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**SCHEDULE B6.1****HNG-X BUSINESS REQUIREMENTS****Version History**

<b>Version No.</b>	<b>Date</b>	<b>Comments</b>
1.0	31/08/06	Agreed version at date of signature of CCN1200
1.1	26/09/06	Minor corrections by PO
1.2	11/10/06	Further minor corrections from FS
1.3	19/01/07	Further minor changes
2.0	25/01/07	Baseline copy of 1.3
6.0	16/06/09	Moving all schedules to V6.0 as agreed with Fujitsu
6.1	24/12/09	Applying changes as per CCN 1268
6.2	31/03/10	Applying changes as per CCN1276a
7.0	10/05/10	Moving all schedules to V7.0 as agreed with Fujitsu.
8.0	21/02/12	Moving all schedules to v8.0 in accordance with CCN1294d
9.0	13/01/14	Moving all Schedules to v9 in accordance with CCN1349
10.0	10/09/15	Moving all Schedules to v10 in accordance with CCN1506
11.0	31/03/16	Moving all schedules to V11.0 in accordance with CCN1604
12.0	03/07/17	Moving all schedules to V12.0
13.0		Updating as per CCN1617a and moving all Schedules to v13.0
14.0	20/12/2021	Updating as per CCN1648b and moving all Schedules to v14.0
15.0	12/04/23	Updating as per CCN1727.

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**SCHEDULE B6.1**

**HNG-X BUSINESS REQUIREMENTS**

**1. INTRODUCTION**

- 1.1 This Schedule B6.1 sets out the HNG-X Requirements (or processes to be followed to create HNG-X Requirements) for the HNG-X System, the solution to which will be developed and documented in accordance with Schedule B6.2.
- 1.2 This Schedule B6.1 also envisages that the Parties may introduce changes to the live Horizon system and that such changes may or may not impact on the Requirements Definition Process.

**2. THE THREE BASELINES**

- 2.1 There are three baselines relevant to the definition of HNG-X Requirements and their realisation in the development of the HNG-X System:
  - 2.1.1 the "**Applicable Horizon Baseline**": the baseline that consists of the Horizon Applications and the Horizon Service Infrastructure up to and including Release S92 together with those changes delivered (or to be delivered) after Release S92 which have been agreed in accordance with the Change Control Procedure and which are, as at the date of signature of CCN1200, listed in Annex 13 to this Schedule (as that baseline may be amended in accordance with the provisions of this Schedule);
  - 2.1.2 the "**Requirements Baseline**": the baseline described more fully in paragraph 4 that represents Post Office's requirements for the HNG-X System as set out in this Schedule and agreed in accordance with the Requirements Definition Process (as that baseline may be amended or re-issued in accordance with the provisions of this Schedule); and
  - 2.1.3 the "**Solution Baseline**": the baseline that consists of the HNG-X System as at the HNG-X Initial Acceptance Date (as that HNG-X System may be modified to rectify any HNG-X Acceptance Incidents).

- 2.2 For the purpose of the Parties resolving any dispute concerning the Applicable Horizon Baseline or any part of the Applicable Horizon Baseline (including, without limitation, a dispute as to the Existing Functionality), the Parties shall refer to the Horizon system that is in live operation as at the date of the dispute in question and shall (a) exclude the effects of changes that have only been applied as described in paragraph 3.1 of this Schedule, and (b) include the effect of changes described in paragraph 3.2 of this Schedule to the extent they have not been implemented.

**3. THE APPLICABLE HORIZON BASELINE**

- 3.1 Changes to the live Horizon system that are requested after the date of signature of CCN1200 and that introduce changes or functions that are not intended to be replicated in, or to have any effect upon, the HNG-X System, will be dealt with in accordance with

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the Change Control Procedure or through Work Orders but shall be ignored in determining the Applicable Horizon Baseline.

3.2 Changes to the live Horizon system that are requested after the date of signature of CCN1200 and that are intended to introduce changes or functions that will be replicated in, or otherwise affect, the HNG-X System, will be dealt with in accordance with the Change Control Procedure or through Work Orders. The Change Control Procedure or the Work Ordering Procedure (as the case may be) will be used to assess the effect of the changes or new functions on the live Horizon system and (so far as possible at the time of agreeing the change) on the Requirements Baseline and the changes and new functions will be taken into account in determining the Applicable Horizon Baseline (and will be recorded by the Parties in a control log initially formed from the information in Annex 13 to this Schedule).

#### 4. THE REQUIREMENTS BASELINE

##### 4.1 Requirements Areas

4.1.1 The Requirements Baseline will be composed of HNG-X Requirements covering each of the following:

- (a) the Functional Requirements;
- (b) 'System Capacity and Performance Requirements' which, as at the date of signature of CCN1200, are referred to in Annex 3 to this Schedule;
- (c) 'User Interface Requirements' as described in paragraph 4.3;
- (d) 'Training Requirements' which, as at the date of signature of CCN1200, are referred to in Annex 4 to this Schedule;
- (e) 'Operational and Support Service Requirements' which, as at the date of signature of CCN1200, are referred to in Annex 5 to this Schedule;
- (f) 'Migration and Implementation Requirements' which, as at the date of signature of CCN1200, are referred to in Annex 6 to this Schedule;
- (g) 'Design and Architecture Requirements' which, as at the date of signature of CCN1200, are referred to in Annex 7 to this Schedule;
- (h) 'Security Requirements' which, as at the date of signature of CCN1200, are referred to in Annex 8 to this Schedule;
- (i) 'Development Requirements' which, as at the date of signature of CCN1200, are referred to in Annex 9 to this Schedule; and
- (j) 'Testing Requirements' which, as at the date of signature of CCN1200, are referred to in Annex 10 to this Schedule.

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- 4.1.2 Notwithstanding any other provision of this Agreement (including this Schedule), where any HNG-X Requirement set out or referred to in Annexes 3 to 10 of this Schedule is inconsistent with an HNG-X Assumption which is (a) related to that HNG-X Requirement and (b) set out or referred to in the same Annex or in Annex 12, the HNG-X Assumption shall prevail only to the extent of that inconsistency such that the HNG-X Requirement shall be modified so as to avoid that inconsistency (such modification to be dealt with under the HNG-X Programme Requirements Change Control Process).
- 4.1.3 Notwithstanding any other provision of this Agreement (including this Schedule), where the application of the Requirements Definition Process or the application of the Business Equivalence Principles would produce an HNG-X Requirement that is inconsistent with the HNG-X Assumption set out in Annex 12, the HNG-X Assumption shall prevail only to the extent of that inconsistency such that the HNG-X Requirement shall be modified so as to avoid that inconsistency (such modification to be dealt with under the HNG-X Programme Requirements Change Control Process).
- 4.1.4 HNG-X Requirements will be maintained in the HNG-X Requirements Catalogue and issued formally to Fujitsu Services at agreed points throughout Project HNG-X, including at the date of signature of CCN1200, at the end of the Requirements Stage, and at the end of either or both of HNG-X Requirements Assurance and HNG-X Solution Assurance (if these result in amendments to the HNG-X Requirements).

## 4.2 Functional Requirements

- 4.2.1 The Functional Requirements will be generated by following the Functional Requirements Definition Process. When generating the Functional Requirements in accordance with the Functional Requirements Definition Process, the Parties shall at all times observe and apply the following principles ("**Business Equivalence Principles**):
  - (a) other than the Agreed Changes and the Allowed Changes, the Business Capabilities and Support Facilities will provide such functionality as results from applying the guidelines in Annex 1 to the Existing Functionality; and
  - (b) for the avoidance of doubt, other than the Agreed Changes and the Allowed Changes, the Business Capabilities and Support Facilities will not be required to provide any functionality that does not result from applying the guidelines in Annex 1 to the Existing Functionality.

