POST OFFICE ®

Business Technology Transformation Programme

Business Specification Document

Compliance Training		Work Package Number:	1.11

Governance

Presented to:	Kevin seller (Network) Michael Larkin (Network Conformance) Sarah Malone (Training)	Date of Approval:	25/03/2016

Outcome:	To Be Confirmed
Outcome Conditions:	{Provide commentary on the decision and if the special requests or caveats are attached to the decision}

Document Purpose	1. Ensure the business and programme stakeholders can:
	  • clearly communicating to a technology service provider what the solution needs to do to satisfy the customer's and business' needs
	  • Provide input into the next phase of this programme – the Business Design Cycle.
	2. Define the scope of the work package
	3. Detail the business process (es) and applicable collateral that underpins the steps within the process (es).

Template/ Guidance Location	Click Here

"One Best Way – Delivering Change"

BUSINESS SPECIFICATION DOCUMENT

Contents

BUSINESS SPECIFICATION DOCUMENT

1. Overview

1.1. Business Specification Document

This Business Specification Document (BSD) has been produced for the Compliance Training work package. The purpose of this document is to:

- Ensure the business and programme stakeholders can:
  - Clearly communicating to a technology service provider what the solution needs to do to satisfy the customer's and business' needs
  - Provide input into the design phase with the supplier
- Define the scope of the work package
- Detail the business process (es) and applicable collateral that underpins the steps within the process (es).

1.2. Regulatory Compliance Training

Post Office Ltd operates in an ever changing environment in relation to the compliance that must be delivered and adhered to for a wide range of products and services that we transact within our branch network. As such, it is vital that Post Office Ltd provides the necessary training, support, advice and assurance to the people working in all branches to ensure they are fully equipped to operate compliantly. The result is customers are provided with the best possible service, our reputational branch is protected and the regulatory risks are minimised.

In this ever-changing regulatory environment, Post Office Ltd must ensure it identifies, manages and controls any existing and future regulatory risks.

Post Office Ltd's current approach for administering Compliance Training, a combination of workbooks supported by a test on Horizon for branch colleagues, a manual class room process for new joiners and the HR system known as 'Orbit' for all other colleagues, is a reactive and inflexible process that requires refreshing to ensure the business continues to effectively and efficiently delivers on its obligations. It is an approach that confirms adherence to a process rather than one which supports engagement and true understanding and deployment of the training.

Our current process for testing knowledge and understanding of compliance is fragmented and does not meet the changing needs of the network models. It is also the process that is being favoured by Product Teams to demonstrate to Clients such as DVLA compliance to training and procedures and there is a risk that the approach will overload the branch network.

1.2.1. Background

Everybody who works in a branch is required to understand each compliance module and complete the associated test before they start serving customers.

Post Office Ltd's compliance training modules cover a number of different regulatory areas and help branch colleagues understand what they need to do to ensure that the business operates in a compliant way. This helps to ensure our customers know that they can trust the Post Office brand.

There are 3 main approaches to deliver Compliance Training –

- **New Joiners**

New joiners to crown branches and new agents and operators attend classroom induction training sessions and will complete the tests while they are in the classroom. Compliance workbooks are read and a manual test is completed and marked by the Field Support Advisors running the training. The joiner must then complete the tests once assigned a branch to obtain a receipt of completion for each of the compliance modules.

BUSINESS SPECIFICATION DOCUMENT

For agency branches, including those operated by multiple partners, it is the responsibility of the agent or operator to recruit their own members of staff and   ensuring that they read the workbooks, complete the tests on Horizon and obtain a receipt of completion for each of the compliance modules before they start work. For some of the Network Transformation branches, a proportion of the assistants will be offered places on the classroom induction training sessions.

- **Existing Branch Colleagues**

Historically, Post Office has had an obligation to demonstrate to the different regulators that all branches have been trained regarding how to operate compliantly. This has led to the approach of deploying an annual training plan which requires all existing branch colleagues to read the relevant compliance workbooks, complete the tests on Horizon and obtain a receipt of completion for each of the compliance modules, in order to transact the appropriate products and services.

The modules are refreshed on an annual basis and are issued to the branch network at intervals during the year. Each module is accompanied by a 10 question Horizon test, which must be completed within a three week period. A printout from the Horizon system is then produced which identifies the user ID of the person who has completed the test and this also indicates they have passed the test.

