



Horizon Support Approval Process

V1.3

14 February 2022



HORIZON SUPPORT APPROVAL PROCESS

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1. Introduction

This document describes the process for making changes to Horizon, for which an elevated level of user access is usually required. This elevated access is provided by granting the APPSUP role to the user account, which provides the user with full data read and write privileges on all Oracle databases. This process document details:

- The types of changes the process is used for;
- The approvals required for the each change type;
- The evidence which is provided to show that the actions carried out are those described in the change request;
- The process flows and procedures;
- Roles and responsibilities of those participating in the process.

1.1 Purpose

The purpose of this process is:

- To ensure appropriate Post Office approval is provided for any changes which involve Fujitsu modifying or deleting Horizon data. This may be data on a Horizon counter, or in a Horizon backend system. These activities are exceptions from normal operation, and require the use of accounts with elevated access rights.
 - Where the change is to data for a particular branch, the people required to approve the change will include the postmaster for the branch. For branches which are managed by multiple partners, the partner (e.g. Co-op) is the postmaster, so postmaster approval will be provided by the partner company, rather than the individual branch.
- To ensure that there is transparency around the change activity, and that evidence is provided that only the data targeted by an approved change is modified.

1.2 Scope

The types of activities the process is used for are:

- Assisted rollover – assisting branches with trading period rollover.
 - This may be required where a branch has carried out too many rollovers, or has not carried out required rollovers for a period of time.
 - It can also be triggered by the Operational Branch Change (OBC) process, where a branch is trying to open but is in the wrong trading period.
- Modifying or deleting counter data, either on the counter or in a back end system
 - E.g. removing a blocked user session where it is, for example, attached to a stock unit, and preventing removal of the stock unit.
 - Note, the process was previously used for removing a partially completed Travel Money Card (TMC) transaction, which was locking a counter. This scenario no longer occurs as the issue which triggered it has been fixed.
- Modifying or deleting files on a back end system
 - This is typically required when there is an issue with a file received from a 3rd party system, which impacts a batch process. It is necessary to delete or modify the file to allow the batch process to be restarted.

There may be other changes performed under the Change Management process relating to Incidents or planned changes which need to be approved via this process. Consideration will be given as to whether any such changes need to be added as a specific type to the process scope.



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1.3 Process Management

- The Horizon Support Approval Process owner is Dean Bessell.
- The process owner will ensure that the process documentation is updated to reflect any changes to the process, and that changes are communicated appropriately to the people who operate the process, and other stakeholders.
- The process and supporting documentation are reviewed annually.
- The list of approvers for each change type is reviewed quarterly, and the date of the last review is recorded in the IT service desk knowledge article which lists the approvers.

2. Changes Requiring Elevated Access

This section describes the following, for the different change types:

- Who is required to approve the change;
- The information required for the approvers to make an informed decision;
- The steps involved in making the change;
- The evidence collected to demonstrate that only the approved change was executed.

2.1 Assisted Rollover

2.1.1 Approvers

Approver	Approval Remit
Branch Reconciliation Team	Check for outstanding Transaction Corrections, and approve activity
Postmaster	Understand how a change which impacts their counter occurred
IT Service	Approve activity
IT Security	Approve use of elevated access

2.1.2 Supporting Information

The following information is required for the approval requests:

- Date of request
- Person raising request
- Branch
- Reason assisted rollover is required
- Required date for assisted rollover, with justification for required date
- Sponsor for the assisted rollover, and purchase order number
- Consequence if rollover request is not approved
- Additional information – e.g. branch current trading period
- Name, contact details and availability for Area Audit and Support Manager

2.1.3 Assisted Rollover Process

Fujitsu provide a rollover plan, detailing the steps required to complete the rollover, and showing what Fujitsu will do, and what the postmaster or auditor will do. Fujitsu are in contact with the branch while the steps detailed in the plan are carried out. See [Appendix 1](#) for an example assisted rollover plan.



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2.1.4 Evidence

Fujitsu can provide a screenshot taken from the system on which they run the assisted rollover script. This shows the command to run the script being entered, and the output which includes the branch trading period status before and after the rollover is carried out. See [Appendix 2](#) for an example screenshot.

2.2 Change Counter Data

2.2.1 Approvers

Approver	Approval Remit
Branch Reconciliation Team	Check for outstanding Transaction Corrections, and approve
Postmaster	Understand how a change which impacts their counter occurred
IT Service	Approve activity
IT Security	Approve use of elevated access

2.2.2 Supporting Information

- Date of request
- Person raising request
- Branch
- Details of change required, including whether change it to counter or back end system
- Reason change is required
- Required date change, with justification for required date
- Sponsor for the change, and purchase order number
- Consequence if change request is not approved
- Any additional supporting information

2.2.3 Change Counter Data Process

Typically Fujitsu will run a script to make a change to data relating to a specific branch or counter which is held in a central database (rather than on the actual counter).

2.2.4 Merchant Identifier (MID) / Terminal Identifier (TID) Corrections

An example of the types of change covered by this process are Merchant Identifier (MID) and Terminal Identifier (TID) corrections. These IDs are required to register counter adds and removals, and branch openings and closures. Very occasionally an issue may occur which means a correction is required to the Estate Management database. CHAP secrets for the Branch Router configuration are stored in encrypted form in the Estate Management Database (EMDB). EMDb also uses the Key Server to retrieve the appropriate key and passphrase to decrypt the CHAP secrets as they are required by the Boot Platform. The design of the EMDb database is contained in the Estate Management Database (EMDB) HLD {DES/SYM/HLD/0031}

2.2.5 Evidence

The evidence will be a log file generated from running a script to resolve the issue.

2.3 File Change

2.3.1 Approvers



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Approver	Approval Remit
Data Governance Team	Approve file deletion or modification
IT Service	Approve file deletion or modification
IT Security	Approve file deletion or modification

2.3.2 Supporting Information

- Date of request
- Person raising request
- Details of file change required – name of file(s) and activity (modification or delete)
- Reason file change is required
- Required date for file change, with justification for required date
- Sponsor for the file change, and purchase order number
- Consequence if file change request is not approved
- Any additional supporting information

2.3.3 File Change Process

Fujitsu will run a script to modify or delete a file on a central system.

