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POST OFFICE

Project Initiation Document (PID)

for the

Programme Delivery Authority (PDA)

Version 1
Date of Issue 13/11/96

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PROGRAMME INITIATION DOCUMENT FOR THE PROGRAMME DELIVERY AUTHORITY

		Signature	Date
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Status:	To be issued to the PDA Board for approval.		

* Note: Ownership & Responsibility for this PID has now been passed to the Processes Team

VERSION HISTORY

Version	Date	Change Details
Draft 1		
Draft 2	25/06/96	
Draft 3	4/7/96	Not issued.
Draft 4	7/11/96	Major changes are to make the document clearer and more readable by reducing the overall size, removing repeats and using references to baseline documents where appropriate.
Version 1	13/11/96	Quality Reviewed version of Draft 4. For PDA Board approval.

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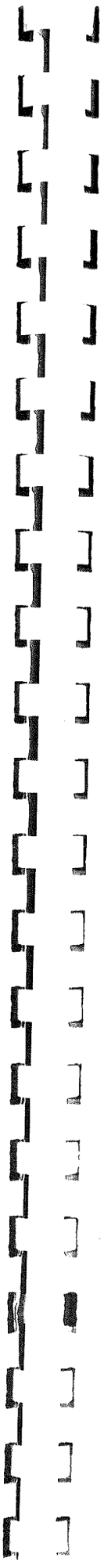

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1. INTRODUCTION

1.1. Purpose of this PID

1.1.1. At the Programme Board meeting of 13th May 1996 the Board mandated that PRINCE (PRojects IN a Controlled Environment) was to be adopted as the Programme Delivery Authority's (PDA) project management standard. An initiation document is a fundamental element of the PRINCE methodology. It is therefore a prerequisite to any deployment of the methodology.

1.1.2. The Programme Initiation Document (PID) provides a baseline statement reflecting at a high level the :

- background, scope and boundaries of the PDA;
- aims and objectives of the PDA;
- high level deliverables (products);
- descriptions of key PDA roles with associated areas of responsibility;
- statements of the management structures and Programme operational model.

1.1.3. In essence a PID provides high level management direction to enable detailed development of day to day working practices.

1.2. Background

1.2.1. In August 1993 a joint Benefits Agency (BA) and Post Office Counters Ltd (POCL) Development Group was established to explore alternatives to the current system of order books and girocheques for paying Social Security benefits through post office outlets. Senior management in BA and POCL and the Secretaries of State for DSS and DTI accepted the recommendation for a card based system, and it was subsequently decided to pursue the project under the Government's Private Finance Initiative (PFI).

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1.2.2. The procurement process, managed by a joint BA/POCL Programme, began in August 1994 with the placement of a notice in the Official Journal of the European Community (OJEC). This was followed by:

- the issue of the Statement of Service Requirements (SSR) in March 1996;
- the evaluation of the responses to the SSR that produced a shortlist of three suppliers;
- a full evaluation process which led to the award of contracts for "Information Technology Services Agreement for Bringing Technology to Post Offices and Benefit Payments" by the Department of Social Security (DSS) and POCL to ICL Pathway on 15 May 1996.

1.2.3. In parallel with the PFI procurement, BA has been developing a number of systems as part of its Customer Accounting and Payments Strategy (CAPS) which forms a key part of the DSS's overall IS/IT strategy. Version 1 of CAPS is being developed to support, among other things, the introduction of card payments.

1.2.4. Following the award of the PFI contract, it was necessary to move rapidly from a procurement programme into an implementation programme. To this end, the PDA was established to achieve successful implementation and to liaise with ICL Pathway and other linked systems e.g. CAPS and Transaction Information Processing (TIP) in order to ensure that essential dependencies are recognised and delivered to the required timescales.

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2. PROGRAMME DEFINITION

2.1. Programme Objectives

Overall Objectives.

2.1.1. The PDA has a number of joint high level objectives. The overall service objectives are:

- to deliver a fraud-free method of paying benefits at post offices;
- to develop a system that meets recognised accountancy practices;
- for automation to provide greater commercial opportunities enabling POCL to improve competitiveness and increase efficiency;
- to provide an improved level of service to all customers.

2.1.2. In addition to the above there are a number of objectives specific to each partner, these are:

Benefits Agency Objectives

- to modernise benefit payments - the present system has been in place for some 40 years and is becoming increasingly unsatisfactory;
- to deliver a more secure system - tackling fraud and abuse is a high priority to cut down a large proportion of the £150 million lost in this way each year;
- to provide an efficient customer service which is acceptable and understood;
- to phase out order books and girocheques;
- to provide a more cost effective method of payment - the present paper-based methods of payment are comparatively expensive. The cost of order books, girocheques, printing, postage and staff time spent handling them adds up to considerably more than electronic transfer of funds;
- to provide full accounting and reconciliation facilities.

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Post Office Objectives

- to enable new business - new technology that can be applied in other areas will be of benefit to both the organisation and customers alike;
- to exploit the opportunities to achieve the businesses number one strategic priority of automation of all offices;
- to achieve a long term relationship with their largest client - BA;
- to cut down on paperwork and back office processing;
- to provide an improved service to customers.

2.2. Programme Purpose

2.2.1. The PDA will be in place until the conclusion of post office infrastructure and benefit payment card roll-out, although its role will be reviewed in the light of progress on implementation at the end of 1997.

2.2.2. Its mission will be to ensure the development, delivery, implementation and rollout of all the products and services needed to achieve the currently defined joint objectives of the Programme and so to assist BA and POCL achieve the business benefits defined in each organisation's business case.

2.2.3. The PDA will take the scope of the Programme as being that set by the Joint Objectives and the Sponsors' business cases.

2.2.4. The PDA will be responsible for facilitating and integrating the activities necessary for the implementation of an overall business solution which meets the User Requirements which have been specified by Sponsors in the BA/POCL Requirements Catalogue (see Appendix A).

2.2.5. The contracts with ICL Pathway, although owned by the Sponsors, will be administered from within the PDA for the duration of the implementation phase. The Sponsors may second relevant experts to PDA to help with this if they wish (not least to ensure continuity at the end of the implementation phase), but if so they will come under functional line management of the PDA. The PDA will not be a legal entity and its contract management and administration will be performed on behalf of the BA Accounting Officer and the POCL Managing Director.

2.2.6. The PDA will develop and own the PDA Master Plan and have the authority to make any changes to it that may be necessary to maximise business benefits or minimise the negative effects of deviations from plan or external events. Any changes can only be made after consultation with affected parties in the Sponsor organisations. Following the endorsement of the Plan by the Steering Committee the PDA will arrange delivery of the Plan by commissioning deliverables from ICL Pathway, from Sponsor organisations, from other projects (such as CAPS and TIP) and internally to agreed cost, quality, specification and delivery date. The PDA will track progress

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against the PDA Master Plan and Quality Assure it for, and progress of, the production of deliverables. The PDA will also control dependencies and manage the linkages between different deliverable groups.