The colleague in the branch must select what role they play in the branch – Agent, Operator, Branch Manager, Officer in Charge or Clerk.

- **Head Office & Central Support Teams**

As directed by Post Office Ltd, usually to support Christmas pressure or industrial action, head office and central support teams access the HR 'Orbit' system to read the online compliance modules and take the associated tests, which must be completed prior to working on the branch counter.

The modules are refreshed on an annual basis and are implemented onto the HR 'Orbit' system network at intervals during the year. Each module is accompanied by a 10 question test, which must be completed prior to working on the branch counter.

In addition, there are some compliance modules which are unrelated to branches, which all central support and head office teams must complete annually, e.g. Data Protection/Information Security. These are available on the HR Orbit system. New joiners are asked to complete this as part of their induction and this is monitored by HR.

The HR 'Orbit' system is not in scope for this work package.

1.2.2. Existing Compliance Management

Historically, it has been the role of the Compliance Team, Branch Standards and the Network Engagement Team to determine the annual compliance training plan. The Compliance Team provide the guidance on what training needs to take place to satisfy the regulators. As a group, they decide on the timing of the different modules that best suit the needs of the regulator and the branches and sign off the content of the training. For example, mail compliance training is typically deployed in October to ensure that branches are re-trained at the point proceeding the busiest time of the year for mails transactions.

The Branch Standards Team is responsible for ensuring that all branches complete the training within the required period. They are not responsible for ensuring that Head Office and Central Support Teams complete the training.

If a different team want to add to the compliance training plan then the request will be raised via the normal business change process.

BUSINESS SPECIFICATION DOCUMENT

1.2.3. Existing Compliance Auditing

The Field Support Team is responsible for ensuring that new colleagues, agent, operators and any assistants attending the classroom complete the relevant compliance training. They provide workbooks to the new entrants mark the tests and input the results to a SharePoint site.

The Branch Standards Team is responsible for ensuring all branches complete the required on-going training to the required timescale. However, the monitoring approach varies depending on the type of branch.

* Crown branches. Branch managers are requested to complete a SharePoint site to indicate how many members of staff are working in the branch. A daily Horizon test file is polled by the Compliance Team and sent to the Branch Standards Data Team and this information is then used to check the number of different users which have completed the training. A branch isn't classed as fully compliant until the expected number of users have completed and passed the training. Regular reports are sent to the Crown management team to inform them who have completed the training and they also assist in ensuring the branches complete it on time.

* WHSmith branches. These branches are treated very similarly to Crown branches. Staffing information is provided to the Branch Standards Team by the WHSmith relationship team and the Branch Standards Team track completion against the number of staff that are expected to complete the training.

* Agency branches. As above, the data of test information is polled daily and sent to the Branch Standards Data Team for analysis. Whilst the report indicates the different users in the branch who have completed the training, because the data regarding the assistants who work in our branches is not 100% accurate and due to the fact that the agent or operator is contractually responsible for ensuring all staff have been trained, the branch is classed as compliant if there is a user ID who completes the training at the agent/operator/officer in charge level. Reminders to complete the training are sent to branches throughout the training window. The Branch Standards Team also makes pro-active calls to branches that have yet to complete the training before the deadline. They also manage the process for agency branches where they have failed to complete the training on time and initiate the relevant corrective action. If an agency branch fails to complete the training on time then this could result in a visit by a Field Support Advisor and the agent will be charged up to £100 to cover the costs.

Completion of the relevant compliance training modules also forms part of the branch Compliance audit. The Field Support Team identify which modules should have been completed, identify the members of staff working in the branch and check that an Horizon receipt is available for all members of staff to ensure that it has been completed.

Whilst Head Office and Central Support Teams are required to undertake the training via the HR Orbit system, there is no co-ordinated central monitoring that takes place for completion.

The Civil Aviation Authority also has the legal right to audit any of our branch networks to ensure that any colleague handling mail in branch has completed the Dangerous Goods training. They also have the right to request training record information at any time.

