FUJ00232719

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Author & Dept: Sandie Bothick

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Approval Authorities:

Name	Role	
Steven Browell	Management Consultant, FJ NWE GD UK ECS CPS SECR	See Dimensions for record
Steve Bansal	Senior Service Delivery Manager, FJ POA POL	See Dimensions for record

FUJ00232719

0 Document Control

0.1 Table of Contents

FUJ00232719

0.2 Document History

Only integer versions are authorised for development.

Version No.	Date	Summary of Changes and Reason for Issue	Associated Change CP, CCN or PEAK Reference
0.1	28/06/2021	Initial Draft	Include if known

0.3 Review Details

Review Comments by:	08-07-2021
Review Comments to:	sandie.bothick GRO ; PostOfficeAccountDocumentManagement GRO

Mandatory Review	
Role	**Name**
Management Consultant	Steven Browell
Senior Service Delivery Manager	Steve Bansal
SSC Manager	Adam Woodley; sscdm GRO
MAC and OBC Service Delivery Manager	Sandie Bothick
Information Security Manager	Geoff Baker
UNIX Team	PostOfficeAccountUNIXTeam GRO
Optional Review	
Role	**Name**
MAC and OBC Service Control	Jack Steptoe
MAC and OBC Service Control	Paul Elmes
MAC and OBC Service Control	Simon Cutmore
MAC and OBC Service Control	Hamid Abdul
MAC and OBC Service Control	Emma Millman
MAC and OBC Service Control	Jacqueline Wilcock
Problem Manager	Matthew Hatch
Document Manager	Matthew Lenton
Security Analyst, FJ NEW GD UK ECS ISM	Chris Stevens
Operational Security Manager, FJ NEW GD UK ECS CPS TRA	Farzin Denbali
Security Analyst, FJ NEW GD UK ECS ISM	Ifran Khan

(*) = Reviewers that returned comments

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Position/Role	**Name**
POADM	PostOfficeAccountDutyManager@ GRO
MAC Team	MAC@ GRO

FUJ00232719

0.4 Associated Documents (Internal & External)

References should normally refer to the latest approved version in Dimensions; only refer to a specific version if necessary.

Reference	Version	Date	Title	Source
PGM/DCM/TEM/0001 *(DO NOT REMOVE)*	See note above	See note above	POA Generic Document Template	Dimensions
PGM/DCM/ION/0001 *(DO NOT REMOVE)*			POA Document Reviewers/Approvers Role Matrix	Dimensions
Alphabetical order please				

0.5 Abbreviations

Abbreviation	Definition
APPSUP	Application Support
MAC	Major Account Controller
POL	Post Office Limited
SME	Subject Matter Expert

0.6 Glossary

Term	Definition
Alphabetical order please	

0.7 Changes Expected

Changes

0.8 Accuracy

Fujitsu Services endeavours to ensure that the information contained in this document is correct but, whilst every effort is made to ensure the accuracy of such information, it accepts no liability for any loss (however caused) sustained as a result of any error or omission in the same.

0.9 Information Classification

The author has assessed the information in this document for risk of disclosure and has assigned an information classification of FUJITSU RESTRICTED (COMMERCIAL IN CONFIDENCE).

FUJ00232719

1 Purpose and Scope

This document describes the process for making changes to Horizon System, either Branch Access or Back End Databases. To ensure that there is transparency around the change activity, that evidence is provided for the activities completed, approval was granted. All of which require the POL owned Ad-Hoc form to be completed and approved by POL appointed teams.

Some changes will also require an elevated level of user access known as APPSUP. Providing the APPSUP role to the user account, provides the user with full data read and write privileges on all Oracle databases.

NOTE: OOH will follow the standard OOH process. See Document: SVM/SDM/MAN/2378 – Post Office Account Operations Duty Manager Handbook

1.1 Description

All issues that require the 3x approval process will be recorded in a POL/FJ bonded TfS Incident. The Incident will contain the below detail to enable POL to make an approval decision and fill out the POL Ad-Hoc form.

