Transformational Government Framework (TGF) Pattern Language Core Patterns Version 1.0

Committee Specification Draft 01

11 August 2011

Abstract:

The **Transformational Government Framework** (TGF) is a practical "how to" standard for the design and implementation of an effective program of technology-enabled change at national, state or local government level. It describes a managed process of ICT-enabled change in the public sector, which puts the needs of citizens and businesses at the heart of that process and which achieves significant and transformational impacts on the efficiency and effectiveness of government.

The complete Framework consists of:
* The TGF Primer
* The TGF Pattern Language
* and possibly other future deliverables

The TGF Pattern Language is a formalization of the Framework that is both human-readable and machine-tractable. It provides a concise, structured and formal set of "patterns" using the so-called "Alexandrian form", where each pattern describes a core problem, a context in which the problem arises and an archetypal solution to the stated problem.

This Work Product constitutes the initial set of patterns that form the core of the TGF Pattern Language. This set may be revised and/or extended from time to time as appropriate.

Status:

This Work Product was last revised or approved by the OASIS Transformational Government Framework TC on the above date. The level of approval is also listed above. Check the "Latest version" location noted above for possible later revisions of this Work Product.

Technical Committee members should send comments on this specification to the Technical Committee's email list. Others should send comments to the Technical Committee by using the "Send A Comment" button on the Technical Committee's web page at http://www.oasis-open.org/committees/tgf/.

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1 Introduction

1.1 Terminology

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in **[RFC2119]**.

The notations and conventions used for the patterns in this document are covered in section 1.7 below.

1.2 Normative References

[RFC2119]   S. Bradner, *Key words for use in RFCs to Indicate Requirement Levels*, http://www.ietf.org/rfc/rfc2119.txt, IETF RFC 2119, March 1997.

1.3 Non-Normative References

[Alexander 1964] C. Alexander, *Notes on the Synthesis of Form*, Harvard University Press, 1964

[Alexander 1979] C. Alexander, *The Timeless Way of Building*, Oxford University Press, 1979

[Brown 2011]   P. Brown, *Introducing Pattern Languages*, http://peterfbrown.com/patternlanguages.aspx, March 2011.

[Coplien 1996]   J. O. Coplien, *Software Patterns*, Bell Laboratories, The Hillside Group 1996

[EIF]   *The European Interoperability Framework, version 2*, European Commission 2010, Annex 2 of http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:0744:FIN:EN:PDF

[OIX]   *Open Identity Exchange*, http://openidentityexchange.org/

[SFIA]   *The Skills Framework for the Information Age*, SFIA Foundation, http://www.sfia.org.uk/cgi-bin/wms.pl/932

[SOA-RAF]   *The SOA Reference Architecture Framework*, OASIS, http://www.oasis-open.org/committees/tc_home.php?wg_abbrev=soa-rm

[SOA-RM]   *The Reference Model for Service-Oriented Architecture*, OASIS, http://docs.oasis-open.org/soa-rm/v1.0/

[PMRM]   The Privacy Management Reference Model, OASIS, http://www.oasis-open.org/committees/tc_home.php?wg_abbrev=pmrm

[TGF-Primer]   *Transformational Government Framework Primer*, 17 March 2011. OASIS Committee Note Draft 01 http://docs.oasis-open.org/tgf/TGF-Primer/v1.0/TGF-Primer-v1.0.docx

The text in the remainder of this section *1 Introduction* is for information only and is neither normative nor part of the TGF Pattern Language.

1.4 The Transformational Government Framework (TGF)

Transformational Government is defined in the Framework as "A managed process of ICT-enabled change in the public sector, which puts the needs of citizens and businesses at the heart of that process and which achieves significant and transformational impacts on the efficiency and effectiveness of government." This definition deliberately avoids describing some perfect "end-state" for government. That is not the intent of the Transformational Government Framework.

Rather, the focus is on the *process* of transformation: how a government can build a new way of working which enables it rapidly and efficiently to adapt to changing citizen needs and emerging political and market priorities. Central to this process is a strong emphasis on *leadership* and *governance* as well as an active role played by *all stakeholders* in the creation, delivery and use of government services.

1.5 The TGF Pattern Language (TGF-PL)

Whereas the **[TGF-Primer]** is intended primarily as a detailed and comprehensive introduction to the Framework, the TGF Pattern Language is intended as a working reference manual and tool of the main concerns that the Framework covers. It is intended to be readable end-to-end as a piece of prose but is structured also in a way that lends itself to being quoted and used pattern by pattern and to being encapsulated in more formal, tractable, and machine-processable forms including concept maps, Topic Maps, RDF or OWL.

1.6 Pattern Languages

The idea of Pattern Languages, as a process for analyzing recurrent problems and a mechanism for capturing those problems and archetypal solutions, was first outlined by architect Christopher Alexander [Alexander 1964] and [Alexander 1979]: "The value of a Pattern Language is that remains readable and engaging whilst providing basic hooks for further machine processing… [it] is not an 'out-of-the-box' solution but rather some 'familiar' patterns with which a team can work" [Brown 2011].

Each pattern in a pattern language is expressed essentially as a three-part rule:

> The **context** in which a particular problem arises (the ex-ante condition) and in which the pattern is intended to be used;

> The 'system of forces' or **problem to be solved** and that includes the drivers, constraints and concerns that the pattern is intended to address – Alexander highlighted that this 'system' often involved conflicting forces (for example, an architect's desire confronted with a material limitation) that the pattern should seek to resolve;

> The 'configuration' or **solution**.

The exact configuration will vary from one pattern language to another but each pattern in the TGF Pattern Language will be structured as follows:

> The **name** of the pattern and a **reference number**

> An **introduction** that sets the context and, optionally, indicates how the pattern contributes to a larger pattern

> A **headline** statement that captures the essence of the problem being addressed

> The **body** of the problem being addressed as well as constraints and evidence for the pattern's validity

> The **solution** stated as an instruction or instructions – what needs to be done

> Optionally, some **completion** notes that links the pattern to related and more detailed patterns that further implement or extend the current pattern. This may also include references to **external** resources that are not part of the standard

1.7 Notation and conventions used for the Pattern Language

The patterns of the TGF Pattern Language are grouped together and organized into a series of sections, corresponding to the high-level structure of the Transformational Government Framework.

Some patterns may be used in more than one part of the overall Framework but will only be outlined completely once, when first encountered. Thereafter, reference will be made back to its original definition.

Below is an example of a pattern together with comments about the notation and conventions used.

Note: The example is **not** a pattern that is part of the TGF Pattern Language as it was drafted from an early proof of concept. It is strictly informative.

An example pattern

Pattern Number

Pattern Name

85 **[1]   *Collaborative Stakeholder Governance***

Introduction, including cross-references to other patterns defined in the pattern language

86   It is a core responsibility of the *[22] Transformational Government Leadership* and stakeholders together
87   to design and deliver a *[5] Benefit Realisation Strategy*. The *[29] Business Management Framework*
88   provides guidance on six key aspects of business management including collaboration between
89   stakeholders. Both *[21] Strategic Clarity* and *[24] Stakeholder Engagement* ensure that stakeholder views
90   are clear and understood; and effective *[38] Policy Product Management* helps ensure that they share a
91   common understanding of TG program expectations, including the *[2] Guiding Principles*.

