

**Fujitsu  
Services**

**Fujitsu Services / Post Office Ltd Interface  
Agreement for Operational Business Change -  
Reference Data  
COMMERCIAL IN CONFIDENCE**

Ref: CS/PRD/058  
Version: 11  
Date: 27 November 2003

**Document Title:** Fujitsu Services / Post Office Ltd Interface Agreement for Operational Business Change - Reference Data

**Document Type:** Interface Agreement

**Release:** Debit Card/Mails

**Abstract:** This Interface Agreement defines for the Debit Card Service/Mails release of the Horizon System the requirement, the service solution and the obligations of Post Office Ltd and Fujitsu Services for delivering Operational Business Change – Reference Data.

**Document Status:** Approved

**Author & Dept:** David Wilcox, Fujitsu Services Post Office Account Customer Service

**Contributors:**

Stephen Muchow	David Anders
Martin Riddell	Andy Corbett
John Wright	Bernadette O'Donnell
Peter Burden	Rabia Cody
	Mark Knight
	Liz Tuddenham

**Internal Distribution:** Fujitsu Services Post Office Account RDT

**External Distribution:** Post Office Ltd Network Support  
Post Office Ltd Sales and Marketing Product Deployment  
Post Office Ltd Reference Data Operational Team  
Post Office Ltd Horizon Commercial

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Approval Authorities:

Name	Position	Signature	Date
Martin Riddell	Fujitsu Services Post Office Account Customer Service Director		
Ruth Holleran	Post Office Ltd Head of Network Support		

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## 0.0 Document Control

### 0.1 Document History

Version No.	Date	Reason for Issue	Associated CCN No.
10.0	20/12/2002	Updated for Contract Amendment agreed by both Parties	
10.1	17/02/2003	Updated to include Debit Card Service, Branch Change, changing core to non-core	
10.2	08/07/2003	Update to include changes agreed in relation to release of data. Addition of Mails information	
10.3	21/10/2003	Update following comments Change to volumes for Network Reinvention (section 7.3)	
11.0	27/11/2003	Approved version	

### 0.2 Review Details

Review Comments by :	
Review Comments to :	

Mandatory Review Authority	Name
Fujitsu Services	Aileen Davis John Wright Hilary Forrest Reg Barton
Post Office Ltd	Rabia Cody Andy Corbett David Anders Mark Knight Nick Samuel Matt Warren
Optional Review / Issued for Information	

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Fujitsu Services	Peter Burden John Shepherd Mik Peach
Post Office Ltd	Liz Tuddenham Bernadette O'Donnell

### 0.3 Associated Documents

Please see library for details of latest versions of documents.

	Reference	Vers	Date	Title	Source
1.	CS/PRD/030			Process for Operational Business Change - Product	Fujitsu Services
2.	CS/IFS/001 + CS/IFS/010			Reference Data Change Catalogue + Reference Data Change Catalogue Network Banking Appendix	Fujitsu Services
3.	CS/PRD/110			AP Client Service Introduction and Change Process	Fujitsu Services
4.	CS/SER/001			CS Services Catalogue	Fujitsu Services
5.	RDP/AIS/001			AIS Reference Data to Pathway Type A Data (CSR)	Post Office Ltd
6.	RDP/AIS/001			AIS Reference Data to Pathway Type A Data (CSR+)	Post Office Ltd
7.	RDP/AIS/008			AIS Reference Data to Pathway Type B Data (CSR)	Post Office Ltd
8.	RDP/AIS/008			AIS Reference Data to Pathway Type B Data (CSR+)	Post Office Ltd
9.	CS/PRD/048			Changing Reference Data to Tight Timescales	Fujitsu Services
10.	CS/IFS/002			Reference Data Change Class 1 Analysis	Fujitsu Services
11.	CS/IFS/003			Fujitsu Services / Post Office Ltd	Fujitsu



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				Operational Business Change – Branch Interface Agreement	Services
12.	RDS/OLA/001			Reference Data – Post Office Ltd / Pathway Operational Level Agreement	Post Office Ltd
13.	PON/OSG/OLA/001			PON OSG / ICL Pathway Operational Level Agreement	Post Office Ltd
14.	OSG/OPS/001			Operational Business Change Product Verification Procedures	Post Office Ltd
15.	RD/TEC/951			Reference Data Rules and Values	Post Office Ltd+ Fujitsu Services
16.	CS/POL/006			Service Management Framework Part A	Fujitsu Services
17.	CS/OLA/022			Communications Interface Agreement	Fujitsu Services
18.	CS/PRD/077			Reference Data Alert Process	Fujitsu Services
19.	CS/PRD/028			Process for Changing Menu Hierarchies and Icons	Fujitsu Services
20.	CS/PDN/018			Horizon Icon Service Description	Fujitsu Services
21.	RDP/TEC/977			Network Banking Reference Data Rules and Values	Post Office Ltd + Fujitsu Services
22	CS/PRD/108			Conventions for naming of Operational Business Change Reference Data	Fujitsu Services

Unless a specific version is referred to above, reference should be made to the current approved versions of the documents.

#### **0.4 Abbreviations/Definitions**

The text in the remainder of this document uses the abbreviations and definitions shown below. They are not intended to be definitive in any other contractual context.

Fujitsu  
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Abbreviation	Definition
Adow	Any day of the week, as opposed to working weekdays.
Advanced Change	Product and Branch Business changes available through the OBC processes that require a notice of change to be delivered to Fujitsu Services before implementation. In the case of Product Change they may or may not be supported by Reference Data files from Post Office Ltd. Advanced Changes are subdivided into Complex, Complex Extended, Standard, Simple or AP. [see section 4.2].
Advanced Complex Change	Product Change that requires advance notice to be given to Fujitsu Services in order for Type C Reference Data to be created.
Advanced Complex Extended Change	Product Change that requires advance notice to be given to Fujitsu Services in order for Type C Reference Data to be created, also requires additional validation/verification above that needed for Advanced Complex Change
Advanced Simple Change	Product Change that requires advanced notice to be given to Fujitsu Services, where the additional activities required can be carried out after the OBC has been released and therefore do not extend the lead-time for that OBC.
Advanced Standard Change	Product Change that requires advanced notice to be given to Fujitsu Services, where the additional activities required do extend the lead-time for that OBC, but the change does not require Type C Reference Data.
After the event changes	Changes which need to be made to complete an OBC, but are not needed before the release of the OBC e.g. documentation updates.
Agreed Release Date	For each delivery of Reference Data that is to be released to the live estate Post Office and Fujitsu Services shall agree a release date (the “ <b>Agreed Release Date</b> ”) which shall be in accordance with the principles defined in section 10.1 of this document and is the date on which Fujitsu Services initiates the release of that Reference Data to the live estate
Amendment file	A file containing records changing previously received Reference Data which is still being processed – must be released with the original file.
AP	Automated Payments
Authorisation Date	Post Office shall be responsible for final validation and authorisation of Post Office supplied Reference Data, the date of such authorisation being referred to as the “Authorisation Date”.
Authorisation Form	A document that is sent from Post Office Ltd to Fujitsu Services to say the following for the named Product Change OBC. <ul style="list-style-type: none"> <li>• The Verification Report has been checked.</li> <li>• The Verification Counters have been tested and: <ul style="list-style-type: none"> <li>➤ The <b>Identity</b> and <b>Name</b> of the Business Test performed to verify the changes,</li> <li>➤ The <b>Date</b> and <b>Time</b> the Business Test was conducted,</li> </ul> </li> </ul>

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	<ul style="list-style-type: none"> <li>➤ The <b>Name</b> of the person who conducted the Business Test,</li> <li>➤ The <b>Conclusion</b> of the Business Test, whether <b>Pass</b> or <b>Fail</b>, <ul style="list-style-type: none"> <li>• If Fail, the <b>Failure Reason</b> and <b>Mitigating Action</b></li> <li>• If Pass, indicate whether the <b>Comparison Report</b> had been checked <b>Yes</b> or <b>No</b>.</li> </ul> </li> </ul> <p>For Branch Change OBC the form shall state the BCR and the FAD code</p> <p>For both Product and Branch change the form provides the notice of authorisation.</p>
Authorisation	<p>The Authorisation process results in Fujitsu Services being directed by Post Office Ltd to implement in the live estate those authorised Reference Data changes that are covered by the notice of authorisation.</p> <p>Authorisation is an assertion by Post Office Ltd that they have diligently and conscientiously performed the specified [ref. 14] Business Tests, and that within the bounds of the specified tests the results indicate that the effects of the authorised Reference Data change is the effect that Post Office Ltd intended.</p> <p>Fujitsu Services is responsible for ensuring that all other effects on the system are consistent with the stated requirement.</p> <p>Each party accepts responsibility for those aspects of a change for which it has responsibility to test.</p> <p>The notice of authorisation shall be communicated via an Authorisation Form.</p> <p>N.B. Certain types of change are pre-authorised and may be implemented to the live estate by Fujitsu Services without any further notification by Post Office Ltd.</p>
Authorised Change	An OBC which has passed through the Authorisation process and has been authorised.
Basic Change	Product Changes available through the OBC processes that DO NOT require a notice of change to be delivered to Fujitsu Services. Currently Basic Changes always consist of Class 1 Reference Data.
BAU	Business As Usual. Processes within Post Office Ltd that occur regardless of whether the Horizon system is in use.
BCR	Business Change Request (referred to in Post Office Ltd as “Change Control Number”). A unique identification number for an OBC.
Branch	Term used to refer to individual post offices. Replaces the formerly used term “outlet”.
Branch Changes	Changes to Branch information available through the Horizon system implemented wholly, or in part, through changes to Reference Data
Business Tests	<p>Tests used by Post Office Ltd to ensure a Product change seen on the Verification Counter and/or described in the Verification and Comparison reports meets the requirement.</p> <p>Where Business Tests fail to identify problems that were apparent at the time the</p>

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	tests were carried out, the specified tests will be improved by joint review and change control.
CCD	Contract Controlled Document
CCN	Change Control Note as defined in the Contract.
CCN	Change Control Number (referred to in Fujitsu Services as “Business Change Request”).
CIT	The Change Implementation Team, Network Support, Post Office Ltd. (formerly known as the Service Provision Team or OSG.)
Change Type	For example, Basic Pure, Advanced Simple, Advanced Complex, AP etc.
Class 1	Class 1 Reference Data is the subset of data items which have no impact on any other part of the Horizon system and changes containing only Class 1 Reference Data (Basic Changes) can be implemented by Fujitsu Services without advance notice [see ref. 10]. Class 1 data is subsetting into HD, HR and Pure.
Comparison Report	The output from Fujitsu Services’s software tool which is used for identifying the changes that have occurred on a Horizon counter. It provides information to Post Office Ltd for verification purposes.
CR	Change Request as defined in the Contract
CSR	Core System Release – superseded by CSR+
CSR+	Core System Release Plus
CTO	Client Take-On (AP)
DCS	Debit Card Service
Deviation to the service	A single instance of an agreed variation to the workload which falls outside of specified levels.
Effective Date	The date on which any Reference Data is required to be effective on counters in the live estate.  Note: Reference Data has an attribute ‘Start Date’. In many instances this is the effective date however there are occasions where the ‘Start Date’ is the date on which the Reference Data is keyed or there may be a need to have the data effective later than the original ‘Start Date’
Error	A part of a change that does not meet the requirement or specifications, whether Reference Data definitions, file format, milestones, delivery route or other aspect of the OBC processes. (see also Rework)
Error correction file	A file containing records for the purpose of correcting errors to previously received Reference Data which is still being processed-must be released with the original file.
Exception	A change that falls outside of the agreed levels e.g. to lead-times or volumes and is not a ‘Deviation to the service’.
HD (Basic)	Reference Data changes are ‘HD’ when the change is relevant in Fujitsu Services only to the HelpDesk e.g. telephone number.