### 4.2.2 Agreed Changes

- (a) The Agreed Changes are agreed as exclusions from, additions to, and changes in the Existing Functionality that are to be applied in generating the Functional Requirements in accordance with the Functional Requirements Definition Process. Agreed Changes are exceptions to

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the Business Equivalence Principles and cannot themselves be changed by the application of the Business Equivalence Principles.

- (b) Any specific functional characteristics of Existing Functionality that have been changed as a direct consequence of applying an Agreed Change are no longer subject to the Business Equivalence Principles.
- (c) The effect that an Agreed Change has on the Existing Functionality shall be limited to the direct consequence of applying that Agreed Change to the relevant aspect or aspects of the Existing Functionality.
- (d) One of the Agreed Changes is the introduction of Postal Services. The Parties will develop HNG-X Requirements for Postal Services in accordance with the Postal Services Definition Process.

#### 4.2.3 Allowed Changes

The "**Allowed Changes**" are changes to aspects of Existing Functionality in respect of which the following conditions are fulfilled:

- (a) either:
  - (i) the aspect of the Existing Functionality is now assessed by Post Office as creating operational or procedural problems or inefficiencies within a Branch; or
  - (ii) the aspect of the Existing Functionality was previously agreed to be implemented within certain limitations or constraints and these limitations or constraints are not present in, or relevant to, the Solution Architecture or other solution artefact; and
- (b) the effect of applying the requested change is assessed by Fujitsu Services, acting reasonably and in good faith, as having an acceptable cost / risk / resources impact on Project HNG-X; and
- (c) the effect of any such change is to make the manner in which Users utilise an element of Existing Functionality more efficient without introducing any completely new functionality into the Existing Functionality; and
- (d) the required change is notified in writing by Post Office to Fujitsu Services before the end of the Requirements Stage or as part of HNG-X Requirements Assurance; and
- (e) the change has not already been assessed as being an Agreed Change.

An Allowed Change shall be dealt with in accordance with the HNG-X Programme Requirements Change Control Process.

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#### **4.3 Requirements of the HNG-X User Interface**

4.3.1 The HNG-X Requirements that the HNG-X User Interface shall support are:

- (a) the Functional Requirements; and
- (b) the non-functional HNG-X Requirements for the HNG-X User Interface.

4.3.2 The functionality required to be supported by the HNG-X User Interface will be derived from the Functional Requirements generated through the Requirements Definition Process. This derived functionality will be an input to the process set out in the CCD entitled "Establishing and Assuring the HNG-X User Interface" (REQ/GEN/PRD/0001).

4.3.3 The non-functional HNG-X Requirements for the HNG-X User Interface will be provided by Post Office after the date of signature of CCN1200 in accordance with the CCD entitled "Establishing and Assuring the HNG-X User Interface" (REQ/GEN/PRD/0001).

4.3.4 The HNG-X User Interface design will draw on best practice design from the retail and banking industries as well as industry standards in graphical user interface design. The Parties intend that any similarities between the style and graphical realisation of the HNG-X User Interface and the user interface(s) of the comparable Horizon Applications as may arise shall only arise as a matter of coincidence through the proper operation of the Clean Room Rules.

#### **5. REQUIREMENTS DEFINITION PROCESS**

The Parties will follow the Requirements Definition Process.

#### **6. DEALING WITH CHANGE**

##### **6.1 Changes to the Applicable Horizon Baseline**

Changes to the Applicable Horizon Baseline will be dealt with as set out in paragraphs 3.1 and 3.2.

##### **6.2 Changes to the Requirements Baseline**

6.2.1 If a change to an HNG-X Requirement or an additional HNG-X Requirement is notified in writing to Fujitsu Services after the date of signature of CCN1200 and prior to the end of the Requirements Stage, it will be dealt with as part of the HNG-X Programme Requirements Change Control Process.

6.2.2 If a change to an HNG-X Requirement or an additional HNG-X Requirement is notified in writing to Fujitsu Services as a result of HNG-X Requirements Assurance or HNG-X Solution Assurance, it will be dealt with as part of the HNG-X Programme Requirements Change Control Process.

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6.2.3 Subject to paragraph 6.2.2, if a change to an HNG-X Requirement is notified in writing to Fujitsu Services after the end of the Requirements Stage then, if that change is:

- (a) not the result of the User Interface Definition Process nor the Postal Services Definition Process, and required in order to correct a deviation of that HNG-X Requirement from the Business Equivalence Principles; or
- (b) the result of the Postal Services Definition Process and required in order to correct a deviation of that HNG-X Requirement from the Postal Services Assessment Guidelines,

it will be dealt with in accordance with the HNG-X Programme Requirements Change Control Process. Fujitsu Services shall not be entitled to withhold its consent to the changes to the extent that they are required in order to correct the deviation from the Business Equivalence Principles or the Postal Services Assessment Guidelines (as the case may be).

6.2.4 All other changes or additions to HNG-X Requirements proposed after the final version of the Requirements Baseline has been issued will be dealt with in accordance with the Change Control Procedure.

6.2.5 As part of any changes to the Requirements Baseline, the Parties shall agree any necessary changes to the HNG-X Acceptance Method(s) and HNG-X Acceptance Criteria applicable to the relevant HNG-X Requirement.

### 6.3 Changes to the Solution Baseline

6.3.1 If a change to the Solution Baseline is notified in writing to Fujitsu Services within the period of three months after the start of HNG-X Project Workstream X4 (HNG-X Application Rollout) then, if that change is:

- (a) not the result of the User Interface Definition Process nor the Postal Services Definition Process, and required in order to correct a deviation of the Solution Baseline from the Business Equivalence Principles; or
- (b) the result of the Postal Services Definition Process and required in order to correct a deviation of the Solution Baseline from the Postal Services Assessment Guidelines,

the Parties will meet to agree whether the conditions in paragraph 6.3.1(a) or (b) have been fulfilled, and if such conditions have been fulfilled:

- (c) discuss and agree in good faith the steps required to correct a deviation of the Solution Baseline from the Business Equivalence Principles or the Postal Services Assessment Guidelines (as the case may be); or
- (d) determine such other remedial steps as the Parties (acting reasonably) shall agree; and

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such steps, once agreed, shall be documented in accordance with the Change Control Procedure and Fujitsu Services shall not be entitled to withhold its consent to the relevant CCN to the extent that it incorporates the steps in question.

- 6.3.2 All changes to the Solution Baseline (other than those that fall within paragraph 6.3.1) will be dealt with in accordance with the Change Control Procedure.
- 6.3.3 The forum for reaching the agreements referred to in paragraphs 6.3.1(c) and 6.3.1(d) shall initially be the Post Office Design Authority and the Fujitsu Services Design Authority but either Party may escalate any disagreement to the 'Programme Board' (as referred to in Schedule A2) for Project HNG-X for discussion and resolution.