2.2.7. The PDA will manage the End-to-end Design Authority which will own and control the specifications and service levels on the various service boundaries, including those with CAPS and TIP and (at a technical and operational level) other POCL clients' systems. It will specify the requirements for, organise and commission the production of, and approve, relevant business processes, data migration policies and management and service information. Within the overall Programme objectives it will determine trade-offs between customer acceptability and security of the card scheme, consulting with Chief Executives and Ministers where necessary.

2.2.8. The PDA will ensure that all ongoing responsibilities are identified as the Programme develops and that plans are established for their transfer to "Business as Usual" owners in the sponsor organisations when the activities of the PDA are due to terminate.

2.2.9. The PDA will have overall responsibility for the design and development of the benefit payment scheme end-to-end, and will by specification and approval ensure the alignment, consistency and security of all business processes involved. The PDA will establish and operate the Security Authority during the development, implementation and rollout period.

2.2.10. The PDA will have an oversight of all the relevant costs and savings lines. There will be an overall provision for Departure From Estimate (DFE), both for implementation costs themselves and for steady state costs. The PDA will control the DFE provision, allocating it as appropriate to maximise achievement.

2.2.11. The PDA will have overall authority on behalf of the Chief Executives of the BA and Social Security Agency (SSA), and the Managing Director of POCL to:

- manage the resolution of conflicting requirements, including timetable and escalation management;
- ensure sufficient quantity and quality of resources are available;
- determine Programme priorities and resolve conflicts of demands for resources;
- accept deliverables from the Supplier on behalf of BA and POCL and accept deliverables from Sponsors and from related projects (e.g. CAPS and TIP);
- agree variations to Supplier solutions, within the bounds of the requirements and the business cases;
- provide a change control mechanism;
- ensure that all parties meet their responsibilities within the Programme, including Sponsor actions;

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- ensure that the Programme gains maximum value for money from ICL Pathway;
- manage the relationship with ICL Pathway in the development and implementation of the User Requirements (but not the Business Partnership relationship with POCL, which will be handled directly with POCL Markets Directors);
- promote a constructive and business-like relationship among all the parties involved in the Programme;
- ensure that Sponsors are managing the realisation of business benefits;
- monitor the performance of ICL Pathway during the rollout period;
- escalate issues for resolution by the BA and SSA Chief Executives and the POCL Managing Director;
- align plans and report progress against them to the BA and SSA Chief Executives and POCL Managing Director.

2.2.12. The PDA will have overall management of communications about the Programme, both internally, with customers, and with other interested parties (e.g. Members of Parliament and Special Interest Groups).

2.2.13. By the end of the Programme the PDA will deliver to the Sponsors (the timing of handover for each item to be reviewed at the end of 1997):

- a (tri-partite) steady state Security Authority;
- a steady state Design Authority;
- a stable set of contracts and contract management arrangements for the Sponsors to carry forward as they see fit (which may or may not include a continuing co-ordinating role in contract management);
- testing facilities and procedures to carry through future changes to their systems;
- service level monitoring group or groups, to be agreed with the Sponsors;
- documentation, procedures and change control processes to allow the steady-state management of the end-to-end service.

2.3. Dependencies and Risks

2.3.1. The major dependencies between parties are identified as Key Deliverables and Intermediate Milestones in Appendices B and C of the PDA Master Plan.

2.3.2. Risks and their current status are held by the Planning and Performance Team.

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3. PROGRAMME ORGANISATION

3.1. The Approach

3.1.1. To support the delivery and direct assurance phase of the Programme the PDA will adopt a matrix management approach aligned to a PRINCE2 organisational structure. This enables the PDA to be viewed from two directions, a functional model and an operational model (see the diagram overleaf PDAORG1).

3.1.2. The functional model structures the PDA on formal reporting lines to facilitate effective line management. The diagram shows examples of strands of activity led by the PMT members or strand managers, and the reporting line to team leaders and thus on to team members.

3.1.3. The operational model is geared more towards the co-ordination of product delivery and acceptance. PDAORG1 shows the links between Stage Managers, the PMT and the management matrix.

3.1.4. The other key roles of the Programme Steering Committee (PSC), the PDA Board, the Programme Director, the PDA Management Team (PMT) and the Programme Assurance Team are described in more detail in this section.

3.1.5. Detailed information on the working principles of this organisational model are held by the PDA's Processes Team. Impacts on individuals and their responsibilities will be captured within the individuals job descriptions.

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PRINCE2 Organisation Structure Overlaid to PDA

