the Full Business Case and the governance arrangements for the investment decision. The Review takes place before a work order is placed with a supplier, funding and resources committed.

- Can we confirm the Full Business Case and Benefits Realisation Plan, now that we have relevant information from prospective suppliers?
- Are the objectives of the project still aligned with those of its programme and wider organisational and public sector strategies?
- Is the recommended decision on delivery approach likely to deliver what we need on time and within budget, and will it provide value for money?
- For procurements: Have we followed the agreed procurement strategy, and have we met all statutory and procedural requirements?
- Do we have continuing stakeholder support for the project?
- Do we have sound plans for managing implementation, risk and change, and are they agreed across the supply chain?
- Have we addressed the technical implications, such as “buildability” for construction projects, and information assurance for IT-enabled projects?
- Do we have the expertise and resources to manage the supplier relationship, and are appropriate management controls in place?
- Have we agreed draft contracts and/or Service Level Agreements?

OGC Gateway™ Process

Review 4

Readiness for service

Readiness for service

The organisation is ready to make the transition to implementation; ownership and governance are in place for operation



This Review focuses on the readiness of the organisation to go live with the necessary business changes, and the arrangements for management of the operational services.

- Is the Full Business Case still valid and unaffected by internal or external events or changes?
- Can we confirm that the Benefits Realisation Plan is likely to be achieved?
- Are commercial/legal arrangements with the supplier up-to-date?
- Can we confirm that our plans for managing implementation, roll-out and operation are achievable and that we have the resources we need?
- Are management controls in place to manage the project through to operation?
- Do we have shared plans for managing risk, with contingency and business continuity plans in place?
- Has full user and system testing and/or commissioning been done to our satisfaction so that we can approve full implementation and roll-out?
- Is the business ready to implement the business change, with the necessary resources in place?
- Do we have client-side plans for managing the working relationship, including contract management, reciprocated on the supplier side?
- Are lessons for future projects being identified and recorded?

OGC Gateway™ Process Review 5

Operations review & benefits realisation

Operations review & benefits realisation

Confirm smooth operation, delivery of outputs, and achievement of benefits



This Review confirms that the desired benefits of the project are being achieved, and the business changes are operating smoothly. The Review is repeated at regular intervals during the lifetime of the new service/facility.

- Was the Business Case justification for the project at OGC Gateway Review 3 realistic, and are the expected benefits actually being delivered?
- Have we done a post-implementation review or equivalent review of business benefits?
- Do we have enough skills and resources to manage the contract/SLA successfully and with continuity of key personnel?
- If we have made agreed changes, can we be sure that they do not compromise any requirements of the procurement approach adopted (e.g. change of scope)?
- Is there still a business need for this contract/SLA? If circumstances have changed, are the service delivery approach and contract adapting to the new situation?
- Are we actively seeking to improve value for money and performance?
- Are we ready for the future, with plans for future service provision?
- Are we managing the working relationship effectively, with the right 'intelligent customer' skills?
- Are the exit strategy and arrangements for recompetition still appropriate?
- Are we actively learning from experience and setting maturity targets?

A workbook for each OGC Gateway™ Review provides areas of investigation to support each review. The workbooks can be downloaded from the OGC website, which also includes guidance on procurement, and programme & project management: www.ogc.gov.uk

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The Service Desk will also channel queries to the appropriate second-line support. We look forward to hearing from you.