## 7. ASSOCIATED DOCUMENTS

7.1 The following CCDs are associated with this Schedule B6.1:

	Document Reference	Document Title
1.	REQ/GEN/PRD/0001	Establishing and Assuring the HNG-X User Interface
2.	REQ/CUS/STG/0003	HNG-X Counter Reference Data Delivery Strategy - Agreed Assumptions and Constraints
3.	REQ/CUS/STG/0002	HNG-X Branch Exception Handling Strategy – Agreed Assumptions and Constraints
4.	REQ/CUS/BRS/0001	Postal Services Business and Operational Context
5.	REQ/CUS/STG/0004	HNG-X Training Strategy (CTO) – Agreed Assumptions and Constraints
6.	REQ/CUS/STG/0001	HNG-X Migration Strategy - Agreed Assumptions and Constraints
7.	ARC/SEC/ARC/0001	Security Constraints

7.2 The following CCDs are also associated with this Schedule B6.1, but only for the purpose of describing (in the first table in Annex 2 to this Schedule) functionality within the Applicable Horizon Baseline that will not be carried forward into the HNG-X System:

	Document Reference	Document Title
1.	<u>Removed by CCN1648b</u>	

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2.	<u>Removed by</u> <u>CCN1648b</u>	
3.	Not Used	
4.	<u>Removed by</u> <u>CCN1648b</u>	
5.	Not Used	
6.	<u>Removed by</u> <u>CCN1648b</u>	
7.	RS/FSP/003	Statements on Security Objectives and Methods for the Protection of Siemens Metering Code and Data
8.	<u>Removed by</u> <u>CCN1648b</u>	
9.	Not Used	
10.	Not Used	
11.	<u>Removed by</u> <u>CCN1648b</u>	

7.3 There are no CRDs associated with this Schedule B6.1.

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## ANNEX 1

### BUSINESS EQUIVALENCE GUIDELINES

1. It is intended that the Requirements Baseline will define, and the Business Capabilities and Support Facilities will support, the operation of Post Office business processes in a manner that achieves the same business outcomes for Post Office and their Clients and achieves the same operational effect within a Branch as currently provided by the Existing Functionality.
2. The level of definition in the Functional Requirements and/or the delivered Business Capabilities and Support Facilities must ensure that:
  - 2.1 the financial outcome resulting from the operation of a specific Transaction for the Customer, Post Office, any affected Client(s), and any Other IT Supplier(s) is identical to the equivalent Transaction carried out using the Existing Functionality;
  - 2.2 the Post Office products that can be traded within a Branch are the same as those defined in Post Office Reference Data (whether enabled or not) using the Existing Functionality;
  - 2.3 the Business Rules associated with any Business Capability are applied in the same manner as those used with the equivalent Transaction carried out using the Existing Functionality;
  - 2.4 the Customer and Counter Clerk interactions that relate to the workflow associated with a particular Use Case and delivered via the HNG-X User Interface enable:
    - 2.4.1 the same data to be captured using the same format and validation criteria;
    - 2.4.2 the same initiating Tokens and/or equivalent initiating events to be used;
    - 2.4.3 equivalent information displays and capture methods via the counter terminal; and
    - 2.4.4 the same set of user tasks to be performed following an equivalent logical workflow and enabling the same or, where agreed, alternative equivalent operational procedures to be carried out,
  - 2.5 the outputs resulting from the completion of a Transaction are the same or equivalent and have the same operational effect (in terms of form and occurrence) as those resulting from the associated Transaction conducted using the Existing Functionality. The types of outputs shall include:
    - 2.5.1 any information exchange or generated data file which includes interactions with hosted systems (e.g. PAF, POL-FS) and external

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systems (e.g. LINK, DVLA), which shall be the same as that from the Existing Functionality;

2.5.2 any printed item (e.g. Report, Branch receipt, other forms of Branch produced collateral), which shall be equivalent to the Existing Functionality; and

2.5.3 any data, produced or captured, that can be accessed, retrieved by, or provided to, the Post Office, which shall be the same as that from the Existing Functionality, provided that the meaning of the data and/or associated Post Office processes has not changed as a result of the introduction of the HNG-X System. This will be bounded by the scope of any specific limitations agreed as part of the HNG-X Services;

2.6 the outcome of any aspect of Branch trading or operation results in the same state of financial integrity and ability to audit as exists using the Existing Functionality;

2.7 the use and interpretation of Post Office Reference Data (in terms of its data definitions and its use to invoke functionality) will remain the same. Any data items or Reference Data capabilities currently unused within the Existing Functionality will remain unused or suppressed as part of the HNG-X System subject to agreement of Post Office; and

2.8 Users must be able to perceive and perform the functions provided via the changed User Interface such that they can perform the same user tasks, performing equivalent human and computer interactions.

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## ANNEX 2

## AGREED CHANGES

## 1. EXCLUSIONS FROM HORIZON FUNCTIONALITY

The following table describes the functionality within the Applicable Horizon Baseline at the date of signature of CCN1200 that will not be carried forward into the HNG-X System.

#	Excluded Functionality	Description
1	Session Transfer	A facility that enables a Branch User to log-on at another counter without having to log-off at their previous counter. This facility will automatically log-out the Branch User at their previous counter and move any current activity onto their new counter. This facility is also known as "Session Mobility" or "Session Migration". This facility is not available during certain operations.
2	Session Suspend	A facility that enables a Branch User to 'Suspend' and subsequently 'Resume' a desktop session. Only one session can be suspended in this way. During the suspension the Branch User is presented with a new main desktop menu and may carry out any of the system functions (including serving another customer) while the original session is suspended. Each of the two sessions (the suspended and the current) can be 'toggled' by selection of the 'suspend/swap' button. The two sessions will remain in existence until the user returns one of the sessions to the 'Desk Top' and then swaps to the other session. This facility is not available during certain operations.
3	Watercard	<p>Watercard comprises a smart token processed as part of the Automated Payments Service.</p> <p>It is defined via the following former CCDs, since agreed to be withdrawn by CCN1200: -</p> <ul style="list-style-type: none"> <li>• SU/IFS/027 - Kent Meters/GEC Meters "Watercard" Payment System Card Data Encryption Specification;</li> <li>• SU/IFS/028 - GEC Meters Ltd - "Watercard" Budget Prepayment System Transaction Terminal Outline Requirements;</li> <li>• </li> <li>• SU/IFS/034 - POCL Token Technology Specification GEC Watercard; and</li> <li>• </li> </ul>

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#	Excluded Functionality	Description
4	Signature variants of Banking transactions	<p>Signature verification comprises one of the NB Customer Verification methods and is referenced in: -</p> <ul style="list-style-type: none"> <li>• BP/SPE/035 – NBS Definition - Section 5.7.3.1 - 2<sup>nd</sup> and 3<sup>rd</sup> bullet and items (b) and (c); and</li> <li>• NB/SPE/003 – Network Banking: Counter Dialogue - Activity &amp; Screen Flows in section 4.1.2 and then in: -</li> <ul style="list-style-type: none"> <li>◦ Sections 4.3.1.1, 4.3.1.2 (Cash Withdrawal - transaction type 13 &amp; 14 (with balance));</li> <li>◦ Sections 4.3.3.1, 4.3.3.2 (Balance Enquiry - transaction type 11);</li> <li>◦ Sections 4.3.4.1, 4.3.4.2 (Withdraw Limit – transaction type 15);</li> <li>◦ Section 6.1.1 (Receipts and Reporting); and</li> <li>◦ Section 6.2 (Receipt layouts).</li> </ul> </ul>
5	Counter Clerk copy of AP receipts	<p>Horizon automatically produces a Counter Clerk (or Branch) copy receipt for all Automated Payment transactions together with the customer receipt.</p> <p>Customer Receipts will continue to be produced on the HNG-X System. The production of the Counter Clerk receipt will continue for migrated existing ADC transactions but will cease for Automated Payment transactions.</p>
6	Bubble Help	Bubble Help comprises a facility that enables a Branch User to display a short help text display associated with a desktop button.
7	Quantum	<p>Quantum comprises a smart token processed as part of the Horizon Automated Payments Service.</p> <p>It is defined via the following former CCDs, since agreed to be withdrawn by CCN1200: -</p> <ul style="list-style-type: none"> <li>• SU/IFS/024 - A Point of Sale Supporting the Quantum Application Utilising the POCL Secure DLL;</li> <li>• CR/SPE/023 - Automated Payments Client Specification - Siemens Metering Ltd;</li> </ul>