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HFSO	Horizon Field Support Officer
HR (Basic)	Reference Data changes are 'HR – High Risk' when verification is required by Post Office Ltd (but are not subject to advanced notification).
HSH	Fujitsu Services Horizon System Helpdesk.
Interface Agreement	This document (except where the Interface Agreement for Branch is specifically referred to, then see [ref. 11]).
Live Fix	A change to Reference Data to correct a Live Incident
Live Incident	The occurrence of an incident, which relates to the live environment and is recorded on the Fujitsu Services HSH and / or the Post Office Ltd NBSC help desks.
MAAWP	Maximum Authorising Agent Wait Period
Mails	Contractual name for the Application which provides the SmartPost service
MCWP	Maximum Counter Wait Period
Migration Special	See section 4.2.5.2 for the definition.
MIS	Management Information System
NBE	Network Banking Engine
NBS	Network Banking Service
NBSC	Post Office Ltd Network Business Support Centre.
NS	Network Support, Post Office Ltd.  (formerly known as Business Service Management. It includes the Change Implementation Team, formerly known as the Service Provision Team or OSG.)
NWB	Network Banking
OBC	Operational Business Change.  Any change, usually supported by Reference Data changes, that is implemented through the OBC process e.g. Advance and Basic Changes, excluding changes specifically required to implement software changes.
OBC forms	Electronic Forms used to interchange information relating to OBCs between Post Office Ltd and Fujitsu Services e.g. OBC 2.
OLA	Operational Level Agreement
Outlet	Term formerly used to refer to individual post offices. Now replaced by the term "branch".
Pathway	Fujitsu Services (Pathway) Ltd – no longer used
PinICL	An incident recording system used within Fujitsu Services
PLU	Product Look Up
PM	Postmaster



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POCL	Post Office Counters Limited – the former name of PON.
PON	Post Office Network - name which supersedes POCL but is now replaced by Post Office Ltd
Postcomm	The Postal Services Commission, that is the Government appointed regulator for postal services
Pre-authorised change	A pre-authorised change is a Reference Data change that by agreement [see section 4] does not require verification by Post Office Ltd and can be released by Fujitsu Services without additional notification from Post Office Ltd over and above the delivery of a conformant file.
Pre-live Incident	The occurrence of an incident, which is observed during Reference Data processing and validation before release to the live environment, and is recorded on an Incident Management System (PinICL) operated by Fujitsu Services.
Product Changes	Changes to the products or appearance of products available through the Horizon system implemented wholly or in part, through changes to Reference Data.
Pure (Basic)	When used in reference to a Reference Data Change 'Pure' indicates Reference Data which is considered to be of low risk to business integrity.
RDCC	Reference Data Change Catalogue
RDMC	Fujitsu Services Reference Data Management Centre
RDORF	Reference Data Operational Review Forum
RDOT	Post Office Ltd Reference Data Operational Team (Chesterfield)
RDP	Post Office Ltd Reference Data Project
RDS	Post Office Ltd Reference Data System
RDT	Fujitsu Services Reference Data Team
Release Day	The day on which Reference Data is Released to the live system.
Released to the live system	Reference Data released by Fujitsu Services into the TMS agent. The end point for the process defined in this document. The SLT [see section 3.2] covers the delivery of Reference Data to the branches.
REM	Remittance
Required Date	The date on the OBC form (Advanced Changes) that specifies when the change needs to be available at the branches. Normally this is the same as, or earlier than, the Start Date. (see also, Effective Date.)
Rework	Activity required to progress a change when an Error Correction File or Amendment File is provided.
RM	Fujitsu Services Release Management
Smart Post	Horizon desktop service based on Escher Mails – will replace Scales service
SLT	Service Level Target as defined in the Contract
Start Date	The earliest date specified within any record within any file of Reference Data for

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	a particular OBC. The Start Date is used by the Horizon counters to determine when the functionality comes into effect. This date should always be a future date when taking into account lead times. (see also Effective Date & Required Date.)
TMS	Transaction Management Service.
Type A	Data transmitted electronically from RDS to RDMC over an automated interface.
Type B	Data transmitted electronically from Post Office Ltd to Fujitsu Services over a non-automated interface.
Type C	Data prepared by Fujitsu Services.
Unauthorised change	An OBC that has been released to the live environment but has not been authorised.
Unit of Release	A combination of files which are intended to be released together. The smallest is a single file. Where Amendment or Error Correction files are applied to a change in progress, the unit of release will be all files associated with the original OBC.
Validation (Validate)	Confirming that the observed result of the change implemented is the same as that expected and fulfils the requirements as specified to Fujitsu Services – activity performed by Fujitsu Services.
Verification (Verify)	Confirming that the observed result of the change implemented is the same as that expected and fulfils the requirements of the business – activity performed by Post Office Ltd.
Verification Counter	A non-live Horizon counter provided to Post Office Ltd to which OBCs are applied in order for Post Office Ltd to verify the change, before its release to the live estate.
Verification Report	A report produced from the RDMC to show which Reference Data records have changed.
Working weekdays	9am to 5pm, Monday to Friday, excluding English Public Holidays.

[Terms defined in the Contract shall have the same meaning where used in this CCD]

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**0.5 Changes in this Version**

<b>Version</b>	<b>Changes</b>
10	<ul style="list-style-type: none"><li>• Drop down of relevant provisions from N01 from the old Codified Agreement. Also changes to introduce new &amp; replacement terminology (eg. Agreement instead of Codified Agreement) have been made. Inclusion of new definitions from Schedule 15 (Agreed Release Date &amp; Authorisation Date) into the document. Introduction of volumetric limits in accordance with Heads of Agreement and agreement to move towards work index system as agreed between Post Office &amp; Fujitsu Services (cf para 6.2). Planned capability volumetrics in relation to Network Reinvention activity (cf para 6.3).</li></ul>
10.1	<ul style="list-style-type: none"><li>• Name of document changed as all Reference Data is now included</li><li>• Remove reference to Pathway</li><li>• Add details relating to Debit Card Service</li><li>• Change sections as necessary to accommodate branch change</li><li>• Add section on changing products from non-core to core and back</li><li>• Add section on process for permanently closing branches</li><li>• Remove Appendix A – OBC volumes for year 2002</li></ul>
10.2	<ul style="list-style-type: none"><li>• Amended following comments to version 10.1</li><li>• Addition of Appendix on Mails</li><li>• Inclusion of new section 10.2 regarding Release of Reference Data to close the gap with Schedule 15 of the contract. Also amended definitions of Agreed Release Date, Authorisation Date and Effective Date to conform to this</li><li>• Added appendix on process for handling PinICLs between Fujitsu Services and Post Office Ltd</li></ul>
10.3	<ul style="list-style-type: none"><li>• Amended following comments to version 10.2</li><li>• References to ‘Agreement’ in section 0.4 changed to ‘Contract’</li><li>• Agreement now recognises the Mails service</li><li>• Section 7.3 amended in light of change requirement for Network Reinvention</li></ul>



## 0.6 Changes Expected

Changes
<ul style="list-style-type: none"> <li>• Structure of document to better reflect the current service following discussions with Post Office Ltd</li> <li>• This document may well need to change to reflect changes in the End to End processing and delivery of Reference Data such as replacement of RDS</li> <li>• This document may need amendment when agreement is reached on the use of the work index measurement mechanism</li> </ul>

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## 1 SUMMARY SHEET

This section summarises the content of this Interface Agreement as a “quick reference” guide to change types. It does not replace the detail contained in the following sections (should there be differences, the latter shall prevail).

Note: the Lead-time includes processing within both Post Office Ltd and Fujitsu Services, but not distribution to the Horizon counters.

Change Category	Definition (see section 4)	Lead-time (working weekdays)		
Product Standard:		Post Office Ltd	Fujitsu Services	Total
Basic Change - Pure	Type A Reference Data only (no Post Office Ltd verification required)	4	1	5
Basic Change – High Risk	Type A Reference Data only (Post Office Ltd verification is required)	6	4	10
Advanced Simple Change	Type A Reference Data, plus after-the-event changes	6	4	10
Advanced Standard Change	Type A & Type B Reference Data, MIS change & Fujitsu Services testing required	9	5	14
Advanced Complex Change	Change that requires Type C Reference Data from Fujitsu Services	14	11	25
Advanced Complex Extended Change	Change that may require Type C Reference Data from Fujitsu Services or may need longer validation/verification times than Advanced Complex	14	16	30
AP Change	Change required for AP Client Take-On and Token verification.	[see refs. 3&4]		
Icon Change	Introduction of new/amended Icon	[see ref 20]		
System Parameters – Pure	Amend specified Horizon system parameters within defined limits	1	2	3
Product Fast-track:				
Basic Express	A subset of Basic HR, for a specific requirement to change specific Reference Data quickly.	1.5	0.5	2
Migration Special	An addition to the non-core product mappings for a branch, normally where the product is already being sold prior to migration.	0.75	0.25	1
Tight Timescales	A change to make any kind of Reference Data change quickly, in specified circumstances.	Agreed when requested		

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Business Critical Advanced Change	An advanced change which requires shorter lead time than would normally be required for such a change	Agreed when requested
Live Fix	A change to correct a live incident. (ref. section 4.2.5.4 and 10.4).	Defined in OLAs (refs. 12 & 13)
<b>Branch:</b>		
Help Desk (HD)	Type A Reference Data only (no Post Office Ltd verification required)	Defined in [ref 11]
Advanced	Type A Reference Data only to support more complex changes in branches (e.g. relocation). May require Post Office Ltd verification.	Defined in [ref 11]

N.B. The breakdown of the leadtimes shown above are indicative only of the time taken within each organisation. The overall leadtime should always be taken as the true indication of the time required to effect a change. When considering the date by which data is to be delivered to Horizon counters and the total amount of time required to implement a change, in addition to the leadtime shown above consideration must also be given to distribution time to the Horizon counters (see section 3.2) following authorisation.

## 2 Introduction

This document is a Contract-Controlled Document (CCD).

### 2.1 Intent of Interface Agreement

The intent of this Interface Agreement is to establish effective co-operation between Fujitsu Services and Post Office Ltd for the timely efficient and cost effective delivery of Operational Business Change using Reference Data to Horizon enabled post office counters.

This Agreement has been renamed and extended to recognise both Product and Branch Reference Data.

This Interface Agreement identifies:

- Post Office Ltd and Fujitsu Services requirement for changes introduced via Reference Data,
- the agreed end-to-end service solution for Fujitsu Services and Post Office Ltd, both separately and jointly, for implementing such changes and
- the obligations of both parties, both separately and jointly, that must be met in order to deliver the solution.

There are a number of documents (which are not CCDs) that describe the interfaces and agreements made between Fujitsu Services and Post Office Ltd for the management of Operational Business Changes. This document provides an “umbrella” agreement for those and they will comply with the agreements made within this Interface Agreement.

Whilst this Interface Agreement serves as an umbrella for other documentation it cannot supersede any contractual obligations defined within the Contract. The timescales shown later in this document are those which are agreed by both parties to be operationally viable and as such form the basis of normal business practice when implementing changes to Reference Data.

### 2.2 Maintenance of this Interface Agreement

This Interface Agreement is applicable to the Debit Card and Mails (Smart Post) Services Horizon release. It will be reviewed for any future major software release and on an on-going basis. It is maintained by Fujitsu Services on behalf of both parties.



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## 2.3 Future Developments

Post Office Ltd and Fujitsu Services agree to work jointly to improve the quality and effectiveness of the Reference Data interface as follows:

- Review the functionality, scope and effectiveness of the Reference Data test environment and enhance where appropriate.
- Continuously monitor the toolset available in the test environment, in particular the Reference Data comparison tool for identifying impact of planned Reference Data changes with the possibility of enhancement where appropriate.
- Continuously monitor and where necessary improve the Reference Data Change Catalogue (RDCC) relating to Reference Data requirements.
- Review the consolidated set of Business Rules and procedures which have been jointly developed and implemented.
- Continuously improve the scope and effectiveness of Business and System tests.
- Identify risks to the Reference Data service and take remedial action to eliminate or mitigate such risks.

The programme for delivery of each of the above will be overseen by the RDORF.

## 2.4 Service Management Policy

Service Management Policy is described in [ref 16]

## 2.5 Alerting when product data is at risk of late delivery

When it is known that Reference Data for Product changes may be at risk of non delivery by the time it is required at branches (the Effective Date) an Alert may be required. The detail of the Alert Process is described in [ref 18].

The principles of the Alert Process with respect to data being delivered overnight to become active at branches the following day are:

- to provide warning to relevant parties in Post Office Ltd and Fujitsu Services, that there is risk of critical reference data not being available at branches the following day
- to allow appropriate contingency to be invoked against that risk where lack of the data would cause critical problems

The process may similarly be invoked if the final milestone is known to be at risk (see section 10.4)

The process is initially invoked by Post Office Ltd setting the Alert Flag on the Release Authorisation Form. If the Release Day is the day prior to the Effective Date, and the Alert Flag is set, RDT will initiate the warning process.

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## 2.6 Contractual obligations with respect to NBS

The contract for supply of the Network Banking Service included a number of contractual obligations which have been carried forward into this document.

### 2.6.1 Extensibility

The NBS shall support, through changes to or the introduction of appropriate Reference Data, the introduction and removal of new instances of and changes to each of the items (marked as suffix NWB) shown in Appendix B: Standard Changes – Details. The parties may agree to vary the allocation of the items from time to time, such variation to be documented by Fujitsu Services in the working document entitled “Reference Data Change Catalogue” (CS/IFS/001).

#### 2.6.1.1 Introduction and Change

The introduction of changes to and new instances of items specified above in 2.6.1

- (a) shall be effected using only the agreed functions and processes used for introduction of and changes to reference data for those Post Office Services existing at the time of introduction of the NBS into this Agreement.
- (b) shall not cause to be exceeded:
  - (i) any limit or range in respect of any such item (including, without limitation, limits or ranges on the number of IINs) where such limit or range is specified in the CCD entitled “Horizon Capacity Management and Business Volumes” (PA/PER/033); and/or
  - (ii) if no such limit or range is specified in that CCD then a reasonable limit or range

#### 2.6.1.2 Verification of NBS Reference Data

Post Office Ltd shall be responsible for verifying all NBS related Post Office Reference Data for use in End to End Banking, save to the extent that Fujitsu Services is obliged to do so (for the purposes of the use of such Post Office Reference Data within the Post Office Service Infrastructure) in accordance with paragraph 2.6.1.1 above. For the avoidance of doubt, the Change Control Procedure shall be used if Post Office Ltd requires, in connection with the introduction of any of the items referred to in paragraph 2.6.1 above, Reference Data validation or testing of the NBS (or any element thereof) outside the scope of this Interface Agreement.