2.3.4 Evidence

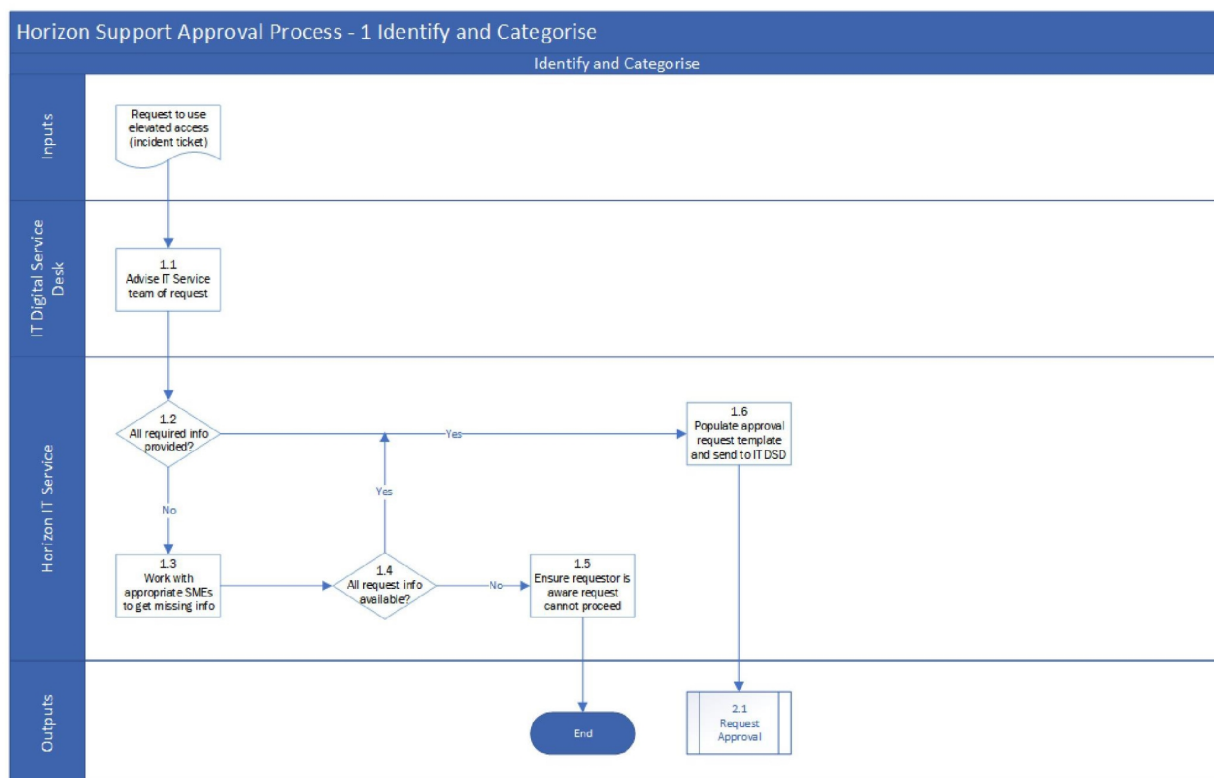
Fujitsu can provide evidence of the script run to modify or delete the file – the log file generated when the script was run. See [Appendix 3](#) Appendix 3 – File Change Evidence for an example log file.



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3. Process Workflow And Procedures

3.1 Identify and Categorise



Ref	Step	Description	Role
Input	Request for elevated access (incident ticket)	A request to carry out a change which requires elevated access has been generated and an incident ticket logged.	n/a
1.1	Advise IT Service team of request	Service desk agent advises the Horizon IT Service team of the request and asks them to complete the request template.	IT Digital Service Desk (DSD)
1.2	All required info provided?	The Horizon IT Service team checks whether all the information required to complete the request template has been provided in the ticket.	Horizon IT Service
1.3	Work with appropriate SMEs to get missing info	If the request does not contain all the required information, or it is unclear whether all the required info is present, then the Horizon IT Service team will contact relevant SMEs to try to collect all the information required to progress the request.	Horizon IT Service
1.4	All request info available?	Check whether all the information required to progress the request is now available.	Horizon IT Service
1.5	Ensure requestor is aware request cannot proceed	If it has not been possible to gather the information necessary to proceed with the request, and it has been decided not to continue, ensure the requestor is made aware.	Horizon IT Service



