

1. FOREWORD

As Horizon rolls out across the network it will make new demands of all of us. In particular, it will become even more vital that changes which affect post offices are effectively managed and recorded. Without this, there is a serious risk that we will compromise the service available from the automated platform, in turn creating problems for customer service, losing sales and - potentially - adversely affecting our clients.

In order to ensure that these problems do not occur we have to put in place formal controls and procedures across the business as a whole and in our contract with ICL Pathway. This will enable us to operate the system in the most effective way.

This operating instructions booklet explains the purpose of Operational Business Change and the implications of it for some of our day to day activities. The instructions - which are mandatory - also give details of when and how you will need to apply the new procedures.

Effective application of these new procedures and controls will allow us all to act consistently and to manage the impact of Horizons costs. It is vital to the business that we ensure that they are applied every time for every change. Your support for this is essential - so please take the time to ensure that you understand these procedures - and how they affect your work area.

Jonathan Evans

Network Director

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INTRODUCTION

3. INTRODUCTION

What do we mean by 'operational business change'?



It refers to the alteration of, or an addition to, existing products or services or to changes to outlet information. These instructions contain a specific list of outlet related changes but, broadly they will include such changes as the following:

- ☐ changes to products or services, from a change to the price of a stamp to adding a new product to the system
- ☐ changes to outlets, which can range from an alteration to the number of counter positions to introducing a new post office

Why do we need to do this?

There are a number of areas that we need to manage in a different way now that we have an automated system on the counter. If a change affects equipment on the counter, or the way that it is used, then we have to give ICL Pathway adequate notice.

More than ever before we need to consistently manage all business activities. In order to do this we need to have a robust change control process to control the impact of change on our business.

Purpose of these Instructions

These instructions are designed to help you identify which changes need specific action and what to do about a change. The target is to ensure that the same types of change are recorded consistently across the business.

Structure of the Instructions

This section of the instructions gives an overview of the need for controlling change information. The following sections are

- ☐ A combined index and list of the types of changes covered by these instructions.
- ☐ The instructions on how to make a change happen - including what authorisations are required (if any) and how soon changes should be notified.

About these Instructions

These instructions describe the procedures for delivering information to ICL Pathway about changes to our outlets. They are of three distinct kinds:

- ☐ **Alert procedures** - *Emergency procedures to notify ICL Pathway of a problem and enable them to deal effectively with it.*

- ☐ **Advance procedures** - Procedures to inform ICL Pathway in advance of a change that will cause them work and enable them to deliver the required change.
- ☐ **Reference data procedures** - Procedures currently in place that deliver changes of reference data to ICL Pathway.

The instructions that follow are divided up accordingly

Review

These instructions and procedures will be reviewed and amended in the light of working experience. The review methodology is outlined in the Administration section at the end of these instructions.

Glossary of Abbreviations

BA	Benefits Agency
BT	British Telecom
CCN	Change Control Number
CRA	ICL Pathway Change Request Acknowledgement
CRN	Call Reference Number
HSH	Horizon System Helpdesk
HO	Head Office
HORN	Head of Retail Network
NCA	Network Change Authoriser
OBC	Operational Business Change
PMMC	Postmaster Memory Card
PIN	Personal Identification Number
POCL	Post Office Counters Ltd
RDS	Reference Data System (POCL Database)
RDMC	Reference Data Management Centre (ICL Pathway database)
RLM	Regional Liaison Manager
RNM	Retail Network Manager
WT Plc	Workplace Technologies Plc

Glossary of Definitions

Call Reference Number	Unique reference number issued by the Horizon System Helpdesk for each reported unplanned outlet closure
CAPS Business Support	Benefits Agency team who must be informed when either planned or unplanned Network changes occur
Change Control Number	Unique reference number issued by the NCA for each Advance change
Data Change Catalogue	Reference Data document. Indicates which items of reference data need to be changed for each Advance change type
Horizon Call Authentication Matrix	ICL Pathway document held by regions and referenced by the Regional Helpline when reporting an unplanned outlet closure (Alert).
Horizon System Helpdesk	ICL Pathway section which deals with all technical and operational calls related to unplanned outlet closures
HO Network Team	The team which advises and co-ordinates any large scale planned network change with the ICL Pathway Customer Services Team
Network Change Authoriser	Single point of contact within each Region who communicates advance change information to ICL Pathway
Network Change Originator	Any nominated regional staff member who helps the NCA to liaise with ICL Pathway for the more complex advance changes e.g. relocations
HO Network Procedure Management Team	The team within POCL who are responsible for the management of network procedures. This team require notification of any planned new 'greenfield' outlets via an OBC20 form
Pathway Customer Services	ICL Pathway section who must be informed of Advance network change via OBC20 and OBC21 documents
Procedure documentation	This covers those procedures that are managed by the network procedure management teams
Procedure holder	Any member of POCL who is registered as holding a copy of the procedure documentation
Procedure master files	These are the latest versions of the network documentation managed by the network procedure management teams