(EMC Web Platform – this is the training platform used for the Branch Staff)
(Orbit – this is the training platform used for the Head Office Staff)

BUSINESS SPECIFICATION DOCUMENT

2. Scope Boundaries

2.1. In Scope

The scope of this work package is to stipulate the requirements for a new regulatory training solution to replace two existing systems:

System	Description
Horizon POS solution	The vast majority of counter colleagues undertake their regulatory compliance training in branch via the Horizon system. System constraints mean tests are restricted to 10 multiple choice questions.
	The operational content is delivered through a work book available via Online Help, which the counter staff are expected to read before taking the test.
EMC Web platform	Developed and administered by EMC, this system was rolled out in November 2014 for new starters attending POL administered classroom training (Postmasters, Crown Colleagues and some Agency branch assistants). The operational content and test questions are consistent with the Horizon POS solution.
	Counter colleagues initially taking their regulatory compliance tests on this system are advised to continue to use it for any subsequent tests, rather than the Horizon POS system.

The tag of regulatory compliance training is historic, and perhaps something of a misnomer when looking at the current set of training modules delivered under that banner. Technically speaking, some of the modules delivered under the auspices of 'regulatory compliance training' do not have a regulatory element and could be more accurately described as product knowledge or conformance training. The modules currently delivered via the two systems noted above are:

- Financial Services (all branches except Locals)
- DVLA Product Knowledge (only DVLA branches)
- Homephone & Broadband
- Information Security & Data Protection
- Anti-Money Laundering
- Dangerous Goods
- Mails Compliance
- Locals Foundation Module (designed specifically for new starters in Locals branches)
- Driving License (AEI branches only)
- UKBA (AEI branches only)
- General Health & Safety (Crown Only)
- Colleague Responsibility (Crown Only)
- Manual Handling (Crown Only)
- Working Safely (Crown Only)
- Self-Audit (Legacy DDA compliance test)

In addition to the two systems noted above which provide the channel regulatory compliance training, the following three areas are within the scope of this document:

1. Change control processes related to the training content

2. Process to chase up non-compliant branches and users

3. Management information

BUSINESS SPECIFICATION DOCUMENT

The first two are currently processes which take place largely independently of the system and there are benefits to be derived by improving the solution to drive better change control and management of non-compliance (i.e. failure to take the test by deadline)

2.1.1. Level 3 Requirements

There was no Level 3 requirements originally identified for Compliance Training.

2.2. Out of Scope

The table below outlines areas which are explicitly out of scope:

Area	Description
Head Office staff training	Head Office (admin) staff has to take and pass a subset of the regulatory compliance tests. This is done on an internal training and performance management system called ORBIT (administered by SABA). This system is considered out of scope for this work package.
Existing e-learning content	New starters that go through the POL administered classroom training have to undertake some foundation e-learning modules for products.
Regulatory Compliance Training Content	Although training content will be discussed in this document, this will only be generic terms, based on an understanding that the new regulatory compliance training solution will need to be able to deliver a channel to deliver the operational content (currently a workbook) and a test to check that the content has been digested and understood.
Other forms of operational training	All training delivered outside of the two systems noted in Section 2.1 is also out of scope. This would include the following: • Sales coaching/training • Classroom training delivered by Field Support Advisors • Onsite training delivered by Field Support Advisors to new agents • Ad-hoc remedial training • Enhanced Financial Service training and accreditations • Training for AEI • Any training related to programme or change rollouts (e.g. EUC branch)

BUSINESS SPECIFICATION DOCUMENT

2.3. Business Problem

The Post Office operates in an increasingly regulated environment, with recent years seeing a growth in the Financial Services products offered, securing a market share in the telephony market and stricter regulation in the mails area. Given this background context it is imperative that the Post Office be able to deliver a strong compliance training offer and, critically, be able to evidence to regulators that training is being deployed and robust processes are in place to address failures to take the necessary tests.

The failure of the current regulatory compliance training solution to fully meet these requirements exposes the business to financial and reputational risk in the form of regulator sanctions and damage to the Post Office reputation as a trusted brand. Both of these could ultimately make it more difficult to secure further business in an increasingly competitive environment.