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#	Excluded Functionality	Description
8	POLO card functionality	<p>Post Office Logon (POLO) allows an authorised Branch User to gain access to the Horizon counter system and is used in any of the following circumstances:</p> <ul style="list-style-type: none"> <li>• when the system is first started after installation or after a workstation has been replaced;</li> <li>• when a workstation processor is switched back on after being powered off or is restarted; and</li> <li>• when the Branch Manager needs to restart the office following the delivery of new security data.</li> </ul> <p>The procedure involves the use of a memory card called a "PMMC (PostMaster's Memory Card)" and a PIN (Personal Identity Number comprising a string of alphanumeric characters).</p>
9	Mails Application	The Mails Application is described in the former CCD entitled "Mails Definition" (BP/SPE/042), since withdrawn by CCN1294d.
10	Talexus	Talexus comprises a smart token processed as part of the Automated Payment Service. Post Office's ability to deploy Talexus via CCN 798 will not be carried forward to the HNG-X System.

## 2. ADDITIONS TO HORIZON FUNCTIONALITY

The following table describes functionality that is new to the Applicable Horizon Baseline as at the date of signature of CCN1200 that will be delivered by the HNG-X System.

#	Title	Description
1	Foreign currency revaluation	The calculation that is currently performed to revalue foreign currency on hand shall be automatically applied during the office balancing process.
2	Postal Services	As described in the CCD entitled "Postal Services Business and Operational Context" (REQ/CUS/BRS/0001).
3	Context Sensitive Help.	A context sensitive help mechanism (to replace the current 'Bubble Help') will be implemented which will be consistent with the CCD entitled "HNG-X UI Style Guide"

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#	Title	Description
		<p>(DES/APP/STD/0001) (subsequently withdrawn).</p> <p>This will utilise agreed POL or FS reference data to determine the access points from which the Branch User may invoke relevant help text. This help mechanism will support the structuring of and access to different levels of help text where more detailed help text is specified.</p> <p>The exact approach for the context sensitive help mechanism, including appropriate interface definitions to allow Post Office to specify the help text and structure, will be agreed as part of the detailed design work. Note that it may be necessary for Post Office to provide help text for the HNG-X System separately to help text for Horizon during the rollout of the HNG-X System (dual entry). This will be dependent on the interface definition agreed with Post Office.</p>
4	Help Desk Calls	The ability to log help desk calls via the counter application.

### 3. AGREED CHANGES TO HORIZON FUNCTIONALITY

The following table describes changes to functionality within the Applicable Horizon Baseline as at the date of signature of CCN1200 that will be implemented in the HNG-X System.

#	Title	Description
1	Report simplifications	<p>Report consolidation for the HNG-X System will be achieved through decoupling the call for data about reports from the central database, from the user production and analysis of reports. Reports will be grouped into a small number of categories, such as "Counter Daily Report" and "Counter Weekly Report". A revised counter sequence will be design to enable the user to work through the report set, printing and cutting off as appropriate.</p> <p>Post Office confirms that this does not have an adverse impact on branches as the process is similar to present and it also provides a way</p>

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#	Title	Description
		<p>for single counter position branches to be able to exit to continue customer service if required.</p> <p>Any consolidation and/or rationalisation of reports on top of this solution would not necessarily impact the load on the database from report production as those reports will be contained within the bundles of data called in the one data call. However, it is recognised that it would be good practice for Post Office to consolidate and rationalise reports anyway as a house-keeping exercise to improve efficiency at the counter and reduce consumables. This exercise will be carried out in conjunction with the analysis of the functional requirements. The Fujitsu Services baseline assumption for contract is that the following reports will be removed:</p> <ul style="list-style-type: none"><li>• Counter Daily<ul style="list-style-type: none"><li>◦ APS Transaction Listing</li><li>◦ O/L Balance Enquiries</li><li>◦ O/L Cash Deposits</li><li>◦ O/L Cheque Deposits</li><li>◦ O/L Cash Withdrawals (signature and PIN)</li></ul></li><li>• Counter weekly<ul style="list-style-type: none"><li>◦ O/L Balance Enquiries</li><li>◦ O/L Cash Deposits</li><li>◦ O/L Cheque Deposits</li><li>◦ O/L Cash Withdrawals (signature and PIN)</li></ul></li></ul>

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#	Title	Description
2	Changes to the session settlement model	<p>The HNG-X session settlement model will change from Horizon as a consequence of the on-line architecture, the classification of transactions as either 'Recoverable' or 'Cancellable', and changes to the production of some receipt printing.</p> <p>The primary areas of difference are: -</p> <ul style="list-style-type: none"><li>• Transactions will be classed as either 'Recoverable' or 'Cancellable';</li><li>• the settlement process is now an on-line dialogue supported by some new Counter Clerk dialogues;</li><li>• certain receipts will now be printed during the settlement process, completing after session data is secured at the Data Centre;</li><li>• a new settlement transaction sequence will handle transient time-outs to the Data Centre. This will comprise automatic retries and then Counter Clerk managed dialogues supporting 'Retry' and 'Cancel' options;</li><li>• certain failure conditions will result in the settlement process having to be cancelled. New Counter Clerk dialogues will manage this exception process with respect to the settlement of the 'Recoverable' transactions and the cancellation of the 'Cancellable' transactions. A variant of the Customer Session receipt for session recovery will be produced. Following the printing of the revised session receipts, the Counter Clerk will be logged off; and</li><li>• a new recovery process will be initiated on subsequent log-on to the original terminal. New Counter Clerk dialogues will manage this recovery process with respect to the final outcome of the failed session.</li></ul> <p>Further details will be contained in the Working Document 'HNG-X Session Settlement Process'.</p>

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#	Title	Description
3	Changes to way various Exception conditions are handled	As described in the CCD entitled "HNG-X Branch Exception Handling Strategy – Agreed Assumptions and Constraints" (REQ/CUS/STG/0002).
4	Changes to the management and distribution of POL Reference Data	As described in the CCD entitled "HNG-X Counter Reference Data Delivery Strategy - Agreed Assumptions and Constraints" (REQ/CUS/STG/0003).
5	Training capability provided in the Counter Training Offices	As described in Annex 4 of this Schedule.
6	Changes to Confirmation processing model	Confirmation messages for online transactions will only be harvested in batch mode at end of day. This means that the Transaction Enquiry Service will not receive C2 messages in near real time, and Streamline payment file(s) will only be produced overnight.
7	PIN Pad required for Banking Deposits	To protect against replay attacks, banking deposit transactions will use a MAC generated by the PIN Pad. This will require the presence of a PIN Pad (a change from Horizon). For the avoidance of doubt, this will not require a PIN to be entered by the customer.
8	Change to End of Day	Branch end of day will be declared for all branches at 19:00 each day. This will be the same time for all Branches (i.e. there will be no ability to have different Branches with different end of day times). End of day will be declared whether or not those Branches are operating or connected to the Data Centre.
9	Ad-hoc transaction report for AP PANs	The HNG-X System shall allow the production of an ad-hoc transaction report containing the PAN reference number from the AP token and the AP sequence number, where they are agreed to be part of the transaction and not restricted for security reasons. Fujitsu Services and Post Office will agree the exact structure of this report during the design stage.

