

**PROVE  
PLAN**



**Horizon Improvements  
Programme**

**CHANGE  
EXCELLENCE  
FRAMEWORK**



# Innovate, Prove, Deliver: **Prove Plan**

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*Advice on completing this template can be found [here](#).*

## 1. NAME AND SPONSORSHIP

<b>Initiative Name</b>
Horizon Improvements Programme
<b>Business Sponsor</b>
Jeff Smyth

## 2. VALUE STATEMENT

There have been major historical failings in the Horizon system which significantly impacted Postmasters and these failings are now the subject of a public enquiry. As a result, postmasters currently have extremely low confidence and trust in the Horizon system and in POL as a whole. The purpose of this programme is to address the issues, improve the Horizon user experience and Postmaster service, by re-establishing a level of trust and confidence in Horizon – specifically with regards to platform security, data integrity and supplier management.

## 3. POTENTIAL IMPACT ON POSTMASTERS

*Please describe both the positive and negative potential impact on Postmasters regarding such things as remuneration, costs, footfall, changes to services from POL, etc*

Historically the failings in the Horizon system have led to prosecutions and convictions of Postmasters for offences such as theft and false accounting.

The changes detailed below fall into 3 main areas and are all targeted at improving Postmaster trust, confidence and user experience.

**Address the past:** Implement changes required to address HIJ findings and to provide a greater level of assurance over Horizon management.

**Deal with the present:** Fix the foundations. Improve the management of Horizon and adjacent infrastructure, better engaging with Postmasters.

**Prepare for the future:** Improve Horizon service levels and prepare for the evolution of the platform.



# Innovate, Prove, Deliver: **Prove Plan**

An extract from the Programme Case for Change, highlighting the positive impact of the programme on Postmasters, is below:

## POSTMASTERS



### BETTER USER EXPERIENCE AND PRODUCTIVITY

- Horizon interface is updated to address pain points
- Easier to navigate and a reduction in user errors
- Less time spent on navigating 'workarounds' and more time spent on serving customers



### VISIBILITY OF DATA AND MI TO SUPPORT SELF-DIAGNOSIS

- Postmasters will feel better supported and equipped to self-diagnose sources of discrepancies through the provision of appropriate information and MI
- Postmaster to resolve issues rather than raise a dispute.



### IMPROVED TRUST THAT WE ARE DOING THE RIGHT THING



- Our processes and tooling is improved, allowing us to better serve Postmasters and regain their confidence in Horizon.
- Postmasters are involved in the decision making process and are consulted on key changes.
- We co-ordinate the changes we push to Horizon, informed by a better understanding of the impact on Postmasters.



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### 4. INVESTMENT

TYPE	ITEM	FULL COST ESTIMATE	IMMEDIATE REQUEST
CapEx		£ 0	£ 0
Exceptional		£ 0	£ 0
OpEx		£ 0	£ 0
Client Funded		£ 0	£ 0
	<b>TOTAL</b>	<b>£ 0</b>	<b>£ 0</b>

<b>Investment type:</b> Legal & Regulatory
<b>WHAT IS DELIVERED WHEN - FOR THE IMMEDIATE REQUEST?</b>
<i>For example; "Enough for 1 PI", "Enough for MVP" the Business Case etc by October 2020</i>
Investment is required to engage the services of a third party (KPMG) under an existing contract in order to deliver a programme of change over the next 2 years to address the HIJs and re-establish Postmaster trust in the Horizon system.

### 5. OPPORTUNITIES, THREATS & DEADLINES

Key Information	
Size of the opportunity or threat	<i>How significant an opportunity is this initiative for POL or how big a threat does POL face – provide metrics.</i> This is a 'must-do' programme within POL in order to comply with the Group Litigation Order and the Public Inquiry.
Deadline(s)	<i>Is there a particular deadline that we should aim to achieve if POL is to maximise the opportunity? E.g. Rival market launch, regulatory deadline or contract renewal date.</i> Phase 1: Immediate 'fast fix' activity has been underway since February and is due to complete in May. This will be reviewed by the inquiry during May and June. The Horizon Improvements Programme Phase 2-4 is kicking off now and contains the longer term activity to rectify issues on a permanent basis. Delivery timescales vary depending on the activity but is expected to complete by the end of 2022.