2.3.1. Issues with the current solution

The following issues have been identified with the current regulatory compliance training solution:

Issue/Limitation	Impact
Lack of integrated user directory and compliance training record	Difficult to evidence to regulators with any degree of confidence who is working in our branch network and who has been trained. For the POL stakeholders facing off to regulators this is the single biggest flaw with the current solution.
No in built system notifications or enforcement of test passes. Users that have not taken the test cannot be blocked from transacting	Increased costs in monitoring and intervening with non-compliant branches and users. The latest test (Financial Services) saw 34% of branches non-compliant when the deadline had passed, which imposes costs on the business in terms of intervention calls to branches and remedial action.
Restriction on test questions both in terms of number and response method	The number of test questions on the current Horizon POS is limited to 10 with the only response type being a selection of one of no more than four multi-choice options (some questions just have two options, usually True/False). Although the EMC web platform could deliver more than 10 questions, the training also has to be kept consistent, so this too is structured around a set of 10 questions.
	This limitation on the bank of questions restricts the ability of the business to demonstrate that the training has improved the capability of counter colleagues. A small bank of questions with no randomisation encourages users to simply guess their way through the test.
No integration between operational content (workbook) and test	The current Horizon POS solution forces a separation of the workbook content and the test questions. The user is expected to read the workbook and then undertake the test. This does not, particularly in the case of some of the lengthier and more detailed workbooks, provide a user friendly learning experience which is conducive to knowledge transfer and building of capability.
Unable to save progress through a test – Horizon POS solution only	Frustration for users having to start the test again, where they have progressed part way through and then been forced to exit to perform a different system function (e.g. serve a customer). Ultimately delays some users in passing the test and adds to the burden of follow up intervention and remedial action.
Two distinct system solutions which are not integrated	The two solutions outlined in Section 2.1 have no integration. This means there are two streams of management information which have no common user ID, confusion for new starters who are faced with one system prior to their classroom training (EMC web platform) and then seeing colleagues using the Horizon POS solution when they get into branch and it also means the operational content and test questions have to be provided to two systems

BUSINESS SPECIFICATION DOCUMENT

Operational content (workbook) not easily printable – Horizon POS solution	Historically, branches have been used to receiving hardcopy workbooks to read through before taking the test. During 2015 all such workbooks were gradually moved onto Horizon Online Help. A print facility is available to the back office printer, but it requires each page to be printed individually, which is time consuming for a 30 page workbook. The knock on impact of this is that branches are more likely to have to consume the content on the terminal, having to break off to serve customers and thereby delaying when they can take the test. Or more significantly, they will not read the workbook content at all and guess their way through the test.
Poor management information offer	Both of the two solutions outlined in Section 2.1 require management information to be extracted and then manipulated via Access and Excel to produce reports for different areas of the business and enable remedial action. There is the cost of this additional data manipulation, but it also delays intervention actions to chase test passes.
No single multi-channel solution	The Horizon POS solution is only accessible via a Horizon terminal, whilst the EMC Web Platform is a web-based solution, so is accessible via any device with a browser, but is not accessible via the Horizon POS. Those counter colleagues using the Horizon POS solution have to try and both read the operational content and take and pass the test on the POS. This can be time consuming and disruptive to customers, especially in branches with only one Horizon POS terminal.
Lack of portable training record	Users moving between branches have to either take the regulatory compliance tests again in each branch they work in, or ensure they photocopy their training completion receipts and keep them in each branch for audit purposes.
Field Support Advisors reliant on paper receipts as proof of compliance when auditing branches	The Horizon POS provides a receipt at the end of the test to prove that a user has passed. The Postmaster/Manager in the branch is responsible for keeping a record of all these audit slips for themselves and all members of staff for each of the mandated tests. Field Support Advisors then audit these as part of a compliance audit in the branch. This is time consuming and inefficient, particularly in branches with large numbers of counter clerks, where the auditor might be trying to reconcile 100 individual receipts or more.
System inflexibility pushes business to annual test cycles	The mandatory training modules are generally done on an annual cycle, including the updates to the operational content and the test questions. Changes to process in the meantime would tend to be communicated via the fortnightly communication Branch Focus channel, but would not necessarily be reflected in the workbook or training.
No in-built system tracking, approval or audit trail for content	The authoring, revision and approval of the operational content (workbooks) and test questions all takes place outside of the current solution. Similarly, the audit trail of versions of the operational content, is accessible, but requires working back through previous versions of the workbooks. This makes the change process more cumbersome and slower than it needs to be and also makes finding old content and the dates it was live difficult (important for Project Sparrow).