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### ANNEX 3

#### SYSTEM CAPACITY AND PERFORMANCE REQUIREMENTS

1. The System Capacity and Performance Requirements as at the date of signature of CCN1200 are contained in document "HNG-X System Capacity and Performance Requirements" version 0.2 dated 15 August, 2006, which forms part of the HNG-X Requirements Catalogue Draft at Contract.
2. For the purposes of the HNG-X Programme Requirements Change Control Process, these Requirements are categorised as "Type A".
3. All HNG-X Requirements are shown in tabular format with a unique identifier, HNG-X Acceptance Methods and HNG-X Acceptance Criteria. In some cases these HNG-X Requirements will be contained within textual information which gives a contextual setting. This context is provided merely to help the reader and can contain:
  - 3.1 glossary applicable to the HNG-X Requirements contained in this Annex;
  - 3.2 chapter headings; and
  - 3.3 explanatory text.
4. The Business Equivalence Principles do not apply to the System Capacity and Performance Requirements or associated Service Levels, but it is accepted that the performance characteristics of the HNG-X System counter applications and associated infrastructure must be acceptable to the Post Office. This specific aspect of the Solution Baseline will be assessed to determine that the HNG-X System counter performance delivers equivalent or better performance characteristics to the Applicable Horizon Baseline, based on the following principles:
  - 4.1 Post Office and Fujitsu Services will jointly agree an assessment process that will:
    - (a) define and agree sets of representative Transaction types and a measurement period;
    - (b) establish system component benchmark measurements for these Transaction types on the Horizon system and on the HNG-X System (taking account of any changed processes or UI characteristics that may be present in the HNG-X Transaction); and
    - (c) allow Post Office to request that the set of Transaction types is augmented (agreement to such requests not to be unreasonably withheld by Fujitsu Services) if anomalous HNG-X Transaction performance characteristics are identified prior to the commencement of the HNG-X Project Workstream X4 (HNG-X Application Rollout).
  - 4.2 Acceptance by Post Office of the HNG-X System counter performance will be based on the average system component benchmark measurements for each of the agreed sets of representative Transaction types for the HNG-X System being no worse than the comparable measurements for each of the Transaction types

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within the Applicable Horizon Baseline or where comparison is not applicable, to their agreed design targets.

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## ANNEX 4

### TRAINING REQUIREMENTS

1. The Training Requirements as at the date of signature of CCN1200 are contained in document "HNG-X Training High Level Requirements" version 0.2 dated 15 August, 2006, which forms part of the HNG-X Requirements Catalogue Draft at Contract.
2. For the purposes of the HNG-X Programme Requirements Change Control Process, these HNG-X Requirements are categorised as "Type B".
3. As described in Paragraph 4.1.2 of this Schedule, these HNG-X Requirements are subject to the assumptions and constraints contained in the CCD entitled "HNG-X Training Strategy (CTO) – Agreed Assumptions and Constraints" (REQ/CUS/STG/0004).
4. All HNG-X Requirements are shown in tabular format with a unique identifier, HNG-X Acceptance Methods and HNG-X Acceptance Criteria. In some cases these HNG-X Requirements will be contained within textual information which gives a contextual setting. This context is provided merely to help the reader and can contain:
  - 4.1 glossary applicable to the HNG-X Requirements contained in this Annex;
  - 4.2 chapter headings; and
  - 4.3 explanatory text.

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## ANNEX 5

### OPERATIONAL AND SUPPORT SERVICE REQUIREMENTS

1. The Operational and Support Service Requirements as at the date of signature of CCN1200 are contained in document "HNG-X Operational and Support Service Requirements" version 0.2 dated 15 August, 2006, which forms part of the HNG-X Requirements Catalogue Draft at Contract.
2. For the purposes of the HNG-X Programme Requirements Change Control Process, these HNG-X Requirements are categorised as "Type A".
3. All HNG-X Requirements are shown in tabular format with a unique identifier, HNG-X Acceptance Methods and HNG-X Acceptance Criteria. In some cases these HNG-X Requirements will be contained within textual information which gives a contextual setting. This context is provided merely to help the reader and can contain:
  - 3.1 glossary applicable to the HNG-X Requirements contained in this Annex;
  - 3.2 chapter headings; and
  - 3.3 explanatory text.

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## ANNEX 6

### MIGRATION AND IMPLEMENTATION REQUIREMENTS

1. The Migration and Implementation Requirements as at the date of signature of CCN1200 are contained in document "HNG-X Migration and Implementation Requirements" version 0.2 dated 15 August, 2006, which forms part of the HNG-X Requirements Catalogue Draft at Contract.
2. For the purposes of the HNG-X Programme Requirements Change Control Process, these HNG-X Requirements are categorised as "Type A".
3. As described in Paragraph 4.1.2 of this Schedule, these HNG-X Requirements are subject to the assumptions and constraints contained in CCD entitled "HNG-X Migration Strategy - Agreed Assumptions and Constraints" (REQ/CUS/STG/0001).
4. All HNG-X Requirements are shown in tabular format with a unique identifier, HNG-X Acceptance Methods and HNG-X Acceptance Criteria. In some cases these HNG-X Requirements will be contained within textual information which gives a contextual setting. This context is provided merely to help the reader and can contain:
  - 4.1 glossary applicable to the HNG-X Requirements contained in this Annex;
  - 4.2 chapter headings; and
  - 4.3 explanatory text.

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## ANNEX 7

### DESIGN AND ARCHITECTURE REQUIREMENTS

1. The Design and Architecture Requirements as at the date of signature of CCN1200 are contained in document "HNG-X Design and Architecture Requirements" version 0.2 dated 15 August, 2006, which forms part of the HNG-X Requirements Catalogue Draft at Contract.
2. For the purposes of the HNG-X Programme Requirements Change Control Process, these HNG-X Requirements are categorised as "Type A".
3. All HNG-X Requirements are shown in tabular format with a unique identifier, HNG-X Acceptance Methods and HNG-X Acceptance Criteria. In some cases these HNG-X Requirements will be contained within textual information which gives a contextual setting. This context is provided merely to help the reader and can contain:
  - 3.1 glossary applicable to the HNG-X Requirements contained in this Annex;
  - 3.2 chapter headings; and
  - 3.3 explanatory text.

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**ANNEX 8**  
**SECURITY REQUIREMENTS**

1. The Security Requirements as at the date of signature of CCN1200 are contained in document "HNG-X Security Requirements" version 0.2 dated 15 August, 2006, which forms part of the HNG-X Requirements Catalogue Draft at Contract.
2. For the purposes of the HNG-X Programme Requirements Change Control Process, these HNG-X Requirements are categorised as "Type A".
3. As described in Paragraph 4.1.2 of this Schedule, these HNG-X Requirements are subject to the assumptions and constraints contained in CCD entitled "Security Constraints" (ARC/SEC/ARC/0001).
4. All HNG-X Requirements are shown in tabular format with a unique identifier, HNG-X Acceptance Methods and HNG-X Acceptance Criteria. In some cases these HNG-X Requirements will be contained within textual information which gives a contextual setting. This context is provided merely to help the reader and can contain:
  - 4.1 glossary applicable to the HNG-X Requirements contained in this Annex;
  - 4.2 chapter headings; and
  - 4.3 explanatory text.

