

Greater Bristol Bus Network Major Scheme Business Case

Appendix 4A

Programme Handbook

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BATH & NORTH EAST SOMERSET



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4A.1. Introduction: Objectives, Work Packages, and Task Orders

PURPOSE OF THIS HANDBOOK

- 4A.1.1 The handbook is being provided to the project managers and project staff working for the four Unitary Authorities (UAs) of Bath and North East Somerset, Bristol City, North Somerset and South Gloucestershire Councils, the West of England Partnership Joint Transport Team and the bus operator First on the **Greater Bristol Bus Network Programme (GBBN)**.
- 4A.1.2 This handbook sets out the **PRINCE2** processes and controls that will be applied to delivery of the GBBN Programme. The Programme handbook is part of the contractual agreement between the Programme partners. It includes the procedures for handling change, planned or unforeseen.
- 4A.1.3 Any deviation from the procedures and controls set out in this handbook will invoke immediate suspension of payment to the partner(s) in question and instigate commencement of the exception reporting process set out in this handbook.

GBBN DESCRIPTION AND OBJECTIVES

The GBBN Scheme

- 4A.1.4 The GBBN major scheme comprises of a significant investment in 10 corridors across the Greater Bristol area to deliver substantial improvements in the quality of bus services, progressed in partnership with the major bus operator, First.
- 4A.1.5 Generically the scheme can be defined as a “Bus Showcase” network comprising a range of measures that will improve the speed, reliability, comfort and image of conventional bus travel across the Greater Bristol area.
- 4A.1.6 It will complement the two Bus Showcase routes that have already been taken forward, the north-south 76 and 77 services along the A38 Showcase Corridor between Henbury and Hartcliffe, which was completed in December 2003, and the east-west A420 corridor which will be completed in 2007.
- 4A.1.7 A full description of the scheme is provided in the **Full Approval Major Scheme Business Case March 2007**. The Full Approval Major Scheme Business Case is supported by the detailed task orders in Annex A of this Programme Handbook. The GBBN Task Orders comprise of: a task description; scheme drawings; and cost schedules. As set out in the Full Approval Major Scheme Business Case each of the Task Orders has been allocated to one of the GBBN Partners to deliver. There will be no change to the Task Orders or allocation of Task Orders without compliance with the Change Controls set out in this Programme Handbook.



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4A.1.8 In summary, the scheme comprises:

- ◆ The implementation of bus priority measures along each of the 10 identified corridors that mitigate against the impact of traffic congestion on bus journey times and reliability. These measures will be delivered in a way that does not have an adverse effect on travel conditions for other road users;
- ◆ The provision of new fully accessible low floor buses on the core routes serving the GBBN corridors;
- ◆ Where demand potential is at its greatest, the provision of improved service frequencies and new bus routes;
- ◆ The provision of significantly improved passenger facilities at bus stops, including new shelters, raised kerbs and, at the most heavily used stops, real time passenger information; and
- ◆ The provision of improved passenger information in conjunction with the extension of the existing real time passenger information system.

4A.1.9 The scheme will also provide:

- ◆ High Occupancy Vehicle (HOV) lanes at locations where bus flows are not high enough to warrant bus-only lanes – the HOV lanes will therefore provide benefits to other road users;
- ◆ Improved traffic signals using advanced Urban Traffic Control (UTC) technology – implemented so as to enable bus priority to be provided at junctions but also providing increased junction capacity for other road users through more efficient operation;
- ◆ Improved facilities for pedestrians in conjunction with bus priority measures and bus stop access improvements that will encourage greater levels of walking as part of public transport journeys and enhance pedestrian safety; and
- ◆ Improved facilities for cyclists who will be permitted to use bus lanes.

Scheme Objectives

4A.1.10 The objectives for the GBBN bid are the same as those for the Joint Local Transport Plan (JLTP) Bus Strategy. They are to:

- ◆ Increase the number of bus passengers;
- ◆ Increase satisfaction with bus services;
- ◆ Improve bus reliability and punctuality and reduce bus journey times; and
- ◆ Increase the percentage of the population within 45 minutes journey time by bus of the major centres of Bath, Bristol, Cribbs Causeway, the North Fringe and Weston-super-Mare.

4A.1.11 The aim of GBBN is significant patronage growth across the network over and above what could be achieved by incremental corridors. The four UAs joint approach to meeting these objectives can be summarised as:



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- ◆ Improving reliability (improving the proportion of scheduled journeys operated, achieved through improved operator practices);
- ◆ Improving punctuality (increasing the proportion of journeys operating on-time; defined as one minute early and five minutes late);
- ◆ Reducing overall journey times (faster journeys, achieved through bus priority, express bus services and quicker boarding times);
- ◆ To achieve step change in quality and appearance of buses (i.e. buses, services, interchanges, waiting facilities, information);
- ◆ Increasing frequency and capacity of the bus network;
- ◆ Improved interchange, both between bus services and between the bus and other modes;
- ◆ Ensure designs maximise road safety and benefits for vulnerable road users;
- ◆ Maximise the use of UTC to control traffic flows better and provide 'green flow' for buses at traffic signals;
- ◆ Wherever possible to achieve no change or journey time benefits to other traffic;
- ◆ Improving accessibility to the bus network, ensuring that the network provides access to jobs, education, healthcare, food shopping etc. by means of a larger, more frequent network; bus stop improvements; route extensions/ modifications.

THE GBBN PROGRAMME

- 4A.1.12 In discussion with the Department for Transport (DfT) the GBBN scheme has been defined as a Programme that comprises of the delivery of a series of sub-projects. This is defined further below.
- 4A.1.13 The programme management and controls for both the whole Programme and delivery of all the individual tasks has been developed to be consistent with PRINCE2. Whilst some of the terminology has been adapted for local circumstances the components, processes and techniques are all grounded in PRINCE2.
- 4A.1.14 The key principle behind this handbook is 'management by exception'. By setting the details reporting, financial and change controls within this handbook it will allow the project managers of the six delivery agents to deliver the Programme in a controlled manner without excessive bureaucracy and interference of the Programme Board. The Programme Board will meet at agreed intervals as set out in this handbook and provide ad hoc guidance and decision making throughout the project.

THE GBBN WORK PACKAGES AND TASKS

- 4A.1.15 The GBBN Programme has been split down into six work packages of scheme elements for which different programme partners are responsible for delivering.
- 4A.1.16 Each work package is then broken down into more detailed tasks.



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- 4A.1.17 The full list of Programme tasks orders are set out in the Annex A.
- 4A.1.18 The procedures and protocols set out in this handbook apply to all work packages. All tasks are to be completed in line with the quality standards set out in the Programme quality plan.
- 4A.1.19 Table 4A.1 below sets out the structure of the task orders and how these are grouped into work packages for each of the authorities. In relation to PRINCE2 the tasks are the individual products that each of the Programme partners is expected to deliver.
- 4A.1.20 There is a standard template for the Tasks that has been developed in line with PRINCE2.

Table 4A.1 – Programme Work Packages and Task Structure

Bath and North East Somerset Council Work Package	
Task Order	Description
1001	Bus Stops - A4 B&NES
1002	Bus Stops - A37 B&NES
1003	Bus Stops - A367 B&NES
1004	A4 Hicks Gate
1005	A4 Twerton Fork
1006	A4 Newbridge Road
1007	A4 Upper Bristol Road
1008	A37 Staunton Lane Signals
1009	A367 Odd Down
1010	A367 Midford Road to Red Lion
1011	A367 Wellsway Lower
1012	A367 Bear Flat
Bristol City Council Work Package	
2001	Real Time Passenger Information
2002	Bus Stops - A4018 Henbury to Whiteladies Rd
2003	Bus Stops - A4018 Triangle to Park Street
2004	Bus Stops - A4 Hicks Gate to Callington Road
2005	Bus Stops - A4 Callington Road to City Centre
2006	Bus Stops - Route 73 Filton Avenue
2007	Bus Stops - A432 Staple Hill to Royate Hill
2008	Bus Stops - A432 Royate Hill to Muller Road
2009	Bus Stops - A432 Muller Road to City Centre
2010	Bus Stops - A37 Whitchurch to Airport Road
2011	Bus Stops - A37 Airport Road to City Centre
2012	Bus Stops - A369 Bower Ashton to City Centre
2013	A4018 Westbury Road
2014	A4018 Whiteladies Road
2015	A4018 Park Street and The Triangle
2016	A4 Callington Road to Stockwood Road
2017	A4 Totterdown Bridge to Three Lamps



