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To:	Tim Cutts CAPS Programme Office	**Copy:**	Dave Miller Jan Topham Sue Daniel Val Whitbread

From:	Bob Burkin	**Date:**	4 Dec. 1998

Subject: **Input into CAPS Board Report**

As requested, the attached report is provided as input into the CAPS Programme Board Report for the meeting scheduled to be held on 10/11 December.

Dave Miller, Horizon Programme Director, is able to attend on the 10th. Will you therefore please arrange for the Agenda, including timings, to be supplied to his Secretary (June Lilley Tel: GRO Fax: GRO), and copied to me, in advance of the meeting.

A status report on outstanding actions is also attached.

I hope this proves useful. As always, happy to discuss.

Bob Burkin
Planning & Reporting Team
Horizon Programme

CAPS and Card Programme Board Actions – Issue 9

Horizon Action Points and updates from Board meeting on 13 November 1998

Action point	Update for Board meeting to be held on 11 December
AP 6.2(H) Dave Miller to provide George McCorkell with a written description of the PinICL process.	When the PDA was in existence, a Fault Management paper was produced outlining the process for faults encountered, prioritised and managed. This process is still being followed. The paper has subsequently been augmented by both the Management and Support Notices for Model Office & End to End testing produced by Pathway (latest version 2.0 dated 18 October 1998), and by the High Level Test Plans (HLTP's). All relevant documentation is distributed to all groups including CAPS (Paul Noon). Regarding the fixing, introduction and support of faults, we have no visibility of the process until we re-test in Model Office / End to End, or until it is deferred onto the Known Problem Register (Pathway have internal processes and we do not have access to their procedural documentation). Action Cleared.
AP 6.4 (H) Dave Miller to provide greater visibility of what is happening in Horizon testing to Parry Jenkins	Cleared. Daily reports have been sent, and weekly summaries of test conditions have also been provided.
AP 6.8(H) Dave Miller to determine the current state of debate between BES/PAS and see if dialogue between Horizon/CAPS directors could be used to break the apparent deadlock.	Ongoing. Internal POCL discussions continue.

AP 700.1(H) Dave Miller to arrange for a presentation on the Integrated Programme Plan to the Programme Board meeting on 16 October 1998.	Ongoing. Joint discussions on the delivery of the Programme continue. A presentation to be considered after agreement on way forward reached.
AP 900.1 (H) Bruce McNiven to arrange for a presentation on Service Management to the next Programme Board to include the proposals for service management during Live Trial and a high level view following National Roll-out.	Ongoing. Service Management initiated a tripartite review of the end to end service management readiness, lead by POCL with terms of reference agreed with Pathway & BA. The final draft of the report was discussed between Andy Radka, Steve Muchow & Paul Hanson during week ending 27 November. A number of changes to be incorporated and a process for producing the final version (to be circulated to CAPS Board & others - via Dave Miller who sponsored the work) were agreed. The final version will be ready week commencing 7 December and an oral update will be provided at the December CAPS Programme Board. Service Management intend to circulate the report to CAPS and then present an update on progress at the CAPS Board meeting in January.
AP 900.2 (H) Bruce McNiven to arrange for the report from the end to end review of service management to be made available to the Programme Board.	This is covered under action AP 900.1 above.
AP 900.3 (H) Bruce McNiven to arrange for a formal management checkpoint meeting to take place following the completion of MOR3 and before the next phase of testing commenced.	A formal management meeting is being arranged.
AP 900.4 (H) Bruce McNiven to provide the Board with a note setting out the current position on TIP testing and any potential contingency options in advance of the next CCPB meeting.	A note will be issued (by Andrew Simpkins) w/c 7 December. This follows a series of meetings being held w/c 30 November including a meeting with CAPS planned for 4 December.

AP 900.5 (H) Bruce McNiven to provide a formal note setting out the conduct of testing	We acknowledge that there have been incidents of faults re-occurring due to 'partial fixes'.
	When we receive an incident it is fixed within the Pathway environment; and we are notified either via the Help Desk (for Model Office) or by Pathway that the fix has been applied. We only get visibility when we re-test in MO/E2E, when as described, some faults have been found to have been only been partially fixed.
	We are now pressing for full visibility of PinICL fixes prior to entry into MOT and End to End final pass.
	Action Cleared.
AP 900.6 (H) Bruce McNiven to confirm to George McCorkell by 16 November 1998 that all the necessary information in respect of the Release Contents for NR2 (ChB only) has been provided	Cleared.
AP 900.7 (H) Bruce McNiven to confirm that the PIR process has been correctly applied to the incident on 19 October 1998 following failure of the Maestro Scheduler.	Following the set up of the Horizon Programme (post PDA) these incidents are dealt with initially by CAPS and only escalated if they are unable to resolve. There is no record of this incident being escalated.