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**ANNEX 9**  
**DEVELOPMENT REQUIREMENTS**

1. The Development Requirements as at the date of signature of CCN1200 are contained in document "HNG-X Development Requirements" version 0.2 dated 15 August, 2006, which forms part of the HNG-X Requirements Catalogue Draft at Contract.
2. For the purposes of the HNG-X Programme Requirements Change Control Process, these HNG-X Requirements are categorised as "Type A".
3. All HNG-X Requirements are shown in tabular format with a unique identifier, HNG-X Acceptance Methods and HNG-X Acceptance Criteria. In some cases these HNG-X Requirements will be contained within textual information which gives a contextual setting. This context is provided merely to help the reader and can contain:
  - 3.1 glossary applicable to the HNG-X Requirements contained in this Annex;
  - 3.2 chapter headings; and
  - 3.3 explanatory text.

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## ANNEX 10

### TESTING REQUIREMENTS

1. The Testing Requirements as at the date of signature of CCN1200 are contained in document "HNG-X Testing Requirements" version 0.2 dated 15 August, 2006, which forms part of the HNG-X Requirements Catalogue Draft at Contract.
2. For the purposes of the HNG-X Programme Requirements Change Control Process, these HNG-X Requirements are categorised as "Type A".
3. All HNG-X Requirements are shown in tabular format with a unique identifier, HNG-X Acceptance Methods and HNG-X Acceptance Criteria. In some cases these HNG-X Requirements will be contained within textual information which gives a contextual setting. This context is provided merely to help the reader and can contain:
  - 3.1 glossary applicable to the HNG-X Requirements contained in this Annex;
  - 3.2 chapter headings; and
  - 3.3 explanatory text.

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**ANNEX 11**  
**REQUIREMENTS DEFINITION PROCESS**

**PART 1 – FUNCTIONAL REQUIREMENTS DEFINITION PROCESS**

**1. INTRODUCTION AND SCOPE**

- 1.1 Project HNG-X will commence with the Requirements Stage, which includes specification and assurance activities, and which will be directed by the Requirements Definition Process.
- 1.2 Part 1 of this Annex 11 is concerned with the definition and assurance processes to establish a baseline of Functional Requirements.
- 1.3 This process will focus on the specification of the business process and data requirements of the Business Capabilities and Support Facilities. Any of the existing non-functional HNG-X Requirements that relate to specific requirements, artefacts or capabilities will also be applied at this stage.
- 1.4 HNG-X Requirements Assurance will be conducted as a joint activity comprising both business content assurance and the inclusion of any agreed optimisation or improvement opportunities that would facilitate solution design. Both these aspects of HNG-X Requirements Assurance will involve Fujitsu Services and will occur progressively and prior to the final issuing to Fujitsu Services of the Functional Requirements.

**2. PRINCIPLES**

The principles that will apply during the definition and assurance process, in particular concerning the interchange of HNG-X Requirements artefacts between Post Office and Fujitsu Services are as follows:

- 2.1 DOORS (as configured within Post Office for Project HNG-X) is the master repository of all HNG-X Requirements;
- 2.2 the intention is to be able to compartmentalise the HNG-X Requirements so that each group of HNG-X Requirements has its own life and own versioning;
- 2.3 functional Use Cases will be grouped into convenient business areas which will be made available to Fujitsu Services at relevant points to enable early visibility and a more interactive approach to solution design; and
- 2.4 to ensure integrity of the HNG-X Requirements as a whole set there will be a number of assurance steps which begin at the start of a piece of work in each business area and complete with the handover of a completed HNG-X Requirements set. Fujitsu Services are fully involved in this approach from the beginning of the process through to final baselining of the HNG-X Requirements set, and will assist in optimising the overall Use Case model so that constraints applicable to the existing Horizon architecture are not unnecessarily carried forward into the HNG-X System.

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### 3. REQUIREMENT ANALYSIS METHOD

- 3.1 Analyst teams from both Parties will progressively develop the Use Case specifications required for each business area, initially assessing the proposed Use Case goals and descriptions and the various source materials to determine their status and relevance. The required business processes and logical operations will be described as Use Cases, with each being developed through normal flow and then variant and exception paths with interaction at key stages with the HNG-X Requirements Assurance process.
- 3.2 Certain Use Cases relate to functionality that Fujitsu Services has proposed will be delivered by solution components that are retained from Horizon. These are classified as "Retained Functionality" Use Cases and it has been agreed that these Use Cases will only require a minimum level of functional specification.

### 4. HNG-X REQUIREMENTS ASSURANCE

#### 4.1 Introduction

HNG-X Requirements Assurance represents a significant and necessary stage in the HNG-X solution lifecycle, providing the means by which Post Office and Fujitsu Services can progressively gain confidence in the scope, capabilities and impact of the emerging HNG-X Requirements and solution artefacts. The assurance role will involve both business and functional content assurance and 'solution design' assurance. Fujitsu Services will support Post Office in both of these activities – initially through the provision of knowledgeable personnel to assist in minimising the risk of functional omission and subsequently to work with Post Office to verify and improve various aspects of the emergent solution, both in terms of solution optimisation and economic rationalisation of HNG-X Requirements.

#### 4.2 Assurance Steps

The approach is underpinned by a series of assurance steps which cover:

- 4.2.1 content assurance: gradually moving towards a series of fully dressed Use Cases through a series of assurance stages which verify them on an incremental basis;
- 4.2.2 optimisation and completion:
  - (a) ensuring all Use Cases are up to date with all relevant Horizon or HNG-X changes and are collectively consistent; and
  - (b) giving visibility of the HNG-X Requirements to Fujitsu Services in order to obtain feedback from a solution perspective on any optimisation or improvement opportunities. It is recognised that these HNG-X Requirements are still subject to change and that any solution activities based on this material may be impacted once the final Requirements Baseline has been issued.

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- 4.2.3 further Requirements Baseline: if the above process results in amendments to the HNG-X Requirements, the Requirements Baseline will either be revised or re-issued.

#### 4.3 Roles

The assurance role will encompass the need to:

- 4.3.1 ensure compliance – by supporting the business analyst teams of both Parties in following the Requirements Definition Process and their use of the underlying tools and standards, and in producing deliverables that meet the defined quality standards;
- 4.3.2 achieve assurance – by reviewing the business content of the HNG-X Requirements artefacts for accuracy and completeness, and by enabling effective dialogue, optimisation and handover activities with the Fujitsu Services Design Authority;
- 4.3.3 ensure integrity and consistency – by applying 'whole service' and 'cross service' assessments of HNG-X Requirement definitions, shared or common specifications, and the relationship between newly specified and retained functionality; and
- 4.3.4 maintain the Requirements Baseline – by establishing processes for identifying the various sources of change that will occur throughout Project HNG-X and managing their application to the Requirements Baseline.

This participative approach will however recognise the overriding roles and responsibilities of Post Office (in terms of HNG-X Requirements Assurance) and Fujitsu Services (in terms of solution definition, build and implementation) in this process.