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- 2018 Filton Avenue / Lockleaze Road Signals
- 2019 A432 Staple Hill to Lodge Causeway
- 2020 A432 Muller Road Junction
- 2021 A432 Coombe Road to Robertson Road
- 2023 A37 Haverstock Road to Three Lamps
- 2024 A370 Plimsoll Bridge
- 7001 M32 J2 - Houlton Street Bus Lane

North Somerset Council Work Package

- 3001 Bus Stops - A370 North Somerset
- 3002 Bus Stops - A369 North Somerset
- 3003 B3340 Locking Road / New Bristol Road
- 3004 M5 J21 Westbound Approach
- 3005 A370 Congresbury Bus Lane
- 3008 St George's Hill / Portbury High Street HOV Lane
- 3009 A369 Beggar Bush Lane HOV Lane
- 3010 A369 Bridge Road Signals

South Gloucestershire Council Work Package

- 4001 Bus Stops - The Mall
- 4002 Bus Stops - A4018 South Gloucestershire
- 4003 Bus Stops - Route 73 South Gloucestershire
- 4004 Bus Stops - A432 South Gloucestershire
- 4005 Bus Stops - A4174
- 4006 Lysander Road (Pegasus Road to Retail Park)
- 4007 Lysander Road (Retail Park to Merlin Road)
- 4008 A4018 / Lysander Road Roundabout
- 4009 Route 73 Pegasus Road
- 4010 Route 73 Signal Priority (one site)
- 4011 Aztec West Roundabout
- 4014 New Road Bus Link
- 4015 Great Stoke Way
- 4016 Filton Avenue Northbound Bus Lane
- 4020 A4174 Westbound to B4058 Frenchay
- 4021 A4174 / M32 J1 Roundabout Works
- 4022 A4174 Coldharbour Lane to M32
- 4024 Coldharbour Lane Bus Lanes
- 4025 Abbey Wood Roundabout Signalisation
- 4026 A4174 Abbey Wood Eastbound Bus Gate

West of England Partnership, Joint Transport Team Work Package

- 5001 Communications Plan
- 5002 Consultation (Area Wide)
- 5003 Marketing Plan
- 5004 Monitoring and Evaluation



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The GBBN Tasks

- 4A.1.21 Each partner's work package will contain a specific set of implementation tasks. Each of these is an individual project with specific time, budget and quality controls. These tasks are all set out in Annex A. A common 'task order' template has been used to prepare each task order.
- 4A.1.22 Changes to the tasks can take place in accordance with the change controls set out in this handbook. Under no circumstances will changes be made to any task order by parties other than the Independent Programme Director (IPD). All changes will be ratified by the Programme Board, regardless of the delegated authority to authorise those changes.

PROGRAMME PLAN

- 4A.1.23 A Programme Level Plan has been prepared for GBBN, a copy of which is included in Annex B.
- 4A.1.24 The Programme Plan comprises of the plan in Annex B, the construction profile for the bid in Annex C and Annex A with individual task budgets, timescales and constraints.

STAGE PLANS

- 4A.1.25 The GBBN will be delivered over a four year period.
- 4A.1.26 Due to the nature of the GBBN scheme with multiple sub elements being delivered throughout the programme there are no natural boundaries at which the GBBN Programme Board can review: the progress; plans for the next stage; and overall status of the business case.
- 4A.1.27 It is vital for good programme management to have stage boundaries and therefore the programme has been split into 12 month stages. For each 12 month period, programme partners are expected to produce detailed stage plans in line with the template included in Annex D. This will provide the GBBN Programme Board with an overview of planned against actual activities.
- 4A.1.28 The Independent Programme Director (IPD) will be responsible for providing, through a Highlight Report, an overall assessment of progress. If significant divergence from planned activities or benefits identified then Exception Reporting will be invoked as set out in this Programme Handbook.



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4A.2. Project Management

PROJECT MANAGEMENT STRUCTURE AND RESPONSIBILITIES

4A.2.1 The Governance and project management arrangements for the GBBN are shown in Figure 4A.1 and described further below.

PROGRAMME STEERING GROUP

4A.2.2 The role of the Programme Steering Group is of strategic co-ordination, liaison and monitoring on a quarterly basis of the Programme. This group consists of:

- ◆ Four Executive Members;
- ◆ Four Directors; and
- ◆ Chief Executive of the West of England Partnership – Observer status.

4A.2.3 This more strategic level will relate to the overall programme of major schemes, rather than to the GBBN Programme alone.

4A.2.4 It has also been recognised that none of the local authorities has yet decided to transfer its responsibilities for key decisions to a formally constituted Joint Committee. Key strategic decisions will, therefore, remain with the individual local authorities.

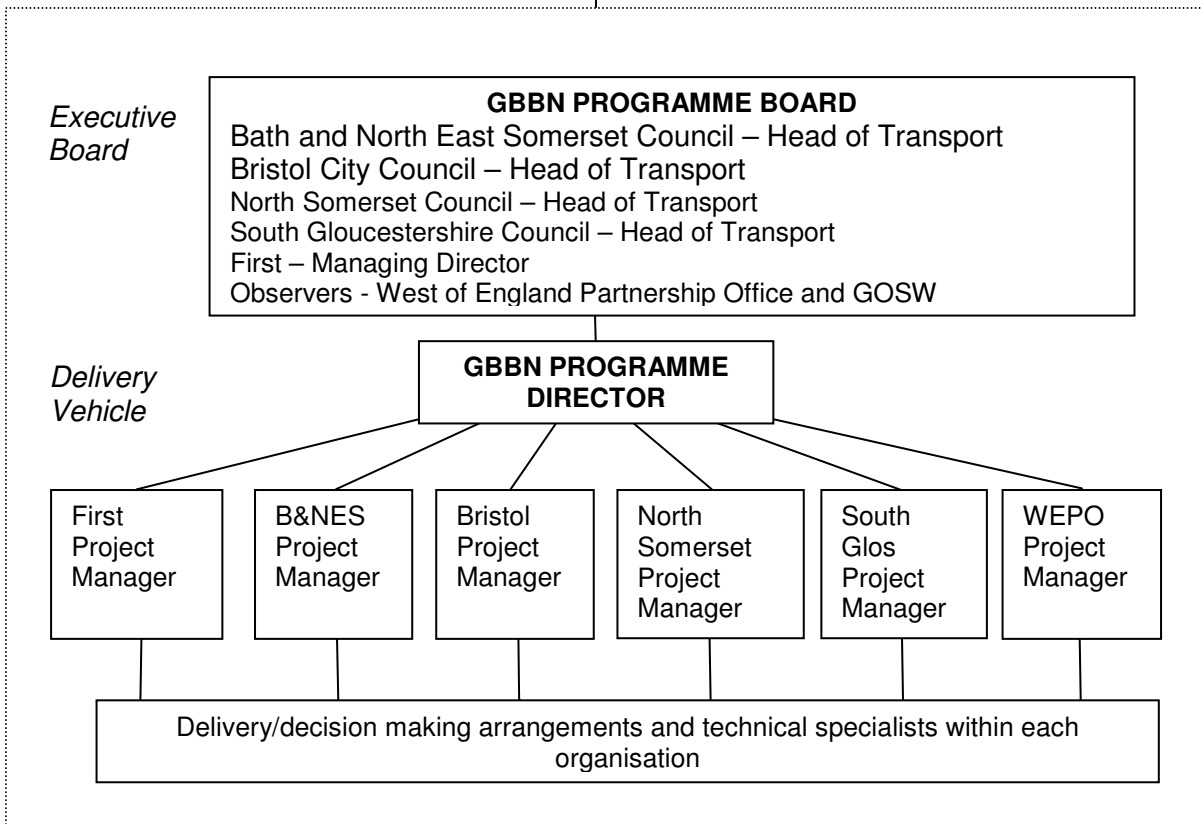
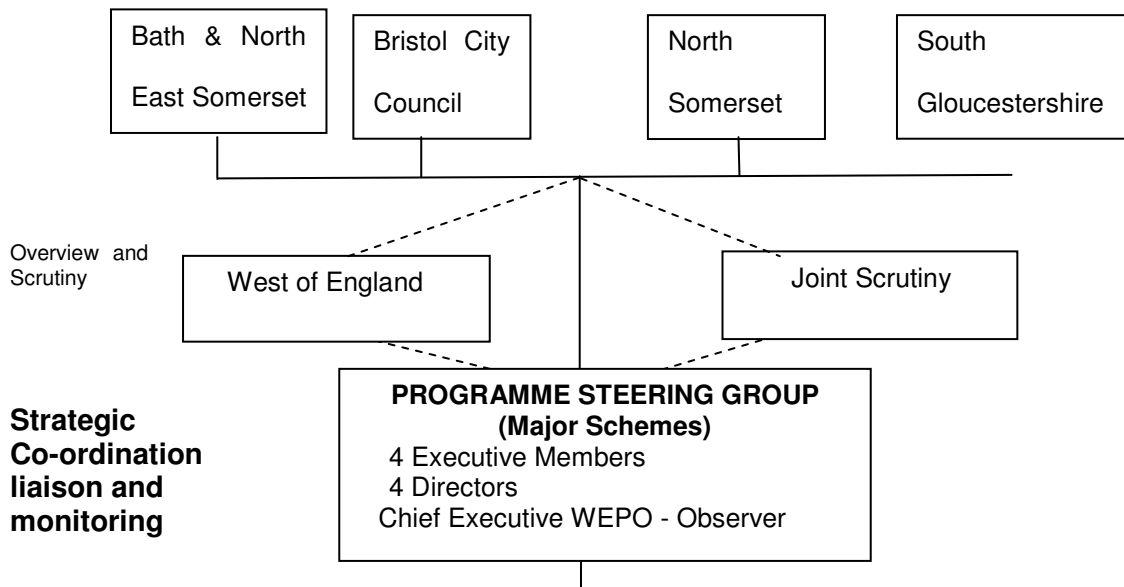
PROGRAMME BOARD