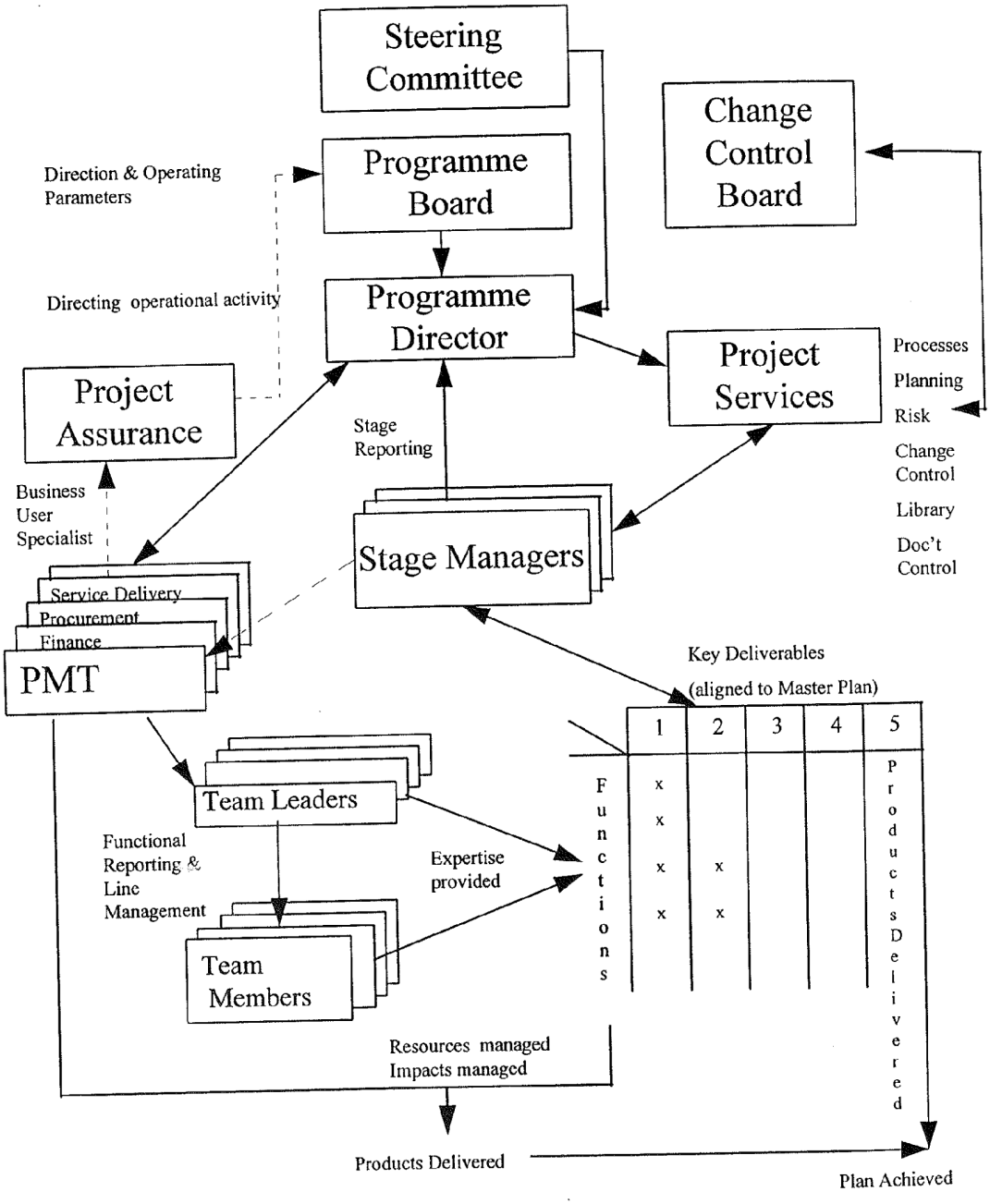

Diagram : PDAORG1

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3.2. Programme Steering Committee

3.2.1. The PSC steers the strategic decision making process. It is primarily responsible for the provision of direction and guidance to the Programme and it has ultimate authority to monitor, review and ensure the successful completion of the Programme.

3.2.2. The PSC sets and may change the business boundaries, the scope of the Programme , the strategic milestones and the constraints within which they are to be progressed. It monitors overall progress and resource usage in meeting the targets embodied in the PDA Master Plan.

3.2.3. In circumstances where the overall strategy, its milestones or justification are threatened, or when changes in policy appear to be necessary a PSC decision or endorsement would be required.

3.2.4. Its main outputs can be summarised as follows:

- agreed business aims and objectives;
- endorsement of overall Programme plans;
- commitment of top management to resourcing;
- approval to proceed beyond major milestones;
- guidance on communications strategies and plans;
- agreed changes to business boundaries.

Membership

Stuart Sweetman	Managing Director, POCL
Peter Mathison	Chief Executive, BA
Alec Wylie	Chief Executive, SSA (NI)
Keith Todd	Chief Executive, ICL (by invitation)

The following PDA Board members will normally attend:

Peter Crahan	PDA Programme Director
George McCorkell	Project Director, BA
John Bennett	Managing Director, ICL Pathway
Paul Rich	Development Director, POCL

Secretariat provided by the PDA

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Meeting Style and Frequency

- the meetings are event driven by scheduled dates of major milestones, but should be at least three monthly;
- a written report is issued from the Programme every month, except in the case of major issues when extra reports may be produced;
- the secretary issues papers one week before meetings. Minutes are distributed after clearance;
- standard agenda items include a review of financial performance, progress against the PDA Master Plan and communications issues.

3.3. PDA Board

3.3.1. The PDA Board exists to manage the performance review process and ensure the co-ordinated delivery of the Programme to its timetable, budget and objectives. It also assists the PDA by resolving conflicts and supporting the Programme externally. Its main purposes can be summarised as follows:

- to check and approve the PID against Programme scope and boundary and business objectives, and to authorise commitment of Programme resources;
- to authorise Programme initiation;
- to ensure that changes to contracts, plans and procedures are strictly documented, authorised and monitored;
- to review and approve Programme plans;
- to review and approve action on exceptions;
- to agree the definition and authorise the start of each stage, or recommend termination of the Programme;
- to sign off each completed stage;
- to provide overall guidance and direction to the Programme;
- to ensure that the Programme is conducted to the agreed Programme management standard;
- to ensure and facilitate the allocation of sufficient human and financial resources to the PDA;
- to ensure accountability for the PDA's resource expenditure;
- to act as a decision making forum.

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Membership

Alec Wylie	SSA(NI) Chair
George McCorkell	Project Director, BA
Paul Rich	Development Director, POCL
Peter Crahan	PDA Programme Director
John Bennett	Managing Director, ICL Pathway
Terry Austin	Programme Director, ICL Pathway
Bruce McNiven	PDA Programme Deputy Director

PMT members may also attend by invitation

Meeting Style and Frequency

- the PDA Board will be event driven but should meet at least monthly;
- secretariat support will be provided by the PDA.

3.4. Programme Director

3.4.1. Responsibilities and authorities include the development and ownership of the PDA Master Plan, the arranging of delivery of that plan by the specification and commissioning of deliverables, tracking progress against it and managing dependencies and linkages.

3.5. PMT

3.5.1. The team exists to manage the operation of the Programme. It achieves this by:

- defining the organisational structure and allocation of tasks;
- reviewing progress on key areas of the Programme and ensuring co-ordinated action to address any deviation from plans or standards;
- ensuring the cost-effective use of resources;
- ensuring the Programme standards and values are implemented consistently;
- ensuring that where the personnel policies of the two business differ, issues of concern to staff are identified and resolved.

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Membership:

Peter Crahan	PDA Programme Director
Keith Downer	Head of Planning, Organisation, Processes and People Management
Pat Kelsey	Head of Procurement
Pat Dugdale	Head of Communications and Card Scheme
Gael Stewart	Head of Implementation
Bruce McNiven	PDA Programme Deputy Director and Head of Operations
Stuart Riley	Head of Finance

Meeting Style and Frequency

- an agenda and relevant papers are circulated in advance and include an informal session to deal with urgent or recent issues;
- the secretary co-ordinates papers and takes the minutes;
- the PMT will meet every two weeks;
- each agenda item states the purpose, desired outcome, process to be followed and approximate time required to complete the item.

3.6. The Six PDA Strands

3.6.1. Role descriptions for each strand manager (PMT manager) are described more fully in "PDA Roles and Responsibilities" (see Appendix A) and individuals responsibilities will be captured within the their job descriptions.

Planning, Organisation, Processes & People Management

3.6.2. This strand will be responsible for the PDA's internal processes and administration. This will include responsibility for ensuring that the organisational structure of the PDA conforms to the Programme Director's specifications.

3.6.3. This area will construct, administer and implement the PDA's plans, management reports, human resources, detailed organisational structure, Programme control processes/mechanisms and manage the facilities.

3.6.4. The primary responsibility is to ensure that the short and longer term resourcing requirements of the PDA are met, that its organisation can deliver the Programme to

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plan and schedule and that the performance of the PDA is measurable against its objectives.

Implementation Management

3.6.5. This strand is responsible for ensuring that an automated infrastructure is delivered to POCL and that benefit payments are converted to a card system, on time and in a controlled and cost effective manner.

3.6.6. It will incorporate the management of product design and assurance (including security), the management of integration and business testing, and the development of robust migration and release plans. The design and assurance activities must ensure that security and fraud prevention mechanisms are effective.