### 6. DRIVERS, OBJECTIVES AND OUTCOMES

*Identify the Business Outcomes that will indicate if the change initiative is a success.*

Use [Benefits Management Workbook](#) to copy & paste the red columns from the BusOutcomes Success Criteria tab

Driver	Business Objective	Business Outcome
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# Innovate, Prove, Deliver: **Prove Plan**

<p><i>A high level summary of the problems or Opportunities that this activity is supporting</i></p> <p><i>e.g. The current on boarding process for new agents is very complex and lengthy so some applicants fail to complete.</i></p> <p>Insert text here</p>	<p><i>The Business Objective this activity is supporting.</i></p> <p><i>e.g. To simplify the Agent On-boarding process.</i></p> <p>Insert text here</p>	<p><i>The economic or other benefit outcomes POL can anticipate if the hypothesis is proven to be correct</i></p> <p><i>e.g. Reduce on-boarding lead-time from X to Y.</i></p> <p>Insert text here</p>
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POL Objective	Programme Objective	Description
<b>Postmaster Trust</b>	1. Re-establish trust and confidence	Embed a culture in the IT organisation that focusses on the Postmaster experience, putting Postmasters at the heart of everything we do.
<b>Address the Past</b>	2. Address the HIJ and KPMG Horizon Review Report findings	Implement the changes required to address HIJ conformance and assure Postmasters over Horizon management.
<b>Deal with the present and Prepare for the future</b>	3. Reduce financial discrepancy	Reduce financial discrepancies and should they occur provide an effective, transparent and auditable outcome for Postmasters.
	4. Use information intelligently	Provide actionable information to Postmasters and POL to allow timely querying of transactions.
	5. Secure Horizon from interference	Implement robust controls that provide confidence that Horizon is secure & data integrity maintained.
	6. Improve service delivery and operations	Provide an effective Horizon IT function that can control and prioritise Horizon change, improve Horizon operation, and manage and positively influence the Postmaster experience.
	7. Effective Horizon risk management and internal audit	Deliver joined up Horizon risk management and internal audit capabilities.

<b>Non-Functional Requirements</b>
<p><i>Identify any Non-functional requirements the solution must adhere to:</i></p> <p><i>e.g.</i></p> <ol style="list-style-type: none"> <li><i>1. 99.9% availability</i></li> <li><i>2. Self-sustaining – no service support</i></li> <li><i>3. Compatible with all popular VR headsets</i></li> <li><i>4. Made of environmentally sustainable pixels.”</i></li> </ol> <p>Insert Text Here.</p>



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### 7. KEY DATES

Milestone	Level	SNow	Date
Project Start	0	Key Milestone	1 May 2021
Prove Plan approved	0	Milestone	31 May 2021
Business Case Approved	0	Milestone	30 Jun 2021
First GoLive (first deliverable)	1	Key Milestone	Nov 2021
Final GoLive (if multiple deliverables)	0	Key Milestone	Dec 2022
Closure Approved	0	Key Milestone	Jan 2023

*The above information IS A BEST GUESS and should be used to build your initial plan in SNow. Milestones will be re-set at Gate to Deliver once your plans are clearer.*



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### 8. REFINEMENT PLAN

In this section describe how you will prove your proposed solutions will deliver the business outcome and business objectives described above. Use your [Benefits Management Workbook](#) to copy and paste the columns for the LI Prove

Prove the Business Outcome is valid	Leading Indicators	Target Outcomes	Methodology	Frequency
<p><i>How will you prove that the business outcome is valid and the benefits will be realised is true.</i></p> <p>For example; Produce mock-up/prototype Demonstrate new process is quicker and/or has fewer errors</p> <p>Insert Text Here.</p>	<p><i>What metrics will you collect?</i></p> <p>For example; Prototype works Processing times Error rates</p> <p>Insert Text Here.</p>	<p><i>What targets are you aiming to achieve with your metrics for them to be considered acceptable?</i></p> <p>For example; App is stable in most scenarios 50% quicker 90% fewer errors</p> <p>Insert Text Here.</p>	<p><i>How are you intending to source your leading indicators?</i></p> <p>For example; Running website statistic report Record keeping Re-work stats from spreadsheet</p> <p>Insert Text Here.</p>	<p>For example; One off Monthly Weekly</p> <p>Insert Text Here.</p>