Input into CAPS Programme Board Report
for Meeting on 10/11 December 1998

1   **Introduction**
This report summarises the state of the overall HORIZON Programme as at
13 November 1998 (with additional updates to key areas).

2   **Programme Overview**
The major focus of the Programme at the current time is:

- supporting the existing live systems
- supporting the testing phase
- progressing the 'Programme Management' content of the Plan with
  respect to the Live Trial, Multiple Benefits and the NR2+ Release
- clarifying contractual issues and the acceptance process
- Service Management development
- supporting the Treasury review and resulting negotiations.

3   **Live Operations**
The current Release continues to provide a Benefit Payment Service and
Order Book Control System for Child Benefit Payments in 204 outlets (119
in the South West & South Wales Region and 85 in the North East
Region). From an operational point of view, there are no major threats to
business continuity.

Fixes relating to Incomplete Transactions completed testing and were
successfully implemented at the counter on 9 October. There has since
been an encouraging reduction in the number of Incomplete Transactions
and the situation is being monitored closely to ensure that the expected
reduction in the number of incidents is realised. Figures for September
were 3 per 10,000 transactions. Current month levels are 1.6 per 10,000.

During October there were approximately 81,000 encashments (including
foreign encashments) with a total value in excess of £2.4m.

The Business Service Management Team continues to produce a monthly
Service Report which includes service performance reports and operational
issues / threats. The latest report was issued on 27 November. CAPS are
included on the distribution list.

4   **Progress against the Master Plan and Integrated Programme Plan**
The Programme Master Plan (MP version 4) and Integrated Plan (IPP
version 1) will be formally updated following final agreement to the
'Critical Path Plan' that has been developed in the latest stage of the
Treasury Review. The HORIZON level 0 plan has been updated to reflect
this recent work as has the Pathway plan (version 6). Work is in hand to
understand and rationalise the differences between these plans.

The HORIZON plan has been baselined so that from an operational point
of view variations can be monitored and reported. A fortnightly

'turnaround' process is in place with feedback being received from all functional areas on progress against plan.

The plans show the current key milestones subject to resolution of a number of specific options around the Critical Path Plan in the area of the POCL Child Benefit implementation. A comprehensive report of progress against milestones will be reinstated when the current planning exercise has been formally agreed.

The current status of key milestones planned for September/October (and not previously reported as complete) is shown below:

milestone	planned date	achieved / re-forecast
Complete MOR 1	11 September	Successfully completed 27 August
Commence MOR2	21 September	Commenced as planned
POCL sign off all Acceptance specs for trial	30 September	It now appears that it will be December before all are approved/signed off Progress is being monitored daily.
Complete MOR2	16 October	Completed
Commence MOR3	19 October	Preparation work commenced on 19 October with the test execution commencing on 21 October.
Complete MOR3	15 November	Counter execution completed 13 November
Complete System Test Main Pass for EPOSS, TPS, MIS, RDMC and Training (mode)	18 November	Completed 25 November
Complete End to End cycle 2	22 November	Counter activity completed on 20 November

5   **ICL Pathway Release 2**

5.1   <u>Current Status</u>

Release Management

As the result of discussions between BA, Horizon and Pathway a change to the plan (to allow additional testing time before starting migration) was proposed. Plans based on starting migration in early March (rather than late January) and completing by Easter were agreed in principle. This resulted in a start to National Rollout of mid-August though the precise date

depended on the resolution of a number of detailed points. The start date for live trial was set for 12 April. These dates have however been impacted by the position on testing described below.

CAPS have provided details about the contents of their Release 4 and agreement was reached on how this would tie in with Release 2+. A Change Request to include on-line enquiries in CAPS 3.5 has been raised and it has been agreed that this functionality will be provided between Release 2 and 2+.

A paper describing the Release Contents of NR2 (Child Benefit only) has been produced but this will need revision once Pathway have agreed the Release Contents Description itself.

The overall plan is also dependant on satisfactory commercial agreements being reached; discussions are ongoing.