### **PART 2 - HNG-X REQUIREMENTS BASELINING PROCESS**

1. An initial version of the full set of Functional Requirements will be provided to Fujitsu Services as part of Post Office issuing an initial Requirements Baseline at the end of the Requirements Stage. As HNG-X Requirements Assurance may not have been completed at this point, further amendments to the initial Requirements Baseline may be required in order to take account of amendments, additions or deletions to HNG-X Requirements as a result of HNG-X Requirements Assurance. Where the overall impact of such changes is significant, the Requirements Baseline shall be re-issued by Post Office. Where the impact is minimal, there would be no need to re-issue the Requirements Baseline and any amendments shall be dealt with in accordance with paragraph 6.2 of this Schedule B6.1.
2. Individual HNG-X Requirements that are not produced as part of the Functional Requirements Definition Process described in Annex 11 Part 1 may be baselined prior to establishing the final Requirements Baseline. This approach will enable Fujitsu Services to make design or solution decisions with more certainty where necessary. At the date of signature of CCN1200, the HNG-X Requirements are as described in Annexes 3 to 10 to this Schedule B6.1 and will be marked as baselined at version 0.2. HNG-X Requirements

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which become individually baselined after this date will be marked as such in DOORS and formally handed over to Fujitsu Services ahead of the full HNG-X Requirements set.

3. For the avoidance of doubt, Fujitsu Services shall not be entitled to reject or refuse an HNG-X Requirement that complies with the provisions of this Schedule B6.1 other than in accordance with Clause 34.5.

### **PART 3 – NON-FUNCTIONAL HNG-X REQUIREMENTS RELATING TO THE USER INTERFACE DEFINITION PROCESS**

1. The non-functional HNG-X Requirements relating to the HNG-X User Interface will be established and assured in accordance with the CCD entitled "Establishing and Assuring the HNG-X User Interface" (REQ/GEN/PRD/0001).
2. For the purposes of the HNG-X Programme Requirements Change Control Process, these HNG-X Requirements are categorised as "Type B".

### **PART 4 – HNG-X REQUIREMENTS RELATING TO THE POSTAL SERVICES DEFINITION PROCESS**

1. The Functional Requirements relating to the Postal Services will be generated by following the Functional Requirements Definition Process set out in Part 1 of this Annex but will be established and assured as defined in the CCD entitled "Postal Services Business and Operational Context" (REQ/CUS/BRS/0001) by following the Postal Services Assessment Guidelines in place of the guidelines in Annex 1.
2. The non-functional HNG-X Requirements relating to the Postal Services will be established and assured in accordance with the CCD entitled "Postal Services Business and Operational Context" (REQ/CUS/BRS/0001).

### **PART 5 – HNG-X PROGRAMME REQUIREMENTS CHANGE CONTROL PROCESS**

#### **1. INTRODUCTION**

- 1.1 The HNG-X Programme Requirements Change Control Process is owned by the Post Office HNG-X Programme Manager and the Fujitsu Services' HNG-X Programme Manager, and is intended as a mechanism which applies a discretionary level of control to the scope of the HNG-X Requirements without invoking the Change Control Procedure.
- 1.2 An HNG-X Programme Change Authority will be established with representation from the Fujitsu Services' Design Authority and the Post Office Design Authority who will be responsible for the initial impact assessment of proposed changes and for recommending to the Post Office HNG-X Programme Manager and the Fujitsu Services' HNG-X Programme Manager whether a change can be dealt with within their level of authority. Final responsibility for this decision remains with the Post Office HNG-X Programme Manager and the Fujitsu Services' HNG-X Programme Manager.
- 1.3 The treatment of a proposed change will differ depending on whether the HNG-X Requirement to which the change is proposed has been baselined, has been baselined at high level, or is still under development. These are categorised respectively as "Type

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A", "Type B" and "Type C" HNG-X Requirements, with their treatment described in paragraph 2 of this Part 5 of this Annex. New HNG-X Requirements are categorised as "Type D".

- 1.4 Subject to paragraph 1.5, the HNG-X Programme Requirements Change Control Process will cease to operate after the end of the Requirements Stage, after which changes to HNG-X Requirements will be dealt with through the Change Control Procedure.
- 1.5 After the end of the Requirements Stage, the HNG-X Programme Requirements Change Control Process shall continue to apply to:
  - 1.5.1 the management of changes or additions to the HNG-X Requirements as a result of HNG-X Requirements Assurance or HNG-X Solution Assurance in accordance with paragraph 6.2.2 of this Schedule;
  - 1.5.2 the management of a deviation of a Postal Services Requirement from the Postal Services Assessment Guidelines in accordance with paragraph 6.2.3(b) of this Schedule;
  - 1.5.3 for any HNG-X Requirement other than a Postal Services Requirement, the management of a deviation from the Business Equivalence Principles in accordance with paragraph 6.2.3(a) of this Schedule; and
  - 1.5.4 for any HNG-X Requirement, the management of an inconsistency between that HNG-X Requirement and (a) an HNG-X Assumption related to that HNG-X Requirement (and set out or referred to in the same Annex to this Schedule as that HNG-X Requirement) or (b) the HNG-X Assumption set out in Annex 12, in accordance with paragraph 4.1.2 or 4.1.3 of this Schedule (as the case may be).

## 2. TREATMENT OF DIFFERENT TYPES OF HNG-X REQUIREMENTS

### 2.1 Non Baseline Functional Requirements (Requirement Type C)

- 2.1.1 Any Functional Requirement which has not been individually baselined and which does not depart from the Business Equivalence Principles is regarded as under development and is not subject to the Change Control Procedure or HNG-X Programme Change Assessment.
- 2.1.2 Where the generation of a Functional Requirement deviates from the Business Equivalence Principles (as recognised by the author of the HNG-X Requirement or as identified during HNG-X Requirements Assurance) and is not the result of an Agreed Change, an assessment will be made by the HNG-X Programme Change Authority against the conditions for an Allowed Change as set out in paragraph 4.2.3 of this Schedule B6.1 as follows:
  - (a) where the HNG-X Requirement is agreed as fulfilling the conditions of an Allowed Change, the agreement will be logged by the HNG-X Programme Change Authority as an Allowed Change and the HNG-X Requirement may continue to be developed without recourse to the

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Change Control Procedure or HNG-X Programme Change Assessment;  
and

- (b) where the HNG-X Requirement does not fulfil the conditions of an Allowed Change, the HNG-X Requirement must be passed for HNG-X Programme Change Assessment or reverted to a definition which accords with the Business Equivalence Principles.

## 2.2 Requirements Baselined at High Level including Agreed Changes (Requirement Type B)

2.2.1 HNG-X Requirements, including Agreed Changes, which are baselined at high level may be described or elaborated in more detail within the scope of the high level HNG-X Requirement without recourse to the Change Control Procedure or HNG-X Programme Change Assessment. However, where the elaboration of the HNG-X Requirement extends the scope (as recognised by the author of the HNG-X Requirement or as identified during HNG-X Requirements Assurance or HNG-X Solution Assurance, and which for Postal Services Requirements shall be assessed against the scope defined in section 4 of the CCD entitled "Postal Services Business and Operational Context" (REQ/CUS/BRS/0001) using the Postal Services Assessment Guidelines), an assessment will be made by the HNG-X Programme Change Authority as to whether the extension of scope fulfils the conditions that it must have an acceptable cost, time, risk and resourcing impact on Project HNG-X and appropriate actions will be taken as follows:

- (a) where the extension of scope is agreed as fulfilling the above conditions, the extension of scope will be adopted under the governance of the HNG-X Programme Change Authority and the HNG-X Requirement or Agreed Change may continue to be developed without recourse to the Change Control Procedure or HNG-X Programme Change Assessment; and
- (b) where the extension to scope does not fulfil the above conditions, the extension to scope must be passed for HNG-X Programme Change Assessment or reverted to a definition within the scope of the higher level HNG-X Requirement.