4A.2.5 The Programme Board consists of the group who guide and steer the direction of the GBBN programme and are responsible for its delivery. The Programme Board will authorise the programme/ project plan (and any agreed variations) to be delivered by the Independent Programme Director and authorise strategic decisions, or seek authority for key strategic decisions from the Programme Steering Group, which will be approved by Council Executives.



Figure 4A.1 – Governance Arrangements GBBN

Executive Strategic Decision Making (Major Schemes)





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- 4A.2.6 The Programme Board will consist of representatives of the four authorities and First at sufficiently senior level that representatives have the authority to act on behalf of their organisation, without referring every matter back for further consideration within their organisation. To secure this, the membership will be:
- ◆ Bath and North East Somerset Council – Richard Rawlinson, Head of Service;
 - ◆ Bristol City Council – Colin Knight, Head of Service;
 - ◆ North Somerset Council – Karuna Tharmanthar, Assistant Director;
 - ◆ South Gloucestershire Council – Peter Blake, Head of Service;
 - ◆ First – Tony Anthistle, Managing Director;
 - ◆ West of England Partnership Office – Barbara Davies, Head of Joint Transport Team, Observer status; and
 - ◆ Government Office of the South West – Peter Bartlett, Observer status.
- 4A.2.7 The Joint Transport Team of the West of England Partnership will act as Programme Office Manager.
- 4A.2.8 The GBBN Programme Board will meet at a minimum quarterly throughout the duration of the GBBN Programme. The programme board will consider the following standing items when it meets:
- ◆ Highlight Report (including progress, resources, costs, issues);
 - ◆ Requests for Change;
 - ◆ Exception Plans (where agreed);
 - ◆ Annual Progress Report and Stage Plans (were applicable);
 - ◆ Procurement Report;
 - ◆ Risk Register;
 - ◆ DfT Communication;
 - ◆ Key Approval Items; and
 - ◆ Any Other Business.
- 4A.2.9 The Programme Board will be responsible for ensuring that the project is delivered.
- 4A.2.10 The Programme Board will support the Senior Responsible Officer (SRO) – see below - in the delivery of the GBBN Programme.
- 4A.2.11 The Programme Board will be empowered by the four authorities and First to approve changes to the programme plan within levels set out in this handbook. The empowerment of the Programme Board has been approved by the four authorities, the details of these decision making processes are set out in Annex E.



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- 4A.2.12 In line with PRINCE2 the Programme Board has representations from the Senior User and Senior Supplier. As the GBBN Programme moves from planning to the construction phase the board will consider whether any additional supplier representatives (such as from RTPI supplier or major civil engineering contractor) should be invited to join the Programme Board. At the stage, however, it would be premature as the procurement decisions have not been finalised.
- 4A.2.13 The Programme Board is responsible for Quality Assurance, with one Programme Board member nominated with this role. They will be responsible for utilising the Quality Review techniques set out in this handbook and reporting to the Programme Board their independent view on progress. In undertaking this role the Evaluation Manger will assist with the supply of all relevant monitoring and evaluation and the IPD will supply further clarification on any financial information submitted to the Programme Board. The QA process will also be supported by an independent review group. Further details are set out in Section 7 setting out the Programme Quality Plan.

SENIOR RESPONSIBLE OFFICER

- 4A.2.14 **The Senior Responsible Officer (SRO)** for the programme is provided by South Gloucestershire Council, (currently Peter Blake, South Gloucestershire Council). The Senior Responsible Owner has overall responsibility for ensuring that a programme meets its objectives and delivers the projected benefits within the time and cost parameters set out in the business case. The Senior Responsible Officer is the Chair of the Programme Board.
- 4A.2.15 The SRO will be accountable for delivery of GBBN to the timescale, budget and quality standards set out in the Full Approval Major Scheme Business Case.
- 4A.2.16 The SRO will be empowered to approve changes to programme tasks and work packages within the agreed tolerances set out in Section 4 of this Handbook.
- 4A.2.17 The SRO will meet with the Independent Programme Director and the agreed representative of the nominated representative of the West of England Partnership Joint Transport (JTT) on a weekly basis, either face to face or by telephone conference.
- 4A.2.18 Any change to the SRO will be subject to agreement from all members of the GBBN Programme Board with ratification at the next Programme Steering Group.

INDEPENDENT PROGRAMME DIRECTOR

- 4A.2.19 **The Independent Programme Director (IPD)** will be responsible for delivering the project as set out in the Major Scheme Business Case and in line with the controls and procedures set out in this programme handbook.



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4A.2.20 The primary focus of the IPD will be to define the programme plan and to ensure that the programme is delivered on time and within specification and budget, seeking additional authorities as necessary. This will involve development, monitoring, progress chasing and co-ordination of the GBBN programme as a whole and ensuring that all elements of the programme are delivered with the appropriate technical competency. In particular the role will be:

- ◆ To account for the delivery of the GBBN programme, on time and within specification and budget. Amongst other things this will require the IPD to:
 - Keep the Programme under review and to seek approval for any changes from the Programme Board in line with the procedures set out in this handbook;
 - Regularly review the risk log and advise the Programme Board of changes to risks and to recommend any additional mitigating actions; and
 - Initiate actions under the Communications Plan;
- ◆ To secure the approval of the Programme Board for strategic decisions. These decisions will generally be made directly by the Programme Board, although in exceptional circumstances it may be necessary to refer key strategic decisions to Directors and/or Executives; and
- ◆ To lead a group of Project Managers from the individual partner organisations to ensure:
 - Overall planning of the routes to ensure proper co-ordination;
 - Adherence to the programme management disciplines;
 - Overall co-ordination in delivery of the network;
 - Timely action by each Project Manager to deliver each element of the Programme; and
 - To produce ad-hoc reports or presentations (in addition to that in Chapter 3) for Directors, Executive Members, the Department for Transport, the West of England Partnership and any Joint Scrutiny arrangements as directed.

PROJECT MANAGERS

4A.2.21 Each of the six GBBN Programme partners will have a named **GBBN Project Manager**. The project manager will be responsible for delivery of their work as set out in the Task Orders in Annex A.

4A.2.22 The Project Manager is the critical audience for this project handbook. Within this handbook are the reporting, financial and change controls procedures of the project. If these project managers move outside of the procedures within this programme handbook then they will invoke the red flag procedure set out in Section 4. Red flags will result in suspension of all payments (and eligible claims) from that date until such time that the programme board approves an Exception Plan to rectify the breach of contract.



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EVALUATION MANAGER

- 4A.2.23 It is recognised that Evaluation and Monitoring both during delivery of the Programme and post-completion will be vital to assess the benefits realisation of the programme. It is also recognised that process evaluation will be critical to improve performance throughout and to provide lessons learnt for other projects and programmes by the four authorities and other authorities in the DfT Major Schemes Programme.
- 4A.2.24 To ensure the benefits of GBBN can be captured and tracked against the business case an Evaluation Plan has been prepared. A key element of the Evaluation Plan is the appointment of the Evaluation Manager.
- 4A.2.25 It is critical to ensure that responsibility for Evaluation and Monitoring sits outside of the Programme team. To achieve this, an Evaluation Manager will be appointed for GBBN.
- 4A.2.26 The Evaluation Manager will ensure that a common approach is taken to evaluation activities across the site and will have responsibility for the Evaluation Plan. The **Evaluation Manager** will not be involved in any other aspect of GBBN to ensure that they remain autonomous.
- 4A.2.27 All partners will be obliged to provide and/or support the data collection activities agreed in the Evaluation Plan. Failure to provide the agreed information to the Evaluation Manager will be reported to the SRO and Programme Board. The Programme Board will have the discretion to commission additional monitoring and evaluation throughout the duration of the programme through the Exception Reporting and Change Control procedures set out in the Handbook.
- 4A.2.28 Further details of the Evaluation Plan are set out in the Evaluation Plan, see Annex F.