BUSINESS SPECIFICATION DOCUMENT

2.3.2. Costs & Risks of the Current Processes

During the course of gathering requirements, business stakeholders have been asked to contribute what they see as the key risks of continuing to operate with our current solution. The following were identified as part of that process:

1. **Costs of remedial action on non-compliant branches** – The cost of identifying and taking remedial action with branches and users that have not taken the test are considerable and, due to increasing regulatory scrutiny, growing. The Branch Standards Team manages the process of remedial action which combines communications out to branch, report generation and intervention phone calls and visits. In response to recent regulator audits, the Branch Standards Team has had t0 change their intervention model in Agency branches. Before interventions were targeted to secure a Postmaster/Manager pass in each Agency branch, based on the fact that the Postmaster then has the contractual responsibility to ensure all their staff is compliant. This has now shifted to chasing individual user compliance via periodic phone audits (around 45% of branches bi-annual and the rest annually). This has increased the scale and scope of the remedial action considerably and is made more difficult by the current user management and compliance training solutions.

   Estimated costs for remedial action: £240k P/A

2. **HMRC Regulator Risk** - Post Office Ltd is legally obligated to adhere to the Money Laundering Regulations 2007. This year we are under regulatory supervision from HMRC, who will be conducting branch compliance audits. Due to the increased level of scrutiny from our regulator, POL is able to demonstrate compliance.

   HMRC guidance states:

   > *'You must make sure any employees are aware of the laws covering money laundering. In particular, employees who deal with customers – including receptionists and anyone who answers the telephone – should receive regular training to make sure your business complies with the regulations'.*

   Whilst there is currently have AML / CTF compliance training in place for network colleagues, POL remain unable to monitor completion quickly and efficiently, and consequently unable to evidence this accurately in the event of an audit. Issues with the current solution include the loss of completion receipts and false operator reporting in relation to staff training. The wider implications of being unable to evidence compliance include potential financial penalties.

   Furthermore in 2015 Post Office Security enlisted the help of external consultancy, Promontory Financial Group, to review our existing Anti-Money Laundering (AML) and Counter Terrorist Financing (CTF) landscape. The report produced by Promontory highlighted that we need to enhance our training framework and recommended the following action in order to successfully meet our regulatory obligations:

   > *'The firm;*
   > *Implement its training, awareness and communications plan as a priority*
   > *Considers oversight of training completion, including establishing a formal process to accurately monitor individual staff training completion and pass rates*
   > *Revisits the number of times assessments can be attempted before full training has to be retaken.'*

3. **ISO27001 certification** – This is a contractual requirement upon us for the provision of some Government Service services. Information Security & Data Protection training is a key Control Group and the requirement for continual improvement is the principle of the ISO.

4. **Data Protection Act 1998** relates to Personal Data. Principle 7 relates to Security and within that, Post Office must provide adequate training & education to our Branch staff. In the event of a breach where POL are unable to evidence training has occurred in a Branch or across the network to an 'expected' level could result in regulatory penalties of £500k rising to 5% of turnover in the revised DPA expected to go-live in the summer. Furthermore in the event of an ICO enquiry, failure to

provide adequate evidence may result in an audit programme upon our branches being forced upon us.

5. **PCI-DSS** is a regulatory requirement upon Post Office and relates to the processing of credit and debit cards. Once again Branch training is an essential requirement and failure to achieve annual certification would represent a direct loss of c£40-50m to the business, although it is unlikely.

6. **FCA** is another regulatory requirement upon where information security training and education is a corner stone. The FCA have the ability to impose unlimited fines and it is recognized that a failing in another area like DPA or PCI-DSS have resulted in their respective regulatory bodies to flag these up to the FCA for them to strike.