HORIZON SUPPORT APPROVAL PROCESS

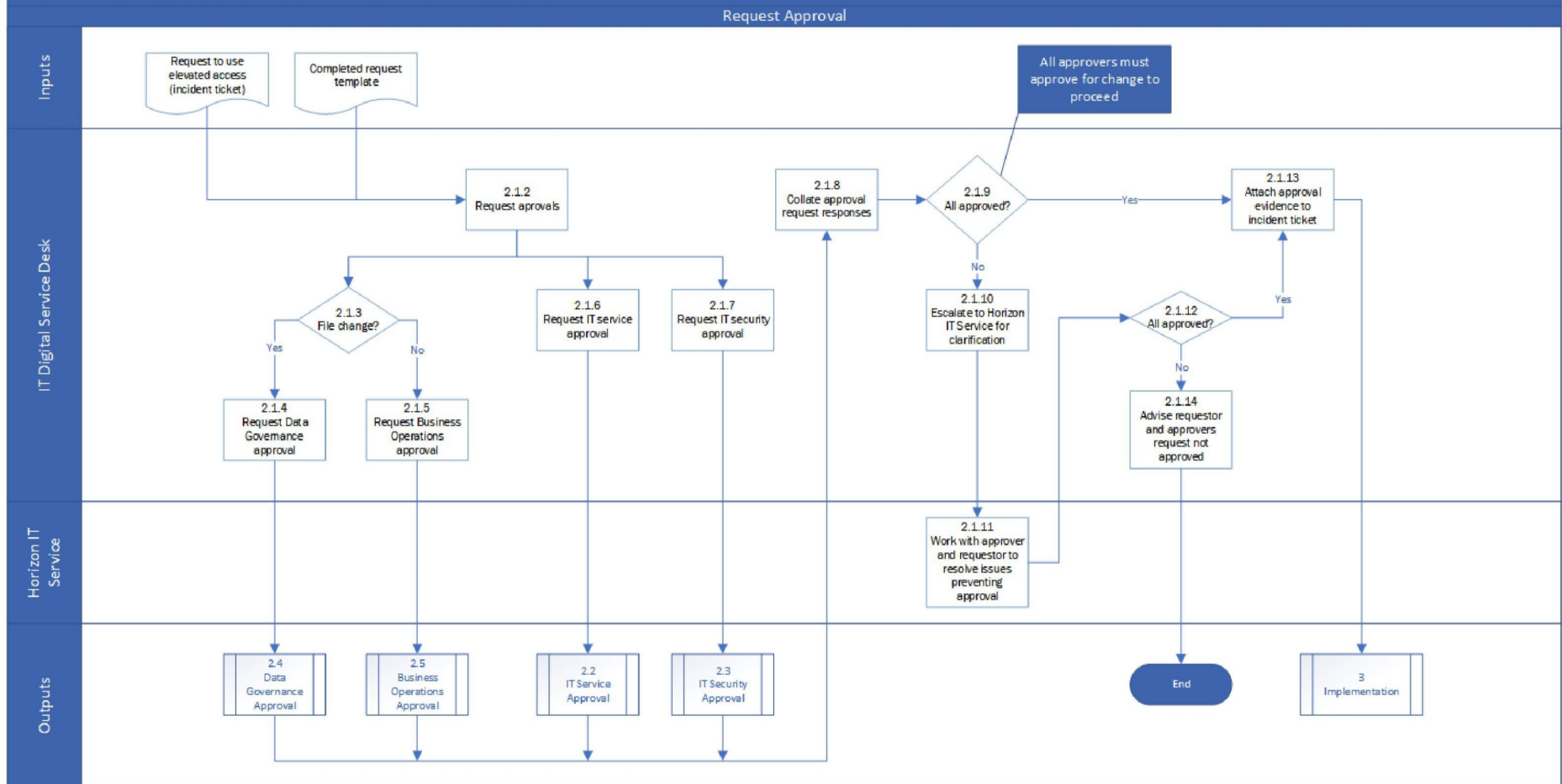
1.6	Populate approval request template	Horizon IT Service manager populates the approval request template.	Horizon IT Service
2.1 Output	Request Approval	Request Approval process	



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3.2 Request Approval

Horizon Support Approval Process – 2.1 Request Approval





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Ref	Step	Description	Role
Input	Request for elevated access (incident ticket)	A request to carry out a change which requires elevated access has been generated and an incident ticket logged.	Process input
Input	Completed request template	Template completed during Identify and Categorise stage	Process input
2.1.1			IT DSD
2.1.2	Request Approvals	Service desk request approval for the assisted rollover from the approvers. Details of current approvers for each change type are in KB0014710 in ServiceNow. - The service desk email all the approvers listed in the knowledge article for the particular request type. The approvers agree within their teams how to respond to the requests – e.g. main approver normally responds, next approver knows it's their responsibility if the main approver is not available etc. - Include “Elevated access” in the email subject line, and attach a PDF extract of the incident ticket. - The service desk should ask the approvers to provide approval on the day the request is sent, and should follow up with any approver group which has not responded by the end of the day. - If the request is being made in the context of a major incident, the service desk should request an immediate response and follow up the email with messages or phone calls as necessary. - The email text includes a reminder for people to advise if any of the approvers need to be changed. This is covered in the knowledge article.	IT DSD
2.1.3	File change?	Whether or not the request involves modification or deletion of a file determines which business team is asked to approve.	IT DSD
2.1.4	Request Data Governance approval	Include the Data Governance team approvers on the approval request email.	IT DSD
2.1.5	Request business operations approval	Include the Branch Reconciliation Team (BRT) approvers, and the Area Manager representative on the approval request email.	IT DSD
2.1.6	Request IT service approval	Include the Horizon IT Service team approvers on the approval request email.	IT DSD
2.1.7	Request IT security approval	Include the Horizon IT Security team approvers on the approval request email.	IT DSD
2.1.8	Collate approval request responses	Service desk receives responses to approval requests.	IT DSD
2.1.9	All approved?	Service desk checks whether all the approvers have approved the change. Note that approval to proceed must be received from all the following: - One Horizon IT Service team approver; - One Horizon IT Security team approver;	IT DSD