92   ❖ ❖ ❖

Headline statement of the problem

Separator

93   **The TG program requires a process by which all key stakeholders are identified, engaged and**
94   **buy-in to the transformation program.**

The body of the problem

95   Development and delivery of an effective Transformational Government program requires engagement
96   with a very wide range of stakeholders, not only across the whole of government but also with the private
97   sector, voluntary and community sectors as well as with business and citizen users of public services. A
98   significant effort is needed to include all stakeholders in the governance of the Transformational
99   Government program at an appropriate and effective level.

100 The Collaborative Stakeholder Governance Model assists a TG program to engage successfully with
101 stakeholders and align them effectively behind shared objectives. It does this through stakeholder
102 mapping and stakeholder engagement as well as keeping an eye open to potential or required
103 cooperation with TG programs of other governments and agencies.

104 Therefore:
105 **A conformant TG program must have a Collaborative Stakeholder Gov**   its
106 **overall business management.**

The solution, stated as an instruction or instructions

107 **This model must explicitly articulate a comprehensive stakeholder map, coupled with the**
108 **structures, processes and incentives needed to deliver full understanding and buy-in to the**
109 **program, plus effective stakeholder action in support of it.**
110 **Tooling should be provided with the aim of supporting all stakeholders and facilitating their**
111 **collaboration as partners in the TG Franchise Marketplace.**

112   ❖ ❖ ❖

Separator

113 Stakeholder collaboration is further aided by a *[37] Common Terminology and Reference Model* and more
114 specifically an up-to-date mapping of stakeholders depicted in a *[63] Stakeholder Model*, and their
115 engagement through the *[74] Stakeholder Engagement Model*; in addition to a clear understanding of how
116 they form part of the TG *[58] Ecosystem* and contribute to *[75] Interoperability*. Stakeholders also play key
117 roles in the development of the *[39] Franchise Marketplace Model*.

Completion notes, including cross-references to patterns that further extend or refine the current pattern, as well as external references

2 The TGF Pattern Language

In the increasingly common situation of governments being expected to deliver better and more services for less cost whilst maintaining high-level oversight and governance, the Transformational Government Framework provides a methodology for designing and delivering an effective program of technology-enabled change at all levels of government.

The Transformational Government Framework (TGF) is made up of four high-level components that can be seen schematically below:

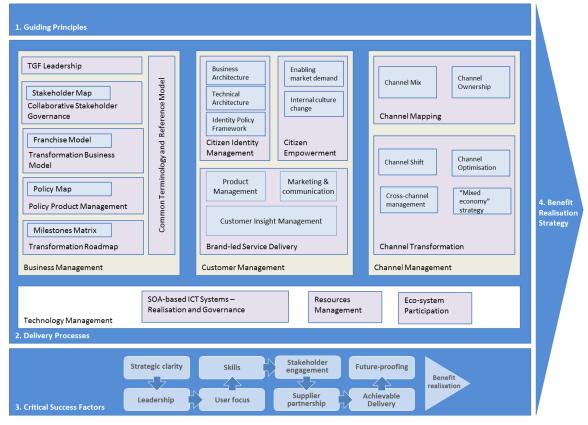*Figure 1 - The Overall Framework*

The patterns in the TGF Pattern Language mostly cover the core delivery processes, "topped and tailed" by patterns concerned with Guiding Principles and Critical Success Factors.

The Transformational Government Framework is made up of a core of 20 patterns, starting and ending with high level concerns, Guiding Principles and Critical Success Factors.

[1] Guiding Principles

A one size-fits-all approach to government transformation will not work. There are nevertheless some guiding principles which are universal and help inform the delivery of services.

<p style="text-align:center">❖ ❖ ❖</p>

A management hand on the tiller is not enough to deliver effective transformation.

"Transformational Government" is a *managed process* of ICT-enabled change in the public sector, which puts the needs of citizens and businesses at the heart of that process and which achieves significant and transformational impacts on the efficiency and effectiveness of government. However, even the most well intentioned and effectively governed program can drift off course without clear direction provided by explicit and well-publicized guiding principles.

Therefore:

Use a set of high-level guiding principles that cover as a minimum the need to:

- **Develop a detailed and segmented understanding of your citizen and business customers;**
- **Build services around customer needs, not organizational structure;**
- **Ensure citizen service transformation is done with citizens, not to them;**
- **Grow the market;**
- **Manage and measure key critical success factors.**

<p style="text-align:center">❖ ❖ ❖</p>

See also "Part II, Component 1: Guiding Principles" in **[TGF Primer]**.

Delivering these principles, in line with the Critical Success Factors, involves re-inventing every stage of the service delivery process. The Transformational Government Framework identifies four main delivery processes, each of which must be managed in a government-wide and citizen-centric way in order to deliver effective transformation. Most of the following patterns are concerned with the delivery processes and are presented in four sections :

- Section 2.1 Business Management
- Section 2.2 Customer Management
- Section 2.3 Channel Management; and
- Section 2.4 Technology Management

Patterns [2] to [19] below cover these four delivery mechanisms.

The core set of TGF patterns is completed by the key *[20] Critical Success Factors.*

2.1 Business Management

[2] *Program Leadership*

Transformation programs require strategic clarity and sustained leadership over a period of years.

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There is no "ideal" leadership structure for a transformation program. Transformational government cannot be pursued on a project-by-project or agency-specific basis but requires a whole-of-government view.

The transformational government program needs to connect up relevant activities in different agencies at different levels of government within and between countries. All program stakeholders have a common, agreed and comprehensive view of what the program is seeking to achieve.

The optimal positioning of the leadership team will depend on the context of each specific government. Key functions should be occupied by individuals with sufficient authority to command the resources and mobilize the support necessary to fulfill this mission. Effective leadership of a program requires the senior accountable leaders to have access to a mix of key skills in the leadership team which they build around them, including: strategy development skills, stakeholder engagement skills, marketing skills, commercial skills and technology management skills. It is not essential that all Ministers and senior management are committed to the transformation program from the outset. Indeed, a key feature of an effective roadmap for transformation is that it nurtures and grows support for the strategy through the implementation process. However, it is important that the program is seen not simply as a centralized or top-down initiative. Sharing leadership roles with senior colleagues across the Government organization is important.

Therefore:

Have a clear vision based on an All-of-Government view and focus on results.

Focus on taking concrete, practical steps in the short to medium term, rather than continually describing the long-term vision.

Whether a political leader or senior management, commit to the program for the long term. This is particularly relevant given the realities of changing political leadership and underlines the need for continuity across those changes.

Establish clear accountability at both the political and administrative levels of the program.

Deploy formal program management disciplines and have a clearly identified mix of leadership skills.

Engage a broad-based leadership team across the wider government.

Ensure the Program's interoperability with other services and programs through appropriate Government-to-Government cooperation.