7. **Dangerous Goods** is a set of regulations administered and enforced by the Civil Aviation Authority (CAA). Deployment of the Dangerous Goods training is a key touchstone for the regulator, who currently audits POL on an annual basis. Failure to provide the relevant evidence and assurances that POL has robust processes in place to ensure effective deployment of the training could result in the CAA issuing enforcement notices requiring POL to put in place stronger controls, through to ultimately removing the ability to transact mails. Any enforcement notices issued would also impact on the relationship with our biggest client, Royal Mail. The CAA have already noted weaknesses in our training deployment and this has resulted in changes to the remedial action processes managed by Branch Standards (see point 1 above)

8. **Reputational risks** – A regulator sanction in any of the above areas would entail potential reputational risks for Post Office. Clients and customers have trust in the Post Office brand and any suggestion that our staff and agents were not deploying the required regulatory safeguards would damage that trust. This may ultimately knock on to both clients and customer taking their business to competitors. Stakeholder feedback to date has been that significant regulator sanctions are unlikely at this stage, but the weaknesses in our current compliance training solution do leave us exposed should more regulatory scrutiny be brought to bear on us, something that has already been seen in the case of HMRC and the CAA.

Further work is required in the format of a Business Case to fully validate the benefits and cost savings associated with Compliance Training and the current As-Is processes.

BUSINESS SPECIFICATION DOCUMENT

3. Business Requirements

3.1. User Interface / Availability

Requirement Reference	Requirement Description
RCT-REQ-01	The new solution must be easy to navigate for the user.
RCT-REQ-02	The new solution must be in line with POL brand guidelines and tone of voice.
RCT-REQ-03	The new solution must be DDA compliance.
RCT-REQ-04	The new solution must be available across different device types (tablet, laptop, phone, POS).
RCT-REQ-05	The user must have the ability to start on one device and complete on another.
RCT-REQ-06	The new solution must have the facility to integrate test content in with blocks of questions.
RCT-REQ-07	The new solution must have randomised questions from a larger bank of questions.
RCT-REQ-08	The new solution must have the facility to put rules and logic behind the questions served to an individual user (e.g. if a branch gets a question wrong on one topic, ask the branch more questions on that topic or failure of a large number of questions flags.
RCT-REQ-09	The new solution must have the ability to save where you are in a test and come back to complete it.
RCT-REQ-10	The new solution must have content workflow and an audit trail.
RCT-REQ-11	The new solution must have the ability to embed pictures and videos as part of the training content.
RCT-REQ-12	The new solution must have the ability to have expanded question styles – true/false, multi choice, multi correct,

BUSINESS SPECIFICATION DOCUMENT

	drag and drop, image based questions.
RCT-REQ-13	The new solution must have the option to "lock" a test after a set amount of fails, requiring the user to get confirmation from an authorised manager to continue.

3.2. Links to User Management

Requirement Reference	Requirement Description
RCT-REQ-14	There must be mapping to the users and roles held within Horizon (proposal is to have one user ID per individual)
RCT-REQ-15	Single user sign on process (i.e. no requirement to log into POS and Compliance Training solution separately)
RCT-REQ-16	User set up mastered by HR in line with Horizon user management process (Please see the User Management BSD for further information)
RCT-REQ-17	User configurable (Horizon POS, e-mail, text) reminder notifications on the system at individual user level and at Manager/Supervisor level of non-compliance

RCT-REQ-18	Facility to prevent, based on test deadline, non-compliant users from:
	
	    o Transacting particular product sets
	
	    o Transacting any products

RCT-REQ-19	Single user training records attached to the user ID and transferable between branches
RCT-REQ-20	Ability to disable users to account for long term absence, but provide reminders of outstanding tests when user logs back in

BUSINESS SPECIFICATION DOCUMENT

3.3. Management Information

Requirement Reference	Requirement Description
RCT-REQ-21	Web analytics to identify consumption of data (e.g. track that a video was watched until the end)
RCT-REQ-22	Branch level dashboard for Postmaster/Manager identifying who is compliant with each test and where there are outstanding tests to be taken
RCT-REQ-23	Reporting by test and question (pass rates etc.)
RCT-REQ-24	Dashboard reporting by: • Overall network • Segment • Network Hierarchy – RSM/ASM • National Multiple Partner • Individual Branch (available to central admin staff and auditors also)
RCT-REQ-25	The ability to manipulate MI (where appropriate), so that we are not forced to pay additional ums to have new reports built; however a number of template reports should be available for ease of use
RCT-REQ-26	Completion rates by individual, branch and area.
RCT-REQ-27	Completion rates by currently available test
RCT-REQ-28	Completion rates across all tests in a given time period.

BUSINESS SPECIFICATION DOCUMENT

4   *Business Collateral*

Business collateral that provides the detailed information necessary to inform the detailed design.