Prove key assumptions are valid	Leading Indicators	Target Outcomes	Methodology	Frequency
<p><i>What tests/experiments will the team complete to prove you assumption(s) is valid</i></p> <p>For example; Survey show product is wanted Market analysis shows customers value less paper</p> <p>Insert Text Here.</p>	<p><i>What metrics will you collect to evidence the assumption is right?</i></p> <p>For example; Qualitative feedback Net Promoter scores</p> <p>Insert Text Here.</p>	<p><i>What targets are you aiming to achieve with your metrics for them to be considered acceptable?</i></p> <p>For example; 40% of people express an interest Over 50% success rate</p> <p>Insert Text Here.</p>	<p><i>How are you intending to source your leading indicators?</i></p> <p>For example; Running website statistic report Focus Groups</p> <p>Insert Text Here.</p>	<p>For example; One off Weekly</p> <p>Insert Text Here.</p>

The programme team has carried out extensive mapping of the Workstream deliverables to the detailed outcomes required to meet the HIJs and also the recommendations in the Horizon Review Report. This mapping exercise has enabled the programme to validate that the activities and deliverables will deliver the programme objectives, there are no gaps and any overlaps and dependencies have been identified. [Show high level mapping view?](#)



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The next step is to identify any additional KPIs required to meet the programme objectives and implement a benefits tracking mechanism. Initial thinking around the measures is shown below:

POL Objective	Programme Objective	Description	How we will measure success
Postmaster Trust	1. Re-establish trust and confidence	Embed a culture in the IT organisation that focusses on the Postmaster experience, putting Postmasters at the heart of everything we do.	<ul style="list-style-type: none"> <li>A measurable improvement in Postmaster trust and confidence in Horizon</li> </ul>
Address the Past	2. Address the HIJ and KPMG Horizon Review Report findings	Implement the changes required to address HIJ conformance and assure Postmasters over Horizon management.	<ul style="list-style-type: none"> <li>Deliver the Horizon Review Report</li> <li>Group exec sign-off that the HIJ and KPMG Horizon Review Report findings have been addressed</li> </ul>
Deal with the present and Prepare for the future	3. Reduce financial discrepancy	Reduce financial discrepancies and should they occur provide an effective, transparent and auditable outcome for Postmasters.	<ul style="list-style-type: none"> <li>A reduction in financial discrepancies from £150m to an acceptable industry standard</li> <li>A process in place to manage financial discrepancies when they occur</li> </ul>
	4. Use information intelligently	Provide actionable information to Postmasters and POL to allow timely querying of transactions.	<ul style="list-style-type: none"> <li>Relevant information is available for use by Postmasters, POL and auditors</li> <li>A measurable reduction in disputes as a result of improved data quality and availability</li> </ul>
	5. Secure Horizon from interference	Implement robust controls that provide confidence that Horizon is secure & data integrity maintained.	<ul style="list-style-type: none"> <li>A Horizon system landscape secure from unauthorised interference</li> <li>A fully resourced IT Controls function, working to defined processes and tools</li> </ul>
	6. Improve service delivery and operations	Provide an effective Horizon IT function that can control and prioritise Horizon change, improve Horizon operation, and manage and positively influence the Postmaster experience.	<ul style="list-style-type: none"> <li>Controlled &amp; effective design, build, test and deployment of IT change, with a measurable reduction in defects post go-live</li> <li>A measurable improvement in the identification and resolution time of Incidents and Problems</li> <li>A fully resourced Horizon / GLO IT function, working to a leading practice op model, processes and tools</li> </ul>
	7. Effective Horizon risk management and internal audit	Deliver joined up Horizon risk management and internal audit capabilities.	<ul style="list-style-type: none"> <li>A fully resourced risk and internal audit capability working to leading practice processes and tools, and audited as being effective</li> </ul>



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## 9. ORGANISATIONAL IMPACT

Provide overview of the main changes to the organisation e.g. Teams structures, new suppliers, applications being retired, new contracts, process changes.

Any changes to team structure **MUST** be discussed with you Head of Portfolio Transformation.