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Establish a strong Business Case and know what outcomes you want to achieve, know where you are now and how you will measure success. These are amongst several *[20] Critical Success Factors* and which are further detailed in Part II of the **[TGF Primer]**.

[3] *Engagement with Stakeholders*

The private, voluntary and community sectors have considerable influence on citizen attitudes and behavior. These influences must be transformed into partnerships which enable the market to deliver program objectives. This requires a "map" of all stakeholders as part of overall business management.

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It is not enough to map and understand stakeholder relationships and concerns. Classic models of 'actor' and 'stakeholder' also need to be re-assessed

209 Leaders from all parts of the government organization, as well as other organizations involved in the
210 program, are motivated for the program to succeed and are engaged in clear and collaborative
211 governance mechanisms to manage any risks and issues. The development and delivery of an effective
212 Transformational Government program requires engagement with a very wide range of stakeholders, not
213 only across the whole of government but also with the private sector, voluntary and community sectors as
214 well as with business and citizen users of public services. A significant effort is needed to include all
215 stakeholders in the governance of the Transformational Government program at an appropriate and
216 effective level.

217 The generic concept of 'User' that is dominant in traditional IT stakeholder engagement models needs to
218 be replaced by a model that disambiguates and identifies the different interests and concerns that are at
219 stake as well as the key groups of stakeholders in the development of any service. By clearly separating
220 out key stakeholder groups and starting to recognize and articulate their specific concerns
221 *as stakeholders* (any individual's *role* may vary according to context), an understand can evolve of how
222 stakeholders relate (in different roles): to each other; to various administrations and services involved; to
223 policy drivers and constraints; and how these all come together in a coherent ecosystem supported by a
224 Transformational Government Framework.

225 Therefore:
226 **Put a Collaborative Stakeholder Governance Model in place that ensures that all stakeholders are**
227 **identified and engaged; and that they buy-in to the transformation program.**

228 **Create a Stakeholder Engagement Model that ensures that there are adequate Stakeholder**
229 **Engagement Structures, Stakeholder Engagement Processes and Stakeholder Incentives in place.**

230 **Have a clear understanding both of the transformational government program as well as how to**
231 **engage with it, irrespective of stakeholder role – as user, supplier, delivery partner elsewhere in**
232 **the public, private and voluntary sector, politician, the media, etc.**

233 **Develop a comprehensive stakeholder map, coupled with the structures, processes and**
234 **incentives needed to deliver full understanding and buy-in to the program, plus effective**
235 **stakeholder action in support of it.**

236 **Model the stakeholders, actors and systems that comprise the overall service ecosystem and their**
237 **relationships to each other. Maintain and update the stakeholder model on a regular basis.**

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239 There is no single, correct model for doing this successfully, but any conformant TGF program needs to
240 make sure that it defines its own Collaborative Stakeholder Engagement Model which explicitly articulates
241 all of these elements: map all stakeholders, coupled with the structures, processes and incentives needed
242 to deliver full understanding and buy-in to the program, plus effective stakeholder action in support of it.

243 Map All Stakeholders and maintain this map as part of overall business management. The development
244 of successful Customer Franchises within the *[7] Franchise Marketplace* will depend on the effectiveness
245 of collaborative governance.

246 See also "The Stakeholder Engagement Model" in Part III(a) ("Guidance on the TGF Business
247 Management Framework") of the **[TGF Primer]**

248 *[4] Common Terminology*

249 In any change program of the breadth and complexity that the TGF supports, it is vital that all
250 stakeholders have a common understanding of the key concepts involved and how they interrelate, and
251 have a common language to describe these in.

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253 **Leadership and communication both break down when stakeholders understand and use terms**
254 **and concepts in very different ways, leading to ambiguity, misunderstanding and, potentially, loss**
255 **of stakeholder engagement.**

256 Concepts do not exist in isolation. In addition to clear definitions and agreed terms, It is the broader
257 understanding of the relationships between concepts that give them fuller meaning and allow us to model

258 our world, our business activities, our stakeholders, etc. in a way that increases the chance that our digital
259 systems are an accurate reflection of our work.

260 Therefore:

261 **Ensure that all stakeholders have a clear, consistent and common understanding of the key**
262 **concepts involved in Transformational Government; how these concepts relate to each other; how**
263 **they can be formally modelled; and how such models can be leveraged and integrated into new**
264 **and existing information architectures. To this end:**

265 **Seek agreement among stakeholders to establish and maintain an agreed and shared Common**
266 **Terminology and Reference Model.**

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268 This enables any conformant agency to use a common terminology without ambiguity and be sure that
269 these terms are used consistently throughout all work.

270 A core terminology is proposed in the **[TGF Primer]** and any program should consider this as a basis for
271 their own terminology and reference model.

272 *[5] Policy Product Management*

273 In any government, "Policy Products" - that is, the written policies, frameworks and standards which
274 inform government activity - are important drivers of change.   In the context of Transformational
275 Government, the *[2] TGF Program Leadership* will use a wide set of Policy Products to help deliver the
276 program.

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278 **Traditional policy approaches for e-government have often been too narrowly focused. An**
279 **effective Transformational Government program requires a more holistic approach to policy**
280 **development.**

281 We define a "Policy Product" as: any document which has been formally adopted on a government-wide
282 basis in order to help achieve the goals of citizen service transformation. These documents vary in nature
283 (from statutory documents with legal force, through mandated policies, to informal guidance and best
284 practice) and in length (some may be very lengthy documents; others just a few paragraphs of text).

285 Over recent years, several governments have published a wide range of Policy Products as part of their
286 work on e-Government, including e-Government Visions, e-Government Strategies, e-Government
287 Interoperability Frameworks, and Enterprise Architectures. Other governments are therefore able to draw
288 on these as reference models when developing their own Policy Products. However, we believe that the
289 set of Policy Products required to ensure that a holistic, government -wide vision for transformation can
290 be delivered is much broader than is currently being addressed in most Interoperability Frameworks and
291 Enterprise Architectures.

292 This more holistic approach is captured in the matrix shown below, which MUST be used to create a map
293 of all the Policy Products needed to deliver a particular TGF program effectively. This matrix maps the
294 four delivery processes of the TGF (Business Management, Customer Management, Channel
295 Management and Technology Management) against five broad interoperability domains identified in the
296 **[EIF]** (technical, semantic, organizational, legal, and policy interoperability). While the EIF framework is
297 conceptually complete, mapping it against these core delivery processes provides a much clearer sense
298 of the actions needed.

299 Therefore:
300 **Use the following matrix to classify the Policy Products:**

Delivery Processes	Interoperability Levels				
	Political	**Legal**	**Organizational**	**Semantic**	**Technical**
Business Management					
Customer Management					

Channel Management					
Technology Management					

301 **Identify, for each and every cell in the matrix, the policy product(s) that are needed to deliver the**
302 **Transformational Program effectively. More than one policy product may be required per cell but**
303 **every cell MUST be completed.**

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305 The *[2] TGF Program Leadership* should undertake this policy gap analysis through the *[3] Collaborative*
306 *Stakeholder Model*, and then ensure that the accountability and process for developing any missing
307 Policy Products is embedded within *the [10] Roadmap for Transformation*.