3.6.7. The primary responsibility is to ensure that products and services are developed and tested to meet the acceptance criteria defined in ICL Pathways Acceptance Specifications, that they are integrated with existing systems and that their installation is co-ordinated effectively to maximise benefit and minimise disruption to ongoing business.

Operations Management

3.6.8. This strand will work with ICL Pathway and the Information Technology Services Agency (ITSA) to define the operations architecture for the service and ensure that the roll-out and subsequent operations are aligned in terms of processes with the sponsor organisations requirements. This area will incorporate the monitoring of PFI supplier service provision and the migration of POCL's systems e.g. (TIP).

3.6.9. It has a primary responsibility to monitor all services provided to ensure commitments are fulfilled, standards are maintained, service issues are resolved and security and fraud prevention mechanisms are effective. The component parts of this area will be designed so that responsibility for operations can be transferred to the Sponsor organisations at a future date.

Procurement Management

3.6.10. This strand will administer contract changes, provide advice on contractual interpretation issues and oversee any new procurements. It will also act as the interface with ICL Pathway for agreeing authorities' responsibilities and resolving any issues arising from their performance.

3.6.11. It has a primary responsibility for ensuring that there is an effective on-going relationship with ICL Pathway and that legal and contractual obligations are met.

Finance Management

3.6.12. This strand will manage the PDA's finances, the commercial business cases for BA and POCL and maintain the financial evaluation model. It will also act as an interface between the PDA and the sponsor finance sections.

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Communication and Card Scheme Management

3.6.13. This strand will manage and co-ordinate the dissemination of internal and external communications. It will also produce an end-to-end business model for benefit card payments and administration of card policy.

3.7. Programme Assurance Team

3.7.1. The PAT is responsible for providing expert help and advice to the PDA Board and supplying an independent monitoring function. Some of the areas it may contribute to are:

- the PDA Master Plan and Stage Plans;
- impact analysis;
- quality control;
- technical standards;
- user areas;
- costings.

3.8. Stage Managers

3.8.1. The Stage Manager role has progressed from that of the Step 1 Manager on the Initial Go-Live project. These managers will be responsible for the development of cross functional plans that are subordinate to the PDA Master Plan. These subordinate plans will identify a cross section of products, deliverables and functional outputs that need to be produced to ensure the successful completion of a strategic milestone or a defined point in time that enables the future achievement of a strategic milestone.

3.9. Internal Communications

3.9.1. Effective internal communications are critical for the success of the Programme and this will have a direct bearing on the morale of Programme personnel. The communications team need to be kept abreast of internal and external changes that may affect Programme personnel to enable them to speedily convey information. 3.9.1. A summary of the key information and mechanisms for internal communication is set out overleaf:

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Information	Vehicle	Frequency
• Status and progress of the Programme	Team meetings	Monthly minimum
	Newsletter	Monthly
	Programme briefings	Quarterly
• Issues/events in sponsor organisations impacting Programme	Team meetings	Monthly minimum
	Newsletter	Monthly
	Programme briefings	Quarterly
	Direct communication from Programme Director, PMT or communication team	As occur
• Extraordinary events or issues	Direct communications from Programme Director, PMT or communications team	As occur
	Communication cascaded via team leaders	As occur
• Changes in reporting lines or structure	PMT, Bulletin via communication team	Within two days of management approval of change
• Staff changes	Newsletter	Monthly
• Issues/events in sponsor organisations	Programme briefing	Monthly

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3.10. External Interfaces

3.10.1. The primary external interfaces are between the PDA and the following:

- CAPS;
- TIP and POCL Reference Data Project;
- the POCL Farnborough Centre
- ICL Pathway - for the delivery of the service as specified in the contract;
- Sponsors - BA, SSA, POCL

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4. DEFINITION OF KEY PRODUCTS FROM EACH PDA FUNCTIONAL AREA

4.1. The ownership of products within the PDA is summarised in the diagrams below. Products, their descriptions and the relevant ownership can be found in the "Product Description Catalogue" see Appendix A. These product descriptions detail the title of the product, its purpose, composition, form or format, derivation, external dependencies, quality criteria and quality measurement method.

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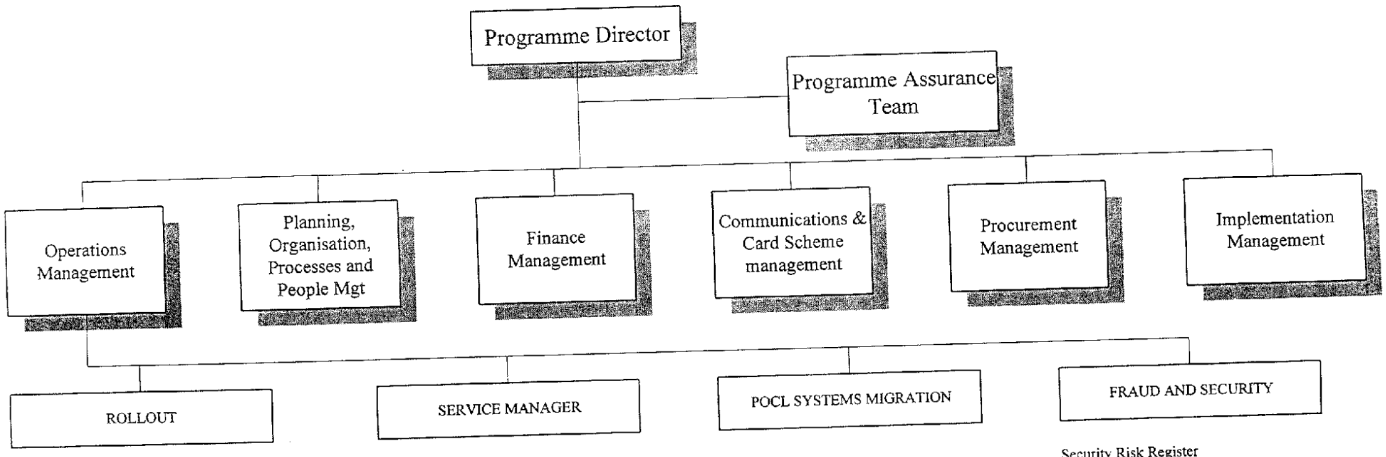
PDA Key Products by Functional Area



ROLLOUT

BA/POCL Rollout Planning
BA Organisational Impact
BA/POCL Rollout Management
BA District/Local Implementation Planning
BA Training
BA Compliant Office
POCL Training
POCL User Procedures Manual
POCL Installation
Live Trial
POCL Regional Awareness/Support
Helpdesk

SERVICE MANAGER

Service Performance Measure definitions
SLA Monitoring Framework
Steady State Service Management
Live Trial Service Management
Service Performance Management for IGL
Escalation Process
Monitoring Performance Structure
Agreed Service Levels
Definition of Transaction Times
Process to deliver information to Business Case
Review Process with Sponsors
Review process with ICL Pathway
Matric of Service Levels
Management of Reference Data