### 2.6.2 NBE Reference Data

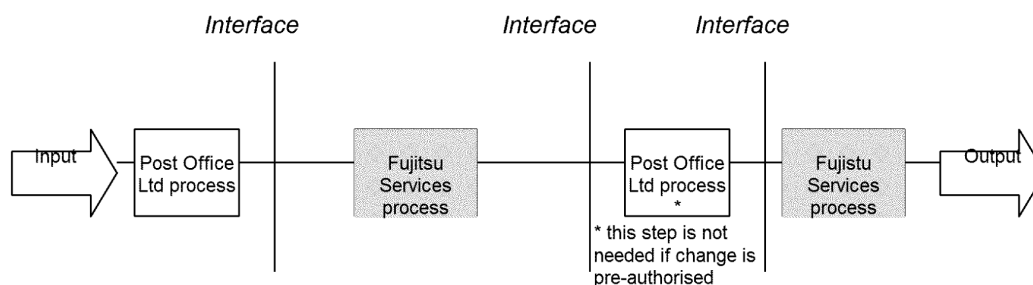
Post Office Ltd shall be responsible for ensuring that Post Office Reference Data is introduced and is effective in the NBE no later than the date and time on which it is due to be made effective in the NBS by Fujitsu Services and that Post Office Reference Data shall continue to be valid in the NBE until a date and time no earlier than that on which it is due to cease to be valid in the NBS. Subject to the lead times specified in this Agreement Fujitsu Services shall ensure that Post Office Reference Data is implemented in the NBS on the date and time specified by Post Office Ltd and that it remains valid until the expiry date and time specified by Post Office.



### 3 Scope

#### 3.1 Interfaces

This Interface Agreement covers all the interfaces between Fujitsu Services and Post Office Ltd that support the Operational Business Change process for pre-defined Product and Branch changes.



The start is the point where an OBC form has been completed and issued within Post Office Ltd, and the end point is where the Reference Data has been released within Fujitsu Services for delivery to the live counters.

The delivery of the Reference Data to counters, following release authorisation, is covered by the SLT [see section 3.2].

This Interface Agreement applies to both Product and Branch Changes where:

- a Basic Product Change and HelpDesk Branch Change is a change which consists solely of Reference Data which requires no additional Fujitsu Services actions and may be submitted to Fujitsu Services without notice
- an Advanced Change Product Change is a change which requires additional Fujitsu Services activity and is subject to advanced notification
- an Advanced Branch Change is a change which is subject to advanced notification

Note: Reference Data for Branch Change is usually necessary to support activities such as: a new Branch Opening, a Branch Relocation, conversion of a Branch franchise, a Branch Closure. Reference Data also supports changes to branch details such as: opening hours, telephone number, name and address but excludes the addition or removal of individual counters. The specific activity for branch change is described in [ref 11]

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### 3.2 Service Level Target

The contractual provisions relating to the distribution of Reference Data to Branches are defined in Contract Schedule 15.

For convenience the Service Level Targets that appear in Schedule 15 are shown below:

- 96% of Counter Positions will have received the correct version of the Reference Data by the start of Post Office Core Day on the day following the Agreed Release Date (i.e. by Day B);
- 97% of Counter Positions will have received the correct version of the Reference Data by the start of Post Office Core Day two days after the Agreed Release Date (i.e. by Day C);
- 98% of Counter Positions will have received the correct version of the Reference Data by the start of Post Office Core Day three days after the Agreed Release Date (i.e. by Day D);
- 100% of Counter Positions will have received the correct version of the Reference Data by the start of Post Office Core Day nine days after the Agreed Release Date (i.e. by Day J).

For definitive information regarding the above service levels please refer to Schedule 15 of the contract which takes precedence over this CCD.

### 3.3 Operational Business Change processes for Product Change

The Operational Business Change (OBC) process for product change is defined in [ref. 1] and the types of change that qualify for the OBC process are defined in the Reference Data Change Catalogue (RDCC) [ref. 2,]. Changes not found in the RDCC must be requested via the normal Change Control Procedure.

A summary of the process is given below.

Note:

Not every Change Type follows every step of the process [see section4.2].

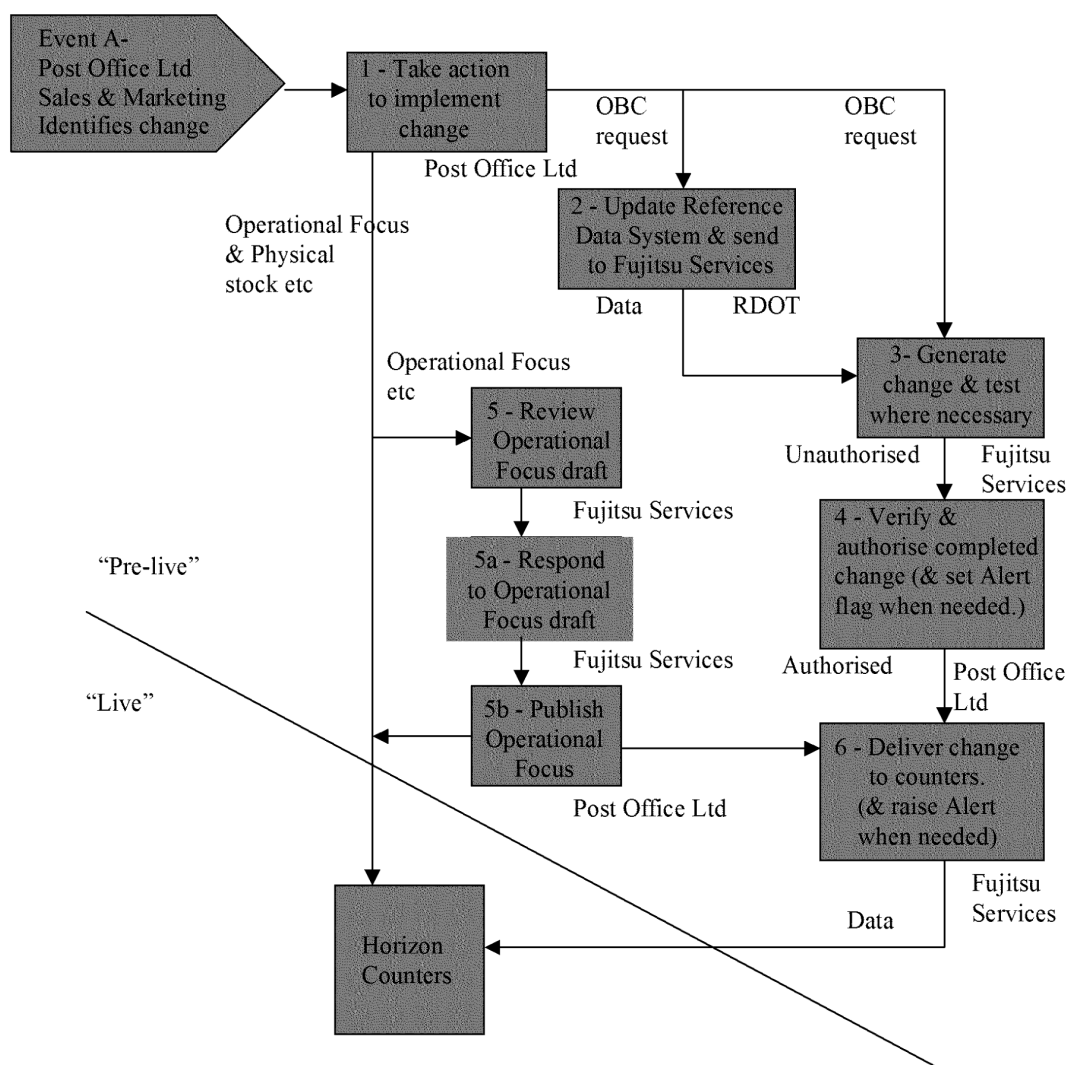
The timescales for each stage of the process are defined in [section4.2].

The types of change that the process applies to are defined in [section4.2].

The responsibilities of each party are defined in [section 9].

### 3.3.1 Process Diagram

Note: feedback loops exist at all stages for error correction, but are not shown,



**3.3.2 Process Steps**

	Step	Taken by	Description
A	Event A – Identify change	Post Office Ltd	The relevant unit in Post Office Ltd identifies the business need to introduce, change details of, or withdraw a product.
1	Take actions to implement the changes	Post Office Ltd	<p>The relevant unit in Post Office Ltd identifies if the change is a Basic Reference Data change, or an Advanced OBC change.</p> <p>The relevant unit raise the required OBC forms to:</p> <ul style="list-style-type: none"> <li>Request Post Office Ltd Reference Data Operations Team (RDOT) to change the Reference Data (for both Basic and Advanced Changes)</li> <li>and request an OBC – Product Change from Fujitsu Services (for Advanced Changes).</li> </ul> <p>Post Office Ltd NS CIT confirm the change requested is an Advanced OBC change and request Fujitsu Services to make the change.</p> <p>Post Office Ltd NS CIT supply any required additional information to support the Advanced OBC change.</p> <p>Post Office Ltd ensure that all necessary communications and supporting actions for the OBC are complete.</p>
2	Update Ref. Data system & send to Fujitsu Services	Post Office Ltd RDOT	<p>Post Office Ltd RDOT changes the Reference Data in RDS to meet the OBC requested and send it to Fujitsu Services and other users within Post Office Ltd.</p> <p>N.B. This step is not used where no RDS data is required</p>
3	Generate Change and test where necessary	Fujitsu Services	<p>Fujitsu Services receives the Reference Data from RDOT (for all changes) and receives the OBC form and necessary additional information from Post Office Ltd NS CIT (for Advanced Changes).</p> <p>Fujitsu Services initiates any required internal actions e.g. ensure Reference Data is appropriate for the OBC requested as defined in the RDCC [ref. 2], generate Type C Reference Data, test changes. Changes are tested and validated by Fujitsu Services where necessary.</p> <p>Fujitsu Services generates and delivers the RDMC</p>

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			Verification Report and the Comparison Report to Post Office Ltd NS CIT and delivers the actual Reference Data change to the verification counters, as appropriate. Note: Fujitsu Services does not send Pure Basic and Migration Special Changes to Post Office Ltd NS CIT for authorisation, as they are pre-authorised by Post Office Ltd.
4	Verify & authorise completed change	Post Office Ltd NS CIT	<p>Post Office Ltd NS CIT undertake OBC counter and report verification (as appropriate) and confirm the change as delivered is the change required, and authorises the release of the OBC to the live estate. Post Office Ltd NS CIT also sets the Alert flag on the Authorisation Form, when appropriate. (see section 2.5)</p> <p>N.B. Some changes are Pre-Authorised – please refer to [ref 22]</p>
N.B. The following steps may start after step 1 and run in parallel			
5	Review Operational Focus articles	Fujitsu Services	<p>Fujitsu Services reviews, and responds to, all relevant Operational Focus or other Horizon update articles before publication and distribution (when required) to confirm that the contents correctly reflect the system and will not have an unnecessary impact on Helpdesk resources. Post Office Ltd shall accept all amendments reasonably requested by Fujitsu Services in pursuit of the delivery of contractual services. The process is described in [ref 17]</p>
6	Change delivered to counters	Fujitsu Services	<p>Fujitsu Services releases Reference Data for all authorised OBCs to the live estate. Fujitsu Services will raise Delivery Alert on the Release Day, if the Alert Flag is set and the change is to be effective next day. (see section 2.5)</p> <p>Where agreed with Post Office Ltd, the release may be held pending communication to the Branches e.g. via Operational Focus. (However if release delay risks the Start Date, there may need to be another change processed to amend the start date of the change).</p>

### 3.4 Icon Change

Whilst the introduction of Icons (the pictures which appear on buttons) on the Horizon desktop is not contractually a part of the OBC process, the scope of this document has been extended to include the process for introducing new, or amending existing, Icons. The process and agreed timescales for Icon change are described in [ref 20].

### 3.5 Operational Business Change processes for Branch Change

The process for effecting changes at branches is fully described in [ref 11]. In some cases there will be a need for Reference Data to support the physical changes at branches (e.g. temporary closure for refurbishment). In some cases there will be a need to change Reference Data when there is no physical work required (e.g. change of opening times).

Whilst the definitive process is in [ref 11] it is worth noting the general steps within this document:

1. Post Office Ltd submit Reference Data via RDS to RDMC
2. Fujitsu Services produce reports and send them to the relevant Post Office Ltd Network Implementation and Equipment Team (Central)

Pre-authorised changes

3. Fujitsu Services release the data
4. Post Office Ltd check reports and if errors are found submit a fresh change

Changes that require authorisation

5. Post Office Ltd check reports and if errors are found inform Fujitsu Services that a correction is necessary and produce corrected Reference Data – go back to 1
6. Post Office Ltd authorise the change for release
7. Fujitsu Services release the change



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## 4 Types of Change

### 4.1 Introduction

Change types are pre-defined for inclusion into the OBC – product process. This definition can be found in the Reference Data Change Catalogue (RDCC) [ref. 2]. Each pre-defined change type is grouped as shown in the table in section 1.

The RDCC Product Change categories that apply to these changes are listed in sections 4.2.1 and 4.2.5 below. The assumptions listed in the RDCC must be adhered to, in order to apply these categorisations.

Change types for Branch Changes are defined in [ref 11]

### 4.2 Product Changes

#### 4.2.1 Standard Changes

The order of the change types in this section is significant and is an indication of the level of risk with each type and therefore the amount of checking that is deemed to be necessary. The change types are in order of increasing risk from those which need little or no checking, as the effect of an error would be minimal on the Live estate, to those which need extensive checking, as the effect of an error may be significant on the Live estate. Those changes, which are deemed to require minimal or no checking, are classified as Basic - Pure. Those changes, which are deemed to require most checking, are classified as Advanced – Complex or Advanced Complex Extended.

A complete list of changes applicable to each type is held within the RDCC. Should Post Office Ltd decide that additional checking is required, a change may be submitted in a type with a higher risk position in this section. However the converse is not true, in that a change can never be requested with a lower risk position than the type shown in the RDCC.

Appendix A: Standard Changes - Details, shows a representative list of the changes for each type.