308 Examples of policy products that can be found to populate the cells of the matrix can be found in 'Policy
309 Product Management' in Part III(a) of the **[TGF Primer]**.

[6] Transformational Business Model

311 There is a seeming paradox between keeping "global" oversight of all aspects of a customer's needs at
312 the same time as delivering well-targeted services which implies continual structural reorganization.

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314 **Too many government departments and agencies have overlapping but partial information about**
315 **citizens but nobody takes a lead responsibility for owning and managing that information. There**
316 **is a tendency to reorganize government structures to reflect every change in service delivery**

317 Government transformation programs typically involve a shift from silo-based delivery towards an
318 integrated, multi-channel, citizen-centric service delivery platform offering "one stop" government.
319 Developing such a service requires a clear end-to-end service definition: a comprehensive documentation
320 describing the product which will be offered to citizens.

321 Therefore:

322 **Establish a Transformational Business Model that encourages internal cultural change.**

323 **Build services around citizen and business customer needs, not organizational structure. This will**
324 **include providing people with one place to access government, built around their needs (such as**
325 **accessibility).**

326 **Do not spend money on technology before addressing organizational and business change and**
327 **do not re-invent wheels.**

328 **Build a cross-government strategy for common citizen data sets and common citizen applications**
329 **(e.g. authentication, payments, notifications).**

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331 This pattern is essential in order to enable personal data under citizen control.

332 Rather than attempting to restructure Government, "Customer franchises" MAY be built - using
333 the *[7] Franchise Marketplace* - which sit within the existing structure of government and act as change
334 agents. Multi-channel delivery of services can be provided through optimized *[17] Channel*
335 *Transformation*. Common citizen data sets can be built as shared services with personal data under
336 citizen control and managed using *[19] Technology Development and Management*.

[7] Franchise Marketplace

338 A central task of the *[2] TGF leadership* and the *[3] Collaborative Stakeholder Model* is to develop a *[6]*
339 *Transformational Business Model* which enables the machinery of government to deliver citizen-centric
340 services in practice.

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342 **It has arguably been the failure to address the need for a new business model that has been the**
343 **greatest weakness of most traditional e-Government programs.**

344 What best practices exist which governments can draw on to address this requirement in a proven and
345 low-risk way?

346 For the most part, the transition to e-Government has involved overlaying technology onto the existing
347 business model of government: a business model based around unconnected silos - in which policy-
348 making, budgets, accountability, decision-making and service delivery are all embedded within a
349 vertically-integrated delivery chain based around specific government functions. The experience of
350 governments around the world over the last two decades is that this simply does not work. Many
351 attempts have been made by governments to introduce greater cross-government coordination, but
352 largely these have been "bolted on" to the underlying business model, and hence experience only limited
353 success.

354 We recommend implementation of a business model which has been adopted successfully in
355 governments as diverse as the UK, Hong Kong, Croatia, Abu Dhabi and Australia (where it has been
356 adopted by both the South Australia and Queensland governments).   Called the "Franchise
357 Marketplace", the model permits the joining-up of services from all parts of government and external
358 stakeholders in a way that makes sense to citizens and businesses, yet without attempting to restructure
359 the participating parts of government.

360 Key features of this business model are:

361 • It puts into place a number of agile, cross-government, virtual "franchise businesses" based around
362   customer segments (such as, for example, parents, motorists, disabled people). These franchises are
363   responsible for gaining full understanding of their customers' needs so that they can deliver quickly
364   and adapt to changing requirements over time in order to deliver more customer centric services -
365   which in turn, is proven to drive higher service take-up and greater customer satisfaction.
366 • It provides a risk-averse operational structure that enables functionally-organized government
367   agencies at national, regional and local to work together in a customer-focused "Delivery
368   Community". They do this by :
369   – Enabling government to create a "virtual" delivery structure focused on customer needs
370   – Operating across the existing structure of Government (because the Customer Franchises are led
371   by one of the existing "silos") and resourced by organizations that have close links with the
372   relevant customer segment including, possibly, some outside of government
373   – Dividing the task into manageable chunks
374   – Removing a single point of failure
375   – Working to a new and precisely-defined operating model so as to ensure consistency
376   – Working across and beyond government to manage the key risks to citizen-centric service
377   delivery
378   – Acting as change agents inside Government departments / agencies.
379 • The model enables a "mixed economy" of service provision:
380   – firstly, by providing a clear market framework within which private and voluntary sector service
381   providers can repackage public sector content and services; and
382   – secondly by deploying 'Web 2.0' type approaches across government that promote re-use and
383   'mash-ups' of existing content and services, to make this simpler and cheaper at a technical level.
384 • The whole model is capable of being delivered using Cloud Computing

385 Therefore:

386 **Use the Franchise Marketplace model, building a virtual business layer of "customer franchises"**
387 **which sit inside the existing structure of government and which**

388 **a) deliver user-centric, trusted and interoperable content and transactions to citizens and**
389 **businesses; and**

390 **b) act as champions of and drivers for citizen-centric service improvement within the government.**

391   ❖ ❖ ❖

392 The Franchise Marketplace is a specific example of a *[6] Transformation Business Model* and is
393 considered as the most effective and lowest risk way of delivering the element of the *[1] TGF Guiding*

394 *Principles* which requires Transformation Programs to "Build services around customer needs, not
395 organizational structure".

[8] Skills

397 Implementing a Transformational Government program and establishing *[12] Brand-Led Service*
398 *Delivery* involves taking a holistic, market-driven approach to service design and delivery, which in turn
399 often requires new skills. Part of the responsibility of *[2] Program Leadership* is to ensure that program
400 leaders have the skills needed to drive all aspects of the program. This focus on skills has of course to be
401 part of an effective HR Management discipline.

402   ❖ ❖ ❖

403 **Governments generally lack the key skills to manage service development. Where they do exist**
404 **there is often reliability on a small number of individuals with no continuity plans in place for**
405 **when those individuals are either absent for any reason or leave the team.**

406 We know that the full range of business change, product and marketing management, program
407 management, and technology skills needed to deliver transformational change does not already exist in
408 our organization.

409 Many of the policy products required for the Transformational Government program will take us into new
410 territory and it is unlikely that we will all the skills necessary to develop these in-house.

411 Therefore:

412 **Ensure the right skills mix is available to the program, particularly in the leadership team but also**
413 **throughout the whole delivery team.**

414 **Map out the required skills together with a clear strategy for acquiring them and a continuity plan**
415 **for maintaining them.**

416 **Be prepared to buy-in or borrow the necessary skills in the short term to fill any gaps.**

417 **Ensure that the program leaders, i.e. the senior accountable leaders, have the skills needed to**
418 **drive ICT-enabled business transformation, and have access to external support.**

419 **Ensure there is skills integration and skills transfer by having effective mechanisms to maximize**
420 **value from the skills available in all parts of the delivery team, bringing together internal and**
421 **external skills into an integrated team.**

422   ❖ ❖ ❖

423 The development of a Transformation Competency Framework is a good way of producing a taxonomy of
424 the competencies required to deliver ICT-enabled transformation, which should then be underpinned by
425 tools enabling organizations to assess their competency gaps and individuals to build their own personal
426 development plans. Deployment of a formal competency framework such as **[SFIA]** can be helpful in
427 identifying and building the right skill sets. As an example see the UK's eGovernment Competency
428 Framework which is available at www.civilservice.gov.uk/my-civil-
429 service/networks/professional/it/framework.aspx .