COMMUNICATIONS OFFICER

- 4A.2.29 In line with the Communications Plan there will be one nominated communications officer. This person is the primary contact for coordinating media activities, either proactive or responsive, on behalf of the four authorities.
- 4A.2.30 Full details of the Communications Plan are included in Annex G.

INTERNAL QUALITY CONTROL PROCEDURES

- 4A.2.31 In addition to general monitoring of the project progress against objectives, the IPD will be responsible for quality control of deliverables and outputs of the project.



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REPORTS AND DELIVERABLES

- 4A.2.32 A number of the tasks, for example Monitoring and Evaluation, will include the production of deliverables throughout the duration of the GBBN Programme. The IPD will assess each deliverable for quality of product and consistency in approach. The draft deliverables will then be circulated by the JTT to the SRO and Programme Board for approval at the next meeting.

MINUTES OF MEETINGS

- 4A.2.33 All action points and decisions will be minuted. Minority views will be minuted when requested. Minutes of the meetings of the Programme Board will be drafted by the JTT and transmitted to the nominated contacts and attendees. The minutes shall be considered as accepted by partners if, within five working days from receipt, no objections have been received.
- 4A.2.34 The template for all GBBN minutes is included in Annex H.

CORRESPONDENCE AND FILING

- 4A.2.35 A central project referencing and filing system will be set up at the JTT Project Office to ensure correct storing of correspondence and other project material sent to/from the IPD.

4A.3. Formal Management Procedures

FINANCIAL AND MANAGEMENT REPORTING

- 4A.3.1 This handbook includes the communication and reporting protocols for the GBBN Programme.
- 4A.3.2 Regular financial reporting will be critical to ensure that the Programme Board, SRO and IPD are able to track progress against the timescales and budgets set out in Annex A.
- 4A.3.3 Reporting will take place in the following ways:

WEEKLY PROGRESS MEETING

- 4A.3.4 The IPD will have meetings (either face to face or telephone) with each of the six project managers on a weekly basis. This meeting will be to review key progress in the past seven days and review any issues that may have arisen or are likely to occur. The meeting will be the opportunity for any potential programme changes to be discussed and, where applicable, commencement of change control procedures as set out set out in the handbook. Where agreed Exception Plans are in place, the meeting will focus on these to ensure that the programme remains within any revised tolerances approved by SRO and the Programme Board.
- 4A.3.5 The weekly progress report will be recorded in the template provided in Annex I.
- 4A.3.6 The information will be used to update the progress and spend in the task order tracker spreadsheet (Annex L).

QUARTERLY PROGRESS REPORT

- 4A.3.7 The **Quarterly Report** will be submitted to the IPD by each of the project managers. The template for this report is provided in Annex J. The IPD will complete the current progress information by task from the Task Order Tracker Spreadsheet.
- 4A.3.8 The report provides the means for a review of all progress and expenditure for each of the tasks. It will also be the mechanism for submitting cost statements. Cost statements will be submitted alongside the Quarterly Report in the format set out in Annex N and will be supported by staff time records and copies of invoices from all sub-contractors. Invoices should specifically refer to the GBBN; otherwise they may not be paid. Each partner will submit two signed copies of the cost statement.
- 4A.3.9 The fourth quarterly report each year will form the: **Annual Progress Report**; and the Exception Reports and Exception Plan where required.



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EXCEPTION REPORTING

- 4A.3.10 All project issues that have an impact on either the time or financial constraints set out in Annex A will require a formal **Exception Report**. The template is set out in Annex K. In most instances it is expected that an Exception Report will contain the proposed rectification measures (Exception Plan). Full details of the reporting procedures and programme change procedures are set out in Section 4.

STAGE PLANS

- 4A.3.11 The Programme Plan included in Annex B of this handbook is a strategic overview of the phases and stages of the GBBN Programme. To allow the Programme Board to be confident of the delivery of the programme, detailed stage plans will be requested from project managers for each 12 month period of delivery. The detailed stage plan will be considered alongside the Annual Progress Report.
- 4A.3.12 The **Stage Plan** will be in the form set out in the template in Annex D.
- 4A.3.13 The stage plan and Annual Progress Report will constitute a formal checkpoint for reviewing the business case. Where any changes in the GBBN Programme are proposed then the report will need to set out the potential impacts on the business case of both doing nothing and something,
- 4A.3.14 The programme board will consider all stage plans and, in approving them, will authorise changes to the budgets and timescales associated with the GBBN programme.
- 4A.3.15 All changes will be in accordance with the thresholds and rules set out in this handbook.

MONITORING PROGRESS - TASK ORDER TRACKER SPREADSHEET

- 4A.3.16 A central control spreadsheet has been devised for the programme as set out in Annex L. The spreadsheet summarises the details of the Work Package Task Orders set out in Annex A of this handbook. The spreadsheet is the version control for the templates and allows for updated information on expenditure and effort on each task.
- 4A.3.17 The spreadsheet will be controlled by the Independent Programme Director and will be reported as a standing item to the Programme Board.
- 4A.3.18 No partner will deviate from the budgets and or timescale set out in the control spreadsheet without instigating change procedures as detailed in this Programme Handbook.

VARIATIONS TO CONTRACT

- 4A.3.19 Variations to the contract are defined as any one, or combination, of the following:



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- ◆ Changes to the financial contribution of any participant, including Department for Transport;
- ◆ A significant* change in the number of person months work to be carried out by any participant. Significant* changes to project cost or time schedules;
- ◆ Transfer of costs/resources between partners;
- ◆ Withdrawal of one or more partner; and
- ◆ Termination of the DfT contract.

* The full definition of what is classed as a significant change is set out in the change control section (see Section 4).



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4A.4. Change Controls

PROCEDURE FOR CHANGES TO TASK ORDERS (TIME AND BUDGET)

- 4A.4.1 It is recognised that change will occur during the implementation of GBBN. The purpose of this section is to provide appropriate delegation of decision making to avoid excessive bureaucracy and involvement of the Programme Board. At the same time the controls and thresholds have been set to ensure the Programme Board and Programme Steering Group are involved where necessary. To this affect a sliding scale of delegated powers is set out in this handbook to allow different levels of the governance structure to make change decisions.
- 4A.4.2 Regardless of the delegation, all changes will be recorded in line with the procedures set out in this handbook. All changes will be ratified at the next Programme Board meeting.
- 4A.4.3 The change procedure will ensure that issues are captured, changes are identified and the programme board can take an informed decision.
- 4A.4.4 All changes, for whatever reason, will be documented on the GBBN Change Request Form set out in Annex M. Following any agreed change all programme management documentation will be updated in advance of the next Programme Board. This will include revised Task Orders (Annex A) and Task Order Tracker Spreadsheets (Annex L).
- 4A.4.5 Any changes to the Task Orders outside of the procedures set out in this handbook will result in an immediate suspension of payments and the issues will be raised in an Exception Report for consideration at the next Programme board meeting. The Programme Board will instruct the SRO and IPD to prepare an Exception Plan for their approval.

THRESHOLDS FOR MOVING FUNDING BETWEEN TASKS AND ALTERING DELIVERY TIMESCALES WITHIN A PARTNERS WORK PACKAGE

- 4A.4.6 It is recognised that change will occur throughout the delivery of GBBN and that it will be necessary to delegate powers of decision making in relation to change if excessive numbers of meetings and decisions by the Programme Board are to be avoided. In line with PRINCE2 a series of approval limits are proposed for each tier of the management structure. This authorisation levels are set out below.
- 4A.4.7 All requests for changes that fall within the authorisation levels set out in this section will be submitted to the IPD on a GBBN Request for Change Form as set out in Annex M.



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PROJECT MANAGERS

4A.4.8 It is recognised that change will occur and the project managers will need some element of discretion to balance the expenditure and construction of the individual tasks within their allocated work package.