##### 4.2.1.1 Basic - Pure

Basic Changes do not require advanced notification from Post Office Ltd to Fujitsu Services (OBC form). The delivery of the Reference Data file using agreed mechanisms is the request for change. The file must identify that its contents are Basic Pure changes. The file may contain more than one change of the same type. All Basic files contain only Class 1 Reference Data items. Fujitsu Services checks the contents of the file are appropriate for the type of change. Pure changes do not require verification and are pre-authorised for release.

##### 4.2.1.2 Basic – High Risk

Basic Changes do not require advanced notification from Post Office Ltd to Fujitsu Services (OBC form). The delivery of the Reference Data file using agreed mechanisms is the request for change. The file must identify that its contents are a Basic High Risk change. The file may

contain more than one change of the same type. All Basic files contain only Class 1 Reference Data items. Fujitsu Services checks the contents of the file are appropriate for the type of change. High Risk changes require a Verification and a Comparison report and authorisation by Post Office Ltd before release.

#### **4.2.1.3 Advanced Simple**

Advanced Simple changes require advanced notification from Post Office Ltd to Fujitsu Services (an OBC form) to request the change. Associated Reference Data files must be identifiable as such through the BCR number. Fujitsu Services checks the contents of the file are appropriate for this type of change. Fujitsu Services has actions to take to implement the change (in addition to processing the Type A Reference Data file from Post Office Ltd) e.g. update documentation, but these actions can occur after the change has been released and therefore do not extend the lead-time for the change. These changes require a Verification and a Comparison report and authorisation by Post Office Ltd before release.

#### **4.2.1.4 Advanced Standard**

Advanced Standard changes require advanced notification from Post Office Ltd to Fujitsu Services (an OBC form) to request the change. Associated Reference Data files must be identifiable as such through the BCR number. Fujitsu Services checks the contents of the file are appropriate for this type of change. Fujitsu Services has actions to take to implement the change (in addition to processing the Type A Reference Data file from Post Office Ltd) e.g. process Type B files, and these actions must occur before the change has been released, therefore the lead-times are longer than for Simple or Basic changes. These changes require a Verification and a Comparison report and authorisation by Post Office Ltd before release.

#### **4.2.1.5 Advanced Complex**

Advanced Complex changes require advanced notification from Post Office Ltd to Fujitsu Services (an OBC form) to request the change. Associated Reference Data files must be identifiable as such through the BCR number. Fujitsu Services checks the contents of the file are appropriate for this type of change. Fujitsu Services must generate Type C Reference Data to implement the change and test that the change works as requested in the OBC form. These changes require a Verification and a Comparison report and authorisation by Post Office Ltd before release.

#### **4.2.1.6 Advanced Complex Extended**

This category of change has been introduced to differentiate from ordinary Advanced Complex changes as the leadtime is longer to allow for additional validation/verification which is necessary because of the additional complexity of the change. In all other respects this category is identical to Advanced Complex.

### **4.2.2 AP**

AP changes are similar to Advanced Complex changes and require notification from Post Office Ltd to Fujitsu Services (an OBC form) to request the change. Associated Reference Data files must be identifiable as such through the BCR number. Fujitsu Services checks the contents of the file are appropriate for this type of change. Fujitsu Services has actions to take to implement the change e.g. test Tokens and supply test files to the appropriate Post Office Ltd Client for Post Office Ltd End to End testing of changes. These changes require a Verification and a Comparison report, additional testing and authorisation by Post Office Ltd before release.



(as described in relevant AP documentation)

Introduce new AP client, service or token  
Change client name (new token data)  
Cease AP Client, product or token  
Introduce new Smart Card

Notes on AP change:

- Changing AP product details when an end-to-end test file is not required falls outside the category of AP change and is to be treated in the same way as any other product change.
- Ceasing AP Client, product or token when the service is Live, i.e. it is not being withdrawn from a current CTO cycle, is to be implemented as an Advanced Simple change, with the client service list being amended after the event.

#### **4.2.3 System Parameters - Pure**

With the introduction of Network Banking there is the need to provide a relatively speedy method of changing some specific system parameters within defined limits. This new category provides the mechanisms by which Post Office Ltd can request such changes. Provided that the requested change falls within the limits specified within the Agreement Fujitsu Services will process the request and deliver the change directly to the Live estate as there is no verification possible for such changes.

#### **4.2.4 Icon Change**

Changes to Icons are processed in a similar way to other OBC changes however, in most cases Icons are produced in batches rather than individually. Full details of the process for Icon changes are described in [ref 20]

#### **4.2.5 Fast-track changes**

##### **4.2.5.1 Basic Express**

A Basic Express change is a subset of Basic High Risk changes and must comply with the definitions in [section4.2.1.2]. However, the lead-times [see section5.9] specified for a Basic Express change can only be achieved where verification can be performed on the basis of the Verification Report and not a Comparison Report. The type of change must be such that there is minimal risk of error occurring elsewhere within the system as a result of applying the change and is therefore limited to:

Change price of non-value stock  
Change price of revaluable value stock \*  
Change min/max quantity/value  
Change Long/ Medium / Short name

The limits for use are:

- 
- ◇ only for the categories of change which conform to the above e.g. 'Ticket and Travel' products or to meet the requirement for Tight Timescales
  - ◇ only OBCs that must be active on completion of the change within 48hrs □
  - ◇ OBCs must be received by Post Office Ltd Network Support Change Implementation Team by 10am on a working weekday and
  - ◇ only normal volumes of change as defined in [section 7.2]
  - ◇ the Change Number must start with defined prefixes [ref. 15 and 22]. If a Change is delivered to Fujitsu Services with this prefix but the contents do not meet the specified criteria it will be processed according to the normal lead-times. Fujitsu Services will inform Post Office Ltd using the incident process.
- \* Note: When a Basic High Risk change is to change the price of revaluable value stock, Horizon counters will prompt counter staff on each of the three calendar days prior to when revaluation will need to be performed, provided that the Reference Data is already at the counter. Should a similar change be put through the Basic Express mechanism, this prompting period may be for less than three calendar days. It is Post Office Ltd's responsibility to provide any additional notification required to users.
- Where the change is as described above, the requirement for completion within 48hrs may be extended, if required, to allow for this 3 calendar day period.

#### 4.2.5.2 Migration Special

A Migration Special change is a specific subset of Basic Pure changes and must comply with the definitions in [section 4.2.1.1]. Migration Specials are pre-authorised for release and no verification is required.

Migration Special changes are additions only to the Reference Data defining which non-core products a particular branch can sell, normally where the branch has been selling the item but the Reference Data does not reflect this. This Reference Data is needed so that the Cash Account can record those sales, when it is migrated to the Horizon system.

The limits for use are:

- ◇ additions to Non-core Product to Branch mappings only
- ◇ Reference Data must be received by Fujitsu Services by 10am for release to be actioned on the day of receipt or a phone call is required requesting a later file to be released
- ◇ Reference Data files must be identifiable as Migration Specials

Migration Specials differ from the standard Basic Pure change for adding non-core associations to a branch by virtue of:

- ◇ the urgency with which the data needs to be delivered to the branch.
- ◇ Migration Specials refer to one branch or one product – the normal Basic Pure change may have any combination of products and branches.

Where possible Post Office Ltd should use the Basic Pure change for addition of non-core association records.

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Once Fujitsu Services has confirmed that the Reference Data is of the required type it will be released to the 'Live' environment.

### **4.2.5.3 Tight Timescales**

#### **4.2.5.3.1 Requirement**

Fujitsu Services recognises that there may be occasions where Post Office Ltd will be required to implement changes to Reference Data to timescales which are outside the control of Post Office Ltd, for example changes announced in the Chancellor of the Exchequer's Budget. The implementation of Reference Data in support of such changes must be handled in a very bespoke manner. Fujitsu Services will use reasonable endeavours to meet the requirements requested by Post Office Ltd.

#### **4.2.5.3.2 Definition**

A Tight Timescale change that cannot be processed using the normal timescales defined for such a change. It may be caused by either:

- an emergency situation where normal lead-times cannot be adhered to because of legal circumstances outside of Post Office Ltd control, or
- to allow Post Office Ltd to exploit commercial opportunities.

Each instance of such change must be notified in writing by Post Office Ltd to Fujitsu Services and agreed between Post Office Ltd Head of Network Support and the Fujitsu Services Customer Service Director or their nominated authorised deputies.

#### **4.2.5.3.3 Types**

Analysis by Post Office Ltd of the business requirements indicates that the types of change that require to be actioned in Tight Timescales are:

- Price changes
- Emergency cessation of a product
- Product introduction or change where the product has been created in advance with interim details.

#### **a) Price Change**

The most frequent Tight Timescale changes are price changes. These may be processed via the fast-track Basic Express route.

#### **b) Emergency cessation**

From the CSR+ version of Horizon the ability to transact a product is controlled by the use of Item Transaction Modes and therefore these type of changes may be processed via the fast-track Basic Express route.

#### **c) Product introduction or change (with interim details)**

A new product (or product change) can be introduced in advance of all details being available e.g. to meet a late-breaking business opportunity. Mandatory details should be provided initially, although some will have interim values

e.g.

- product name may be set to "test name" or other identifiably interim name.
- the cash account mapping may be to a line marked as "temporary" .

- 
- the button for the product may not be introduced until a later date, with the product only available to be sold by PLU initially.

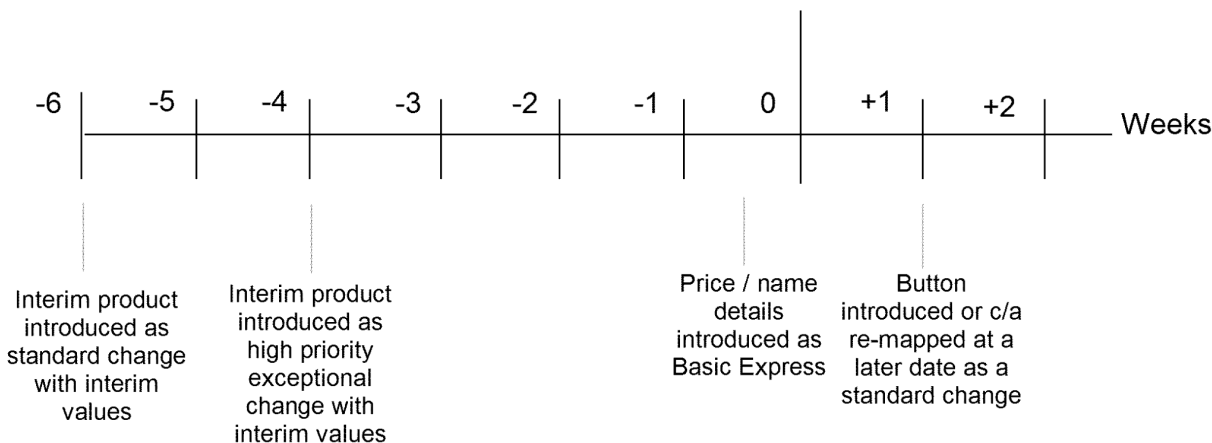
The “interim” product should be verified using standard processes for product change [see sections 3.3 and 5.6].

To set up the interim product the normal lead-times should be adhered to. When the interim product cannot be set up with the normal lead-times, it will be dealt with as a high priority exception [see section 10.3].

The interim details will be later replaced using:

- a Basic Express change for the final information relating to price and name. This must be identifiable as part of the Tight Timescale change, and will be verified via the Verification Report for Basic Express, before the change is released
- standard changes that occur after the go live of the product e.g. the introduction of the button, or the change of the Cash Account mapping.

An example of the timeline is shown below:



#### 4.2.5.3.4 Limitations when information is available at a very late stage

Whilst acknowledging that Post Office Ltd may not have control over legal or governmental changes it must be recognised that the ability of the end to end process to produce, check, authorise and release Reference Data takes a finite time and therefore it may not be possible in all circumstances to meet the requirements. To this end the following are guidelines to the limitations for Tight Timescales changes where the information is only made available at a very late stage (e.g. 4 p.m. on a budget day).

- The time to key the data into the RDS system, extract and transmit to Fujitsu Services must be considered (probably a minimum of 1 hour)
- The time that RDMC takes to process the incoming data must be considered (approximately 30 minutes)



- 
- If counter checks at Post Office Ltd are required an absolute minimum of 2 hours is required for RDT system processing. It is therefore likely that this time will not be available and therefore checking of the data can only be by review of reports – minimum of 30 minutes to produce and transmit to NS-CIT
  - The time that Post Office Ltd will take to validate reports, or view data on counters should time be available for extract, needs to be considered (estimated as a minimum of 30 minutes)
  - In order to meet normal operational schedules, authorisation to release a Tight Timescales change should be received by Fujitsu Services by 7:30 p.m.
  - The introduction of new items is impossible overnight. If there is a possibility that new items will be needed their skeleton data must be set up in advance, as described above in section 4.2.5.3.3.c
  - Changes to Menu Hierarchy can only be achieved within Tight Timescales when sufficient time is available – under normal circumstances, where the normal leadtime is not available, a Business Critical Advanced Change may be appropriate
  - An overnight change should therefore only be of the type which amends the price or name of items

On the basis of the above timings, the latest time for commencement for an overnight Tight Timescales change, such as Budget announcements, to be with RDOT for keying is 5 p.m. for a change to be checked by report and 3 p.m. for a change to be checked by counter. Whilst these timings are theoretically possible any error which occurs in data preparation or is discovered during checking may affect the ability of all parties to complete the exercise. Therefore, wherever possible more time should be given.

#### **4.2.5.4 Live Fix**

The time scale for incident correction is driven by the impact of the incident, the complexity of the solution and the Start Date (or Agreed Date) for the change to be live at the branches. (see section 10.4)

#### **4.2.5.5 Business Critical Advanced Change**

It has been recognised that the Fujitsu Services and Post Office Ltd operational units have the ability, in some circumstances, to shorten the OBC lead time without adversely impacting the success of the change, or any other change in the system.