430 See also *[5] Policy Product Management* and *[20] Critical Success Factors.*

[9] Supplier Partnership

432 Governments rely heavily on suppliers to deliver large parts of their services. These suppliers are usually
433 external organizations but they can also be other internal parts of government. The management of
434 supplier relationships needs to sit above the management of individual contracts and it is important that
435 distinction is fully understood by all parties.

436   ❖ ❖ ❖

437 **Transformational Government programs require effective, partnership-based relationships with**
438 **suppliers.**

439 Supplier partnerships should set out a formalized and robust way of managing, monitoring and
440 developing supplier performance whilst at the same time minimizing risks to the business. They focus on
441 the overall relationship with suppliers rather than the specific relationship around an individual contract.

442 Successful supplier partnerships require specific skills sets to effectively manage the relationship.
443 Attention should be given to this as part of the wider focus on ensuring the requisite skills are available to
444 the program.

445 Therefore:

446 **Select suppliers based on long-term value for money rather than price, and in particular based on**
447 **the degree of confidence that the chosen suppliers will secure delivery of the expected business**
448 **benefits.**

449 **Manage the relationship with strategic suppliers at the level of top management on both sides of**
450 **the partnership with joint responsibility for the success of the program.**

451 **Resolve issues on a regular (e.g. daily) basis rather than as part of regular schedule partnership**
452 **review meetings.**

453 **Look for pragmatic solutions to problems and opportunities for improvement within the overall**
454 **relationship without contravening any particular contract.**

455 **Ensure client/supplier integration into an effective program delivery team with shared**
456 **management information systems.**

457 **Ensure there is always a win-win situation for both sides of the partnership.**

458   ❖ ❖ ❖

459 A good example of Supplier Management Guidelines is available at:
460 www.ogc.gov.uk/contract_management_strategic_supplier_management.asp

461 See also the *[3] Engagement with Stakeholders, [7] Skills* and *[8] Franchise Marketplace*.

[10] Roadmap for Transformation

463 It is essential that the vision of the *[2] Program Leadership*, and the associated [*6] Transformation*
464 *Business Model* and process of *[5] Policy Product Management* are translated into an effective Roadmap
465 for Transformation. This should not be some all-encompassing master plan – which tends to be brittle
466 and prone to failure – but a pragmatic framework for delivering clearly identifiable results in achievable
467 stages.

468   ❖ ❖ ❖

469 **Big-bang approaches don't work**

470 Since everything can clearly not be done at once, it is vital to map out which elements of the
471 transformation program need to be started immediately, which can be done later, and in what order. The
472 "big bang" approach to implementation has been shown not to work or be effective. By its nature it is
473 heavily reliant on significant levels of simultaneous technological and organizational change. Instead, a
474 transformational government program will develop a phased delivery roadmap which balances quick wins
475 with the key steps needed to drive longer term transformation.

476 Therefore:

477 **Establish a phased Transformation Roadmap.**

478 **Work with citizens and businesses to identify a set of services which will bring quick user value.**

479 **Give priority to services which can be delivered quickly, at low cost, and low risk using standard**
480 **(rather than bespoke) solutions.**

481 **Establish systems to learn from early customer experience, to improve services in the light of**
482 **this, and then to drive higher levels of take-up.**

483 **Work with early adopters within the government organization in order to create exemplars and**
484 **internal champions and thus learn from experience and drive longer-term transformation.**

485   ❖ ❖ ❖

486 The **[TGF Primer]** gives further details of best practices for planning and delivering a Transformation
487 Roadmap. In particular, it sets out a Strategic Trade-off Model which can be helpful in guiding the focus
488 of the *[2] Program Leadership* through the course of the transformation program as it evolves. It also
489 describes the typical structure of a best practice Transformation Roadmap, covering five main phases:
490 Plan, Initiate, Deliver, Consolidate,Transform.

491 The Transformation Roadmap should be pursued with due attention to risk management, and should
492 therefore include checkpoints at key stages to allow regular, independent review of performance against
493 the *[20] Critical Success Factors*.

[11] Benefits realization

495 No program has any value if it does not or cannot deliver what has been promised. Benefits Realisation is
496 therefore a core responsibility for the *[2] Program Leadership*.

497   ❖ ❖ ❖

498 **All intended benefits need to be delivered in practice, and this will not happen without pro-active**
499 **benefits management.**

500 Many organizations often fail pro-actively to manage the downstream benefits after an individual ICT
501 project or program has been completed**.** Often, ICT programs are seen as "completed" once the technical
502 implementation is initially operational. Yet in order to reap the full projected benefits (efficiency savings,
503 customer service improvements etc.), on-going management is essential, often involving significant
504 organizational and cultural changes. The Transformational Government Framework does not seek to
505 specify in detail what benefits and impacts a Transformational Government program should seek to
506 achieve – that is a matter for each individual government. However, the TGF does set out a best practice
507 approach to benefit realization.

508 Therefore:
509 **Establish a benefits realization strategy to ensure that the intended benefits from the**
510 **Transformational Government program are delivered in practice. Build that strategy around the**
511 **three pillars of Benefit Mapping, Benefit Tracking and Benefit Delivery:**

512 • **Set out all the intended outcomes from the transformation program and be clear how the**
513   **outputs from specific activities and investments in the program flow through to deliver those**
514   **outcomes;**

515 • **Baseline current performance against the target output and outcomes, define "smart" success**
516   **criteria for future performance, and track progress against planned delivery trajectories aimed**
517   **at achieving these success criteria; and**

518 • **Ensure that governance arrangements are in place to ensure clear accountabilities for the**
519   **delivery of every intended outcome.**

520   ❖ ❖ ❖

521 See also Component 4 ("Benefits realization Strategy") of the **[TGF Primer]** for further details. The
522 benefits realization strategy should be a formal document, developed as part of the *[5] Policy Product*
523 *Management* process and in collaboration with *[3] Engagement with Stakeholders*. Benefits realization is
524 an integral part of the *[20] Critical Success Factors,* and review of progress against the benefits
525 realization strategy should be part of the checkpoint process recommended therein.

526

2.2 Customer Management

[12] Brand-Led Service Delivery

Insight into citizen and business needs helps develop a detailed and segmented understanding of citizens and businesses as customers of government services.

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A lack of focus on users often leads to duplicated and inefficient government services delivered through inappropriate channels.

Understanding user needs, and how to design and deliver services that users will engage with, is a discipline in which governments lag behind the best of the private sector.