- What action needs to be taken
- If APPSUP access is required by FJ
- Time frame for task to be completed ie. Monday to Friday 9:00 – 16:00 or after 18:00
- What steps need to be taken, Plan if required
- What risks should be understood, if action taken or not taken
- What action evidence Fujitsu propose to share on completion

Current examples where POL 3x Approvals are required –

- Assisted rollover, assisting branches to rollover when they are in the incorrect trading period.
- Modifying or deleting counter data, removing a partially completed transaction, which is locking a counter.
- Modifying or deleting files on a back end system, where 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.

FUJ00232719

2 Process

Incident is logged in TfS, raised by either POL or Fujitsu. The incident to be investigate must be a bonded incident.

- Fujitsu will investigate and will supply POL with options and suggested recommendations to resolve the issue.

  If APPSUP access is required the incidents Summary and Additional comments in TfS (Visible to POL) will need to be updated with one of the below.

  - **Elevated access – Assisted Rollover**
  - **Elevated access – Counter Data Change (Data centre change to support a counter)**
  - **Elevated access – File Change (Remove or Modify)**
  - **Elevated access – Other**

- Fujitsu will update the incident and pass back to POL to raise the Ad-Hoc form and gain the 3x required approvals. Incident must contain details described in Section 1.1 Description
- POL will route the incident back to FJ once approvals are obtained with the approvals and Ad-Hoc form attached to the incident as evidence.
- Fujitsu will check the Ad-hoc form with the SME supporting team before requesting Fujitsu approval.
- MAC team will email Senior Service Delivery Manager for approval and CC the CSPOA for awareness.
- Once Fujitsu approval has been received, the incident will be updated to confirm Fujitsu approval
- The Fujitsu MAC team will raise a CTASK for the required SME team to perform Ad-Hoc request
  - And pass the bonded incident to the relevant team

If APPSUP is required –

- The relevant team will pass the Peak (raised from the bonded incident) to the CSPOA Security team for APPSUP privileges to be granted.
- Information required -
  - Username
  - Start and Finish Date/Time
- CSPOA Security check the TfS incident for agreed POL approvals and if supplied, raise an internal TfS incident requesting APPSUP access and pass to the UNIX team.
- The UNIX team will contact the required user and confirm APPSUP access has been granted
- CSPOA Security will update the Peak with the internal TfS reference and Date/Time of granted access
- SME arrange for peer review, peer will also witness actions to be performed – How do we record this? (SME to state who peered or peer reviewer writes a separate statement? Does this go on TfS CTASK or Peak?)
- SME supporting team perform actions detailed on the CTASK, whilst capturing evidence of the pre and post implementation states, alongside the committed actions. Evidence to be added to the CTASK, MAC team will add to the TfS bonded incident. Ideally screenshots, along with statements and execution spooled to a log file.

FUJ00232719

See examples in section B Appendix – Evidence Examples

- Once actions completed, User with granted access will contact the UNIX team for access to be revoked.
- The Unix team will update the TfS internal incident and pass back to the CSPOA security team
- CSPOA Security will update Peak with the time the access was revoked.
- CSPOA Security close the TfS internal incident
- SME close the Peak with comments, action completed, or further action required for monitoring.
- SME close the CTASK checking evidence has been attached
- Bonded incident with evidence is passed back to POL to review and confirm incident closure.

If APPSUP is Not required -

- SME supporting team perform actions detailed on the CTASK, whilst capturing evidence of the pre and post implementation states, alongside the committed actions. Evidence to be added to the CTASK, MAC team will add to the TfS incident. Ideally screenshots, along with statements and execution spooled to a log file.

  See examples in section B Appendix – Evidence Examples

- Peak Closed with comments, action completed, or further action required for monitoring.
- Bonded incident with evidence is passed back to POL to review and confirm incident closure.