A Business Critical Advanced Change category has been introduced to permit operational units to decide, where possible, to deliver change within a shorter time than the specified leadtime. BCAC does not replace Tight Timescales but rather offers an alternative, operational, method (similar to Basic Express) of progressing Advanced changes without the need for authorisation to be obtained at a senior level within both Post Office Ltd and Fujitsu Services.

- Each instance of a Business Critical Advanced Change must be agreed by each of the groups involved in the processing of the change (normally Post Office Ltd Change Implementation Team, RDOT and RDT) before the change is submitted to Fujitsu Services for action. This must include agreement on the effective date for the Reference Data
- The leadtime requirement for such a change must be shorter than that which would normally be required to complete the change

- 
- The agreed leadtime requirement must be achievable
  - Any errors or modifications which occur in the delivery of such a change are likely to cause failure to achieve the agreed leadtime
  - Only minimal changes to the Menu Hierarchy are possible within shortened leadtimes. If the introduction of a new item is required in short timescales this should be considered via the PLU in the first instance with buttons to follow
  - A maximum of 1 such change is permitted within any single week and 2 such changes in any rolling 4 week period
  - RDORF may, by agreement, modify the maximum quoted above
  - RDORF will review each instance of such a change to establish why it was necessary to invoke this process (without prejudice to any business confidentiality)

### 4.3 Branch Changes

#### 4.3.1 HelpDesk

Help Desk (HD) changes are those changes which are considered to be of very low risk in the event that the information is incorrect (e.g. change of a phone number at a branch). They do not require advanced notification to Fujitsu Services and provided that any file received by Fujitsu Services only contains changes consistent with being HD then the change is considered to be pre-authorised and will be released with no further activity.

#### 4.3.2 Advanced

Advanced Branch Changes are mostly associated with physical activity in branches. The Reference Data is supported by an OBC form defining the actual requirement. Reports are provided to the Post Office Ltd Network Implementation and Equipment Team (Central) to enable them to ensure that the change is as required.

[DN: Discussions are currently taking place with regard to the need for authorisation of Advanced Branch changes, pending the outcome of these discussions Fujitsu Services will obtain authorisation from Post Office Ltd for Advanced Branch Changes]

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## 5 Lead-time for Product Changes

### 5.1 Introduction

The lead-times quoted in this section are the end-to-end times covering both Post Office Ltd and Fujitsu Services activities. Each party must meet each milestone applicable to it in order that the subsequent milestones and the end-to-end lead-times are achieved. The types of change that relate to each category are defined in [section4.2].

These lead-times apply for the volumes given in [section7].

The lead-time runs from initiating a change until the change is Released to the live system. Delivery to Counters following release is as described in section 3.2

#### Notes:

For simplicity, the models used do not show activities that occur in parallel.

*day = working weekday (Mon-Fri, excluding English Public Holidays)*

*adow = any day of the week, includes non working weekdays (Mon-Sun)*

*times = latest time action can occur to meet the schedule*

Where a time is given next to a milestone, the time is critical to achieving that milestone. Where the time is not given, the default is for the handover between organisations to be complete by 8am. Failure to achieve a milestone by the given (or default) time potentially extends the lead-time of the change.

Whilst there are indications of the time taken at each stage of the processing these cannot be taken to be definitive, i.e. the overall leadtime should be taken as the most significant information.

N.B. The leadtime should be used in relation to when data is required to be delivered to counters on the Live estate, which may be earlier than the start date on the data.

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## 5.2 Basic - Pure

Changes that involve changing Type A Reference Data only and do not require verification.

End-to-End lead time = 5 working days

Action	Duration	Result	Milestone	Owner
Business generates change	1 day	Deliver OBC to Post Office Ltd	Day 1 (6pm)	Post Office Ltd
Post Office Ltd processes change	1 day	Deliver Reference Data to RDOT	Day 2 (6pm)	Post Office Ltd
RDOT input Reference Data	2 days	Send to Fujitsu Services	Day 4 (8pm)	Post Office Ltd
<i>Fujitsu Services System processes</i>		<i>Available to Fujitsu Services</i>	<i>Day 5 (8am) *</i>	
Fujitsu Services process change	1 day	Release change (release day)	Day 5 (8pm)	Fujitsu Services

Delivery to Counters following release is as described in section 3.2

\* Note:

Basic – Pure Reference Data files (identifiable as such by virtue of the OBC prefix used) arriving by 10am, on a working weekday, will be released that night by Fujitsu Services, for distribution.

Basic – Pure Reference Data files received by Fujitsu Services by 4pm and accompanied by a notifying 'phone call', on a working weekday, will be released that night by Fujitsu Services, for distribution.



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**5.3 Basic – High Risk**

Changes that involve changing Type A Reference Data only and required verification.

End-to-End lead time = 10 working days

Action	Duration	Result	Milestone	Owner
Business generates change	1 day	Deliver OBC to Post Office Ltd	Day 1 (6pm)	Post Office Ltd
Post Office Ltd processes change	1 day	Deliver Reference Data to RDOT	Day 2 (6pm)	Post Office Ltd
RDOT input Reference Data	2 days	Send to Fujitsu Services	Day 4 (8pm)	Post Office Ltd
<i>Fujitsu Services System processes</i>		<i>Available to Fujitsu Services</i>	<i>Day 5 (8am)</i>	
Fujitsu Services process change	2 days	Deliver Reference Data to Post Office Ltd	Day 6 (6pm)	Fujitsu Services
Fujitsu Services generate RDMC verification & comparison reports	2 days	Deliver Reports to Post Office Ltd	Day 8 (6pm)	Fujitsu Services
Post Office Ltd check reports	2 days	Notifies Fujitsu Services of authorisation	Day 10 (8pm)	Post Office Ltd
Fujitsu Services process authorisation	Immediate	Release change (release day)	Day 10 (8pm)	Fujitsu Services

Delivery to Counters following release is as described in section 3.2

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## 5.4 Advanced Simple

Changes requiring advanced notification that involve Type A Reference Data changes only before release.

End-to-End lead time = 10 working days

Action	Duration	Result	Milestone	Owner
Business generates change	1 day	Deliver OBC to Post Office Ltd	Day 1 (6pm)	Post Office Ltd
Post Office Ltd processes change	1 day	Deliver notification to Fujitsu Services	Day 2 (6pm)	Post Office Ltd
Post Office Ltd processes Reference Data	1 day	Deliver Reference Data to RDOT	Day 2 (6pm)	Post Office Ltd
RDOT input Reference Data	2 days	Send to Fujitsu Services	Day 4 (8pm)	Post Office Ltd
<i>Fujitsu Services System processes</i>		<i>Available to Fujitsu Services</i>	<i>Day 5 (8am)</i>	
Fujitsu Services process request for change	2 days	Preparations complete	Day 4 (6pm)	Fujitsu Services
Fujitsu Services processes Reference Data	2 days	Deliver Reference Data to Post Office Ltd	Day 6 (6pm)	Fujitsu Services
Fujitsu Services generate RDMC verification & comparison reports	2 day	Deliver Reports to Post Office Ltd	Day 8 (6pm)	Fujitsu Services
Post Office Ltd check reports	2 days	Notifies Fujitsu Services of authorisation	Day 10 (8 pm)	Post Office Ltd
Fujitsu Services process authorisation	Immediate	Release change (release day)	Day 10 (8 pm)	Fujitsu Services
Update systems & documentation	Varies		Day 11+	Fujitsu Services

Delivery to Counters following release is as described in section 3.2



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## 5.5 Advanced Standard

Changes that, in addition to Type A Reference Data, require activities such as loading Type B Reference Data, managing additional information, MIS updates or testing.

End-to-End lead time = 14 working days

Action	Duration	Result	Milestone	Owner
Business generates change	1 day	Deliver OBC to Post Office Ltd	Day 1 (6pm)	Post Office Ltd
Post Office Ltd processes change	1 day	Deliver notification to Fujitsu Services	Day 2 (6pm)	Post Office Ltd
Post Office Ltd processes Reference Data	2 days	Deliver Reference Data to RDOT	Day 4 (6pm)	Post Office Ltd
RDOT input Reference Data	3 days	Send to Fujitsu Services	Day 7 (8pm)	Post Office Ltd
<i>Fujitsu Services System processes</i>		<i>Available to Fujitsu Services</i>	<i>Day 8 (8am)</i>	
Fujitsu Services process request for change	2 days	Preparations complete	Day 4 (6pm)	Fujitsu Services
Fujitsu Services process Reference Data	2 days	Ready for testing	Day 9 (6pm)	Fujitsu Services
RDT test change	1 days	Deliver Reference Data to Post Office Ltd	Day 10 (6pm)	Fujitsu Services
Fujitsu Services generate RDMC verification & comparison reports	2 day	Deliver Reports to Post Office Ltd	Day 12 (6pm)	Fujitsu Services
Post Office Ltd check reports	2 days	Notifies Fujitsu Services of authorisation	Day 14 (8 pm)	Post Office Ltd
Fujitsu Services process authorisation	Immediate	Release change (release day)	Day 14 (8 pm)	Fujitsu Services
Amend MIS mapping	1 day		Day 14 (6pm)	Fujitsu Services
Update documentation	Varies		Day 12+	Fujitsu Services

Delivery to Counters following release is as described in section 3.2



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## 5.6 Advanced Complex

Changes that require update Type C Reference Data.

End-to-End lead time = 25 working days

Action	Duration	Result	Milestone	Owner
Business generates change	2 days	Deliver OBC to Post Office Ltd	Day 2 (6pm)	Post Office Ltd
Post Office Ltd processes change	2 days	Deliver notification to Fujitsu Services	Day 4 (6pm)	Post Office Ltd
Post Office Ltd processes Reference Data	2 days	Deliver Reference Data to RDOT	Day 6 (6pm)	Post Office Ltd
RDOT input Reference Data	5 days	Send to Fujitsu Services	Day 11 (8pm)	Post Office Ltd
<i>Fujitsu Services System processes</i>		<i>Available to Fujitsu Services</i>	<i>Day 12 (8am)</i>	
Fujitsu Services process request for change	2 days	Preparations complete & notify CD	Day 7 (6pm)	Fujitsu Services
Fujitsu Services processes Reference Data	2 days	RDT handover to CD	Day 13 (6pm)	Fujitsu Services
Create Type C Reference Data	5 days	Ready for testing	Day 18 (6pm)	Fujitsu Services
RDT Validate changes	2 days	Deliver Reference Data to Post Office Ltd	Day 20 (6pm)	Fujitsu Services
Fujitsu Services generate RDMC verification & comparison reports	2 day	Deliver Reports to Post Office Ltd	Day 22 (6pm)	Fujitsu Services
Post Office Ltd check reports	3 days	Notifies Fujitsu Services of authorisation	Day 25 (8 pm)	Post Office Ltd
Fujitsu Services process authorisation	Immediate	Release change (release day)	Day 25 (8 pm)	
Amend MIS mapping	1 day		Day 25 (6pm)	Fujitsu Services
Update documentation	Varies		Day 25+	Fujitsu Services

Delivery to Counters following release is as described in section 3.2



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## 5.7 Advanced Complex Extended

Changes that may require updated Type C Reference Data and/or extended validation/verification.

End-to-End lead time = 30 working days

Action	Duration	Result	Milestone	Owner
Business generates change	2 days	Deliver OBC to Post Office Ltd	Day 2 (6pm)	Post Office Ltd
Post Office Ltd processes change	2 days	Deliver notification to Fujitsu Services	Day 4 (6pm)	Post Office Ltd
Post Office Ltd processes Reference Data	2 days	Deliver Reference Data to RDOT	Day 6 (6pm)	Post Office Ltd
RDOT input Reference Data	5 days	Send to Fujitsu Services	Day 11 (8pm)	Post Office Ltd
<i>Fujitsu Services System processes</i>		<i>Available to Fujitsu Services</i>	<i>Day 12 (8am)</i>	
Fujitsu Services process request for change	2 days	Preparations complete & notify CD	Day 7 (6pm)	Fujitsu Services
Fujitsu Services processes Reference Data	2 days	RDT handover to CD	Day 13 (6pm)	Fujitsu Services
Create Type C Reference Data	10 days	Ready for testing	Day 23 (6pm)	Fujitsu Services
RDT Validate changes	2 days	Deliver Reference Data to Post Office Ltd	Day 25 (6pm)	Fujitsu Services
Fujitsu Services generate RDMC verification & comparison reports	2 day	Deliver Reports to Post Office Ltd	Day 27 (6pm)	Fujitsu Services
Post Office Ltd check reports	3 days	Notifies Fujitsu Services of authorisation	Day 30 (8 pm)	Post Office Ltd
Fujitsu Services process authorisation	Immediate	Release change (release day)	Day 30 (8 pm)	
Amend MIS mapping	1 day		Day 30 (6pm)	Fujitsu Services
Update documentation	Varies		Day 30+	Fujitsu Services

Delivery to Counters following release is as described in section 3.2



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## 5.8 AP Client Take-On

As described in AP Client Service Introduction and Change Processes & CS Services Catalogue documents [ref. 3 & 4].

## 5.9 Basic Express

Changes that involve only Type A Reference Data and are one of the named change types in [section 4.2.5.1].