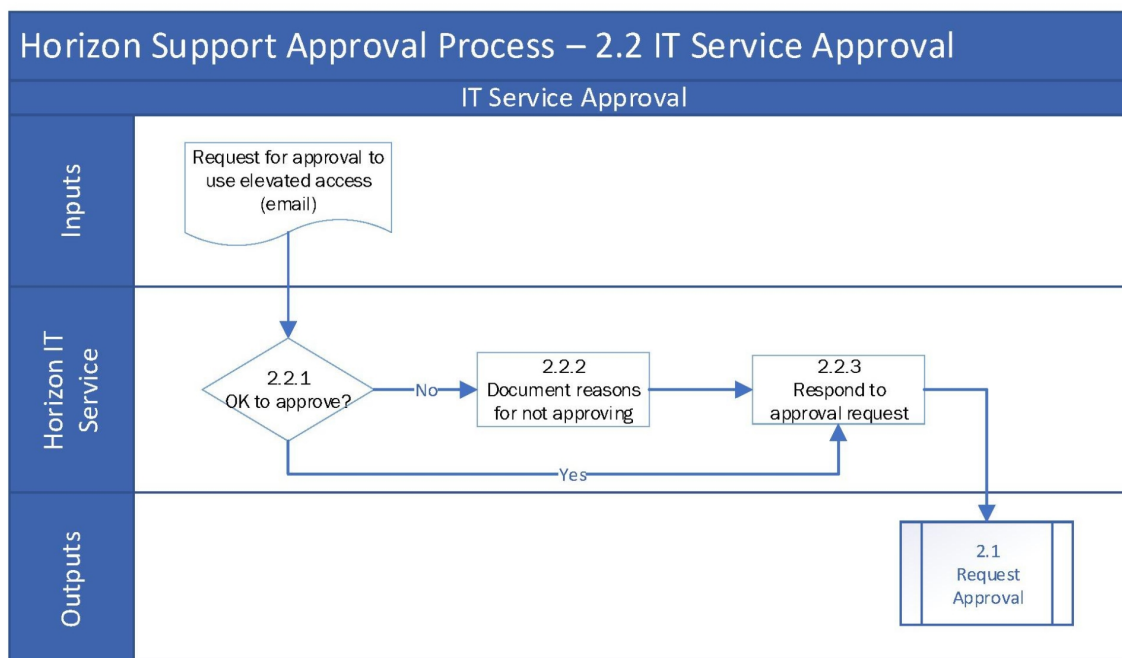
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Ref	Step	Description	Role
		- Either a Data Governance team approver, or a BRT approver, as appropriate. - For branch affecting change, postmaster approval.	
2.1.10	Escalate to Horizon IT Service for clarification	If one or more of the approvers has not approved the request, escalate to the Horizon IT Service team.	IT DSD
2.1.11	Work with approver and requestor to resolve issues preventing approval	The Horizon IT Service team tries to understand the issues preventing approval of the request, and works with the requestor and approvers to try to resolve them, to allow the change to progress.	Horizon IT Service
2.1.12	All approved?	Check whether the escalation process has resulted in the request being approved.	IT DSD
2.1.13	Attach approval evidence to incident ticket	Service desk agent attaches each email received responding to the approval request to the incident ticket. Note that separate emails from each approver must be attached, rather than one email which includes several responses.	IT DSD
2.1.14	Advise requestor and approvers request not approved	If the request has not been approved and the proposed change will not therefore go ahead, email the requestor and approvers to let them know.	IT DSD
2.2 Output	IT Service Approval	Process to get IT Service approval.	Process Output
2.3 Output	IT Security Approval	Process to get IT Security approval.	Process Output
2.4 Output	Data Governance Approval	Process to get Data Governance approval.	Process Output
2.5 Output	Business Operations Approval	Process to get Business Operations approval.	Process Output
3 Output	Implementation	Process for implementation of the change.	Process Output



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3.3 IT Service Approval

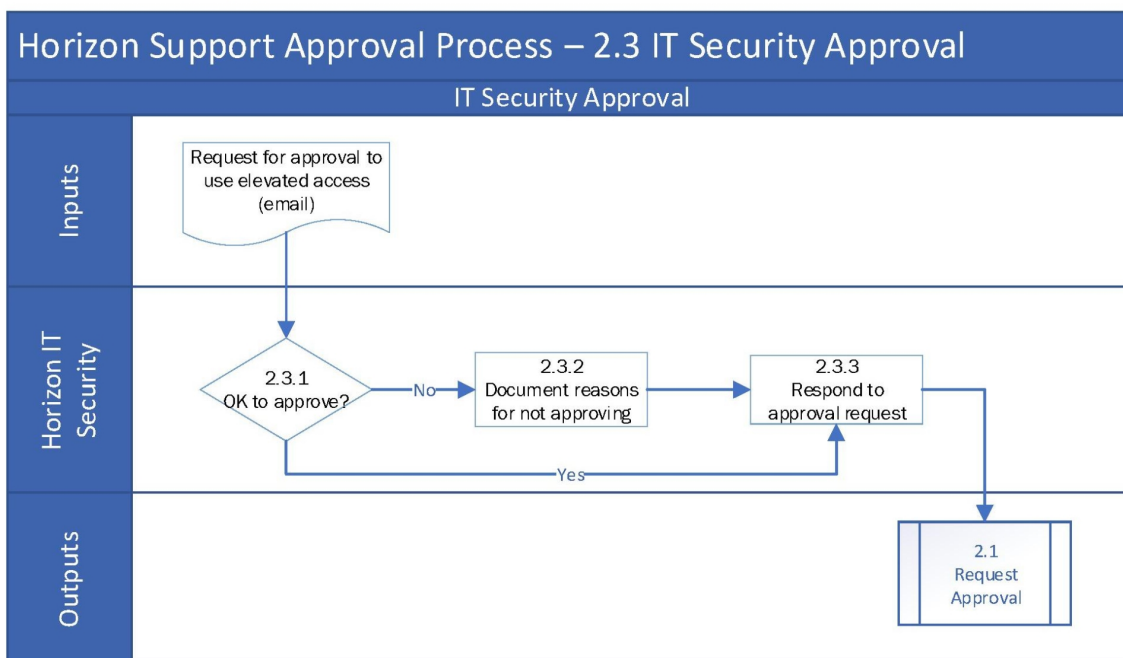


Ref	Step	Description	Role
Input	Request for approval for elevated access (email)	Email received from IT DSD, seeking approval for a request to carry out a change which requires elevated access.	Process input
2.2.1	OK to approve?	Review details of change and determine whether to approve.	Horizon IT Service
2.2.2	Document reasons for not approving	If do not want to approve the request, ensure the reasons for not approving are documented, to be provided to IT DSD. Include details of any additional information required to be able to approve.	Horizon IT Service
2.2.3	Respond to approval request	Respond to request for approval, advising IT DSD whether IT Service approve the request. If not approved, include reasons why.	Horizon IT Service
2.1	Request Approval	Back to Request Approval process	Process Output