Testing

MOR3 and E2E cycle 2 commenced on schedule on 12 October. A number of problem areas were identified including counter reporting, the file transfer mechanism to TIP, and transaction validation. There are also continuing errors with the Cash Account though there has been some improvement. Nevertheless, the large number of faults impacting financial integrity indicate that this aspect of the system is not yet robust. E2E cycle 2 also experienced some serious problems during the office migration period but these were partly caused by operator errors in Pathway. CAPS have identified some issues they need to address in regard to BES contingency.

Whereas there is progress against the declared testing scripts, there is a greater concern following MOR3 that the business objectives are not being satisfactorily met particularly with the ability to produce correct accounting and reconciliation results.

The Horizon Team is working closely with Pathway, TIP and CAPS to address these issues. In addition a revised testing proposal has been put to Pathway which would include an additional period of testing, focused on financial integrity issues, prior to entry to the final Model Office Test pass. Horizon believes it would be preferable to spend additional time to achieve a quality system than risk failure of the Model Office Test with its consequent implications.

Acceptance

Sign off of the Acceptance Specifications progresses slowly, with meetings being convened to resolve the discrepancies. It now appears that it will be December before all are approved. As at 30 November 12 of the 24 specs have been approved. Outstanding specifications are being negotiated between all parties with unresolvable issues caveated for escalation and future resolution.

Implementation

Migration
The processes and procedures to be adopted for migrating offices have
been agreed. As a result a need for new Reference Data has been identified
and this is in hand.

Live Trial
Progress in this area has been limited due to the uncertainty surrounding
the commercial discussions on acceptance and the implications this will
have on the positioning of the Live Trial.

Surveys of the 204 post offices taking part in the trial have been concluded.
·86 are reported as needing minor mods, 56 major mods and 43 meet the
requirements. Currently there are 14 where solutions have been proposed
but not yet agreed. The 5 with "no solutions" have been re-surveyed and
solutions, acceptable to the post office, identified for each. Two offices
require a "trolley" solution and prototypes have been promised by Pathway
prior to Christmas.

National Rollout
HORIZON have submitted a proposal regarding the trigger points for NRO
during Live Trial and the proposed ramp up. This is based on a trigger five
weeks into the Live trial (even if this is deemed to be a 15 week Live
Trial). This trigger, and the ability of Pathway to cope with a 10 week
implementation window (including system aspects such as the rollout
database) are still being discussed.

5.2   Issues / Risks

An Issues Manager joined the Programme on 2 November and a Risk
manager joined on 26 October. A report on Issues and Risks follows.

Ref. No	Issue Title & Description	Owner	Raised	Action/Mitigation	Action By	When?	RAG Status Urg	RAG Status Action
I0007	Product Assurance: All Acceptance Specs to have been signed off by mid-November 1998.	JM	30/10/98	DM and MC (Pathway) to agree how to progress and monitor agreement.	DM	20/11/98	RED	AMBER
I0003	Inability to achieve satisfactory cash account balancing.	SR	6/11/98	Need to prove all aspects of cash accounting across a number of different test phases in order to provide POCL with the confidence to authorise the release of NR2. Adjustment to shape of final testing phases required.	AS	27/11/98	RED	GREEN
I0004	Treasury Review concerning the Programme is not yet completed and resolved.	DM	30/10/98	Negotiations are underway with all parties and progress is reported as and when.	DM	23/11/98	RED	GREEN
I0011	Electronic Scale connectivity - no fully satisfactory solution or agreement.	BMcN	29/10/98	Solution to be pursued with Pathway.	BMCN	17/11/98	AMBER	AMBER
I0018	Data Centre Migration date not yet decided.	AS	18/11/98	Meet, discuss and agree the Data Centre migration date.	AS	20/11/98	AMBER	AMBER
I0005	Three key areas of functionality which cross delivery boundaries at a Programme level are insufficiently well proven to have confidence that further significant work will not be required as the result of MOR3 and E2E phase 2.	SR	30/10/98	Ref Data - scope of live Ref Data proving has been increased. TIP - Manager appointed to focus on this area. BES - Complex BES functionality will be executed to ensure all issues exposed and can go forward to be fixed and retested before final test runs	SR	27/11/98	AMBER	GREEN
I0002	Full scope and schedule of Programme as a whole is not yet fully established.	DM	29/10/98	Workshops are being conducted to flush out all Level 3 planning activities.	All	End January.	GREEN	GREEN
I0009	POCL have expressed dissatisfaction with an aspect of the BES fallback recovery process. As it is now too late to change	JM	2/11/98	Product Assurance to meet and discuss issues with the Transformation Management team.	JM	27/11/98	GREEN	GREEN