End-to-End lead time = 2 working days

Action	Duration	Result	Milestone	Owner
Business generates change	2 hours	Deliver OBC to Post Office Ltd	Day 1 (10am)	Post Office Ltd
Post Office Ltd processes change	3 hours	Deliver Reference Data to RDOT	Day 1 (1pm)	Post Office Ltd
RDOT input Reference Data	7 hours	Send to Fujitsu Services	Day 1 (8pm)	Post Office Ltd
<i>Fujitsu Services System processes</i>		<i>Available to Fujitsu Services</i>	<i>Day 2 (8am)</i>	
Fujitsu Services process change	2 hours	Deliver Reference Data to Post Office Ltd	Day 2 (10am)	Fujitsu Services
Fujitsu Services generate verification reports	2 hours	Deliver Reports to Post Office Ltd	Day 2 (noon)	Fujitsu Services
Post Office Ltd check reports	4 hours	Notifies Fujitsu Services of authorisation	Day 2 (4pm) *	Post Office Ltd
Fujitsu Services process authorisation	2 hours	Release change (release day)	Day 2 (6pm)	Fujitsu Services

Delivery to Counters following release is as described in section 3.2

**\* Note: As Basic Express is a form of Fast Track change and therefore outside the norm it is a Fujitsu Services requirement that authorisation is received by 4 pm.**

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## 5.10 Migration Special

To meet the need to apply a quick change to the Product to Branch mappings for an branch

End-to-End lead time = 1 working day

Action	Result	Milestone	Owner
required change identified	Notify RDOT	*	Post Office Ltd
RDOT input Reference Data	Send to Fujitsu Services	*	Post Office Ltd
Fujitsu Services process change	Release change (release day)	*	Fujitsu Services

Delivery to Counters following release is as described in section 3.2

\* Note:

Migration Special Reference Data files (identifiable as such by virtue of the OBC prefix used) arriving by 10am on a working weekday, will be released that night by Fujitsu Services, for distribution.

Migration Special Reference Data files received by Fujitsu Services by 4pm and accompanied by a notifying 'phone' call, on a working weekday, will be released that night by Fujitsu Services, for distribution.

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## 5.11 System Parameters - Pure

Changes that involve changing system parameters and do not require verification (i.e. are pre-authorised).

End-to-End lead time = 3 working days

Action	Duration	Result	Milestone	Owner
Business generates change	1 day	Deliver OBC to Post Office Ltd	Day 1 (6pm)	Post Office Ltd
Post Office Ltd processes change	1 day	Deliver information to Fujitsu Services	Day 2 (10am)	Post Office Ltd
Fujitsu Services process change	2 days	Release change	Day 3 (8pm)	Fujitsu Services

Delivery to Counters following release is as described in section 3.2

\* Note:

System Parameters – Pure requests arriving by 10 a.m., on a working weekday, will be processed and the data released by Fujitsu Services for distribution on the night following.

At the Network Banking release of the Horizon system the only System Parameters that may be amended using this category are:

MCWP  
MAAWP

Amendments will be within limits defined within the Agreement.

## 6 Leadtimes for Branch Changes

The leadtimes for supplying Reference Data for Branch Changes are defined in [ref 11]

## 7 Volume of change

### 7.1 Introduction

The measurement of volumes of change has been revised with effect from the signing of CCN1100 on 31<sup>st</sup> December 2002. All previous definition of volumes is superseded by the volumes quoted below.

### 7.2 Committed volumes

The service provided by Fujitsu Services as specified within this document is constructed as follows

- a) it has the capability to handle an overall maximum of 300 business as usual changes within one month with the following limits within each of the categories

- Branch Changes	140 per month
- Pre-Authorised Product Change	40 per month
- High Risk Product Change	50 per month
- Advanced Product Change	100 per month
- Automated Payment Change	120 per month

N.B. This maximum includes rework, which is expected to be a maximum of 30 files in any month.

- b) to enable Post Office Ltd to manage the volume and categorisation of changes that are supplied into this service and to facilitate Fujitsu Services capacity management and alignment of resources to meet these requirements for managing Reference Data changes, the framework for a Work Index system has been agreed. The Work Index system will specify in units an indication of the amount of work required for each file or associated activity
- c) The monthly Work Index limit will be 5000 units which will be equivalent to the workflow represented by the 300 changes and the identified constraints as specified in a) above

The Reference Data Operational Review Forum will oversee the introduction of the Work Index system and will be responsible for its continued development. The RDORF will monitor and review the effectiveness of the process and any issues which arise from these limits.

The baseline for Reference Data record changes is given in the AIS [ref. 5].

Data, which is required specifically for the implementation of a new system release (e.g. NWB), is exceptional to these committed volumes and as such will not be counted within any measurement against this Interface Agreement.



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### 7.3 Network Reinvention

For the period March 2003 to December 2004, to support Post Office Ltd's Network Reinvention programme, in addition to the volumes stated above (and not included in the Work Index system) the service will handle additional Branch and Pre-authorised or High Risk Product Changes. The maximum volumes of Network Reinvention changes that can be handled in any one month are 300 Branch Changes and 23 Pre-authorised or High Risk Product Changes. The maximum volume of all Branch Changes that can be guaranteed to be processed in any working weekday is 22 (see Note below). A separate naming convention has been agreed for Network Reinvention changes so that they may be shown independently in RDORF reports. Should the plans for the Network Reinvention programme change to the extent that the change volumes in this paragraph need adjustment Post Office shall give at least 6 months notice in order that Fujitsu Services can adjust its resource plans.

Note: Whilst the Network Reinvention programme is in place, in order to provide the required level of service Fujitsu Services can only guarantee to process a maximum of 22 Branch Changes in total (i.e. Business as Usual and Network Reinvention) in any working weekday. Priority will always be given to Business as Usual changes. Any Network Reinvention changes not processed on any working day will be given priority on the next working day after Business as Usual changes have been processed. In this context changes received after 10 a.m. on any working weekday may be considered as business for the following working weekday.

## 8 Deliverables

To ensure milestones are not put at risk all deliverables must be:

- Complete and identifiable e.g. cross referencing change numbers
- Error free [see section 10.4 for managing errors]
- Correctly dated (see section 8.3)
- Delivered by the relevant deadlines set out in the Interface Agreement [see sections 5 and 6 for required milestones]
- Delivered through the agreed mechanisms.

### 8.1 Post Office Ltd to Fujitsu Services

Post Office Ltd shall deliver to Fujitsu Services:

- 1) Reference Data for Advanced and Basic changes
- 2) Operational Business Change forms for Advanced changes and System Parameter Pure
- 3) Supporting items and/or information appropriate for changes e.g. AP tokens, Operational Focus
- 4) Authorisation for Advanced and High Risk Basic Product changes and Advanced Branch changes (where appropriate)

[DN: Discussions are currently taking place with regard to the need for authorisation of Advanced Branch changes, pending the outcome of these discussions Fujitsu Services will obtain authorisation from Post Office Ltd for Advanced Branch Changes]



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## 8.2 Fujitsu Services to Post Office Ltd

Fujitsu Services shall deliver to Post Office Ltd:

- 1) Reference Data direct to Live Counters, for OBCs that are pre-authorised by Post Office Ltd.
- 2) Reference Data to Verification Counters, for Product Change OBCs to be verified, and that:
  - include Type C Reference Data for Advanced changes when necessary
  - has been validated to ensure changes work as requested on the OBC forms.
- 3) Verification and Comparison Reports (as appropriate for Product Change) that identify exactly what changes to the counter have been implemented
- 4) RDMC report (as appropriate) for Advanced Branch Changes
- 5) Reports to RDORF on volumetrics

## 8.3 Future Dating

Reference Data records contain a 'Start Date' which is the date on which the change is to become effective on the Horizon counters. This date should always be in the future when the data is created and remain a 'future date' throughout processing and distribution so that it is still a future date when it arrives at the counters.

There is a risk to Post Office Ltd if the OBC process is not initiated sufficiently in advance of the Effective Date to allow for:

- the IFA lead-time for processing, validation, authorisation and release to the Live system for that particular type of change
- the distribution time to branches
- additional contingency where Post Office Ltd consider the Reference Data to have business critical importance

Where, for whatever reason, Post Office Ltd are unable to initiate the OBC process sufficiently in advance, then Post Office Ltd and Fujitsu Services would establish an Effective Date to supersede the Start Date.

Fujitsu Services reserves the right to log as a pre-live incident, the receipt of any Reference Data which is not future dated. This is because data which has an immediate start date (i.e. any date in the past at the time when the data reaches the Horizon counter) may have an adverse effect and may create additional calls to HelpDesks.

The scheduling of non-future dated data by Post Office Ltd delaying authorisation of the release of Reference Data is not an approved method.

## 9 Roles & Responsibilities

### 9.1 Post Office Ltd – General

Post Office Ltd shall, without limitation:

#### 9.1.1 Administration and Control

- a) Appoint and communicate to Fujitsu Services the name of an owner for this Interface Agreement. The owner shall maintain and communicate to Fujitsu Services the list of change authorisers for Product Reference Data.
- b) Measure & report on the performance of processes carried out by Post Office Ltd under this Interface Agreement.
- c) Arrange and chair regular Reference Data Operational Review Forums
- d) Participate in the Service Review process, to cover all aspects of the process and its operation, including the provision of forecasts of changes to volumes which might affect those defined in section 7.2.
- e) Review the OBC process, documentation and forms to identify and implement improvements jointly with Fujitsu Services.
- f) Maintain details of the Post Office Ltd contacts relevant to these processes within the change contacts list in the OLAs [ref. 12 & 13].
- g) Ensure that all staff involved in the OBC process are aware of their role and responsibilities

#### 9.1.2 Implementation

- a) Ensure Post Office staff and clients are aware of changes in time to make the necessary preparations
- b) Resolve queries from Fujitsu Services that are material to an OBC
- c) Communicate issues and exception information to Fujitsu Services, as reasonably necessary to assist them, to enable them to manage and control all their relevant change activity on the Fujitsu Services side of the change interface.
- d) Provide the Postmaster communication (e.g. Operational Focus, Memo View) to Fujitsu Services for comment before release and make any amendments reasonably required by Fujitsu Services [ref 17]
- e) Identify potential variations to the service as soon as known e.g. peak activity
- f) Process and communicate Advanced Product changes, in accordance with timescales in [section 4.3], to Fujitsu Services ensuring, where necessary, that changes are submitted separately in units of release.
- g) Verify relevant Product and Branch changes and provide authorisation ready for release [in accordance with section 9.6]
- h) Ensure that the Post Office Ltd copy of reference documents, e.g. copy of the Menu Hierarchy, is available to Post Office Ltd staff who require it
- i) Maintain and ensure the security of the OBC Product and Reference Data verification mailboxes on Post Office Ltd servers

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**9.1.3 Files & Reference Data**

- a) Ensure the date contained in the Reference Data is in accordance with the required lead-times [see sections 5 and 6]
- b) Where possible, all Reference Data which should be applied as a unit, as defined by business rules or the OBC, should be supplied in a single file. Where this is not possible, subsequent files must be identifiable as the same unit of release.
- c) Recognise that the file is the unit of release and all changes within one file are constrained by the longest lead-time.
- d) Allocate unique Business Change Request number (Change Control Number).
- e) Ensure all required change information and data is submitted to Fujitsu Services e.g. menu hierarchy information [ref. 14] AP CTO packs etc.
- f) Ensure the accuracy and integrity of the change information and Reference Data provided to Fujitsu Services
- g) Reference Data for Mails Application produced from Design Studio, checked according to guidelines supplied by Fujitsu Services

**9.2 Post Office Ltd - Reference Data Operational Team**

Post Office Ltd RDOT shall, without limitation:

- a) Process and transmit basic Reference Data changes to Fujitsu Services over routes & timetables, as specified in the OLA [ref. 12].
- b) Supply Reference Data to support advanced change in accordance with specified standards [see section 0.3].
- c) Allocate unique Business Change Request number (Change Control Number), using prefixes and suffixes as defined in [ref 22], where necessary.
- d) Ensure that the content of any file is consistent with the change identifier, prefix and suffix.

**9.3 Post Office Ltd Network Business Support Centre (NBSC)**

NBSC shall, without limitation:

- a) Provide an interface to log Post Office Ltd Live incidents raised by Post Office Ltd or Fujitsu Services.
- b) Monitor, track and provide updates on Post Office Ltd Live incidents, to resolution.

## 9.4 Fujitsu Services responsibilities

Fujitsu Services shall, without limitation:

### 9.4.1 Administration and Control

- a) Appoint and communicate to Post Office Ltd the name of an owner for this Interface Agreement.
- b) Measure & report to RDORF the performance of Fujitsu Services processes carried out under this Interface Agreement.
- c) Participate in the Service Review process, to cover all aspects of the process and its operation, including the provision of a monthly OBC Reference Data Summary report which summarises activity for the previous month and the volume of change received over the previous year.
- d) Review the OBC process, documents and forms to identify and implement improvements jointly with Post Office Ltd.
- e) Maintain the details of the Fujitsu Services contacts relevant to these processes within the OBC Product Change contacts list in the OLAs [ref. 12 and 13].
- f) Ensure that all staff involved in the OBC process are aware of their role and responsibilities

### 9.4.2 Implementation

- a) Ensure Fujitsu Services staff and suppliers are aware of changes in time to make the appropriate preparations, where necessary
- b) Review the Postmaster communication/instructions and notify Post Office Ltd of any amendments reasonably required, before issue.
- c) Communicate issues and exception information to Post Office Ltd, as reasonably necessary to assist Post Office Ltd, to enable them to manage and control all their relevant change activity on the Post Office Ltd side of the change interface.
- d) Receive and progress Basic and Help Desk Reference Data change requests through the Reference Data change procedures
- e) Receive and progress advanced Reference Data change requests. These may be sent electronically by Post Office Ltd to the OBC Product Change Mailbox or via fallback routes (e.g. fax)
- f) Assess Advanced Product changes and identify and deliver the change services needed to satisfy specific changes
- g) Ensure that supporting Fujitsu Services processes are implemented to manage the delivery of change services
- h) Ensure that appropriate updates to the Menu Hierarchy are forwarded to Post Office Ltd librarian for onward distribution within Post Office Ltd
- i) Provide invoices for the completion of work, when appropriate [see section 10.6]
- j) Release correctly authorised changes to meet the Effective Date [see section 9.6]

### 9.4.3 Files & Reference Data

- a) Provide changed Reference Data, Verification and Comparison Reports for Product Changes in accordance with agreed procedures [see section 0.3]
- b) Provide Reference Data and RDMC reports for Advanced Branch Change
- c) Provide Post Office Ltd with guidelines for checking Mails Reference Data

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## 9.5 Horizon Service Helpdesk (HSH)

HSH shall, without limitation:

- a) Provide an interface to log Fujitsu Services Live incidents raised by Post Office Ltd or Fujitsu Services.
- b) Monitor, track and provide updates on Fujitsu Services Live incidents, to resolution.