In a brand-led company, customer insight informs all aspects of the product development process, and involves a comprehensive program of qualitative and quantitative research to understand and segment the customer base. Lessons learned from this are fed into a brand-led product management process - not as a one-off input of initial research, but through a continuous process of iterative design and customer testing. A key output from this is a set of brand values for the product or service, which then need to drive all aspects of service delivery, and marketing communications for the service. And this is all managed as an iterative process of continuous improvement, not a linear one.

This is not typically how governments manage their own service development, and governments generally lack the skills to do it. Yet if governments are to succeed in the ambition of shifting service delivery decisively away from traditional channels to lower-cost digital channels, then these marketing challenges have to be met.

Therefore:

Establish a culture of Brand-led Service Delivery across government, based around three key pillars of Customer Insight, Product Management, and Marketing and Communication:

- **Customer Insight: Don't assume to know what users of a service think. Be obsessive about understanding the needs of customers – both internal and external – on a segmented basis. Invest in developing a real-time, event-level understanding of citizen and business interactions with government.**

- **Product management: Establish a brand-led product management process covering all stages of government service design and delivery, agreed and managed at a whole-of-government level, which gives citizens access to services through a "one-stop" service available over multiple channels.**

- **Marketing and communication: Use the brand values for one-stop government to drive all aspects of marketing and communications for government services.**

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Often, governments may face significant gaps in terms of the people and skills needed to manage brand-led product development and marketing cycles of this nature, so identifying and addressing these gaps as part of the *[8] Skills* strategy is vital. It is also vitally important that the drive to brand-led service delivery is led at a whole-of-government level: the element of the *[1] Guiding Principles* which points to the need to "own the customer at the whole-of-government" level is therefore of particular significance for this pattern. The cultural change required by brand-led service delivery will be facilitated and accelerated through *[13] Citizen Empowerment.*

[13] Citizen Empowerment

Many e-Government programs have failed because the citizen is seen as simply a passive recipient of services rather than an actor in their design and delivery.

❖ ❖ ❖

Citizen Service transformation is done with citizens, not to them

573 The focus of a Transformational Government program is on citizens and businesses and not just on the
574 narrower idea of "customer" as a passive consumer. Citizens and businesses are engaged as owners of
575 and participants in the creation of public services.

576 Therefore:

577 **Engage citizens directly in service design and delivery.**

578 **Encourage and enable service innovation in the Citizen-to-Citizen, Business-to-Citizen, Citizen-to-**
579 **Government, and Business-to-Government sectors.**

580 **Give citizens the technology tools that enable them to create public value themselves and give**
581 **them ownership and control of their personal data.**

582 **Make all non-personal government data freely open for reuse and innovation by citizens and third**
583 **parties.**

584 ❖ ❖ ❖

585 *Encourage internal cultural change with the [6] Transformational Business Model* as well as through
586 *[3]* Engagement with Stakeholders by use of a *[7] Franchise Marketplace.*

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587 ## *[14] Citizen Identity Management*

588 A key element of the [1] TGF Guiding Principles is that "Citizen Service transformation is done
589 with citizens, not to them". One of the consequences of this is that an effective identity
590 management strategy needs to give citizens ownership and control of their personal data.

591 ❖ ❖ ❖

592 **Identity management is a key enabler of effective service delivery, yet something with which most**
593 **governments struggle. At the heart of that struggle is often a failure to put the citizen at the center**
594 **of government's thinking about identity.**

595 Identity is a complex, and by definition deeply personal, concept. A single citizen in fact has multiple,
596 overlapping "identities, each of which may be associated with different rights and permissions, even
597 different addresses. These identities overlap, but in some cases the citizen may want to keep them
598 separate in order to protect his or her privacy. At other times, the citizen may want them to be joined up,
599 and be frustrated at constantly having to furnish government with the same information over and over
600 again. Governments have often struggled to manage this complexity, for reasons described in **[TGF**
601 **Primer].**

602 A wide range of agencies, standards bodies and advocacy groups are deeply involved in many aspects of
603 the work needed to resolve these problems, from technical models for privacy management (such as the
604 OASIS **[PMRM])** through to the business, legal and social issues around online identity assurance (such
605 as promoted by **[OIX]**). It is not the purpose of the Transformational Government Framework to address
606 the details of identity management but rather to give high-level guidance on the main issues that a
607 conformant program should seek to address - based on a set of best practices which is emerging around
608 the world and which we believe represents a way forward for citizen service transformation, which is
609 broadly applicable across a very wide range of governments.

610 Therefore:

611 **Establish a Citizen Identity Management Framework and within this:**

612 – **Have a business architecture based on federation between a wide range of trusted**
613 **organizations (the Government, banks, employers etc.), and a clear model for cross-trust**
614 **between these organizations;**

615 – **Use a supporting technology architecture which does not rely on monolithic and**
616 **potentially vulnerable large databases but which, in line with the SOA paradigm, uses**
617 **Internet-based gateway services to act as a broker between the different databases and IT**
618 **systems of participants in the federated trust model;**

619 – **Place citizens themselves directly in control of their own data, able to manage their own**
620 **relationship with government – whether on their own behalf as citizens or in another**

621   **identity relationship or intermediated role – and with clearly visible controls to reassure**
622   **them that this is the case.**

623   ❖ ❖ ❖

624 Further details about this Citizen-Centric Identity Management approach are described in **[TGF Primer]**.
625 No one Government has implemented all features of this approach, but all are being successfully
626 deployed around the world, and together they represent our view of the approach to identity management
627 which will best help deliver Transformational Government. This pattern is important in order to deliver
628 integrated, citizen-centric services as part of a *[6] Transformational Business Model* and the *[7] Franchise*
629 *Marketplace*, as well as to enable the citizen-led service innovation envisaged by *[13] Citizen*
630 *Empowerment*. At a technology level, the approach is underpinned by the SOA-based *[19] Technology*
631 *Development and Management*.

632

2.3 Channel Management

[15] Channel Management Framework

Government services to citizens and businesses are delivered through a wide range of channels. One of the core aims of a Transformational Government program is to ensure that these channels are managed in the most cost-effective way at a whole-of-government level, and meet the needs of citizens.

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Delivery of services needs to be citizen-centric, with services accessible through both a "one-stop" service and through a wide range of private and voluntary sector intermediaries. The one-stop service should be offered over multiple channels, but with clear policies to shift service users into lower-cost digital channels (including a digital inclusion strategy to enable take-up of digital services by those segments of the population currently unable or unwilling to use them).

Channel management is often a weak spot in government service delivery, with widespread duplication, inefficiency and lack of user-focus. Experience has shown the common pitfalls to include:

- Managing new, digital channels as "bolt-ons", with business and technical architectures which are entirely separate from traditional face-to-face or paper-based channels
- No common view of citizen service across multiple channels
- Operational practices, unit costs and service standards for many channels which fall well below standards set for those channels in the private sector
- A reliance on government-owned channels, with insufficient understanding of how to partner with private and voluntary sector organizations who have existing trusted channels to government customers
- Unproductive and costly competition among service delivery channels

Transformational Government programs seek to avoid these pitfalls, by building a channel management approach centered on the needs and behavior of citizens and businesses.