You can contact the Service Desk 8am - 6pm Monday to Friday

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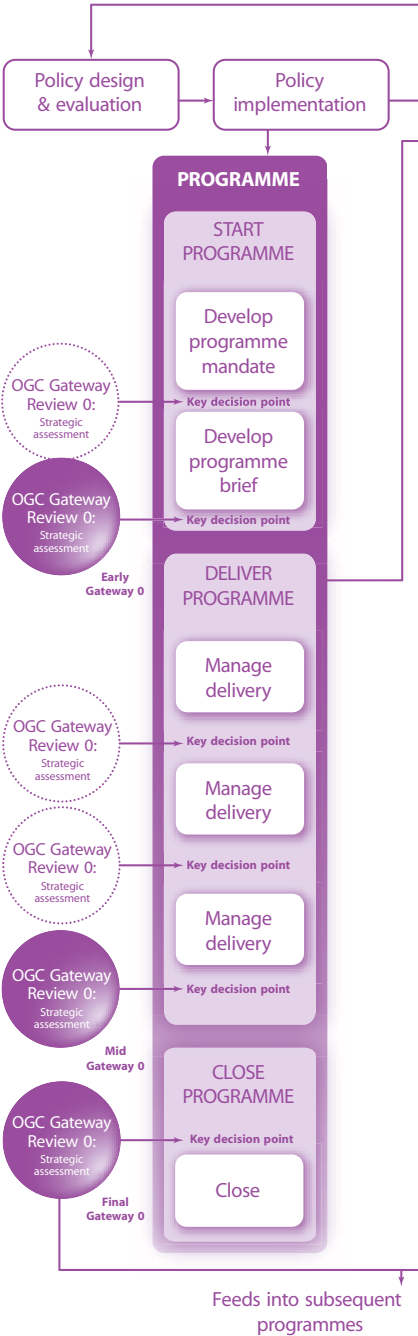
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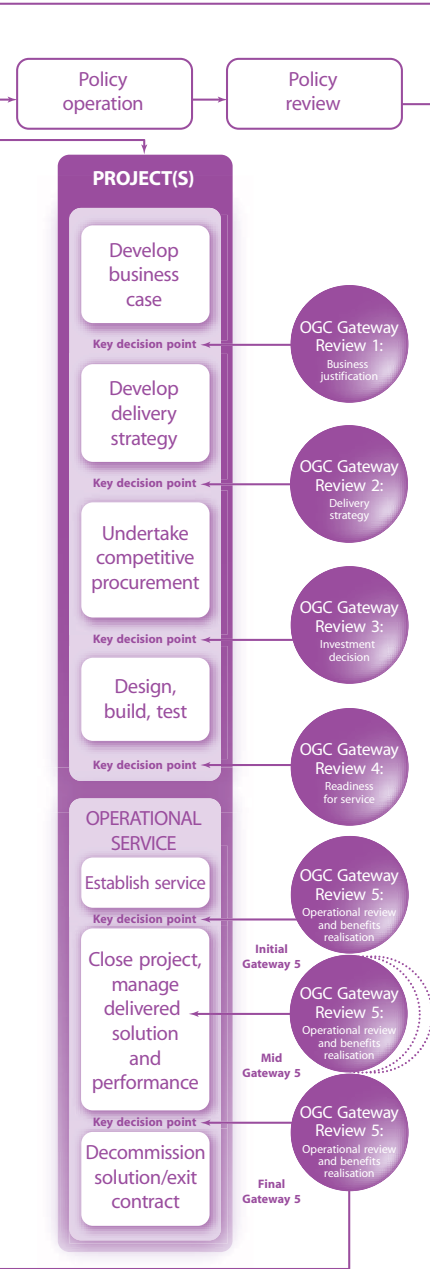
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The wider context of the OGC Gateway™ Process



The wider context of the OGC Gateway™ Process



How to use this guide

The questions in this guide help a Senior Responsible Owner (SRO) to prepare for an OGC Gateway™ Review, by considering how their programme/project is progressing at the key decision points, and the potential for success. Each question relates to a critical aspect of the programme/project, which will be addressed in the relevant Review.

Further guidance on programme and project management, and on the OGC Gateway Process, can be found at www.ogc.gov.uk.

What are OGC Gateway Reviews?

These are reviews carried out at key decision points in a programme or project, by a team of experienced people, independent of the programme/project team.

OGC Gateway Review 0 is for programmes only and is repeated throughout the life of the programme. OGC Gateway Reviews 1-5 are for projects.

Value of the OGC Gateway Process

OGC Gateway Reviews are used to provide a valuable perspective on the issues facing the internal team, and an external challenge to the robustness of plans and processes.

The OGC Gateway Process provides support to SROs in the discharge of their responsibilities to achieve their business aims, by helping the SRO to ensure:

- the best available skills and experience are deployed on the programme or project
- all the stakeholders covered by the programme/project fully understand the current status and the issues involved
- the programme/project can progress more confidently to the next stage of development, implementation or realisation
- achievement of more realistic time and cost targets for the programme/project.

Tailoring the OGC Gateway™ Review

The workbooks published by OGC provide guidance on the structure of each OGC Gateway Review, and the areas of investigation to be addressed by the Review Team, together with examples of the evidence which would demonstrate the satisfactory nature of responses to the various topics.

These topics and the examples of evidence should be regarded as indicative and not prescriptive; within the overall objectives of each Review, the Review Team will consider whether additional or different topics need to be addressed, and the evidence to be sought. Approaches may vary according to the context of the programme or project.

Where a Review is repeated, there will be variations in the emphasis attached to each Review.

Role of the SRO

An OGC Gateway Review is conducted on a confidential basis for the SRO, who has the prime responsibility for initiating the Review. The ownership of the Review Report rests with the SRO, who is accountable for the implementation of the recommended remedial action and the programme/project progression.

The SRO is the individual responsible for ensuring that a programme of change or a project meets its objectives and delivers the projected benefits. He/she should be the owner of the overall business change that is being supported by the project. The SRO should ensure that the change maintains its business focus and has clear authority, and that the context, including risks, is actively managed. This individual must be senior and must take personal responsibility for successful delivery. The SRO should be recognised as the owner throughout the organisation.