4A.4.9 The Project Manager is authorised to do the following:

- ◆ Authorised to move up to a maximum 10% between individual tasks within a work package up to an absolute value of £30,000;
- ◆ The limits apply to both the task that is receiving monies and the task that is the source of the additional funding (i.e. the additional money being added to the task cannot exceed 10% of that task);
- ◆ The Project Manager will be able to authorise changes to finish or start dates of any individual task by up to one month;
- ◆ The 10% and one month delay relate to cumulative financial change or cumulative time change from the agreed budgets and delivery timescales in the task orders in Annex A. This means that, regardless of the number of changes, the Project Manager cannot authorise any change in excess of thresholds when compared to the baseline cost and time constraints set out in Annex A. For example, a budget of £100k could only rise to £110k with Project Manager authorisation, regardless of the number of changes made; and
- ◆ Changes above these levels will require authorisation at the appropriate level as set out in this Section.

INDEPENDENT PROGRAMME DIRECTOR

4A.4.10 The IPD is authorised to do the following:

- ◆ To move up to a maximum 15% between individual tasks within a work package up to an absolute value of £40,000;
- ◆ The limits apply to both the task that is receiving monies and the task that is the source of the additional funding (i.e. the additional money being added to the task cannot exceed 15% of that task);
- ◆ These thresholds take into account any other changes approved by Project Managers, SRO, Programme Board or Programme Steering Group. For example, if the Project Manager has moved 7.5% from one budget to another then the IPD could only authorise up to a further 7.5% change from the original budget;
- ◆ IPD will be able to authorise changes to finish or start dates of any individual task by up to two months;
- ◆ The 15% and two month delay relate to cumulative financial change or cumulative time change from the agreed budgets and delivery timescales in Annex A. This means that, regardless of the number of changes, the IPD cannot authorise any change in excess of thresholds when compared to the baseline



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cost and time constraints set out in Annex A. For example, a budget of £100k could only rise to £115k with the IPD's authorisation, regardless of the number of changes made; and

- ◆ Changes above these levels will require authorisation at the appropriate level as set out in this Section.

SENIOR RESPONSIBLE OFFICER

4A.4.11 The SRO is authorised as follows:

- ◆ Authorised to move up to a maximum 20% between individual tasks within a work package up to a maximum of £75,000;
- ◆ The limits apply to both the task that monies are being moved from and the task receiving the additional funding (i.e. the additional money being added to the task cannot exceed 20% of the receiving task);
- ◆ These thresholds take into account any other changes approved by Project Managers, IPD, SRO, Programme Board or Programme Steering Group. For example, if the Project Manager has moved 7.5% from one budget to another then the SRO could only authorise up to a further 12.5% change from the original budget;
- ◆ The SRO will be able to authorise changes to finish or start dates of any individual task by up to three months;
- ◆ The 20% and three month delay relate to cumulative financial change or cumulative time change from the agreed budgets and delivery timescales in the task orders in Annex A. This means that, regardless of the number of changes, the SRO cannot authorise any change in excess of thresholds when compared to the baseline cost and time constraints set out in the task orders in Annex A. For example, a budget of £100k could only rise to £120k with the SRO's authorisation, regardless of the number of changes made; and
- ◆ Changes above these levels will require authorisation at the appropriate level as set out in this Section.

PROGRAMME BOARD

4A.4.12 The Programme Board are authorised to do the following by unanimous decision:

- ◆ To move up to a maximum 35% of budget between tasks within a work package up to a maximum of £100,000;
- ◆ The limits apply to both the task that monies are being moved from and the task receiving the additional funding (i.e. the additional money being added to the task cannot exceed 35% of that task);
- ◆ The Programme Board will be able to authorise change to start and finish dates of any individual tasks by up to six months, subject to the change of timescale not delaying completion of the programme;



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- ◆ These thresholds take into account any other changes approved by Project Managers, IPD, SRO, Programme Board or Programme Steering Group. For example, if the Project Manager has moved 7.5% and the SRO 5% then Programme Board could only authorise up to a further 22.5% change from the original budget;
- ◆ The 35% and six month delay relate to cumulative financial change or cumulative time change from the agreed budgets and delivery timescales in the task orders in Annex A. This means that, regardless of the number of changes, the Programme Board cannot authorise any change in excess of thresholds when compared to the baseline cost and time constraints set out in the task orders in Annex A. For example, a budget of £100k could only rise to £135k with the Programme Board's authorisation, regardless of the number of changes made; and
- ◆ Changes above these levels will require authorisation at the appropriate level as set out in this Section.

PROGRAMME STEERING GROUP

4A.4.13 The Programme Steering Group is authorised to do the following by unanimous decision:

- ◆ To move up to a maximum 45% of budget between tasks within a work package up to a maximum of £200,000;
- ◆ The limits apply to both the task that monies are being moved from and the task receiving the additional funding (i.e. the additional money being added to the task cannot exceed 45% of that task);
- ◆ The Programme Steering Group will be able to authorise change to start and finish dates of any individual tasks by up to nine months, subject to the change of timescale not delaying completion of the programme;
- ◆ These thresholds take into account any other changes approved by Project Managers, IPD or Programme Board. For example, if the Project Manager has moved 7.5% and the SRO 5% then Programme Steering Group could only authorise up to a further 32.5% change from the original budget; and
- ◆ The 45% and nine month delay relate to cumulative financial change or cumulative time change from the agreed budgets and delivery timescales in the task orders in Annex A. This means that, regardless of the number of changes, the Programme Steering Group cannot authorise any change in excess of thresholds when compared to the baseline cost and time constraints set out in the task orders in Annex A. For example, a budget of £100k could only rise to £145k with the Programme Steering Group's authorisation, regardless of the number of changes made.



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Requests for Transfer of Funding Between Tasks above These Levels

- 4A.4.14 This section only relates to requests for transfers within an individual work package. A transfer between work packages is covered later in this chapter. If a programme partner wishes to transfer funding between tasks outside of the delegations set out above it will require an Exception Report to be prepared by the IPD in conjunction with the relevant project manager.
- 4A.4.15 The Exception Report will be considered at the next Programme Board. If no Programme Board is scheduled within the next six weeks then an extraordinary meeting will be arranged.
- 4A.4.16 In line with the template for Exception Reporting the report will include an evaluation of the impacts on the major scheme business case of both undertaking the budget change proposed and of taking alternative courses of action, including doing nothing. The specific content of each Exception Report and Exception Plan will be unique to each individual circumstance and the content and options included will be agreed with the IPD and SRO.
- 4A.4.17 If, as a result of the proposed change, there will be a 'major' change to either of the tasks receiving or losing budgets then the procedure for dealing with a major change will need to be followed in addition to the rules set out in this section.

APPLICATION FOR FUNDING FROM GBBN CHANGE BUDGET

- 4A.4.18 During the completion of the full approval business case or during construction of the project it is recognised that, in a limited number of occasions, additional funding may be required from the GBBN change budget. In most cases the Exception Report will include an Exception Plan demonstrating the impact on the business case of both doing nothing and doing something (providing the additional funding).
- 4A.4.19 When requests for additional funding from the change budget are being made from the four Unitary Authorities of Bath and North East Somerset, Bristol City, North Somerset and South Gloucestershire Councils then, in all cases, the partner requesting the funding will need to demonstrate that they could not provide the shortfall from other sources of funding at their disposal.
- 4A.4.20 To instigate a request for additional funding a Programme Issue will need to have been raised with the IPD. The IPD will assess the issue with the SRO and, where appropriate, the IPD will be instructed to prepare an Exception Report in conjunction with the relevant project manager. Depending on the scale of resources required the delegated authority to approve the additional funding will lie with the following groups.

IPD Authority Levels

- 4A.4.21 IPD authorised to approve up to £50,000 for each partner in 12 month period with ratification at the next Programme Board. The total value of any changes within each 12 month period will not exceed £50,000 for each partner.



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SRO Authority Level

- 4A.4.22 SRO authorised to approve up to £75,000 for each partner in 12 month period with ratification at the next Programme Board. The total value of any changes within each 12 month period will not exceed £75,000 for each partner.
- 4A.4.23 The financial total of the changes authorised by the IPD will be included in the £75,000 limit for approval by the SRO. For example, if £20,000 of budget increased has been approved by the IPD then the SRO will only be able to authorise an additional £55,000 in any one 12 month period.

Programme Board Authority Level

- 4A.4.24 The Programme Board will be authorised to approve up to £250,000 for each partner in 12 month period with ratification at the next Programme Board. The total value of any changes within each 12 month period will not exceed £250,000 for each partner.
- 4A.4.25 The financial total of the changes authorised by the IPD and SRO will be included in the £250,000 limit for approval by the Programme Board. For example, if £20,000 of budget increased have been approved by the IPD and £45,000 by the SRO then the Programme Board will only be able to authorise an additional £185,000 in any one 12 month period.