Collateral name	Doc. Reference	Doc. Version
Compliance Training Workshop One Presentation	Compliance Training Workshop One Presentation	V0.3
Online Compliance Training High Level Proposal	Online Compliance Training High Level Proposal	V1.0
PID Compliance Training	PID Compliance Training	V1.0

5   *DRAID Log*

5.1   *Decisions*

ID No.	Date Decision Taken	Workshop	Core Services	Decision Description	Core Services Owner

7.1   *Risks*

Date Opened	Risk Ref	Risk Title	Risk Detail	Contingency Plans / Actions	Resp.	Likeli hood (1-5)	Impact (1-5)	Severi ty	Next Review Date
02-03-2016	RK-01	No business owner	There is not currently a Business Owner for each of the aspects of compliance training.	As discussed there is the issue of 'content owners' and this would need to be addressed as part of the solution.					

BUSINESS SPECIFICATION DOCUMENT

Key:

Category	Low	Medium Low	Medium	Medium High	High
Impact	1	2	3	4	5
Likelihood	1	2	3	4	5
Severity (Impact x Likelihood =)	1-5	6-10	11-15	16-20	21-25

7.2   Actions

Action Ref	Date Opened	Workshop	Action Detail	Owner	Target Date	Status	Updated Comments
UM-AP-001	16/02/2016	WS1	When default user roles are agreed, set up session with Network (PG & AJ) to agree the names of the roles (e.g. Are terms such as Clerk still appropriate in POL?)	ST	01/03/2016	Open	This AP is contingent on the default user roles being agreed first.
UM-AP-002	04-03-2016	WS2	Find a business owner for Self-Audit (Legacy DDA compliance test.	ST	14/03/2016	Open	

7.3   Dependencies

Id	Description	Impact	Owner	Action to manage dependency
DP-01	In order to deliver a robust compliance training solution, there will need to be a link to user IDs, such that users can be blocked from transacting product sets (or entirely) if they have not passed a test by an elapsed deadline		ST	**Resolved**: Both BSDs being written by HG so will ensure they reference each other at the relevant points.

BUSINESS SPECIFICATION DOCUMENT

8 *Improvement Opportunity*

Reference	Requirement number (if applicable)	Requirement Area	BA Name	Title	Details	Source
IO_334	Futures	Training	Scott Degg	Training Mode	Addition of a Training Mode – To enable the training of new staff and so that existing staff can practice changes without the need to use a live counter and stock.	Branch User Forum - Karen Goldthorpe (Manor PO, Sheffield)
IO_484	Futures	Training	Scott Degg	Training	Not all team members understand Horizon, Paystation etc. - Difficult to correct an error if you don't understand how it occurred in the first instance. *All FSC teams will need training on the new system - what's changed, what's new etc.	FSC Issues Log
IO_705	Futures	Training	Scott Degg	Training	The new training doesn't tell you how to sort a problem when things go wrong. It doesn't tell you what reports to print off to check things and interrogate the issue.	Branch Support Programme
IO_706	Futures	Training	Scott Degg	Training	The training does not consist of any training on how to use technology.	Branch Support Programme
IO_707	Futures	Training	Scott Degg	Training	Training does not cover enough on back office processing and how to find errors and resolve mistakes.	Branch Support Programme
IO_708	Futures	Training	Scott Degg	Training	Lack of "what to do if things go wrong" training for branches. Lack of loss prevention training.	Branch Support Programme
IO_709	Futures	Training	Scott Degg	Training	Training on new products isn't very good. DVLA and Health Lottery were poor.	Branch Support Programme

Note: These were the originally improvement opportunities which were identified at the beginning of the project. The requirements detailed in Section 4 incorporate requirements to improve the current business processes associated with User Management within the Horizon System today.

BUSINESS SPECIFICATION DOCUMENT

9 Project Sparrow Recommendations

The following recommendations have been made in relation to User Management from Project Sparrow.

Area	Issue identified	Rationale for change	Consideration for Front Office
3.11	Postmasters do not have access to enough training to feel competent in running their branch. Where training has taken place, records have not been kept consistently.	POL need to be able to demonstrate training across the network and maintain robust training records for branches and branch staff.	• On Line training launched from February 2015 for completion by all Postmaster prior to attending classroom training. • Access to compliance training and product training is now available via Subspace, with options to extend. • Product training records being maintained and a log retained in the training catalogue by BCF.