Therefore:

Establish a Channel Management Framework, which includes:

- **a clear audit of what existing channels are currently used to deliver government services, and the costs and service levels associated with these ('Channel Mapping'); and**
- **the vision and roadmap for developing a new channel management approach centered on the needs and behavior of citizens and businesses ('Channel Transformation').**

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This pattern helps deliver integrated, citizen-centric services as part of a *[6] Transformation Business Model* and the *[8] Franchise Marketplace*, as well as to enable the service innovation envisaged by *[13] Citizen Empowerment*.

It is extended by two further patterns, *[16] Channel Mapping* and *[17] Channel Transformation Strategy*.

[16] Channel Mapping

A vital first step in developing a *[15] Channel Management* Framework is to carry out a mapping of existing delivery channels across government, and to put a cost to each transaction delivered through these channels based on standard industry assumptions.

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Government service delivery organizations often do not have a clear and quantified understanding of which channels their customers use, what the average and marginal costs of delivery through these channels is, or how service levels and customer satisfaction vary by channel.

677 When government organizations carry out a full channel mapping for the first time, a common finding is
678 that much customer contact between governments and citizens/businesses is:

679 • unnecessary - because the user is struggling to find the right place to get the service they need,
680   resulting in multiple contacts before their need is finally resolved

681 • hidden and un-costed - because only some of these customer contacts are caught by existing
682   management information systems. The rest are just lost within the broader operational structure and
683   budget of the organization.

684 And when channel mapping is undertaken at the whole-of-government level, it typically highlights
685 significant duplication across government (for example: having multiple high-street locations in the same
686 town serving different government departments or agencies; thousands of contact telephone numbers;
687 hundreds or even thousands of web-sites). There is significant scope for delivering both cost savings and
688 service improvements by joining government services together through channels managed on a shared
689 basis, and through channels managed by private and voluntary sector intermediaries.

690 Therefore:
691 **Establish a clear map of customer interactions by channel, and the true costs of these, in order to**
692 **provide essential data in both building the business case for service transformation, and in**
693 **highlighting priority areas for reform.**

694 **Take a holistic approach to understanding the range of channels through which government**
695 **services are and could be delivered, including both "Channel Mix" (that is, the physical type of**
696 **channel being used, including face-to-face, mail, e-mail, Internet and telephone) and also the**
697 **variety of "Channel Ownership" options which are available (including service delivery through**
698 **private and voluntary sector channels).**

699   ❖ ❖ ❖

700 This pattern is needed to inform development of a *[17] Channel Transformation* Strategy.   Further details
701 on how to set about Channel Mapping can be found in Part III(c) of the **[TGF Primer]**.

[17] Channel Transformation

703 The *[15] Channel Management Framework* requires a TGF program not only to undertake *[16] Channel*
704 *Mapping* of existing channel usage and channel costs, but also to develop a Channel Transformation
705 Strategy which sets out the vision and roadmap for developing a new channel management approach
706 centered around the needs and behavior of citizens and businesses.

707   ❖ ❖ ❖

708 **Government can learn a lot from the best of private sector approaches to channel management,**
709 **but also needs to recognize unique challenges and opportunities which apply to channel**
710 **management in the public sector.**

711 Once a full *[16] Channel Mapping* has captured the current channel mix and cost base, it is important to
712 map out a strategy for the future desired channel mix, and the future customer experience over different
713 channels.   Successful private-sector businesses tend to be more effective at this than government. They
714 understand that each channel opens up different ways to create value for customers, so they differentiate
715 services across channels. They also take a hard-nosed approach to channel management, with
716 customers being encouraged to use the channels that are most efficient from a business point of view.
717 They also realize that channel shift is a complicated process, which needs planning over a multi-year
718 period.

719 Transformational Government programs adopt a similar approach, setting out clear strategies for channel
720 transformation. Typically though they recognize two distinct differences between the public and private
721 sector:

722 • First, government has an obligation to provide services on a universal basis, so is not able to pick and
723   choose which customers it will engage with through different channels. "Directed choice" towards
724   cheaper channels is therefore the strategy selected for most citizen-facing services (although a
725   number of governments are increasingly looking to make Internet-only services the norm for
726   businesses).

727   •   Second, in terms of the online channel, government is in a unique position compared with any other
728   online service provider. Whereas an online bank or retailer is limited by the size of the online
729   population in the market, a government can take action significantly to increase that online
730   population. "Digital inclusion" policies, aimed at increasing the proportion of citizens who have access
731   to and confidence in using online channels, are therefore an important part of government channel
732   strategies which would not normally be seen in their private-sector counterparts.

733 In addressing these issues, it is important to recognize that government service delivery cannot be
734 divorced from what is happening in the broader market: the expectations of citizens and businesses are
735 shaped by their experiences of other services. Demand for e-services across society will continue to grow
736 while other market players (in the private, voluntary and community sectors) will have a significant
737 influence on citizen attitudes and behavior.

738 Therefore:

739 **Develop a Channel Transformation Strategy and within this:**

740   •   **Shift users where possible to lower cost digital channels - including through digital inclusion**
741   **policies which build access to and demand for e-services in those segments of the population**
742   **which face barriers to their use;**
743   •   **Optimize the cost and performance of each channel, using public and private sector**
744   **benchmarks to drive improvement;**
745   •   **Improve cross-channel management, by building channel support services around a common,**
746   **web-based infrastructure in order both to improve customer service and reduce costs;**
747   •   **Facilitate development of a thriving mixed economy delivery of services;**
748   •   **Build partnerships which enable the market and others to work with the government to deliver**
749   **jointly-owned objectives.**

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751 The Channel Transformation Strategy must be informed by *[16] Channel Mapping*, and must address how
752 to shift users into lower-cost channels while maintaining and reinforcing *[13] Citizen Empowerment*. The
753 mixed economy of delivery of government services is developed with private and voluntary sector
754 intermediaries and SHOULD be addressed using the [8] Franchise Marketplace pattern. A significant
755 effort is needed to include all stakeholders in the governance of the Transformational Government
756 program at an appropriate and effective level: see *[3] Engagement with Stakeholders*. The key
757 milestones and accountabilities for delivery of the Channel Transformation Strategy should be embedded
758 within the *[10] Roadmap for Transformation*.

759

2.4 Technology Management

[18] Resources Management

All too often, technology resources are seen as a means to an end, artifacts that are used to accomplish a particular problem at hand and thus something transient to be disposed of at the end of a particular cycle. As systems become more complex and organizations mature, resource re-use becomes ever more important and prevalent.

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Technology resources need to be managed as much as any other resource.

Technology resources are increasingly re-used beyond the scope of their original intended use. This is to be encouraged. However, in order to be re-used effectively, resources need to be identified and managed by explicitly designated owners and also be identifiable across ownership domains.

The ability to identify a resource is important in system interactions, in order to determine such things as rights and authorizations, as well as to understand what functions are being performed; what the results mean. Within large-scale, SOA ecosystems, interactions take place across ownership boundaries and the combination of interactions can be unpredictable. Identifiers provide the means for all resources important to a given SOA system to be unambiguously identifiable at any moment and in any interaction.