Programme Steering Group Authority Level

- 4A.4.26 The Programme Steering Group will be authorised to approve up to £500,000 additional funding for each partner in 12 month period. All changes approved by the Programme Steering group will be reported with ratification to Programme Documentation at the next Programme Board meeting. The total value of any changes within each 12 month period will not exceed £500,000 for each partner.
- 4A.4.27 The financial total of the changes authorised by the IPD and SRO and Programme Board will be included in the £500,000 limit for approval by the Programme Steering Group. For example, if £20,000 of budget increase has been approved by the IPD and £45,000 by the SRO then the Programme Board will only be able to authorise an additional £435,000 in any one 12 month period.

Requests for Change above this level or Outside of Change Control Budget

- 4A.4.28 A significant delivery risk for the programme is if issues raised through the procedures set out in the handbook require funding that exceeds that available in the change budget. Whilst we are confident that the preparatory works undertaken in developing the business case will have significantly reduced the risk of this occurring, procedures for such a change, however unlikely, have been included in this section.
- 4A.4.29 If the IPD is alerted to such an issue the matter will be raised with the SRO. The SRO will direct the IPD in the preparation of an Exception Report and convene an extraordinary Programme Board meeting. The Exception Report will need to detail the



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audit trail of the issue occurring and relate the issues to the risk management plan. The Programme Board will consider each issue on a case by case basis. The Exception Report will consider the following minimum responses:

- ◆ Rejection of request for change with reasons; and
- ◆ Approval of additional funding through either:
 - Increased allocation of change budget;
 - Movement of Funding between Work Packages (see 4.34 for detailed explanation);
 - Major Change to GBBN Programme, including termination of individual tasks (see 4.46); and
 - Additional ‘gap’ funding provided by one or more partners.

4A.4.30 Following guidance from the Programme Board the Exception Plan will be prepared for submission to the Programme Steering Group. The Exception Plan will set out the business cased impacts of both the proposed response and rejected responses. If no Programme Steering Group is scheduled within the next six weeks then an extraordinary meeting will be convened.

4A.4.31 Following approval of the Exception Plan (with any subsequent revisions), the Task Orders in Annex A and budget monitor will be updated to reflect the changes to the budget.

4A.4.32 The business case, in particular the anticipated benefits and outcomes, will be amended to reflect the decisions made.

4A.4.33 If, at any time, the outcomes of the change procedure result in a fundamental change to the programme as agreed in the parent contract between DfT and Bath and North East Somerset Council then the SRO (on behalf of Programme Board) will suspend the GBBN Programme with immediate affect until such time that GBBN Programme receives formal approval to recommence from DfT. Any expenditure incurred following suspension will not be eligible for claim by any Project Partner.

RED FLAG PROCEDURES

4A.4.34 If, for any reason, any partner is found to be operating outside of the GBBN programme controls as set out in this handbook (or subsequent versions), then the SRO will be empowered to ‘red flag’ any partner. This will result in immediate suspension of any payments and will require an extraordinary Programme Board meeting. At the meeting the partner(s) in question will be required, in conjunction with IPD, to prepare an Exception Report setting out the current position and reasons for departure. The project partner(s) in questions will also be given the opportunity to put forward their proposals, in the form of an Exception Plan, to rectify the non-compliant change.



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- 4A.4.35 Any changes required will need to address the change control procedures set out in this chapter and before recommencement of funding to the relevant partner can be granted it will require approval of all Programme Board members.
- 4A.4.36 If a majority do not support the Exception Report and Plan then the IPD will be given guidance on re-submitting. If, however, a minority of Programme Board members oppose the proposal then the matter will be referred to the Programme Steering Group for their consideration.

MOVEMENT OF FUNDING BETWEEN WORK PACKAGES

- 4A.4.37 Throughout the duration of the GBBN Programme there could be a need to consider the transfer of funding between work packages. This could be raised by mutual consent, or could be deemed necessary by the Programme Board to address a risk arising from issues that have occurred through the Exception Reporting procedure.
- 4A.4.38 All changes of this nature will be raised as Exception Reports and considered at the next Programme Board. If no Programme Board is scheduled within the next two weeks then an extraordinary meeting will be convened.
- 4A.4.39 The Exception Report will be prepared by the IPD, guided by the SRO, and will include the audit trail of issues being raised through the reporting procedures set out in this Handbook. If reporting procedures have not been followed the 'Red Flag' procedures will be immediately applied.
- 4A.4.40 The Programme Board will consider the report and direct the SRO and IPD to produce an Exception Plan for consideration by the next Programme Steering Group. The Exception Plan will set out the benefits, costs and risks of taking both the proposed action and no action. If, to allow the change to take place, termination of any of the individual tasks is proposed, then a description of the impacts on the business case, including benefits realisation, will be included in the Exception Report.
- 4A.4.41 The GBBN Programme Board recognise the importance of consulting DfT on any significant change to the GBBN programme. Any proposals to move funding between work packages will be subject to formal consultation with DfT.
- 4A.4.42 Following consultation with DfT, the SRO will present the proposals to Programme Steering Group. If no meeting is scheduled within the next six weeks then an extraordinary meeting will be convened.

CHANGES TO TASK ORDERS

- 4A.4.43 It is recognised that during the implementation of the programme some of the individual task orders will change. This is particularly relevant to the bus priority works where during the detailed design stage the exact layout of schemes would be expected to alter.



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- 4A.4.44 The overarching principle of the GBBN Programme is that the schemes that are delivered should not deviate significantly from those set out in the Task Orders in Annex A. Any significant changes from those set out in the Task Orders in Annex A are likely to have impacts on the business case and predicted outcomes (in terms of bus journey time reliability, bus journey times and bus patronage).
- 4A.4.45 Task Order changes are classified as ‘minor’ and ‘major’. The definition of ‘major’ changes is set out in the next section, detailing how major changes will be dealt with. ‘Minor’ changes are any that do not fall within the definition of ‘major’.
- 4A.4.46 The procedure for approving ‘minor’ changes to Task Orders will be through the Exception Reporting procedures. Any changes to bus priority measures and bus stop infrastructure will be expected to have been discussed with First prior to production of the Exception Report.
- 4A.4.47 The IPD will review all proposed changes with the SRO and recommend items for approval at the next Programme Board. If there are any proposed changes that the IPD and SRO cannot agree with a partner these will be submitted to the next Programme Board for consideration.
- 4A.4.48 The IPD and SRO will not be empowered to authorise any ‘major’ change as defined in the next section.

MAJOR CHANGES TO THE GBBN PROGRAMME (INCLUDING TERMINATION)

- 4A.4.49 Any major change to final nature of any of the individual tasks delivered as set out in the Task Orders will be considered a fundamental change to the programme. An Exception Report will need to be discussed and submitted to the IPD.
- 4A.4.50 The report will be discussed, in the first instance, at the next Programme Board. If the next meeting will be in excess of six weeks the SRO will communicate with other Programme Board members to agree if an extraordinary meeting is required.
- 4A.4.51 On consideration of the Exception Report, the Programme Board will consider if the changes made to the task are considered necessary. If the changes are considered to have any potential impact on the benefits realisation set out in the business case then the IPD will be requested to prepare an Exception Plan setting out the impacts of both accepting and rejecting the proposed change. The IPD will recommend alternative actions in the Exception Plan if considered appropriate.
- 4A.4.52 It is recognised that it will be critical to consult DfT of any proposed ‘major changes’ to the GBBN programme. Following consideration of the Exception Report by Programme Board the SRO will send the Exception Report to DfT for consideration. Should consultation with DfT result in significant changes to the Exception Report then it will require further consideration by the Programme Board.



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- 4A.4.53 Following consultation with DfT the Exception Report, with any subsequent changes, will be presented to the next Programme Steering Group. If no meeting is scheduled within the next six weeks then an extraordinary meeting will be convened.
- 4A.4.54 Following the decision of the Programme Steering Group all programme documentation will be changed to reflect revisions to Task Orders and Programme monitoring.
- 4A.4.55 For the purpose of GBBN the definition of a major change is:
- ◆ Proposed removal of one or more specific tasks as defined in the Task Orders in Annex A;
 - ◆ Reduction or extension of any proposed bus lanes or HOV Lanes by 25m or more where bus lane proposals exceed 150m;
 - ◆ Reduction or extension of any proposed bus lanes or HOV Lanes by 15m or more where bus lane proposals are less than 150m;
 - ◆ Removal of any proposed signalisations or junctions or changes;
 - ◆ Alterations to permitted and prohibited movements at junctions as set out in the Task Orders;
 - ◆ Change to the specification of buses as set out in the Quality Bus Scheme(s);
 - ◆ Failure to proceed with Quality Bus Scheme(s) as set out in the business case; and
 - ◆ Dispute between any party within the Quality Bus Scheme Agreements.