A Change Impact Assessment by Workstream is currently underway. In summary we expect the changes to impact the following stakeholder groups:



We expect the types of changes to be in the following categories, with an initial impact rating as shown (Red=high, Amber=medium, Green=low):

Roles, responsibilities and skills <span style="color: red;">●</span>	Structure & governance <span style="color: yellow;">●</span>	Technology, systems and data <span style="color: red;">●</span>	Policies, processes and activities <span style="color: red;">●</span>	Culture & behaviours <span style="color: yellow;">●</span>
<ul style="list-style-type: none"> <li>- New responsibilities and skills (including but not limiting to data handling, testing and governance) will be required for POL colleagues and Postmasters. Emphasis will be on reskilling POL colleagues to better serve Postmasters.</li> <li>- Postmasters will need to be upskilled and trained to effectively use new processes and technologies (e.g. ServiceNow, Data platform)</li> <li>- There is a significant amount of change leadership required across the organisation to deliver on a programme of this size</li> <li>- New roles (including but not limited to Security, Testing, IT Controls) will be required to support the future Horizon IT TOM.</li> </ul>	<ul style="list-style-type: none"> <li>- A governance model refresh in relation to Fujitsu will be rolled out to improve decision making, accountability and control.</li> <li>- Governance structures relating to the change engagement process will be assessed and refined to improve accountability for those requesting and making changes to the Horizon platform.</li> </ul>	<ul style="list-style-type: none"> <li>- The Horizon platform will be improved in order to create Postmaster-centric user inference. Go-live of specific Horizon improvements will need to be communicated to Postmasters.</li> <li>- New tooling, particularly ServiceNow, and testing tools will need to be adopted to better support Postmasters.</li> <li>- There is a requirement to prioritise change in order to keep disruptions to the Horizon platform to a minimum whilst improving security around data usage and access.</li> <li>- A new data platform will provide POL colleagues and Postmasters with more data which will help drive smarter decisions. Education and upskilling is required to support good data integrity.</li> </ul>	<ul style="list-style-type: none"> <li>- IT TOM workstream is reviewing 38 in-scope processes and signalling improvements to enable the Horizon IT to better serve Postmasters.</li> <li>- A new Information Asset Register will be created to better control POL's information assets and key risks.</li> <li>- BranchHub will be revised and updated to provide Postmasters with greater visibility and access to policies and processes.</li> <li>- A selection of testing activities will be rolled out to improve regression testing and the documentation of non-functional testing</li> </ul>	<ul style="list-style-type: none"> <li>- A data driven culture is needed to accelerate the use of information and evidence in decision making.</li> <li>- Moreover, a culture underpinned by compliance is needed whereby colleagues commit to the compliance of controls and new policies.</li> <li>- Above all, a culture of trust will be needed where all POL colleagues must act with accountability and take a Postmaster-centric approach to decision making.</li> <li>- It is acknowledged that an overall behavioural change is required across the business to adjust to a new way of working and to drive a cultural shift that puts Postmasters at the heart of decision-making</li> </ul>



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## 10. MAIN RISKS

*Provide details of the main risk to progressing THE PROJECT (during Prove or Deliver) that have been identified so far. NOT a risk to the business that has triggered this initiative. That should be articulated in the Drivers, Objectives and Outcomes section.*

Risk Description	Risk Impact	Risk Mitigation
There is a risk that the people change aspects of the programme are not fully considered.	Changes are not successfully adopted within POL.	Develop a detailed comms plan that covers all change delivered by workstreams.
There is a risk that POL resources are not available to engage and input into activity across the programme, which could impact quality and timelines.	Programme quality and timeline is negatively impacted.	Develop a clear view of programme resourcing in the workstream tracker, and confirm that POL vacancies are filled.
There is a risk that the Horizon Improvements programme overlaps with wider POL teams and initiatives.	The programme has unintended impacts on other teams (e.g. wider IT) or duplicates work underway elsewhere (e.g. data strategy).	Develop a stakeholder plan, and agree how each stakeholder group will be engaged by whom.
There is a risk that the Horizon Improvements programme identifies additional work not included in the budget as strategy and design work is undertaken in Phase 2.	The programme requires additional funding to address the HIJs and HRR recommendations.	Identify assumptions in the programme resource plan, and capture known risks regarding unplanned effort.
There is a risk that activities are prioritised differently in each workstream	Programme is delayed due to unforeseen dependencies.	WS Leads to align their plans (happening w/c 10 May). RMO to pull WS plans into MS Project w/c 17 May which will allow dependency review



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## 11. APPENDIX A APPROVALS

*First, obtain IT approval of the solution, then Finance can accurately cost the solution and approve. Finally obtain Portfolio Lead approval that the project is ready to move forward.*

### IT APPROVAL:

Assuring the IT supply chain is aware and ready for this case:

Please contact Ajay Patel GRO for IT approvers.