## 9.6 Verification, authorisation & release

Note: for details of the process [see section 3.3].

- 1) Post Office Ltd shall
  - Verify the OBC form before keying the Reference Data.
  - Use the RDS system built in validation rules on the Reference Data keyed in.
  - Verify the Reference Data once it has been keyed, before it is sent to Fujitsu Services.
- 2) Fujitsu Services shall
  - Check that all the Reference Data required for an OBC has been received.
  - Check that the contents of a file are appropriate for that file / change type.
  - Confirm that the Postmaster communication/instruction is appropriate
  - Raise any queries with Post Office Ltd relevant to the progression of an OBC
  - Produce a Verification and Comparison Report (where necessary) for changes delivered to the verification counters.
  - Confirm that the change works technically, before sending data and reports to Post Office Ltd for verification.
- 3) Post Office Ltd shall
  - Perform Authorisation
  - Gain the agreement of Fujitsu Services, where Post Office Ltd wish to release a change that contains a known deviation from the original intention (including an inappropriate communication).
- 4) Fujitsu Services shall
  - Explain to Post Office Ltd's reasonable satisfaction any queries which Post Office Ltd have arising from the validations carried out, or, where the change is part of the technical implementation, accept responsibility for that element of the change.
  - Not unreasonably withhold its agreement to release changes which Post Office Ltd approve as acceptable deviations from the original intention.
  - Release the Reference Data for authorised changes to the live system provided Post Office Ltd has complied with its obligations set out in [section 9.6 para 3].

Each party accepts responsibility for those aspects of a change for which it has responsibility to test.

Business tests for the purpose of verifying changes to Reference Data are conducted by Post Office Ltd and are described in [ref. 14]. These tests include, where appropriate, review of Verification and Comparison Reports and the functional testing of Reference Data on test



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counters supplied by Fujitsu Services. Authorisation from Post Office Ltd to Fujitsu Services to release Reference Data is made on the basis of these tests.

## 10 Orders and exceptions

### 10.1 Release of Reference Data

The release of Reference Data shall be in accordance with Schedule 15 Annex 2 paragraph 3.2. Specifically the Agreed Release Date (i.e. Day A) for each change shall be set on the following principles:

1. The date by which the Reference Data is required to be effective on the counters in the live estate is the "Effective Date"
2. Where the Authorisation Date is 10 days or less before the Effective Date the Agreed Release Date will be no later than the next Working Day following Authorisation.
3. For the avoidance of doubt, for Tight Timescale requests in accordance with paragraph 4.2.5.3 of this document, the Agreed Release Date shall be the same as the Authorisation Date.
4. Where the Authorisation Date is more than ten days before the Effective Date the Agreed Release Date will be no later than the first Working Day following the tenth day before the Effective Date
5. If there is more than one set of Reference Data which needs to be released at or about the same time and in the view of Fujitsu Services releasing all Authorised data would impose a risk on the delivery of some of that data, in order to achieve maximum distribution by the Effective Date:
  - a) the order in which Reference Data will be released will be based on business criticality of the Reference Data, as assessed by Post Office Ltd and by agreement with Fujitsu Services
  - b) a new Agreed Release Date will be agreed for any Reference Data changes which are delayed as a result of modifying the order of release of the changes
6. Where authorisation relates to Mails data the Agreed Release Date will be in accord with the above principles when taking account of the necessary delays for delivery and release of Mails data as described in 14.2 (Time between changes)

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## 10.2 Orders

- The receipt in the CS Reference Data team mailbox of the OBC form is the confirmed request from Post Office Ltd to Fujitsu Services, for Advanced Product and System Parameter Pure Changes
- The receipt in an agreed mailbox of the OBC form is the confirmed request from Post Office Ltd to Fujitsu Services, for Advanced Branch Changes.

[DN: the need for OBC forms for changes to branch Reference Data changes is being reviewed and if no longer necessary such changes will become as described below]

- The receipt of a Reference Data file containing only Basic (Class 1 or HD Reference Data) in the RDMC, is the confirmed request for change from Post Office Ltd to Fujitsu Services.
- The receipt of a correctly completed Authorisation Form from Post Office Ltd is the confirmed authorisation to release the change.
- The receipt of pre-authorised change files (e.g. Migration Special, Pure Basic, HD or System Parameter Pure) clearly identified as such and containing that type of change, is the authorisation for release of the changes.
- Requests for non-OBC changes (i.e. those not defined in the RDCC [ref. 2]), unless agreed by all parties in advance of any update to the RDCC, will not be accepted and need to be submitted as a formal (non-OBC) request to Fujitsu Services. However, the change request may also initiate an update to the RDCC so that new changes are introduced to the OBC process, where agreed. In many cases once a formal request has been approved the delivery mechanisms will be the same as, or similar to, those used for OBC.

## 10.3 Exceptions

Exceptions, e.g. to volumes or lead-times, will be processed using available resources without any guarantee of service delivery. Both Post Office Ltd and Fujitsu Services shall notify the other party when a request is recognised to be an exception.

Note: An agreed Deviation to the Service (e.g. Reference Data necessary for the implementation of a new system release such as Network Banking) is not an exception.

Post Office Ltd may wish to change the priority of an exceptional change so that it is given preference over normal changes. In this instance the agreed lead-times may be extended pro rata for displaced activities.

## 10.4 Errors and Rework

The Volume of Reworks for BAU changes (i.e. excluding Network Reinvention) is included in the limits quoted in section 7.2 above but is expected to be a maximum of 30 per month This section relates to errors or rework for both Product and Branch Reference Data, where appropriate.

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#### 10.4.1 Recording Pre-Live Incidents

All observed errors will be recorded as pre-live incidents in accordance with the OLAs (refs. 12 & 13). The change will be suspended awaiting corrective action, potentially delaying the achievement of that milestone for all changes affected by the error. For example, a file containing records that are rejected will not be processed until the rejected records are corrected and any other change which is in any way associated with the rejections may also be delayed. Where the achievement of a milestone is at risk, corrective action will be taken by the appropriate party or parties, by agreement, in order to achieve the final milestone, where possible.

A pre-live incident will be raised for late deliverables.

If the Start Date contained within the Reference Data record is not future dated or is set to a date prior to the Required Date a pre-live incident will be raised i.e. the Start Date is either prior to the date on the OBC form, or is not consistent with the overall lead-times (see section 8.3).

If it is known that the final milestone will not be achieved, or an alert has been requested and the data is being released and will become active on the following day an Alert may be necessary as described in section 2.5.

Pre-live incidents are recorded on the PinICL system used internally by Fujitsu Services Ltd. As some PinICL's relate to work required by Post Office Ltd it is necessary for Post Office Ltd to have visibility of PinICL data. Details of the passing of information between Fujitsu Services and Post Office Ltd are shown in Appendix E – PinICL control between Fujitsu Services and Post Office Ltd

#### 10.4.2 Rework categorisation and thresholds

Rework files are files which are, or appear to be, either Amendment files or Error Corrections files to a change that is currently being progressed. They necessitate additional activity by all parties and as such may have an impact on lead-times.

Appropriate steps shall always be taken to establish and eliminate the root cause of Rework. This will be monitored by the RDORF

### 10.5 Escalation

Disagreements about the service e.g. whether a change is exceptional, will be raised, and wherever possible resolved, at the RDORF. If agreement cannot be reached at the RDORF, either party may invoke formal escalation mechanisms.

### 10.6 Charging

- AP Client Take-On is charged as specified [see ref. 4].
- Deviations to the service will be charged as per the Commercial Terms.
- Invoices will be raised and paid in accordance with the Agreement.

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## 11 Appendix A: Standard Changes - Details

Section 4.2.1 gives details of the hierarchy of changes which are Standard Changes. The complete list of changes applicable to each type can be found in the RDCC [ref 2]. Below is a representative sample of the changes for each type.

N.B. It should be noted that whilst a change may fall into a specific category if there is an associated change which falls into a different category with a longer lead time on which the first change is dependent, both changes will adopt the category of the second change.

### 11.1 Product Changes

#### 11.1.1 Basic - Pure

- Increase product availability (non-core)
- Change clerk instructions

#### 11.1.2 Basic – High Risk

- Change product price
- Revaluation
- Change min/max quantity/value
- Change whether voidable or reversible
- Change between existing methods of payment
- Change product names
- Cease Item Transaction Mode for a product
- Restart Item Transaction Mode for a product
- Change ability to print receipt
  
- Add routing gateway (NWB/DCS)
- Change name only – in routing gateway (NWB/DCS)
- Change Bank name only - in Issuer Scheme (NWB/DCS)
- Add Banking Operation (when associated item already exists) (NWB/DCS)
- Change presentation sequence override only - in Banking Operation (NWB/DCS)
- Add method of entry (NWB/DCS)
- Change method of entry (NWB/DCS)
- Add IIN range for existing bank card (NWB/DCS)
- Change IIN range for existing bank card (NWB/DCS)

Changes to Mails which are achieved by amending Reference Data within Design Studio only

#### 11.1.3 Advanced Simple

- Non core product becomes core
- Change use of additional fields



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**11.1.4 Advanced Standard**

Change discount indicator (not used)  
Change value to non-value stock  
Change client name – non AP  
Change calendar  
Remove AP client  
Change pick-list for existing product

**11.1.5 Advanced Complex**

Add new product - non value stock  
Add new product - make value stock available to rem-in  
( up to 6 weeks prior to it being made available for sale)  
Change screen layout (Menu Hierarchy)  
Change accounting node  
Change Best Fit screens  
Add Item Transaction Mode with Item Transaction Mode Code  
Change Picklist ordering: †  
    Add/Change/Remove non-value stock product group ordering †  
    Change non-value stock item ordering within product group †  
    Add/Change/Remove advice notes product group ordering †  
    Change advice notes item ordering within product group †

† These items are to be included in the next version of the RDCC.

Changes to Mails which require Fujitsu Services data alone or in conjunction with Post Office Ltd Reference Data from RDS or produced within Design Studio

**11.1.6 Advanced Complex Extended**

Change scales matrix/tariff change  
Changes to Mails data for Tariff Change

Changes to Horizon reports text fields or content which can be achieved directly using Fujitsu Services Reference Data.

*[DN: The majority of changes to Horizon reports and receipts can only be achieved by code changes and are therefore subject to a Work Order. This mechanism within the OBC processes is limited to those changes which can be made through Reference Data only and requests for such changes not currently listed in the Reference Data Change Catalogue must be confirmed with Fujitsu Services prior to raising the OBC. As changes of this nature are identified they will be added to the Reference Data Change Catalogue]*

Network Banking and Debit Card Service changes other than those listed in Basic High Risk and System Parameter – Pure.

Change routing gateway – physical (name only change is categorised as HR)  
Add Issuer Scheme  
Change Issuer Scheme (change to Bank name only is categorised as HR)  
Add Banking Operation (when associated item does not exist)

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N.B. for DCS this does not include the addition of PIN operations as introduction of PIN to DCS would require a Work Order

Add NWB Card

Change NWB Card

Add NWB Token Element

Change NWB Token Element

*[DN: The introduction of all Network Banking entities and amendments to them, with the exception of those noted in Basic – High Risk and System Parameters – Pure, will be Advanced Complex Extended. It should be noted that in the future additional checking of Network Banking Reference Data may be deemed to be necessary, in a similar fashion to that currently used for AP, in which case leadtimes will need further consideration.*

*Please note that Network Banking Contract Schedule N01 defines the leadtime for changes in this category to be Advanced Complex. At the time that Contract Schedule N01 was agreed the overall leadtime for Advanced Complex changes was 30 days however the leadtime for Advanced Complex has since been reduced to 25 days. The overall leadtime for Advanced Complex Extended changes is 30 days and is therefore consistent with the leadtime agreed within Contract Schedule N01.]*

#### **11.1.7 System Parameters – Pure**

At the Network Banking release of the Horizon system the only System Parameters that may be amended using this category are:

MCWP

MAAWP

Amendments will be within limits defined within the Agreement.

N.B. There are similar parameters within the Debit Card Service which may only be changed using the Work Order mechanism.

### **11.2 Branch Changes**

#### **11.1.1 HelpDesk (HD)**

Low risk changes to branch details – e.g. telephone number

#### **11.1.2 Advanced**

Higher risk changes to branch details e.g.

- Opening times (no physical changes to branch)
- Refurbishments, branch opening/closure, relocations (physical activity required and therefore Reference Data needs to be dovetailed with this activity)

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## 12 Appendix B: Changing products between Core and Non-Core

The following information is provided to give guidance on how to change products from Core to Non-Core (extreme care is required) and Non-Core to Core (much simpler). Additional information will be found in the document relating to Business Rules [ref 15]

### 12.1 Changing items from core to non-core

Although this sounds a simple task there are a number of factors which must be considered to achieve the change. The major factor is the controlled termination of the item at branches where it is no longer to be available, especially if those branches may have residual stock.