Establishing resource identity and subsequently managing those resources and their identities thus become an important part technology management.

Therefore:

Manage information and ICT system resources as distinct, valued assets

Manage issues related to the Identification, ownership, stewardship and usage policies for each asset type.

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Section 3.1.3 of the **[SOA-RAF]** looks at the issue of resources and how they should be identified and managed.

[19] Technology Development and Management

Technological change is more rapid than organizational change and yet governments often find themselves locked-in to particular technology solutions.

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Governments need to protect themselves against the downside of technology evolution and maintain governance of ICT development and deployment

Transformational Government needs a strategic IT platform to guarantee future agility as business and customer priorities change. Such a platform cannot afford to be locked-in to specific technologies or solutions that prevent or limit such agility.

Therefore:

Concentrate technology resources and efforts around leveraging open standards and SOA Principles so as to ensure development and deployment agility, and support all customer interactions, from face-to-face interactions by frontline staff to online self-service interactions.

Use the Reference Model for Service-Oriented Architecture [SOA-RM] as the primary source for core concepts and definitions of the SOA paradigm. Have a clear understanding of the goals, motivations and requirements that any SOA-based system is intended to address. Identify boundaries of ownership of all components in any SOA ecosystem.

Realize discrete services that can perform work on behalf of other parties. Use common building blocks that can be re-used to enable flexible and adaptive use of technology to react quickly to changing customer needs and demands. Have clear service descriptions and contracts for any capability that is offered for use by another party.

806 **Manage key ICT building blocks as government-wide resources and make them available as**
807 **shared services - in particular common data sets (e.g. name, address); common citizen**
808 **applications (e.g. authentication, payments, notifications); and core ICT infrastructure.**

809 **Wherever possible prefer interoperable, open standards, particularly when well supported in the**
810 **market-place.**

811 **Pay due attention to the total cost of ownership and operation of technology and consider the**
812 **possible value of open source when making technology choices.**

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814 This pattern should be seen in conjunction with the *[10] Roadmap for Transformation.*

815 The **[EIF]** has a useful definition of "open" in 5.1.1 "Specifications, openness and reuse".

816

[20] Critical Success Factors

817

818 There is now an increasing body of research which seeks to understand why some ICT-enabled
819 transformation programs succeed and why others fail. Effective risk management is part of the solution
820 but consideration of a range of success factors is needed for the delivery processes covered in the
821 patterns above.

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823 **Programs and projects which seek to deliver Transformational Government face significant risks**
824 **to successful delivery. Clarity and insight into the consequences of transformation are needed.**

825 It is unrealistic to expect to get everything right first time and moving forward will be a process of
826 continuous improvement. Systems are needed which allow the government organization to understand
827 the current position, to plan, to move quickly, and to learn from experience.

828 These risks are not related to the technology itself – which is largely mature and proven – but rather to
829 business and cultural changes. Such changes are needed within government to deliver the business
830 management, customer management and channel management transformations required as part of a
831 Transformational Government program. A conformant program needs to keep track of a core set of critical
832 success factors throughout the lifetime of the program.

833 Therefore:

834 **Manage and measure a clearly defined set of Critical Success Factors.**

835 **Seek regular, independent review of performance against those critical success factors.**

836 **Have mechanisms in place to assess risk and handle monitoring, recovery and roll-back.**

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838 The **[TGF Primer]** recommends nine core Critical Success Factors:

839   – Strategic Clarity
840   – Leadership
841   – User Focus
842   – Stakeholder Engagement
843   – Skills
844   – Supplier Partnership
845   – Future-Proofing
846   – Achievable Delivery and
847   – Benefits realization

848 *[11] Benefits realization* is used to measure the level of success in achieving *[20] Critical Success*
849 *Factors*.

850 See "Part II, Component 2: Critical Success Factors" in **[TGF Primer]** for further details.

3 Conformance

The following conformance statements indicate to what extent each of the patterns above are used in a transformational government program.

All conformant Transformational Government programs:

1. **MUST** use the *[1] Guiding Principles*;

2. **MUST have** *[2] Program Leadership* including**:**
   - Clear accountability at both the political and administrative levels;
   - Deployment of formal program management disciplines;
   - A clearly identified mix of leadership skills;
   - Engagement of a broad-based leadership team across the wider government.

3. **MUST** demonstrate *[3] Engagement with Stakeholders***;**

4. **MUST** agree and use a *[4] Common Terminology*;

5. **SHOULD** create a Policy Product Map (using the matrix as a tool to help identify the Policy Products required) within the relevant government as outlined in *[5] Policy Product* Management;

6. **MUST** have a *[6] Transformational Business Model*;

7. **SHOULD** use the *[7] Franchise Marketplace* model;

8. **MUST** address *[8]* Skills issues;

9. **MUST** establish a *[9] Supplier Partnership*.

10. **MUST** have a *[10] Roadmap for Transformation*;

11. **MUST** have a *[11] Benefits realization* strategy which addresses the areas of benefit mapping, benefit tracking and benefit delivery;

12. **MUST** have a *[12] Brand-Led Service Delivery* Strategy, which is agreed and managed at a whole-of-government level and which addresses:
    - Customer Insight
    - Product Management
    - Marketing and communication;

13. **MUST** have a *[13] Citizen Empowerment* framework, which encourages and enables service innovation in the Citizen-to-Citizen, Business-to-Citizen, Citizen-to-Government, and Business-to-Government sectors;

14. **MUST** have a *[14] Citizen Identity Management* framework, which:
    - Uses a federated business model;
    - Uses a service-oriented architecture (as part of the wider SOA described in the TGF Technology Management Framework);
    - Is citizen-centric, giving citizens control, choice and transparency over personal data;

15. **MUST** have a *[15] Channel Management Framework*;

16. **MUST** include *[16] Channel Mapping*;
17. **MUST address** *[17] Channel Transformation*;

888   **18. MUST** provide *[18] Resources Management*;

889   **19. MUST address** *[19] Technology Development and Management*;

890   **20. MUST** measure and manage *[20] Critical Success Factors* and **SHOULD** consider using at a
891   minimum the specific critical success factors outlined in the **[TGF Primer]**.

A. Acknowledgments

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911 # B. Revision History

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Revision	Date	Editor	Changes Made
01-incomplete	2011-05-17	Peter F Brown	Initial Draft – incomplete
02-complete	2011-06-13	Peter F Brown	Complete draft – first full (draft) set of patterns
03-incomplete	2011-07-05	Peter F Brown	Incorporates comments, edits from TC members
03-incomplete	2011-07-11	Peter F Brown	Update of missing patterns and revisions of text so far. Two patterns, [4] and [18], still missing
03-complete (This document)	2011-07-13	Peter F Brown	Completed draft. Ready for submission as Committee Specification Draft
03-complete	2011-07-18	Peter F Brown	Minor typos corrected
03-complete	2011-07-20	Peter F Brown	Typos and minor textual amendments proposed by Nig Greenaway
04	2011-08-03	Peter F Brown	Amendment to conformance clause 9 modified as per TC vote on 21 July 2011 Acknowledgments section completed

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