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4A.5. Financial Control and Reporting

COST STATEMENTS AND PAYMENT TO PARTNERS

- 4A.5.1 Bath and North East Somerset is providing the financial administration of the project.
- 4A.5.2 Each partner will be responsible for producing their own cost statements using the template provided in Annex N. Cost statements that do not comply with the template or those that fail to include mandatory information will not be paid.
- 4A.5.3 All cost statements must be accompanied by one copy of the invoices for which payment is being claimed (except travel and subsistence) with the project name clearly stated. General conditions to the contract, providing details of eligible costs, are set out in Annex O.
- 4A.5.4 Provided with this Handbook is an electronic Excel spreadsheet which will automatically produce a cost statement from the data that is entered. It is useful for co-ordination purposes if an electronic version is submitted to the Independent Programme Director for preliminary checks prior to the submission of two signed copies.
- 4A.5.5 Payments will be made to partners in accordance with money received from DfT.

GUIDELINES FOR CONTRACTORS: FINANCIAL FILES FOR AUDITS

- 4A.5.6 Each project partner is required to maintain an up to date GBBN financial file to a common file format. These files should include:
- ◆ Copies of all cost statements;
 - ◆ Copies of all timesheets showing resource usage by task on GBBN, to be used when completing cost statements;
 - ◆ Records showing rates used by employees who have worked on GBBN, and proof of payment of salary (including changes to salary);
 - ◆ Itemised travel and subsistence claims (including and excluding VAT);
 - ◆ Receipts for all travel claims made, along with hotel and subsistence receipts;
 - ◆ Receipts and/or credit card bills for all equipment, consumables and computing items claimed, including date of purchase and cost including and excluding VAT;
 - ◆ Invoices for all external assistance claimed, plus a note justifying expenditure; and
 - ◆ Overhead costs for each cost statement period and a breakdown of how they are derived.



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MONITORING OF THE FINANCIAL STATUS OF THE PROGRAMME

- 4A.5.7 The IPD will monitor financial information provided by each partner for each quarterly period to ensure resource usage does not deviate from the budgeted schedule. The template for the task order tracker spreadsheet is included in Annex L.
- 4A.5.8 The task order tracker spreadsheet will be maintained throughout the duration of the project, and will allow the IPD and SRO to monitor progress against the tasks for each partner. The IPD will be able to highlight:
- ◆ Actual against planned staff resource use for each task;
 - ◆ Actual against planned contractor resource use for each task; and
 - ◆ Work progress against resources used.
- 4A.5.9 The spreadsheet will be updated with changes to timescales and resources approved through the change controls set out in this handbook.
- 4A.5.10 This database will also be used to provide an ongoing summary of resource usage for each GBBN Partner, to aid their own resource and financial monitoring and in the preparation of cost statements.



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4A.6. Project Communication

COMMUNICATION WITH PROGRAMME BOARD

4A.6.1 All communication with the Programme Board will be via the IPD and SRO. No partner will make direct contact with the Programme Board without prior approval of the IPD and/or SRO.

COMMUNICATION WITH GOSW AND DFT

4A.6.2 All GBBN contact with GOSW and DfT will be made through SRO and IPD. All correspondence will be copied to the other Programme Board members. All Programme Board members will be invited to attend any meetings arranged with GOSW and DfT.

COMMUNICATION WITH MEDIA

4A.6.3 The Communications Officer will be the primary point of contact for any contact with the media.

4A.6.4 Where an overarching reply on behalf of all/some of the authorities is required, to ensure consistency this will be dealt with in consultation with all four Councils Communications Officers.

4A.6.5 Any enquiries about detailed planning matters or other issues which are specific to a particular Council will be dealt with by the relevant Councils PR department, who will consult with their officers and members about how best to handle the enquiry.

INTERNAL COMPUTING STANDARDISATION

Table 4A.2 – Software Standardisation

Type of task	Programs	Other details
Word processing	Microsoft Word 2000	Information on text and formatting standardisation for reports and deliverables can be found in Table 8.1
Spreadsheets	Microsoft Excel 2000	
Databases	Microsoft Access 2000	
E-mail	Please ensure that large files are compressed for transmission wherever possible. Any files over 1MB should only be sent to those partners to whom they are relevant. Other partners should be notified that the relevant data is available.	



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Compressing files for email transfer	WINZIP	
Sending pictures and photographs for documentation and dissemination	TIF format for documents. GIF/JPEG format for website.	For pictures to be of a printable quality, it is recommended that they are of a resolution of 300 dots per inch (dpi) or better.

E-MAIL GUIDELINES

- 4A.6.6 A list of partners e-mail addresses is contained in Annex P. The use of e-mail is essential for day-to-day contact. It is the responsibility of each partner to ensure that the relevant personnel are included in the e-mail grouping. Any changes to e-mail addresses should be sent to the Joint Transport Team, who will maintain an updated contact list. A revised list will be forwarded to project contacts, at regular intervals.
- 4A.6.7 Certain rules are required for the use of e-mail:
- ◆ All messages concerning the project should contain “GBBN” in the ‘subject heading’: and
 - ◆ For certain key documents, the IPD may ask that a reply be sent to confirm that the right person has received the document. It will be specified on each e-mail if this is necessary. The same should apply to important e-mails sent to the IPD.

EXTERNAL COMMUNICATION

- 4A.6.8 All external communication will be coordinated by Communications Officer in accordance with the Communications Plan set out in Annex G.

THE GBBN WEBSITE

- 4A.6.9 Within the West of England a website for GBBN will be set up and maintained throughout the life of the programme. The website will be the one-stop-shop for all information relating to GBBN. It will contain consultation materials, plans and interactive feedback facilities. Any enquiries made through the website will be answered in accordance with the partners’ customer charters. Where these differ in terms of response times the fastest response time will be used as the target.

THE GBBN FACT SHEET

- 4A.6.10 Following formal approval from DfT a short fact sheet will be produced to provide a concise overview of the GBBN programme. The fact sheet will summarise the objectives, key elements, opportunities for engagement and milestones for the programme. It will include the contact details for the Joint Transport Team and IPD.



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THE GBBN PROJECT NEWSLETTERS

- 4A.6.11 In line with the Communications Plan, six-monthly newsletters will be produced to provide internal and external stakeholders and interested members of the public with up to date progress on the project.



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4A.7. Project Quality Plan

QUALITY STANDARDS

- 4A.7.1 The provision of materials and works associated with the delivery of GBBN are subject to the detailed quality standards.
- 4A.7.2 Detailed Quality Standards have been prepared for the following elements.
- ◆ Construction Standards for each UA Maintenance Team;
 - ◆ Bus Stop Specifications;
 - ◆ Bus Stop Pole and Flag Specification;
 - ◆ Raised Kerb Specification;
 - ◆ Real Time Passenger Information Specification;
 - ◆ UTMC Compliance Specification;
 - ◆ Branding; and
 - ◆ Marketing and publicity.

QUALITY ASSURANCE

- 4A.7.3 In line with PRINCE2, quality assurance of both process and outcome will be undertaken throughout the programme. The Programme Board will delegate Quality Assurance to a nominated representative from the Board. This person will utilise the following Quality Assurance techniques.

PEER REVIEW GROUP

- 4A.7.4 A peer review group will be established to support Quality Assurance. All Programme Board members will be given the opportunity to provide staff for this group. All nominated staff must not be directly involved in delivery of any of the GBBN tasks set out in the task orders in Annex A.
- 4A.7.5 The Peer Review Group will be convened at the discretion of the Programme Board member with quality assurance responsibilities to meet and review actual progress against that planned. The purpose of the group is to provide an internal 'challenge' role to support the Programme Board when considering progress reports from the IPD. The group will not undertake any audits or reviews at this level but rather raise formal issues to via the nominated Programme Board member if concerns are identified.



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EXTERNAL QUALITY REVIEWS

- 4A.7.6 It is proposed to complement the internal review group and formal Gateway Reviews that external reviews will be undertaken throughout the duration of the GBBN Programme. The reviews will take place at the discretion of the Programme Board at a minimum frequency of every 12 months. The approval for such a review will include a detailed proposal for: the reasons (linked to issues/risks, Peer Review reports or change controls); scope; timescale; and budgetary requirements for the review.
- 4A.7.7 All Quality Reviews will include the following minimum requirements:
- ◆ Establishment of a review team with the following roles: Review chairperson; Reviewer(s); and scribe;
 - ◆ Agreed scope and timescale;
 - ◆ Agreed list of documentation for the IPD and SRO to provide in advance; and
 - ◆ Formal report following conclusion of the review with, if necessary, an Exception Report for the Programme Board to consider.