POCL SYSTEMS MIGRATION

POCL Systems Migration Strategy
POCL Contingency Plan
Release Specific Migration Plan
POCL Systems Migration Team Plans
POCL Systems Migration Team Purpose

FRAUD AND SECURITY

Security Risk Register
Security Requirements Baseline Position
Security Analysis Model (SAM)
Security Test Strategy
Best Practice Model (BPM)
Assurance Delivery Process
Provision of Security Expertise
Security Requirement Assurance
Fraud Risk Management System
Business Security Impact Analysis
Review and Development of Business Automation Processes
Security Infrastrucutre
Security Assurance

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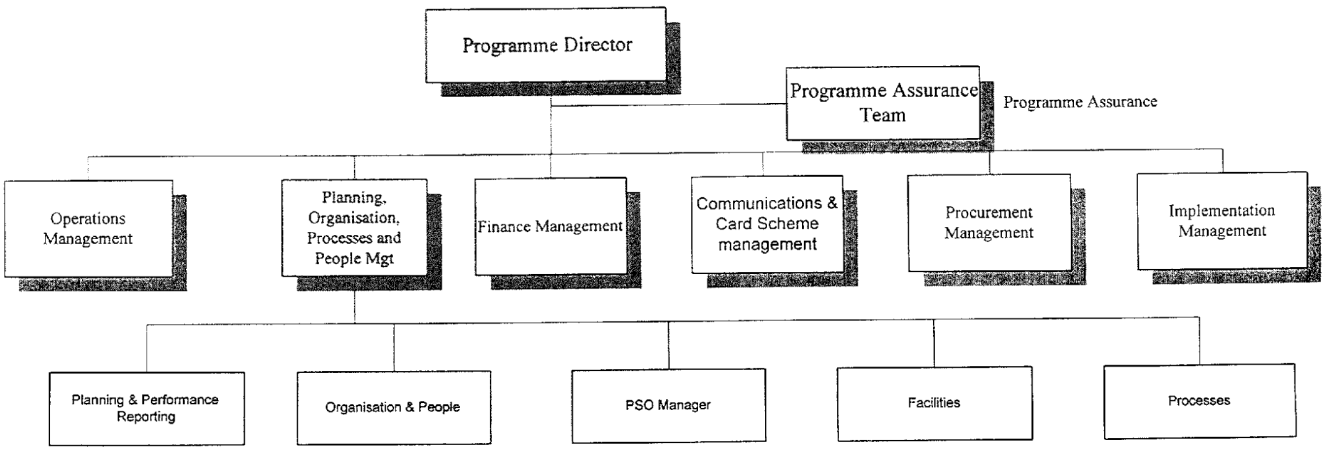
PDA Key Products by Functional Area



PDA Monthly Report
Project Plans
Deliverable Catalogue
Key Performance Indicator Report
Risk Register
Authorities Responsibilities

Staffing List
Human Resources Projections Report
Organisation Chart
Role Descriptions
Staff Training and Development Schedule
Staff Appraisal Schedule and Appropriate Mid Term Review

Change Control Procedures
Change Control Working Paper
Change Control Management Process
Document Availability Update
PDA Library & Document Control Process
PDA Integrated Database
Issues Management

Facilities Contract Management
IT Support Management
Management of Programme Health & Safety Issues
Management of Facilities/IT Support Communications
Miscellaneous Facilities
Disaster Plan Guardian
Emergency & Health & Safety Procedures
Building & Security Services
Office Support Services

PRINCE2 - Controls and Techniques and Implementation
PDA Process - Definitions Mapping and Monitoring
Programme Assurance process definition
Product Catalogue and associated process management

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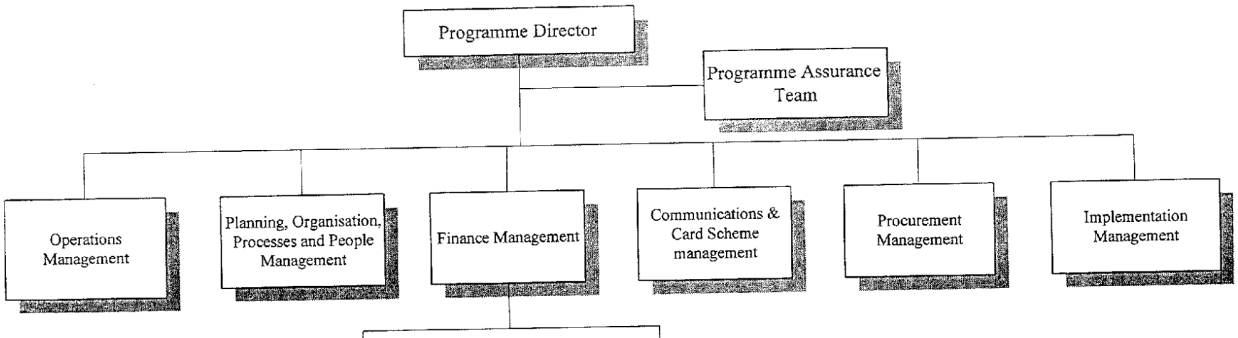
PDA Key Products by Functional Area



PROGRAMME FINANCE MANAGER

POCL Financial KPI Report
Public Expenditure Survey
Finance Report to PMT
50:50(BA:POCL) split in joint cost areas
BA Security monthly report
Finance Report to PSC
Programme costs update
Financial Accounting adjustments
Annual MaPEC Case
POCL Monthly Budget Report
Submission to OPB Budget Process
Financial Control Document
Submission to Business Planning
Value for Money audit
Production of Reconciled data
Goods and services procured
contracts monitored
Programme Expenditure Database

BUSINESS CASE MANAGER

Commercial Financial Issues Log
Financial MIS Requirements
Supplier Charges Model
Invoicing Process odel
Service Level Cost/Benefit Model
PO and Benefits Rollout Model
Workload Volumes Compendium
Release Strategy
Pilot Financial Evaluation Report
Financial impact analysis of change requests

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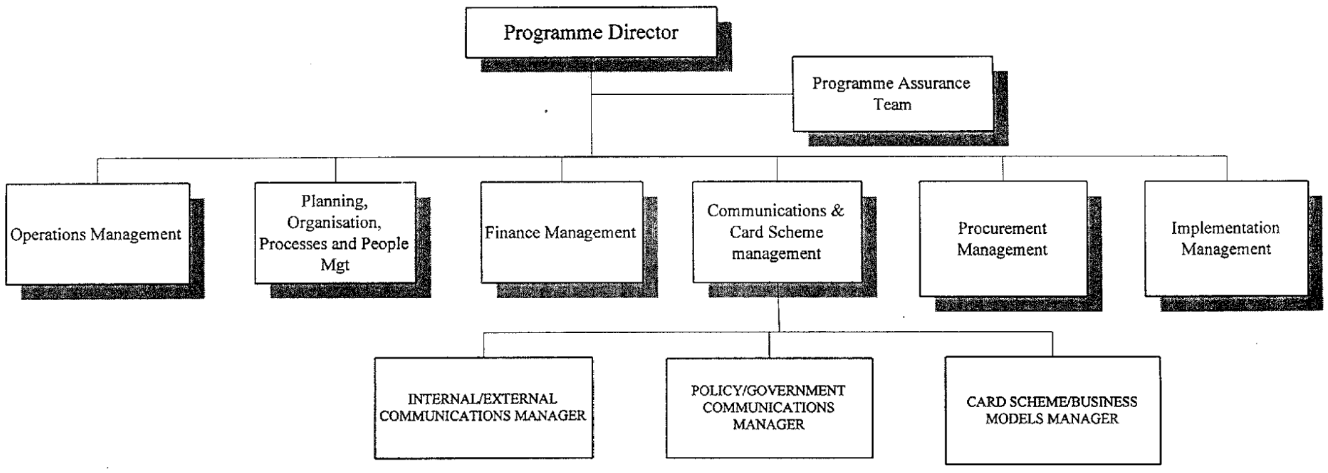
PDA Key Products by Functional Area