10 Stakeholders

Below is a list of the stakeholders who have been involved in the production of this BSD.

Attendee/Reviewer	Area	Role
Shaun Turner	Programme	Business Readiness Lead
Hayden Gilmore	Programme	Business Analyst
Phil Norton	Programme	Requirements Manager
Paul Blackmore	Security	SME
Sharon Rei	Security	SME
Sue Richardson	Network field Support Team	SME
Sandra McBride	Network field Support Team	SME
Claire Davies	ISAG	SME
Stefania Ulgiati	NFSP Liaison	SME
Shirley Hailstones	Project Sparrow	SME
Kath Alexander	Project Sparrow	SME
Mark Horne	Internal Communications	SME
Jonathan Knox	Internal Communications	SME
Gayle Peacock	Support Services	SME
Priya Narasimhan	Network	Product Owner
Allen Kambasha	Network	Product Owner
Craig Perrins	Network Conformance	Product Owner
Beau Burton	Training	Product Owner
Kevin Seller	Network	Senior Sign-Off
Michael Larkin	Network Conformance	Senior Sign-Off
Sarah Malone	Training	Senior Sign-Off

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Appendix A – Requirements Catalogue

<provide detailed requirements <u>only where there is a need to do so</u>. Examples of when this should happen: referenced collateral in Section 4 of this document does not provide all relevant information IBM will require to support the Business Design Phase>

BTTP - Requirements
Catalogue Template \

Appendix B – Glossary

Term	Meaning
AML	Anti-Money Laundering
AP	Automated Payment
AP-ADC	Automated Payment Advanced Data Capture
BRL	Business Readiness Lead
BTTP	Branch Technology Transformation Programme – the programme for the delivery of the Front Office Application
Clerk	The merchant of the product or service at the Post Office counter
CRB	Criminal Records Bureau
Consumer	The user of the product or service acquired by the Customer
Counter	Post Office Counter where a product or service is acquired by a customer from a Clerk
Customer	The acquirer of the product or service
DVLA	Driver and Vehicle Licencing Authority
EPOS	Electronic Point of Sale – the Front Office Application at a Post Office counter, or Electronic Point of Sale – item
FOA	Front Office Application
FSC	Financial Service Centre – Branch Accounting and Client Enquiries
Item	The product or Service being acquired by the customer or used by the consumer
MagCard	Magnetic Swipe Card

Appendix C – Stakeholder Feedback

Document Review
Feedback form maste

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Appendix D – Document Control

This section records the version history of this document.

Document Version History

Version	Date	Change Details	Author
0.1	04/03/2016	Initial version created following workshop one.	Hayden Gilmore
1.0	25/03/2016	POL Sign Off	Hayden Gilmore

Document Reviewers & Signatories

Version 1.0	Name	Role	Date Completed
Sign off V1.0	Kevin Seller	Network	25/03/2016
Sign off V1.0	Michael Larkin	Network Conformance	25/03/2016
Sign off V1.0	Sarah Malone	Training	25/03/2016
Reviewer	Shaun Turner	Business Readiness Lead	11/03/2016
Reviewer	Phil Norton	Programme	15/03/2016
Reviewer	Paul Blackmore	Security	15/03/2016
Reviewer	Sharon Rei	Security	15/03/2016
Reviewer	Sue Richardson	Network field Support Team	15/03/2016
Reviewer	Sandra McBride	Network field Support Team	15/03/2016
Reviewer	Claire Davies	ISAG	15/03/2016
Reviewer	Stefania Ulgiati	NFSP Liaison	15/03/2016
Reviewer	Shirley Hailstones	Project Sparrow	15/03/2016
Reviewer	Kath Alexander	Project Sparrow	15/03/2016
Reviewer	Mark Horne	Internal Communications	15/03/2016
Reviewer	Jonathan Knox	Internal Communications	15/03/2016
Reviewer	Gayle Peacock	Support Services	15/03/2016
Reviewer	Priya Narasimhan	Network	15/03/2016
Reviewer	Allen Kambasha	Network	15/03/2016
Reviewer	Craig Perrins	Network Conformance	15/03/2016
Reviewer	Beau Burton	Training	15/03/2016

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