Guidelines can be found [here](#).

Function	Role	Name	Date
IT Service	Insert Text Here	Insert Text Here	Insert Text Here
IT CTO	Insert Text Here	Insert Text Here	Insert Text Here
IT DPO	Insert Text Here	Insert Text Here	Insert Text Here
IT Security	Insert Text Here	Insert Text Here	Insert Text Here
IT Finance	Insert Text Here	Insert Text Here	Insert Text Here
Procurement	Insert Text Here	Insert Text Here	Insert Text Here
IT Contract	Insert Text Here	Insert Text Here	Insert Text Here
Vendor Mgt			
Any other			
Additional Comments			
If appropriate, please insert link to IT approvals SharePoint site to provide details. Insert Text Here			

### FINANCE APPROVAL:

Assuring the quality of the finances in this case and the sign-off of Central Finance in respect of accounting treatment (cost categorisation) and impact on financial controls:

Function	Role	Name	Date
Finance	Finance Director	Chris Manamley*	Insert Text Here
Finance	Technical Finance	Insert Text Here	Insert Text Here
Additional Comments			

### PORTFOLIO APPROVAL:

Assuring this case has been reviewed and the project is set up correctly:

Function	Role	Name	Date
SPO	Portfolio Lead	Graham Hemingway*	Insert Text Here
Additional Comments			

\* Approval to be gained at HM Governance Committee

*All submissions must be sent to HM PMO.*



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## **12. APPENDIX B ADDITIONAL INFORMATION**

*Provide any additional information that supports the Prove Plan*

*Do not embed any files but supply separately.*



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### 13. APPENDIX C ADMINISTRATIVE INFORMATION

The following information is mandated. Failure to supply it will cause delay.

Information	Response
<b>Official name</b> <small>40 characters max including spaces</small>	Insert Text Here
<b>Business Sponsor</b> <small>Should be GE-1</small>	Insert Text Here
<b>Project Manager</b> <small>If unknown, use Portfolio PMO name</small>	Insert Text Here
<b>Is NEW Snow Licence required</b>	YES/NO
<b>Finance Business Partner</b>	Insert Text Here
<b>Delivery Date</b>	Insert text here
<small><i>DELIVERY DATE: It is key you state what your Final Go Live or End of Early Life Support (whichever is the later) date is estimated to be. This information is input to the Delivery Date field in Snow. Six weeks after this date the project should have obtained approval to close from PRB/IC. You must update this information at Business Case submission.</i></small>	

Portfolio
<small>Select ONE</small>
Banking, Payments & other <input type="checkbox"/> Historical Matters <input type="checkbox"/> IT Platform Enablement <input type="checkbox"/> Mails, Travel, FS & other <input type="checkbox"/> Organisational Effectiveness <input type="checkbox"/> Postmaster & Network <input type="checkbox"/> Shared Services <input type="checkbox"/> Supply Chain <input type="checkbox"/>
Business Unit
<small>Your Finance Business Partner will advise</small>
Banking, Payments and Transactional products <input type="checkbox"/> , Central <input type="checkbox"/> , Central Commercial <input type="checkbox"/> , CIO <input type="checkbox"/> , Commercial Planning & Strategy <input type="checkbox"/> , Communications <input type="checkbox"/> , COO <input type="checkbox"/> , Customer Experience <input type="checkbox"/> , Finance <input type="checkbox"/> , FS, IDS and POI <input type="checkbox"/> , Historical Matters <input type="checkbox"/> , HR <input type="checkbox"/> , LCG <input type="checkbox"/> , Mails, PUDO, Retail and Branch Identity Services <input type="checkbox"/> , Property <input type="checkbox"/> , Supply Chain <input type="checkbox"/> , Telephony <input type="checkbox"/>



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### **14. APPENDIX D** **MANDATED SUPPORTING DOCUMENTS**

The following documents are required to be submitted to SPO as part of our project assurance process and for record retention policy requirements:

Document	Check by	Supplied
IT Impact Assessment	Architect	<input type="checkbox"/>