Internal Information
External Information
Corporate Identity Policy

Briefing, Speeches, Speaking notes for parliamentary debate
Responses to Parliamentary questions
Ministerial correspondence and treat official correspondence
Submissions to Ministers

Consolidated end-to-end Business Model
Payment Card Policy
Payment Card end-to-end Contingency Plan
POCL Business Strategy Report
Payment Card Technical Specification

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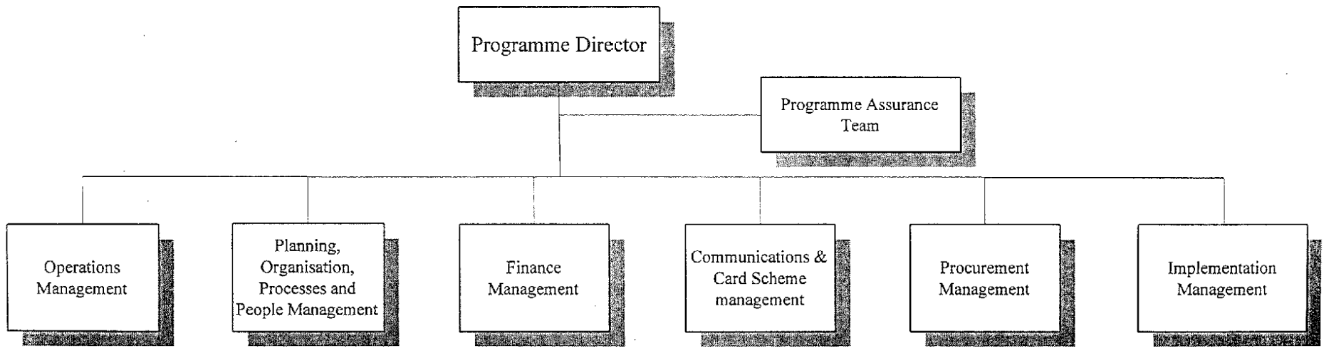
PDA Key Products by Functional Area



Contract Version 6
Contract amendment log
Procurement Team Management
Signed contract with ICL Pathway Version 5.0
Contract Version 6.0 plus + subsequent versions

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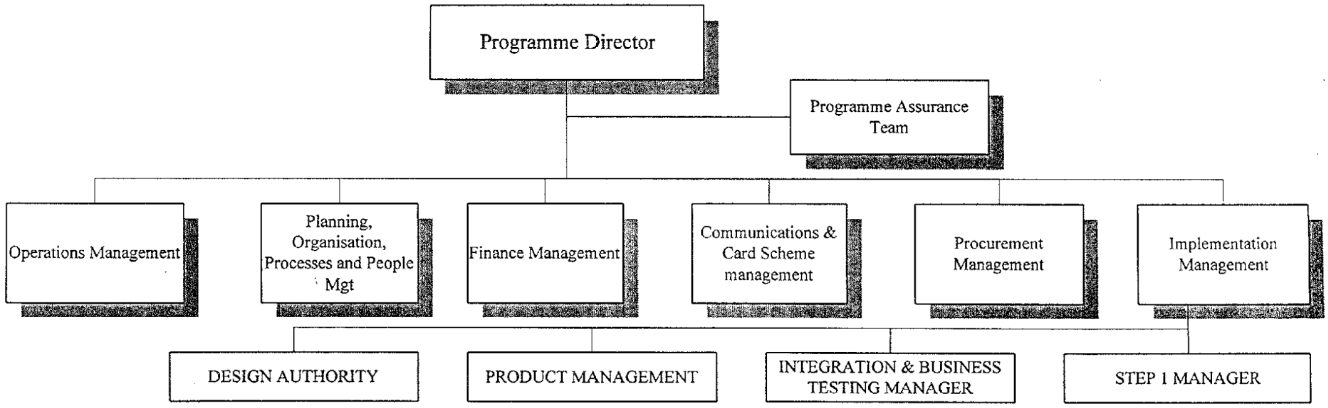
PDA Key Products by Functional Area



Design Blueprints
Design Standards
Architecture Assurance Strategy
Approved updates (Technical)

Release Plan
Development direction for Technical Products
Quality Review of Technical Products
Development Direction for Process and Procedure description
Impact of Changes

Testing Strategy
Testing Procedures
Team Testing Plan - PDA
Integrated Testing Plans
Test Systems Sign-off Document
Acceptance Test Process

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5. PROGRAMME PLANS AND PROGRESS REPORTING ARRANGEMENTS

5.1. Programme Plans

5.1.1. A strategic plan (the PDA Master Plan see Appendix A for details) has been produced by the Planning & Performance Reporting Team and was endorsed by the PDA board on 9 October 1996.

5.1.2. The plan has been structured with three principles in mind.

5.1.3. The first is that the work (and the thirty three strategic milestones identified for the delivery of the plan) divide into the eight groups set out below:

(a) Group A - IGL which summarises the intermediate milestones and activities leading to the IGL strategic milestones (A1 and A2).

(b) Group B - Pilot which summarises the intermediate milestones and activities leading to the Pilot strategic milestones (B1 and B2).

(c) Group C - Mainland post office (PO) roll-out which summarises the roll-out of automation into offices; this is not (strictly) dependent on product development (C1-C99).

(d) Group D - NI PO and SSA benefit roll-out which summarises the roll-out of automation into NI POs (D1-D99). In NI all offices are automated when the products are delivered and the migration taken place over the period shown. Milestones D4, D7 and D8 replicate the milestones E4, E6 and E7 respectively, as they denote when these benefits become available within Northern Ireland.

(e) Group E - BA benefit roll-out which summarises the delivery of BA benefits with the key intermediate milestones, when defined (E1-E99).

(f) Group F - POCL developments which covers the POCL AP migration and settlement projects. (F1).

(g) Group G - ICL Pathway releases which sets out the operational dates for ICL Pathway releases 1 to 4 (G1-G4).

(h) Group H - PDA Programme support which summarises the PDA support activities (which will have sub-ordinate plans) leading to the 'Programme complete' strategic milestone (H99) when all benefits can be paid electronically and all POCL current products are re-engineered, as appropriate.