FUJ00232719

3 Fujitsu Responsibilities

Fujitsu to provide the below details –

- What has happened to cause the issue
- Fujitsu will investigate and will supply POL with options and suggested recommendations to resolve the issue.
- Details on any Risks Fujitsu are aware of
- Raise an internal CTASK for the actions to be recorded against
- Carry out the actions required if approved by POL
- Provide evidence on activities performed in the Ad-Hoc form

FUJ00232719

4 POL Responsibilities

POL to provide the below details –

- Complete the POL Ad-Hoc form
- Update incident with individual attachments from each approver, showing approver has approved the specific Ad-hoc form
- Postmaster approval, if required
- POL confirm action has been taken and had the desired outcome
- POL store the evidence for any future review
- POL to confirm Incident can be closed

FUJ00232719

5 Security

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5.1 Fujitsu Approvers

Senior Service Delivery Manager

5.2 POL Approvers

Assisted Rollover and Counter changes

Approver	Approval Remit
Branch Reconciliation Team	Check for outstanding Transaction Corrections, and advise Area Manager
IT Service	Approve activity
IT Security	Approve use of elevated access

File Amendments

Approver	Approval Remit
Data Governance Team	Approve file deletion or modification
IT Service	Approve activity
IT Security	Approve use of elevated access

FUJ00232719

A Appendix – POL Ad-Hoc Form

Date of request:	
Name of person raising the request:	
Type of Request:	
Is this part of a project:	
Is this a Freedom of Information Act request:	
Reason for request and justification for required date:	
Consequence if not approved:	
Please confirm you are aware of the issues with the files:	
Confirm the actions to be taken:	
Files which require removal:	
Additional information:	

FUJ00232719

B Appendix – Evidence Examples

B.1 SQL Evidence

PRE EVIDENCE (SQL looking for branch user/stock unit)

```
select u.branch_user, u.stock_unit, to_char(l.last_logon_timestamp, 'DD-Mon-YYYY HH24:MI:SS') last_logon
from ops$brdb.brdb_branch_users u
left join ops$brdb.brdb_branch_user_last_logon l
on u.branch_accounting_code = l.branch_accounting_code
and u.fad_hash = l.fad_hash
and u.branch_user = l.branch_user
where u.branch_accounting_code = 109008
and u.fad_hash = 80
and u.stock_unit = 'PX';
```

OUTPUT FROM SQL ABOVE

```
BRANCH_USER STO LAST_LOGON
--------------- --- --------------------
$$PX50 PX 18-Dec-2019 15:15:19
```

STATEMENT – (update PX to DEF, Conformation appears below that 1 record has been updated)

```
update ops$brdb.brdb_branch_users
set stock_unit = 'DEF'
where branch_accounting_code = 109008
and fad  hash = 80
and branch_user = '$$PX50'
```

1 row updated.

POST EVIDENCE (Displays the branch user/stock unit)

```
SQL> select branch_user, stock_unit
from ops$brdb.brdb_branch_users
where branch_accounting_code = 109008
and fad_hash = 80
and branch_user = '$$PX50'; 2 3 4 5
```

```
BRANCH_USER STO (Output from SQL)
--------------- ---
$$PX50 DEF
```

SQL> commit; (Writing to database, conformation from database below)

Commit complete.

FUJ00232719

B.2 File Removal Evidence

PRE EVIDENCE

IRRELEVANT ls -lrt /app/brdb/trans/externalinterface/input_share (List files in directory)
-rw-rw----. 1 podguser pathway 8478920 Apr 8 03:33 CA202104061000003920.TAN
IRRELEVANT

COMPLETING ACTION

IRRELEVANT rm CA202104061000003920.TAN (Remove file)

POST EVIDENCE

IRRELEVANT brdb:>pwd (Displays the present working directory as detailed below)

/app/brdb/trans/externalinterface/input_share

IRRELEVANT brdb:>ls -l *TAN (This will list any files in the directory that match *TAN, Line below shows there are no files matching)

ls: cannot access *TAN: No such file or directory