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Ref No	Issue Title & Description	Owner	Raised	Action/Mitigation	Action By	When?	RAG Status Urg	RAG Status Action
	Pathway design this must be considered to be release threatening.							
I0010	BA are unable to confirm policy for the declaration to be made when CAPS contingency payments are collected by customer. Consequently there is not an agreed NR2 process. This is likely to be a Seals of Approval issue.	JM	30/10/98	30/10/98: Escalated to the CAPS Programme Executive Team.	JM	27/11/98	GREEN	GREEN
I0019	Absence of effective sponsor decision processes is delaying Programme decisions and agreements.	JM	27/11/98	Promote regular contact between sponsors at executive and working level.	DM	End December	GREEN	GREEN

Ref. No	Risk Title & Description	Prob. H/M/L	Impact H/M/L	Owner	Raised	Action / Mitigation	Action By
pr4	Lack of End-to-end design of the reference data processes may be inadequate to support live operations.	H	H	P Kennedy	01/09/98	Under programme review; Model Office testing preparation has clarified the scope and issues in this area; additional phase of testing established to prove live Ref. Data. Ref. Data has also been taken under direct programme control.	DWM S Rilot
pr5	POCL Organisational Processes may not be ready to take on Horizon - may impact Service performance.	H	H	A Radka	01/09/98	1) Executive support required to sustain priority of Horizon support initiatives. 2) Develop approach and management plan with business managers	
pr17	If the POCL network does not conform to Horizon business processes and procedures - there will be a detrimental impact on performance , costs, services etc.	H	H	A Radka	24/09/98	Conformance team being established; PID to be developed;	
sm3	Scale of Service Management support requirement for roll-out rate is too great for POCL to take on.	H	H	A Radka	01/09/98	Management Plan and Implementation Plan to address this concern is being developed.	
pa2	PA will be unable to support Release Authorisation due to the lack of visibility of Technical detail (incl. security & integrity); lack of visibility results in a low level of confidence that the system will be adequate. See also pa1 above & pa5 below.	H	H	J Meagher	07/09/98	1) Tech. Assurance forum established; Pathway are expected to make available detail; to be reviewed. 2) Manage Sponsors Expectations as Horizon ability is limited by contract. 3) Escalate to CEC if approach in 1. above fails.	DWM
pa3	The inability to attract and retain staff with the requisite technical abilities causes the Horizon programme to be reliant upon contract staff to fill key roles, causing cost escalation and endangering the business case going forward.	H	H	J Meagher	07/09/98	No mitigation actions taken until the conclusions of the Treasury review are determined.	
pa5	Pathway delivered system may be weak in areas of performance, resilience, integrity - POCL unable to assess this due to the nature of the contract. (See also pa1 and pa2 above).	H	H	J Meagher	07/09/98	1) Realistic agreement with Pathway on approach to this issue as part of the 'replan'. 2) Bring Sponsor and political pressure to bear. 3) Technical Assurance Forum - see above.	
im6	Training logistics fails to provide adequate numbers trained for 'Go Live' (Quality of Training).	H	H	B McNiven	10/09/98	Supplier process under review; fallout rates and contingency plans to be established; intervention procedures to be agreed.	DWM B McNiven

6   **Service Management Development**

Work is underway on three main strands of work;

- Establishing a support centre
- Conformance
- Development/deployment of Business Service Management principles.

Work continues to develop the new Support centre and recruit staff. A draft plan has been developed and this is being impacted. Work is also in hand to complete the outline business case for the Conformance project and to finalise the organisation structure. Initial contact with POCL business units has been made and Business Service Management walkthroughs are continuing.

7   **Future Releases**

Release 2 + (introducing AP Smart and Logistics Feeder System functionality)

Impact responses for the Change Control Note (CCN) for Logistics Feeder System (LFS) are currently being analysed. A caveat on the CCN has been raised regarding the need for a clear Quality Plan to enable HORIZON and Pathway to manage the development.

The CCN for soft EVP (142E concerning score Card entries) is still being negotiated.

The comments on the RCD have been passed to Pathway for clarification. Of the 272 comments on the SADD 5.1, 143 related to Pathway issues and meetings are being conducted to address these.

8   This report has been produced in accordance with the guidelines agreed between Peter Crahan and the Horizon Programme Director on 15 April. The area not covered is 'Routine Commercial / Contractual Activity' where no request had been made by the CAPS PMO for specific detail, and no input received from the Horizon Joint Contracts Team.