5.1.4. The second is that each activity on the PDA Master Plan shall be the responsibility of a single person and be supported by a sub-ordinate plan (or plans). This will form the process for ongoing management review and reporting.

5.1.5. The third is that for activities on the plan of more than three months duration, the imminent intermediate milestones will be included for reporting purposes.

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5.1.6. The PDA Master Plan is a dynamic document and will be subject to regular review and update (consistent with agreed change control procedures) to reflect the integrated commitments of all parties to deliver the Programme.

5.2. Progress Reporting Arrangements

5.2.1. The PDA Monthly Review and Reporting Process document outlines the PDA formal monthly review and reporting process. These reviews will be corporate reviews and will form the basis of the official control process on the Programme.

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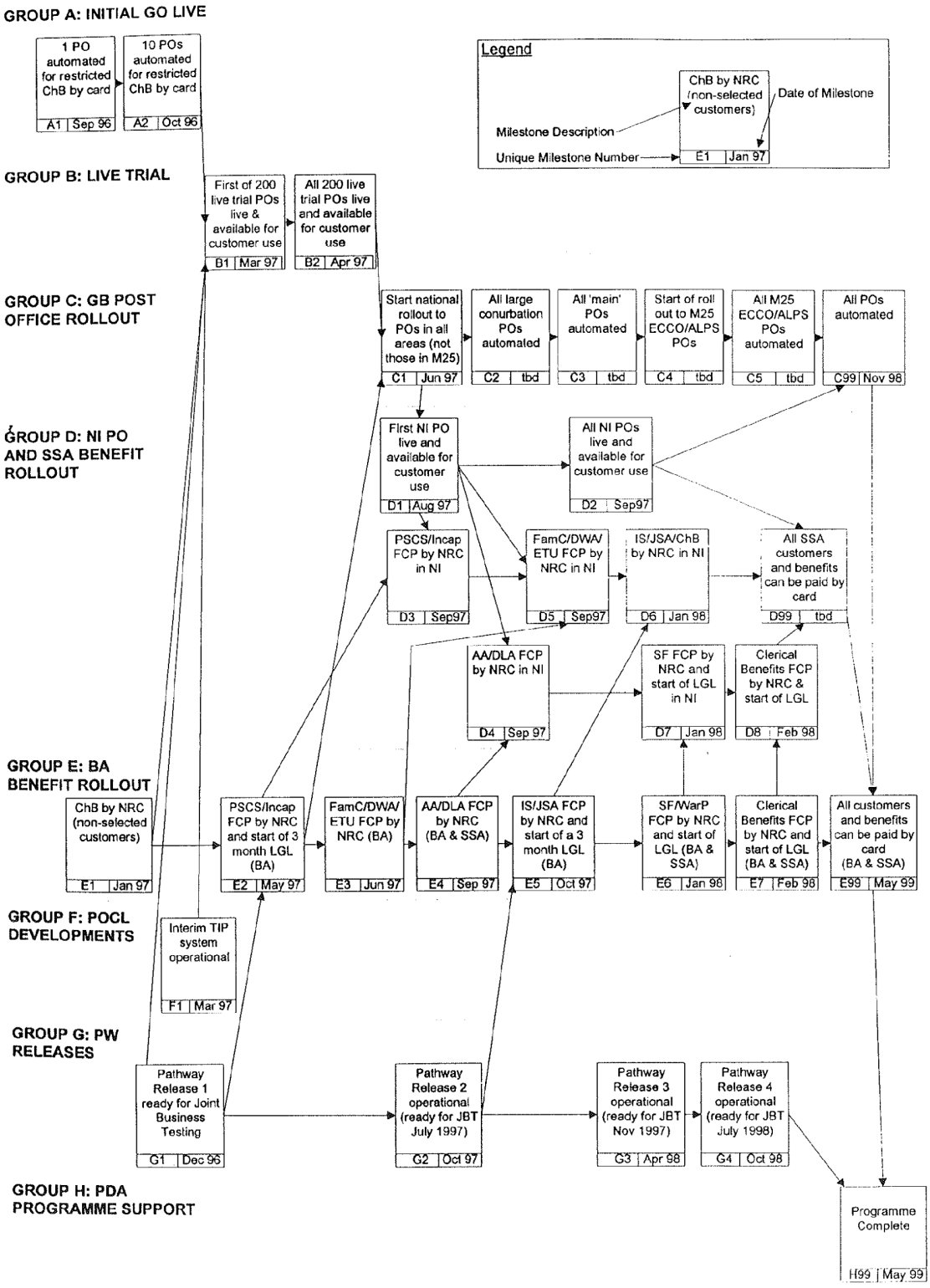
Strategic Milestones - Extract from PDA Master Plan Version 2 : 11/10/96



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6. PRINCE PRODUCT ASSURANCE

6.1. Introduction

6.1.1. The PRINCE Management Manual describes the controls and the means by which quality can be planned and then assured throughout a project or programme of work. This section of the PID provides a high level summary of how these procedures should be applied in the development of PDA products. Details of the Quality Review Process within the PDA are contained in a separate document (see Appendix A). Product Assurance is concerned with ensuring that the required quality criteria are built into a product during its development. It involves the examination and review of products produced by the Programme and is realised by two main procedures, Quality Review and, in system products, testing.

6.2. Products

6.2.1. Quality controls are directed at products. They ensure that products conform to a pre-defined set of criteria and have been produced to agreed standards. In general terms, each end-product in the PDA Master Plan will have a product description which details:

- the products purpose;
- its composition;
- the product derivation and any external dependencies;
- the quality criteria that must be met; and
- how the criteria will be measured.

6.2.2. A product is not complete until it has been submitted for Quality Review, and the review team has confirmed that it meets the specification and quality criteria.

6.3. Criteria

6.3.1. The range and priority of quality criteria may be difficult to establish but it is important that they address the main business, user and specialist interests in determining the acceptance of products. To be effective, the criteria must be measurable and should include items such as timescale, cost, functionality, performance, user friendliness and ease of maintenance.

6.4. Quality Review

What Is It?

6.4.1. A procedure whereby a product is checked against an agreed set of quality criteria.

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What are the Basic Principles?

6.4.2. A well structured Quality Review process should possess the following:

- an organised approach with clear instructions;
- unambiguous and objective quality criteria;
- clearly defined roles;
- a "Team Approach".

Objectives

6.4.3. The objectives are:

- to assure that a product meets business, user and specialist requirements;
- assessing the conformity of a product against set criteria;
- providing a platform for product improvement;
- involving all who have a vested interest in the product;
- sharing ownership of the product;
- obtaining commitment from all with a vested interest;
- providing a mechanism for management control.

Roles and Responsibilities

6.4.4. These are set out in the paper "Quality Review Process and Principles within the PDA". The following roles are described:

- Product Author;
- Product Co-ordinator;
- Domain Assurance Person;
- Programme Assurance Team;
- Library Support Service;
- Review Chairman;
- Reviewers;
- Scribe.