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3.4 IT Security Approval

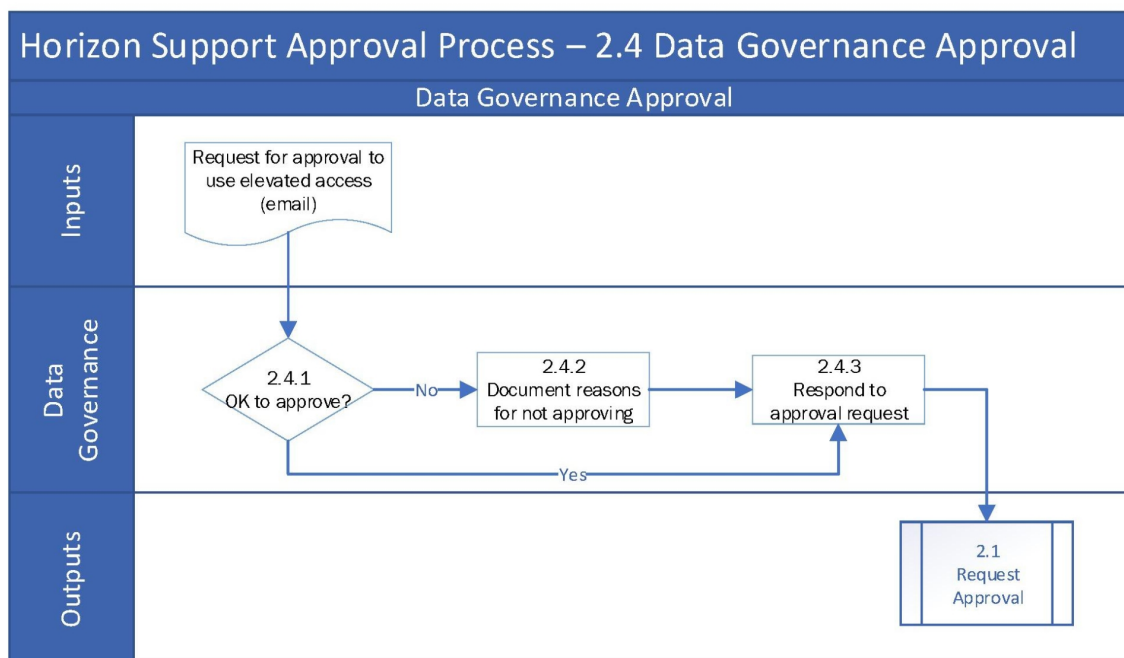


Ref	Step	Description	Role
Input	Request for approval for elevated access (email)	Email received from IT DSD, seeking approval for a request to carry out a change which requires elevated access.	Process input
2.3.1	OK to approve?	Review details of change and determine whether to approve.	Horizon IT Security
2.3.2	Document reasons for not approving	If do not want to approve the request, ensure the reasons for not approving are documented, to be provided to IT DSD. Include details of any additional information required to be able to approve.	Horizon IT Security
2.3.3	Respond to approval request	Respond to request for approval, advising IT DSD whether IT Security approve the request. If not approved, include reasons why.	Horizon IT Security
2.1	Request Approval	Back to Request Approval process	Process Output



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3.5 Data Governance Approval

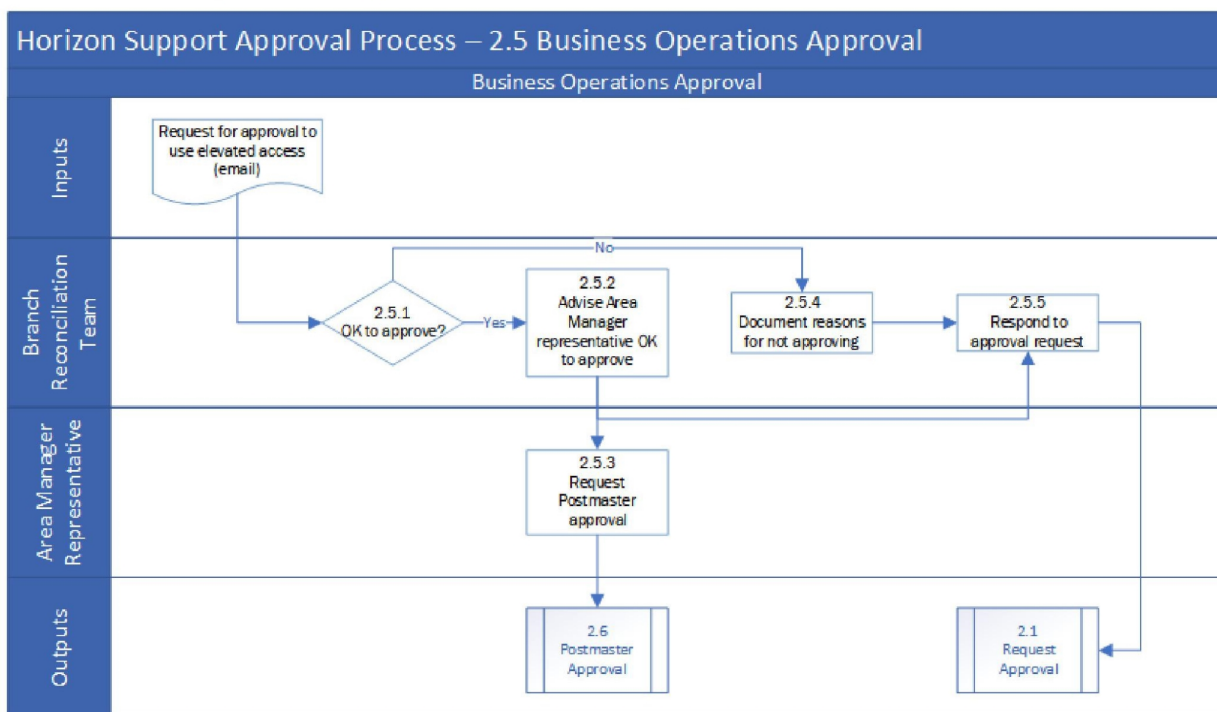


Ref	Step	Description	Role
Input	Request for approval for elevated access (email)	Email received from IT DSD, seeking approval for a request to carry out a change which requires elevated access.	Process input
2.4.1	OK to approve?	Review details of change and determine whether to approve.	Data Governance
2.4.2	Document reasons for not approving	If do not want to approve the request, ensure the reasons for not approving are documented, to be provided to IT DSD. Include details of any additional information required to be able to approve.	Data Governance
2.4.3	Respond to approval request	Respond to request for approval, advising IT DSD whether IT Security approve the request. If not approved, include reasons why.	Data Governance
2.1	Request Approval	Back to Request Approval process	Process Output