GATEWAY REVIEWS

- 4A.7.8 Gateway Reviews will continue to be undertaken throughout the delivery timeframe of GBBN.
- 4A.7.9 DfT guidance requires a Gateway 4 to be completed before final payments can be made and commitment to undertake Gateway 5 following delivery.
- 4A.7.10 GBBN differs from the standard major scheme guidance since it has been agreed at the review in December 2006 that a Gateway 0 Programme Review should be applied.
- 4A.7.11 As part of the agreement to undertake Gateway 0 reviews they will be configured to mirror the 'project' gateway reviews and cover in sufficient detail the issues that DfT require to have been examined. Whilst we will seek to cover any 'mandatory' issues, the exact scope and nature of each review, as with all Gateway Reviews, will be agreed between the Project Partners and the DfT to ensure best use of both the 4Ps, reviewers resources and maximum 'added value' from the reviews.
- 4A.7.12 The Programme Board reserves the right to request additional reviews from 4Ps throughout the delivery of GBBN programme as it considers necessary.



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4A.8. Quality Control and Configuration Management

INTRODUCTION

- 4A.8.1 This Chapter sets out the procedures that need to be followed by to ensure that any GBBN documents are traceable, readable, verified, reviewed, and approved prior to issue.

DEFINITIVE LIST OF DOCUMENTS AND TITLES

- 4A.8.2 There must be a definitive 'current version' of any working document, into which work from multiple sources can be incorporated. The title of each document needs to be defined so that there is correct cross-referencing between documents.

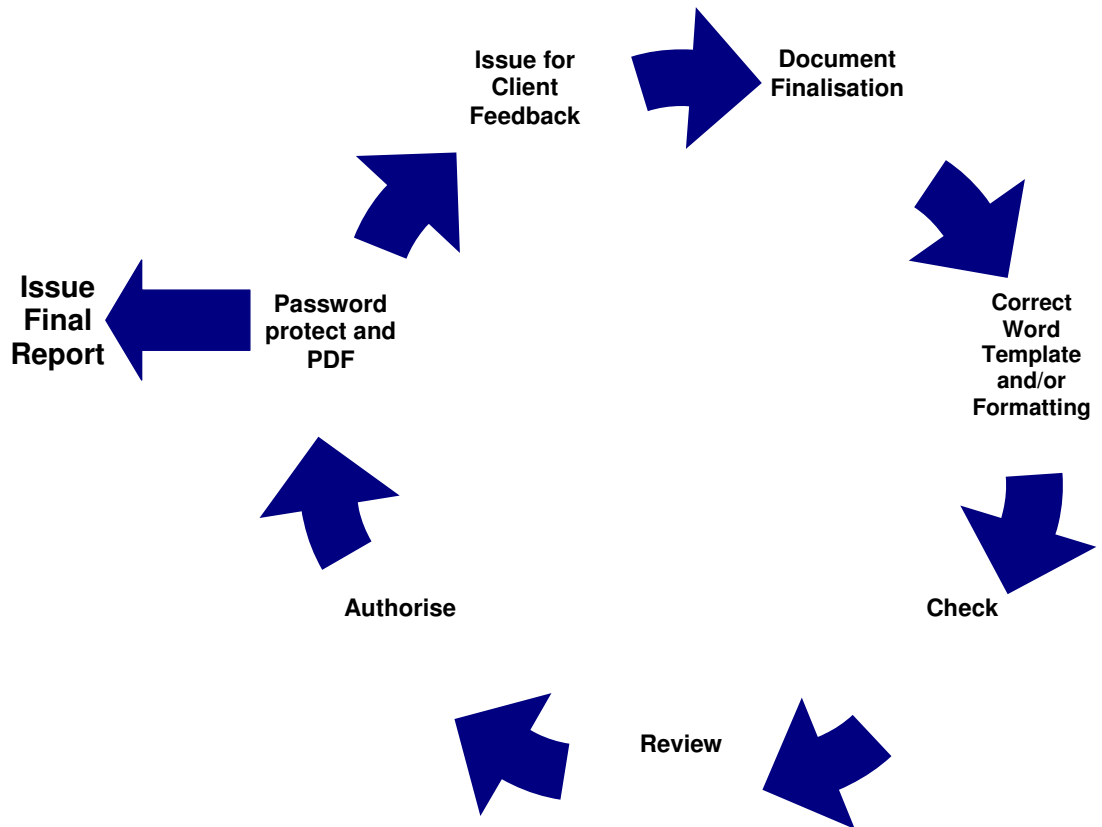
FILING

- 4A.8.3 Superseded versions of reports etc which have not been issued should be transferred into a sub-folder called 'Superseded'. Each file name will contain the name off the document, its reference number, and the revision number e.g. '5048504.210.01 Rev6 Appendix 4N Evaluation Plan.doc'. It is important that new versions are not created unnecessarily.
- 4A.8.4 A document register should be used to manage which documents have been issued to the local authorities and the purpose for which it was issued.
- 4A.8.5 A facility such as iPRONET would allow the Councils to access documents from a central point.

ISSUING OF REPORTS

- 4A.8.6 The issuing of reports should go through the following process (see Figure 4A.2):
1. Finalisation including incorporation of comments into a new version and provide feedback where comments are not included;
 2. Correct Word Template and formatting;
 3. Check (for formatting, spelling, and grammar errors);
 4. Review (by someone who is technically competent and not the originator);
 5. Authorisation for issuing by the IPD;
 6. Password protect Word Document and pdf; and
 7. Issue for Feedback or Issue for Final Report.

Figure 4A.2 – Quality Control Process for Issuing of GBBN Reports



4A.8.7 A spreadsheet should be set up to record when the document has gone through these stages (see Table 4A.33). This process allows for a document to be issued several times and client comments taken into account, prior to issuing a final report.



Table 4A.3 – Table to Record Progress of MSB Documents

Document Name	1. Finalisation including incorporating client comments	2. Correct Word Template/Formatting	3. Check	4. Review	5. Authorisation	6. Password Protect and PDF	7. Issue for feedback, or	7. Issue final report
<i>e.g. Procurement Strategy v1</i>	16/01	17/01	18/01	23/01	23/01	23/01	23/01	-
<i>e.g. Procurement Strategy v2</i>	26/01	29/01	29/01	30/01	31/01	31/01	-	30/01

FORMATTING

4A.8.8 A standard word template will be used for all documents can be found in Annex Q. The document should be transferred into the correct template prior to checking. The checker can therefore ensure that the formatting is correct.

CHECK-REVIEW-AUTHORISE

4A.8.9 The Check-Review process will be undertaken by using a **Check-Review Comments sheet** as a record (see Annex R).

4A.8.10 A **Document Control Sheet** should be put on the front page of each issued document and should be updated when the document is issued. The Document Control Sheet shows the initials of the people who have originated, checked, reviewed, and authorised the document which is being issued. The Document Control Sheet is in Annex R.

4A.8.11 Every time a document is issued it should be accompanied by a **Transmittal Note**, a copy of which should be kept on file (see Annex R). A signed off version of the final report should be filed in a central location.

4A.8.12 The Document Register should be updated to show that a new version of the document has been issued (see Annex R).

PROTECTION OF FINAL VERSIONS

4A.8.13 Final Version of any report/deliverable should be password protected in Word and converted into pdf format. This should be done as soon as the report has been authorised.



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CONFIGURATION MANAGEMENT

- 4A.8.14 All documentation related to this project, including minutes and reports, this handbook and inception final reports and deliverables will be entered on the GBBN document register, to be maintained by the IPD and Joint Transport Team. Electronic versions of the deliverables will also be loaded onto the website, with summaries of publicly available deliverables to be disseminated widely.
- 4A.8.15 All reports and deliverables should be issued as numbered versions (Version 1.0, Version 1.1, Version 2.0...) and must have their document registration number on the front cover.

TEXT AND PAGE LAYOUTS

- 4A.8.16 Documents should be prepared using the template in Annex Q to this Programme Handbook. The template contains the formatting styles to use for heading, titles and text.
- 4A.8.17 When images (photographs, maps, graphs, etc.) are inserted into a document, it is recommended that an original image file be used, through the menu command "Insert – Picture – From File". If images are simply copied and pasted from another document or presentation, their location on the page is unstable, and the formatting around them can be disrupted.



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