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Timescale

6.4.5. A Quality Review is in three parts - the preparation, the review meeting itself and the follow up. The paper referred to in the paragraph above allows for informal reviews of products, but the basic three parts described above remain the same.

Further Information

6.4.6. The Quality Review process within the PDA is described in a paper of that name, which is held in the library.

6.5. Implementation of PRINCE in the PDA

6.5.1. It has been agreed that a PRINCE2 framework, that is by its nature, non-bureaucratic, should be implemented within the PDA. An expeditious implementation approach is to be adopted. The objective of this approach is to train key players in PRINCE skills and have the requisite processes and product ownership responsibilities in place by the end of February 1997.

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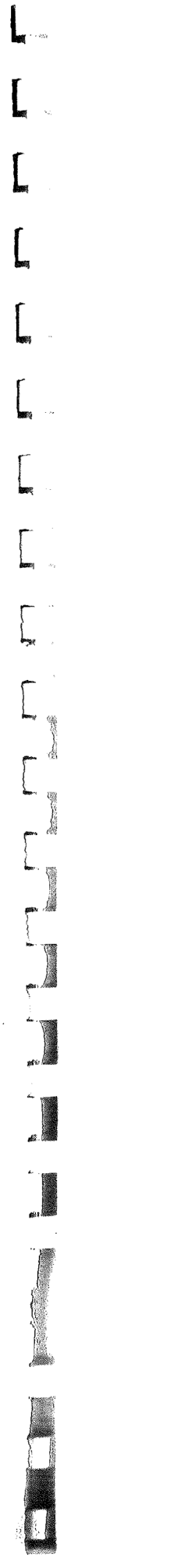

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7. RISKS, MANAGEMENT OF CHANGE & AUTHORITIES' RESPONSIBILITIES

7.1. Key Business Risks

7.1.1. Under the terms of the Government's PFI the major element of risk for the delivery of the Programme is vested with the service provider - ICL Pathway - and this is reflected in the contractual arrangements signed between ICL Pathway, the DSS and POCL. However, the Programme is complex, and is dependent on the delivery of a number of feeder projects (the CAPS programme within the DSS and the TIP and Reference Data projects within POCL), and the timely fulfilment of Authorities' Responsibilities, as well as on the delivery of contracted services by ICL Pathway.

7.1.2. Risk analysis within the PDA needs to identify and quantify the exposure of the Programme to:

- failure by the service provider to deliver systems, functionality and procedures to the agreed scope, timescale or quality;
- failure by feeder projects to deliver interfacing systems, functionality and procedures to the agreed timescale or quality;
- failure by the Contracting Authorities to deliver contractual responsibilities to the agreed timescales or quality;
- external factors which would inhibit the achievement of the Programme's objectives.

7.1.3. Risk management within the PDA will provide the following functions:

- prioritise risks according to their materiality and urgency;
- identify which risks need to be actively managed and set the responsibility for their management;
- identify countermeasures to reduce or eliminate the risk and conduct impact analysis on the available options;
- agree the appropriate options and, as necessary, incorporate them into Programme plans;
- monitor and update the risk assessment and suitability of countermeasures at appropriate intervals;

7.1.4. The risk management process is controlled and co-ordinated by the Planning & Performance Reporting Manager, who is also responsible for the maintenance of the Programme risk register.

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7.2. Management Of Change

7.2.1. It is recognised that the effective management of change will be of critical importance in this Programme.

7.2.2. Prior to the Award of Contract a mechanism for escalating significant changes was agreed to by the sponsors and the bidders and this is known as the Charterhouse Mechanism.

7.2.3. Subsequent to the award of contract the PDA has undertaken work to determine the Change Control Process for changes to the contract and baseline documents. This process has been documented in "Change Control Procedures" (see Appendix A) and a Change Controller has been appointed.

7.2.4. Other changes that only impact the PDA will be managed within the PRINCE methodology management processes. These are described within the CCTA PRINCE reference material. Adherence to these processes will ensure the production of an audit trail for small scale changes.

7.3. Authorities' Responsibilities

7.3.1. Contracting Authorities' Responsibilities (CARs) are deliverables required of the Contracting Authorities (BA, SSA & POCL) by ICL Pathway. At the time of writing there were approximately 1,500 CARs, over 600 of which were contractually specified by ICL Pathway. Failure by the PDA to ensure a CAR is fulfilled could put the Contracting Authorities in breach of contract.

7.3.2. CARs have been allocated to controlling officers in the PDA and delivery officers in both the PDA and the Contracting Authorities. The PDA is now brokering the agreement of a definitive list of product deliverables and timescales with ICL Pathway and the Contracting Authorities.

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8. BUSINESS CASES AND FINANCIAL MANAGEMENT

8.1. The BA/SSA business case has now been completed and Her Majesty's Treasury (HMT) approval has been given. An annual review of the business case will be carried out and a Post Implementation Review will be completed within a year of the completion of the Programme. The SSA is currently in the process of completing its own separate business case for the approval of the Department of Finance and Personnel in Northern Ireland.

8.2. The POCL business case has now received financial approval from the Major Project Expenditure Committee (MAPEC) and the Post Office Board.

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APPENDIX A - GLOSSARY AND RELATED DOCUMENTS

The following abbreviations are used in this document:

AP	Automated Payments
BA	Benefits Agency
CAPS	Customer Accounting and Payments Strategy
CAR	Contracting Authorities Responsibilities
DFE	Departure From Estimate
DSS	Department of Social Security
DTI	Department of Trade and Industry
HMT	Her Majesty's Treasury
IGL	Initial Go-Live
ITSA	Information Technology Services Agency
MAPEC	Major Project Expenditure Committee
NI	Northern Ireland
PDA	Programme Delivery Authority
PFI	Private Finance Initiative
PID	Programme Initiation Document
PO	Post Offices
POCL	Post Office Counters Limited
PRINCE	PRojects IN Controlled Environments
PSC	Programme Steering Committee
QA	Quality Assurance
SSA	Social Security Agency
SSR	Statement of Service Requirements
TIP	Transaction Information Processing

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RELATED DOCUMENTS

The following documents are referred to in this paper, and may be obtained from the PDA Library:

Document Name	Author	Date	Version	Notes
BA/POCL Requirements Catalogue	PDA	15/05/96	5.0	
Change Control Working Paper - Introducing Change Control	Bernard Jenkins	23/9/96		
PDA Master Plan	Dick Brazear	11/10/96	2	
PDA Roles and Responsibilities	PDA	25/06/96	Draft 2	Originated from Appendix B in PID Draft 2
Product Description Catalogue	Processes Team	14/10/96	N/A	Access Database
Product Description Catalogue - Signed Copies	Processes Team	5/11/96	On going	
Project Initiation Document for the PDA	PDA	25/6/96	Second Draft	
Quality Assurance - Key Actions	Trevor Nash	18/10/96	1-0	
Quality Assurance - Principles and Process	Trevor Nash	1/11/96	Draft C	
Quality Review Process within the PDA	Trevor Nash	4/11/96	Draft B	