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3.6 Business Operations Approval

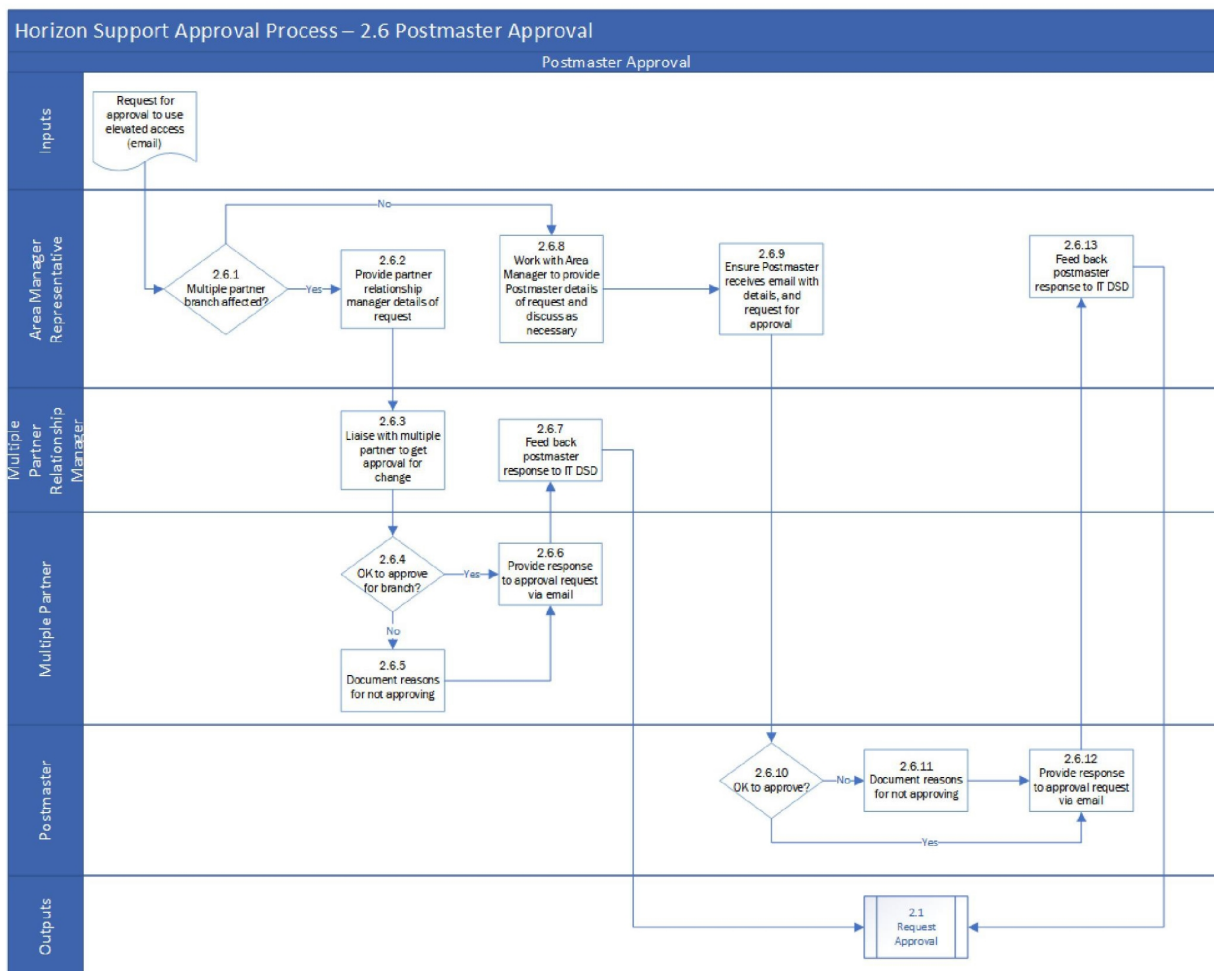


Ref	Step	Description	Role
Input	Request for approval for elevated access (email)	Email received from IT DSD, seeking approval for a request to carry out a change which requires elevated access.	Process input
2.5.1	OK to approve?	Review details of change and determine whether to approve.	BRT
2.5.2	Advise Area Manager representative OK to approve	If there are no issues, let the Area Manager representative know the request is approved, so they can seek Postmaster approval.	BRT
2.5.3	Request Postmaster approval	Area Manager representative requests postmaster approval, via the Postmaster Approval process, unless the change is to carry out an assisted rollover. For assisted rollover, the postmaster approval will be provided by the OBC team, along with the completed form describing the required activity.	Area Manager representative
2.5.4	Document reasons for not approving	If do not want to approve the request, ensure the reasons for not approving are documented, to be provided to IT DSD. Include details of any additional information required to be able to approve.	BRT
2.5.5	Respond to approval request	Respond to request for approval, advising IT DSD whether BRT approve the request. If not approved, include reasons why.	BRT
2.6 Output	Postmaster Approval	Proceed to Postmaster Approval process	Process Output
2.1	Request Approval	Back to Request Approval process	Process Output



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3.7 Postmaster Approval



Ref	Step	Description	Role
Input	Request for approval for elevated access (email)	Email received from IT DSD, seeking approval for a request to carry out a change which requires elevated access.	Process input
2.6.1	Multiple partner branch affected	Area Manager representative checks whether the branch impacted by the change is a multiple partner branch.	Area Manager representative
2.6.2	Provide partner relationship manager details of request	If the branch impacted by the change is a multiple partner branch, the Area Manager representative provides details of the request to the relationship manager who works with the partner.	Area Manager representative
2.6.3	Liaise with multiple partner to get approval for change	For branches which are operated by a multiple partner, the partner organisation provides approval for any branch impacting changes, on behalf of the postmaster.	Multiple Partner Relationship Manager
2.6.4	OK to approve for branch	Review details of change and determine whether to approve.	Multiple Partner