OGC Gateway™ Reviews as part of the assurance framework

Every public sector body will have its own structures and resources for carrying out internal reviews, healthchecks and audits of its activities, including programmes and projects. The OGC Gateway Process provides a snapshot view of progress, at a point in time and, therefore, should be seen as complementary to these internal processes, not a replacement for them.

None of these review processes is a substitute for a rigorous governance framework in the organisation to manage key processes including business planning, investment appraisal and business case management (including benefits management), programme and project portfolio management, risk management, procurement/ acquisition, service & contract management.

What are the things you must get right for successful delivery?

Recent lessons learned from OGC Gateway Reviews, and investigations into project failures, identify these factors as essential for success:

- clear senior management ownership and leadership
- appropriate skills for the programme/ project team
- clear roles and responsibilities
- effective financial control
- success criteria that clearly link objectives to outcomes, and clear links with the organisation's key strategic priorities
- effective risk management
- sound commercial knowledge of the supplier marketplace, linked to the requirement, and management of the supplier over the contract term
- involvement of key stakeholders throughout the programme/project
- breaking development and implementation into manageable steps
- effective project team integration between clients, the supplier team and the supply chain.

Which programmes and projects need an OGC Gateway™ Review?

OGC Gateway Reviews are applicable to a wide range of programmes and projects, including:

- policy development and implementation
- organisational change and other change initiatives
- acquisition programmes and projects
- property/construction developments
- IT-enabled business change
- procurements using or establishing framework arrangements.

The principles and process in this checklist can also be applied to management of other areas of expenditure in the organisation. The OGC Gateway Process is mandatory for procurement, IT-enabled, and construction programmes and projects in central civil government.

Why getting programmes and projects right matters?

Programmes and projects provide an important vehicle for the efficient and timely delivery of government aims. Procurement expenditure through programmes and projects is therefore a significant, and increasing, proportion of total government expenditure. Good and effective management and control of programmes and projects is therefore essential to the successful delivery of government objectives.

What is the process?

Every OGC Gateway Review goes through a sequence of activities, as indicated in the diagram, starting with the completion of a Risk Potential Assessment (RPA) by the SRO and concluding with the delivery of the final Review Report.

Each Review takes 3-4 days, and is undertaken by a Review Team of 3-4 reviewers. A spirit of openness and a willingness to work together are essential to the achievement of a useful Review Report. The Review aims to produce candid and practical recommendations, based on Best Practice.

Overview of the OGC Gateway™ Review process

RPA – completed by SRO, sent to OGC

Assessment Meeting – agree need for Review

Identify & engage Review Team

Review Team Leader – initial contact with SRO

Planning Meeting – agree logistics for Review

Reading time by the Review Team

Review – issue draft Review Report to SRO

Get feedback and finalise Review Report

Initiating an OGC Gateway Review

The typical sequence of events is as follows:

- The SRO contacts the local Centre of Excellence (COE) or Departmental Gateway Co-ordinator (DGC) as soon as a requirement for a Review is established, and completes a Risk Potential Assessment (RPA)
- The COE/DGC sends a copy of the completed RPA to OGC
- OGC arranges an Assessment Meeting with the SRO/Project Manager to, understand the programme/project key issues and assess readiness for Review before selecting the team
- OGC requires 8 weeks in order to undertake the necessary planning and team selection
- The Review Team Leader makes initial contact with the SRO to confirm the agenda for the Planning Meeting
- A Planning Meeting is held
- Before the Planning Meeting, the Programme/Project Team will plan and undertake all the administrative aspects involved in setting up an effective Review.

Planning for an OGC Gateway™ Review

The OGC Gateway Process incorporates a Planning Meeting that takes place up to 2 weeks before the Review.

The Planning Meeting is where the Review and Programme/Project Teams meet for the first time. The outcomes of the Planning Meeting are:

- understand the Review process and agree the Code of Conduct for the Review
- share information on the current status of the programme/project
- clarify the issues that the Review Team will focus on
- confirm the documents needed
- confirm the stakeholders to be interviewed
- agree the logistics for the Review
- confirm appropriateness of the Review Team organisation and skills
- identify any problems affecting the Review, and agree remedial action.

Conducting an OGC Gateway Review

Each workbook suggests a schedule of the documentation that is likely to be useful for each Gateway Review.

The Review team establishes its findings primarily on the basis of:

- the documentation supplied by the programme/project
- interviews with key staff and stakeholders.

A schedule of interviews is confirmed at the Planning Meeting. The Review Team uses these interviews to establish the scope, stakeholders, their level of commitment, progress to date, major risks and issues.

The Review Team produces a report summarising the findings and recommendations. Ownership of the report, recommendations and actions rests with the SRO. OGC also receives copy of Review Reports for the analysis of VFM and lessons learned.