## 2.3 Baseline Requirements (Requirement Type A)

Once an HNG-X Requirement has been agreed and individually baselined, any proposed change to that HNG-X Requirement will be passed for HNG-X Programme Change Assessment. Following the formal handover of the final Requirements Baseline any HNG-X Requirements which have been assessed as deviating from the Business Equivalence Principles (in the case of all HNG-X Requirements other than Postal Services Requirements) or the Postal Services Assessment Guidelines (in the case of Postal Services Requirements) shall also be passed for HNG-X Programme Change Assessment.

## 2.4 New Requirements (Requirement Type D)

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New HNG-X Requirements will be initially assessed by the HNG-X Programme Change Authority to determine whether they fall within the definition of an Allowed Change. When the HNG-X Requirement is not assessed as an Allowed Change it will be passed for HNG-X Programme Change Assessment. When the HNG-X Requirement is assessed as an Allowed Change it will be processed as an HNG-X Requirement Type C in accordance with paragraph 2.1 of Part 5 of this Annex.

2.5 Fujitsu Services may propose that any additional or new HNG-X Requirement be subject to a caveat detailing any exceptions to full compliance in respect of that particular HNG-X Requirement only (and not in respect of any HNG-X Requirement already forming part of the HNG-X Requirements Catalogue) and the Parties shall, acting reasonably and in good faith, agree whether to adopt that caveat in respect of that particular HNG-X Requirement.

### 3. **HNG-X PROGRAMME CHANGE ASSESSMENT**

3.1 Proposed changes to HNG-X Requirements, new HNG-X Requirements and any changes or additions to the non-functional HNG-X Requirements relating to the HNG-X User Interface or Postal Services which are passed for HNG-X Programme Change Assessment will be initially assessed by the HNG-X Programme Change Authority to determine whether the change is likely to impact time or cost beyond the level of authority of the Post Office HNG-X Programme Manager and the Fujitsu Services' HNG-X Programme Manager, or whether there is likely to be any impact outside of Project HNG-X.

3.2 Where the change will clearly exceed this authority or will clearly have an impact outside the Project HNG-X, the change will be dealt with under the Change Control Procedure (or agreed with the author to be rejected).

3.3 Where the change appears likely to have minimal impact such that, considered with other proposed changes, it can be managed within the level of authority of the Post Office HNG-X Programme Manager and the Fujitsu Services' HNG-X Programme Manager and has no impact external to the Project HNG-X, the change will be passed to the appropriate team within Fujitsu Services or Post Office to undertake further impact assessment (under the control of the HNG-X Programme Change Authority).

3.4 If the further impact assessment referred to in paragraph 3.3 of this Part 5 confirms the initial assessment, the change will be approved and the HNG-X Requirement can be updated accordingly, subject to the final approval of the Post Office HNG-X Programme Manager and the Fujitsu Services' HNG-X Programme Manager. Once approved, if the change relates to a Functional Requirement, the change shall be deemed to be an Agreed Change. The baselined status (as indicated by the Requirement Type A, B C or D) of the HNG-X Requirement will not be changed by this process, but the version number of the HNG-X Requirement will be updated accordingly.

3.5 If the further impact assessment referred to in paragraph 3.3 of this Part 5 rejects the initial assessment, the change will be dealt with under the Change Control Procedure (or agreed with the author to be rejected).

### 4. **RECORDING OF CHANGES**

#### **Schedule B6.1 Annex 11 Version 14.0**

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All changes which are agreed as "Allowed Changes" or "Agreed Changes" shall be logged as such by the HNG-X Programme Change Authority. This log shall initially be formed from the information in Annex 2 to this Schedule as at the date of signature of CCN1200 and subsequently maintained by the HNG-X Programme Change Authority throughout Project HNG-X.

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## ANNEX 12

### GENERAL ASSUMPTION

Only one assumption has been identified as being of general application to the HNG-X Requirements. This is stated below:

#### General Assumption 01

The existing Horizon Icon Design Service will not be continued for the HNG-X System. There will be a limited set of icons agreed during the HNG-X User Interface design phase, which may be re-used as appropriate in the HNG-X User Interface. Any proposed changes or additions to the agreed set will be dealt with in accordance with the Change Control Procedure.

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## ANNEX 13

**CHANGES DELIVERED (OR TO BE DELIVERED) AFTER RELEASE S92 AGREED AS  
PART OF THE APPLICABLE HORIZON BASELINE**

POL CR ref.	Change Work Package ref.	Summary description
PSO_FSL_CR00968_FS	PWY_CWP_530	Receipt Template for Automation of Travellers Cheques ADC Product
PSO_FSL_CR00680	PWY_CWP_525 (Note: Subject to being approved)	Including figures for cash in pouches in Flexible Planning input
PSO_FSL_CR00956	PWY_CWP_520	Gift Voucher Shop Receipts
PSO_FSL_CR00950_FSV2	PWY_CWP_517	Generic Branch Receipt Template
PSO_FSL_CR00326	PWY_CWP_404	Provision of DR capability to connect POLFS users to POLFS when NDC is not available.
PSO_FSL_CR00925_FS	PWY_CWP_508	Cessation of the BBC AP interfaces
PSO_FSL_CR00921v2	PWY_CWP_505	PostShop Receipt Template (applicable to the Superstock Service from 1st April 2010)
PSO_FSL_CR0893	PWY_CWP_496	Implement changes to XI as identified in the changed functional spec
PSO_FSL_CR00786	PWY_CWP_481	A & L Sequential Referencing onto ADC
PSO_FSL_CR00754	PWY_CWP_471	Shopping Basket Finance Integration (Flowers and Travel Insurance)
PSO_FSL_CR00744	PWY_CWP_466	Transmit PDR data from Horizon to POLFS and MI system.
PSO_FSL_CR00734	PWY_CWP_457	Amend Horizon to accept 5 digit item numbers
POLCC_FSL_CR0077	PWY_CWP_453	BAU - New Barcode range for P6097 Labels
POLCC_FSL_CR0693	PWY_CWP_437	Removal of a line on the Despatch Report
PSO_FSL_CR00531	PWY_CWP_414	Quantity function in Smartpost to operate when PAF is optional and not selected.
PSO_FSL_CR00584	PWY_CWP_410	New despatch report for existing client
PSO_FSL_CR00583	PWY_CWP_409	Country of destination on T & T message

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POL CR ref.	Change Work Package ref.	Summary description
POLCC_FSL_CR00547	PWY_CWP_393	New Algorithm Condition permissible in Field Validation
PSO_FSL_CR00873	PWY_CWP_494	New AP-ADC Data Type - StackLookup
PSO_FSL_CR00781v2_FS	PWY_CWP_480	Mails Receipt changes
PSO_FSL_CR00756	PWY_CWP_474	Allow today's date to be used in selecting the date range on the Office Weekly Sales Report
PSO_FSL_CR00728	PWY_CWP_456	Cut Off facility for the Office Weekly Postage Labels report
PSO_FSL_CR00727	PWY_CWP_455	Date Range for Daily Rem reports
POLCC_FSL_CR0073	PWY_CWP_439	Rejected Postage Label Report
POLCC_FSL_CR0071	PWY_CWP_423	Printing Retailer Logos on Retailer branded Orders