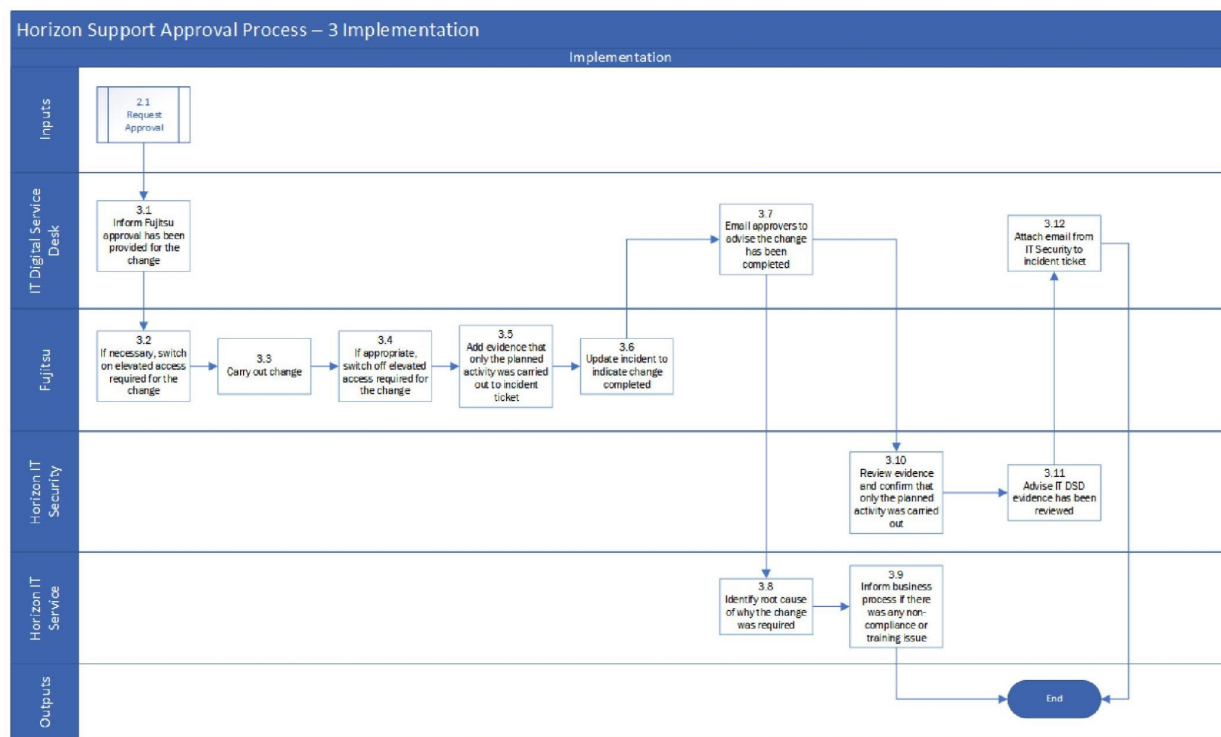
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Ref	Step	Description	Role
2.6.5	Document reasons for not approving	If do not want to approve the request, ensure the reasons for not approving are documented. Include details of any additional information required to be able to approve.	Multiple Partner
2.6.6	Provide response to approval request via email	Respond to request for approval from partner relationship manager, advising whether the multiple partner approves the request on behalf of the branch. If not approved, include reasons why.	Multiple Partner
2.6.7	Feed back postmaster response to IT DSD	Email service desk with approval decision, including reasons why, if the request is not approved.	Multiple Partner Relationship Manager
2.6.8	Provide Postmaster details of request and discuss as necessary	Area Manager representative works with the Area Manager for the branch, to contact the postmaster and discusses the rollover, or data change, ensuring the postmaster knows why it is required and what will happen.	Area Manager representative
2.6.9	Email postmaster with details, and request for approval	Area manager representative ensures the Area Manager sends Postmaster an email containing details of the request, and asking whether the Postmaster is happy to approve.	Area Manager representative
2.6.10	OK to approve?	Postmaster determines whether they are happy to approve the rollover plan.	Postmaster
2.6.11	Document reasons for not approving	If do not want to approve the request, ensure the reasons for not approving are documented, in a reply to the email requesting approval from the Area Manager.	Postmaster
2.6.12	Respond to approval request via email	Respond by email to the Area Manager's request for approval, advising whether the request is approved. If not approved, include reasons why.	Postmaster
2.6.13	Feed back postmaster response to IT DSD	Email service desk with approval decision, including reasons why, if the request is not approved.	Area Manager representative
2.1	Request Approval	Back to Request Approval process	Process Output



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3.8 Implementation



Ref	Step	Description	Role
Input	Request Approval process	Approvals collected for change requiring elevated access	Process input
3.1	Inform Fujitsu approval has been provided for the change	Update incident ticket to confirm that the change has been approved, and email confirmation to Fujitsu.	IT DSD
3.2	If necessary, switch on elevated access required for the rollover	Fujitsu internal process applies. Elevated access will be granted at the Post Office approved start time. At the time of writing, details are in Fujitsu's RA Report document, reference COM/MGT/REP/4165. For some file changes the engineer carrying out the change already has the required level of access.	Fujitsu
3.3	Carry out change	Fujitsu carry out the approved change, collecting evidence of their activity with elevated access.	Fujitsu
3.4	If appropriate, switch off elevated access required for the change	Fujitsu internal process applies. Elevated access will be revoked at or before the Post Office approved end time. At the time of writing, details are in Fujitsu's RA Report document, reference COM/MGT/REP/4165. For some file changes it is not necessary to switch on an additional level of access.	Fujitsu
3.5	Add evidence that only the planned activity was carried out to incident ticket	Add evidence of the change being carried out, as described in Section 2, to the incident ticket.	Fujitsu
3.6	Update incident to indicate change complete	Update the incident ticket to confirm that the change has been completed.	Fujitsu