The cessation of Core or Non-core items globally can be controlled by the removal of Item Transaction Modes in the required sequence (usually Serve Customer, followed by Bulk Input Mode, followed by housekeeping modes). A non-core item being removed from an individual branch by cessation of the non-core link is handled similarly but by an automated process (referred to as graceful retirement) controlled by the Fujitsu Services system.

When an item is changed from core to non-core there clearly must be non-core links for those branches which are still required to transact the item after the change however graceful retirement will not be activated for branches which do not have any non-core links.

The following points need to be considered:

- Would the immediate termination of the item at branches cause an issue (i.e. could a Cash Account reprint be requested – is there any value stock being held at branches which will no longer be linked)
- If yes to the above is it imperative that the existing item is retained (most likely that there are other systems which rely on the data)

When considering the effect of immediate termination at branches it is very important to take account of the effect on cash account reprints and stock. If a branch requests a reprint which includes items which have now gone from their counters and yet have been transacted within the allowable reprint period, the reprint will be unable to correctly identify the items and may therefore produce erroneous data. If there is value stock at a branch it will not be accounted for.

It therefore follows that the action to be taken depends on the type of item being changed and whether graceful retirement is an essential activity.

1. Instant removal of the item is an issue but it is not imperative that the existing item is retained

This scenario is probably the most straightforward one to execute as the existing item can be ceased in a controlled fashion (ceasing the Item Transaction Modes as required) and the new item introduced at the appropriate time and with the necessary non-core links. It is therefore the preferred option for value stock items and may also provide the simplest way of handling all changes from core to non-core.

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Note: this methodology is the only one which guarantees that no residual information remains at branches where the item is no longer used. Either of the following options may result in branches having some visibility of the item without the ability to use it. This is because of the way the menu-hierarchy/pick list are built by the Horizon Desktop.

2. Instant removal of item is an issue and the existing item must be retained

In this case the only solution is to make the item non-core and at the same time provide non-core links for every branch in the estate. This ensures that when the non-core links are ceased for branches which are no longer to transact the item the automated graceful retirement activity will take place and therefore Cash Account reprints will perform correctly and value stock may be remitted out or will eventually go into the discrepancy account.

Having created the non-core links to ensure that graceful retirement is activated there are still two options to remove the unwanted links, largely dependent on the number to remain but also governed to some extent by RDS bulk upload facilities:

- a) cease all non-core links and then re-instate those required (graceful termination will only occur on those not re-created)
- b) cease non-core links on those which are to be removed

3. Instant removal of item is not an issue

N.B. Please see note above regarding the Cash Account. In practice this option is only viable when there is an absolute guarantee that there are no transactions in the system which could be requested for Cash Account reprint. and there is no stock at any branches. This therefore suggests that the items in question should only be non-value stock.

If there is any doubt as to the likely outcome then this option MUST NOT be used.

If this option is viable the change is still relatively simple. The item record is changed to non-core and non-core links are created, effective at the same time that the item changes to non-core, for those branches which are to continue to use the item.

The item will then become unavailable at branches which no longer have the non-core links present.

## 12.2 Changing items from non-core to core

The process for changing items from non-core to core is much more straightforward than changing from core to non-core. However, to minimise risk of branches receiving the ending of the non-core links before the changed item information the change must be presented in two parts:

- i) change item to core
- ii) cease all non-core links (released when all branches have received i) above)

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## 13 Appendix C: Permanent Closure of Branches

### 13.1 Background

With Network Reinvention being a driver for a large number of Post Office Branches becoming permanently closed it seems to be an appropriate time to define a mechanism which will reduce the risk of marking a branch permanently closed when in fact it is operational. The process is therefore designed to reduce that risk whilst allowing for bulk data to be submitted for the tidy of the RDS and RDMC systems.

The mechanics of closing a branch and removing equipment, making changes to non-core links for another branch and installing additional counter terminals is all handled within existing OBC process (product and branch). Within the context of this process the only criteria is that at Day 0 (the last day of trading and public service) the branch is marked as Temporary Closure within RDS.

### 13.2 Process

No sooner than 35 days following the successful completion of the OBC processes to remove the equipment (35 days ensures that any residual data has been collected from the branch equipment) all branches which fall within the period will become subject to a single change (or group of changes depending on volume) within this process. In order to simplify the process it is invoked at the beginning of each month for branches which were temporarily closed up to 2 months previously, i.e. excluding those which were processed in the immediately preceding month.

Step 1. RDOT will submit to Fujitsu Services a spreadsheet containing the FAD codes for each branch which is now deemed to be ready to be Permanently Closed following agreement within Post Office Ltd.

Step 2. Fujitsu Services will check the status of each of the FAD codes listed and advise RDOT if all of them are in the correct state for Permanent Closure (i.e. they are no longer receiving or transmitting data to/from the Data Centre).

Step 3. If the answer to Step 2 contains any FADs which are not in a suitable state RDOT will be advised and the process is terminated, i.e. a completely fresh list must be submitted. When a list is confirmed as being OK RDT processes will retain the FADs for checking later in the process.

Step 4. RDS is updated for all of the FADs which are by now confirmed as OK. This will produce one or more files for delivery to RDMC. Each file will contain the data for one or more FAD codes, including the cessation of non-core links associated with that FAD. Change ID's will be prefixed BTIDY convention and a control PinICL will be raised periodically to enable audit.

Step 5. RDMC will load the data



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Step 6. RDT processes will check the data against the list which was confirmed in step 3.

Step 7. If there are any discrepancies found between Steps 1, 3 and 6, or a branch has now become active, remedial action will be necessary before the data is released through the RDDS system

Step 8. Once any anomalies from step 7 have been sorted out the data is released to RDDS (the data is pre-authorised and therefore no further authorisation is required from Post Office Ltd)

Should the final list processed through step 8 include any branches which have not been previously subject to a closure process within other Fujitsu Services systems, Fujitsu Services will request Post Office Ltd to raise an OBC20 to ensure that all other Fujitsu Services systems are consistent with the new status.

## 14 Appendix D – Mails

Mails is an Horizon desktop service which is replacing the existing Scales facility. It is based on the mails package developed by Escher, adapted to be integrated within the Horizon system. The Reference Data for Mails is produced directly by Post Office Ltd using an Escher supplied tool, Design Studio. The process for effecting change to the Horizon counters is similar to the current process for changing the Scales system in that the amended data is sent by NS\_CIT to RDT for implementation. Verification and Authorisation are performed using normal processes.

Because of the way in which the data is transmitted to the counters there are constraints which need to be considered with regard to the frequency with which changes can be made. The following information is provided to give an outline of the way in which the system works and how the constraint can be viewed.

### 14.1 Subscription Groups

Subscription groups have been introduced to the Horizon system and their first use is for Mails. The use of subscription groups involves two groups being used and there is a mechanism to 'toggle' between those groups.

The messagestore which exists on each counter in the Horizon system contains data from itself and its neighbouring counters (nodes 1 to 31), from Correspondence Servers in the data centre for its own data (nodes 32 to 59) and from subscription groups in the Correspondence Servers, Groups 111111111 and above. (Note that the FAD code of the branch is the Group ID in messagestore terms). The Mails Application does not understand the temporal data which other parts of the Horizon system use however it also differs from other parts of the Horizon system in that it can be directed to a specific group id from where it should read its data. It is this ability which has been used to provide a temporal switching capability for Mails.

Whenever the Mails Application looks for its data, it first looks in the messagestore for a control object which tells it which subscription group is to be used. The switching between the groups, or 'togglng' is achieved by sending a 'trigger' object to the counter at the end of new data going into one of the subscription groups, the counter then changes the 'toggle' object in accordance with the start date in the 'trigger object'. The 'toggle' object is itself a normal, temporal, object and therefore causes the switch to the relevant subscription group to occur at the correct date and time.

### 14.2 Time between changes

There are only two subscription groups available for Mails data and therefore there is an inevitable constraint on how quickly the data can change. One of the groups must contain the data which is current and there can only be one change 'in the pipeline' at any point in time. Whilst in theory it would be possible to push a second change into the original group once the start date had been reached for the second group, there needs to be time allowed for any

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offices which have failed to synchronise their messagestore with the data centre so that they don't suddenly get change occurring on what, to them, may be their active group.

For example:

1. Group A is currently active and has been since 1/1/2003
2. Group B has been loaded with data with a start date of 1/5/2003 (in the future)
3. On counters in offices which are communicating correctly with the data centre the 'trigger' object for the Group B data has created 'toggle' objects which will ensure that on 1/5/2003 the counter starts using Group B (referred to as "paragraph 3" offices)
4. On counters in offices where there has been a communications failure there is no Group B data and therefore no 'toggle' object (referred to as "paragraph 4" offices.
5. When counters in paragraph 3 reach 1/5/2003 they will switch to Group B and Group A becomes available for fresh data however offices in paragraph 4 are still using Group A (although this may have incorrect tariff or script data it is still consistent)
6. When offices in paragraph 4 establish connection to the data centre they will replicate the Group B data and when this completed the 'trigger' object will create the 'toggle' object and the counter will start using Group B immediately
7. If new data was loaded into Group A before offices in paragraph 4 had replicated Group B there is a risk that the Group A data arrives before the Group B data and causes the Group A data to become unstable. This is why there is an enforced delay between deliveries to the original group after a change is sent down.

There is an important point with regard to the delivery and start date. Whilst Group A in the example above must not be changed whilst offices are still potentially using it, if the delivery to Group B was made in plenty of time so that all offices had the data by the time it should start, Group A can be changed immediately. This cannot extend to a third change within the 21 day period.

For example:

- a) Group B in the above example (start date 1/5/2003) is available for replication by 9/4/2003 (21 days before start date)
- b) Group A can have fresh data loaded into it on 2/5/2003 with a start date at any time in the future because by 1/5/2003 all offices will have correctly 'toggled' to Group B
- c) A further change cannot be delivered until 22/5/2003 at the earliest to allow the 21 days for b) replication to elapse (but note that the closer the start date is to 1/5/2003 the higher the risk that offices will not have replicated in time)

N.B. 21 days is a pragmatic timeframe although somewhat cautious. Normally offices will not be offline for that length of time but allowing for major issues, such as a complete shutdown in the communications network to an office, needs to be considered so that risk is removed as much as possible.

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### 14.3 Leadtimes for Mails changes

The leadtimes for changes to Mails data will be the same as for all other types of changes and are broken down as follows:

- Changes (other than tariff) which can be made by Post Office Ltd NS-CIT amending Reference Data within Design Studio – High Risk
- Changes (other than tariff) which can be made by Post Office Ltd NS-CIT amending Reference Data within Design Studio in conjunction with EPOSS Data from RDS along with associated Fujitsu Services data – Advanced Complex
- Changes of Fujitsu Services data only which relate to the Mails system – Advanced Complex
- Tariff change – Advanced Complex Extended
- Any change which requires changes to Mails scripts are subject to the change control process and are not processed through the OBC process

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## 15 Appendix E – PinICL control between Fujitsu Services and Post Office Ltd

This section describes the agreed mechanisms for passing PinICL's from the Fujitsu Services PinICL system to Post Office Ltd and entering responses from Post Office Ltd into the PinICL system. The passing of data between the organisations is necessary because Post Office Ltd do not have direct access to the PinICL system.

The interface for all PinICL's relating to Reference Data for both the Live service and data provided by Post Office Ltd to support new facilities required by Change Request is the Fujitsu Services Reference Data Team (RDT).

All PinICL's which need to go to Post Office Ltd will be routed (PinICL term) to the RDT team for onward transmission (in practice the largest number of PinICL's destined for Post Office Ltd are raised by RDT).

When RDT receive a PinICL to be sent onwards the PinICL is routed to the appropriate Post Office Ltd team. In PinICL terms these teams are:

POCLRefDataAP	(issues arising which are specifically AP related)
POCLRefDataNCA	(issues arising from branch data)
POCLRefDataRDO	(issues arising from RDS system or RDOT keying)
POCLRefDataOSG	(issues arising from EPOSS data)

Please note that these identities were created when the Post Office Ltd name was POCL and the teams were as described by the names. Whilst the company name and the individual team names have changed the use of these PinICL names will not be changed as they are for routing purposes only.

Once the PinICL has been routed within the PinICL system itself RDT will create an e-mail and copy in the contents of the PinICL on to the e-mail. The subject line in the e-mail must contain the word 'PinICL' and the number of the PinICL for ease of recognition.

On a periodic basis (at least monthly) RDT will provide a listing of outstanding PinICL's to all interested parties. RDORF monitors PinICL trends and PinICL's outstanding to ensure that issues are addressed in a timely fashion.

Post Office Ltd must always explicitly respond to the PinICL and not rely on the delivery of any data to be the notification of an update to the PinICL.

When RDT receive the explicit response, the PinICL will be updated, in most cases by copying the data in the e-mail into the PinICL system. If the response indicates that no further action will be undertaken by Post Office Ltd the PinICL will be routed to the originating team. RDT will advise the originator of the response that the PinICL has been removed from the POCL stack.

Under some circumstances a PinICL may be necessary to show that a problem has occurred but where no further action is required from Post Office Ltd e.g. where a file has been sent to



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RDMC twice. In order to record that the problem occurred RDT will create a PinICL, route it to the relevant Post Office Ltd team and immediately route it back to RDT and, in most cases, close the PinICL. A copy of the PinICL will be sent to the relevant team in Post Office Ltd.