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Ref	Step	Description	Role
3.7	Email approvers to advise the change has been completed	Service desk email the approvers for the change type, advising them the change has been completed. This acts as a prompt for steps 3.8 and 3.10.	IT DSD
3.8	Identify root cause of why the change was required	Understand why the change carried out by Fujitsu was required and determine whether there is an underlying issue which needs to be addressed – e.g. is training required for a branch, or is there a technical or process issue?	Horizon IT Service
3.9	Inform business process of potential non-compliance or training requirement	Once it is understood why the change was required, follow up as appropriate to ensure the underlying issue is addressed.	Horizon IT Service
3.10	Review evidence and confirm that only the planned activity was carried out	Review the evidence provided to show that the required change was the only activity carried out with elevated access.	Horizon IT Security
3.11	Advise IT DSD evidence has been reviewed	Email IT DSD to advise evidence provided by Fujitsu of the activity carried out has been reviewed.	Horizon IT Security
3.12	Attach email from IT Security to incident ticket	Attach email from IT Security responding to request to review evidence to incident ticket	IT DSD

4. Roles and Responsibilities

The roles and responsibilities defined for this process are described below.

Role	Description
IT Digital Service Desk agent	- Receives incident ticket requesting elevated access for a Horizon change - Sends details of the change to the appropriate approvers, and requests approval - Escalates to Horizon IT Service team if an approver does not want to approve a request Attaches approval emails to incident ticket in ServiceNow - Informs Fujitsu that approvals have been provided
IT Service manager	- Checks ticket has all information required, and liaises with requestor if not - Completes request template
Area Manager representative	Works with Area Managers to ensure postmaster approval is obtained for changes impacting branch data
Relationship Manager	Gets approval from multiple partner organisation on behalf of postmaster, for changes impacting multiple partner branches.
Postmaster	Provides approval for change impacting branch data
BRT Approver	Provides approval for changes impacting branch data (confirming there are no outstanding counter actions which would suggest the change should not be made).
Data Governance Approver	Provides approval to carry file changes
IT Service Approver	Provides approval to carry out the change



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	Ensures any issues which resulted in a data change being required are addressed
IT Security Approver	- Provides approval to carry out the change - Checks that evidence is provided that activity carried out with elevated access is in line with approval
Fujitsu	- Carry out the change - Provide evidence that only the activities described in the change were carried out .

5. Accepted Use Of Process

The process includes an activity (step 3.8) to try to understand, and eliminate, the root cause of each type of issue for which this process is used. In some cases, it may be determined that there is a reason why the root cause cannot, or will not, be eliminated, and the process will continue to be used in these cases. This section details scenarios where it has been agreed the process will continue to be used.

6. Other Horizon Approval Processes

This section describes other approval processes which are in place for Fujitsu activities which impact Horizon data.

6.1 Clear Failed Recoveries

This is part of the Fujitsu reconciliation service. The Fujitsu reconciliation team raise PEAK tasks for anomalies identified which leads to the Fujitsu SSC raising CTASKS under CHG0210692. Once the CTASK is approved internally by Fujitsu, the SSC run the required script.

Frequency - Approx 150 per year.

This is required when an automatic recovery has failed. Fujitsu report to Post Office that reconciliation activity is required (via BIMS). Post Office (reconciliation team) carry out the activity (e.g. talking to bank / customer, organising refund), and provide approval for Fujitsu to clear a failed recovery from the system.

As a "Failed recovery" is **cleared** before Post Office is informed there is no approval ahead of the change being made. IT Security are copied on the email advising Post Office that the activity has taken place.

6.2 Clear Automated Payment Exceptions

This is part of the Fujitsu reconciliation service. The Fujitsu reconciliation team raise Peaks for anomalies identified which then leads to the Fujitsu SSC raising CTASKS under CHG0210692. Once the CTASK is approved internally by Fujitsu, the SSC use the web GUI.

Fujitsu reconciliation team email Post Office reconciliation team with a statement of issue and action required. If a transaction has a state 4, then the Post Office reconciliation team advise Fujitsu to F99 – i.e. clear the failed recovery. As Post Office are requesting that change, it is effectively approving it. Fujitsu email Post Office to confirm when the change is made, and IT Security are copied on this email.

7. Revision History

Version	Date	Comments	Author
0.1	1-Mar-2021	Initial version	Lorna Owens



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0.2	1-Apr-2021	Updated following review by Martin Godbold	Lorna Owens
0.3	8-Apr-2021	Updated following conversations with Martin Godbold, Dean Bessell and Fujitsu	Lorna Owens
0.4	14-Apr-2021	Update following review by KPMG	Lorna Owens
0.5	20-Apr-2021	- Re-structure flow charts - Make changes following use of the process for two requests	Lorna Owens
0.6	29-Apr-2021	Remove duplicate IT DSD swimlane from Implementation process	Lorna Owens
1.0	19-May-2021	Process approved by process owner	Lorna Owens
1.1	14-Oct-2021	Add section for accepted uses of process	Lorna Owens
1.2	1-Nov-2021	Remove Monthly Clear Down of Track & Trace Items as an accepted use of the process. After further discussion, it has been decided to continue getting approval for each instance of this activity.	Lorna Owens
1.3	14-Feb-2022	- Updates following a review of the operation of the process - Added "Other Horizon Approval Processes" section - Added "Merchant Identifier (MID) and Terminal Identifier (TID) corrections as activities covered by this process.	Lorna Owens

8. Appendices

8.1 Appendix 1 – Example Assisted Rollover Plan

See below an example of an assisted rollover plan.



Example%20Assisted%20Rollover%20Plan.docx

8.2 Appendix 2 - Assisted Rollover Evidence

See below a screenshot from the system on which assisted rollover commands were run, showing the command to run the script being entered, and the output, which includes the branch trading period status before and after the rollover is carried



Assisted Rollover Evidence.png

8.3 Appendix 3 – File Change Evidence

The file below shows the output from running SQL commands to resolve a file issue.



SQL Script INC0335265.txt