Procedure owner	This is the person within POCL who owns and takes responsibility for procedure documentation
Reference Data Teams	Regional teams who manage the processing of reference data. Receive Reference Data System changes from the NCA via the OBC22
Version control database	<p>This system contains:</p> <ul style="list-style-type: none"><input type="checkbox"/> The version number and date of issued procedure documentation.<input type="checkbox"/> Names of registered holders of procedure documentation.<input type="checkbox"/> Acknowledgement from registered holders that they have received new procedure documentation.

Glossary of POCL Forms

OBC20	ICL Pathway Network Change Advice Form. Electronic document completed and forwarded to ICL Pathway by the NCA via e-mail
OBC21	ICL Pathway Network Change Additional Advice Form. Electronic document completed and forwarded to Pathway by the NCA via e-mail
OBC22	Reference Data Form. Electronic document completed by the NCA and forwarded to regional reference data teams notifying them of changes to the RDS
OBC23	OBC Network Change Register. Regional form summarising all advance changes and recording the CCNs allocated. Completed by the NCA and forwarded to the Procedure Management Team monthly via e-mail.
OBC24	POCL Reference Data Receipt and Verification. Confirms to Pathway RDMC that data changes recorded on the RDMC are accepted or rejected. Completed by the NCA and forwarded to Pathway RDMC via e-mail.
OBC40	Procedure Revision Form. Completed by the Procedure Management Team for endorsement by the procedure holder on receipt of new version of documentation.

INDEX OF CHANGE TYPES

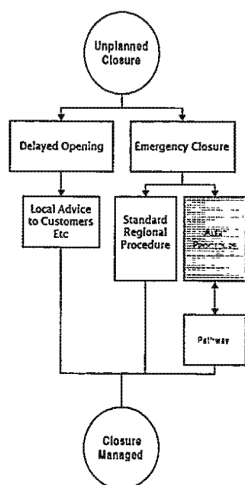
4. INDEX OF CHANGE TYPES

Category	Types of Change	Procedure Type
Regional or Business Organisation	Change to Head of Retail Network (HORN) Change to Retail Network Manager (RNM) Change to Retail Network Manager Cluster Boundary changes Change to Language Indicator (Welsh, English) Change in organisational structure e.g. Region	Reference Data
Planned Closures	Planned permanent closure of an outlet Planned closure of outlet - temporary fixed site Planned closure of outlet - mobile Planned closure of outlet - seasonal Planned temporary closure of an outlet	Advance
Unplanned Closures	Unplanned closures of less than 1 day Unplanned short term closure (1 day - 3 days) Unplanned long term closure (4 days or more)	Alert
Planned Openings	Opening a new outlet - permanent Opening a temporary outlet Opening a new outlet - mobile Opening a seasonal outlet	Advance
Relocations	Permanent relocation of outlet to another site Temporary relocation of outlet to another site	Advance
Conversions	Conversions	Advance
Address, FAD or Telephone	FAD code change Telephone number, address or postcode changes	Advance Reference Data
Horizon Configuration	Horizon equipment configuration change Relocation of Horizon equipment within an outlet (including refurbishments)	Advance
Outlet Detail	Change to hours of business Change of ownership - multiple ownership Change to outlet type (Cash Account type, London, Provincial etc.)	Reference Data

**ALERT PROCEDURES
GENERAL**

5. ALERT PROCEDURES - GENERAL

General



Alert procedures are defined as procedures to notify ICL Pathway of an unplanned problem and enable them to deal effectively with it.

In the case of outlets this means unplanned events that fall into two categories. (See outline graphic on the left)

- ☐ Delayed opening or closures of less than one days duration
- ☐ Unplanned (emergency) closures

Unplanned (emergency) closures, in broad terms, fall into two categories, short term and long term, and are defined below.

Other unplanned events, such as equipment failures and damaged or stolen equipment are covered in the Horizon Counter Operating Instructions.

Definitions

Delayed opening and temporary closure of less than one day

These are when the outlet fails to open at the normal time but the Postmaster expects to be able to provide a normal service on the same day or when an outlet closes for a few hours during the day. Examples are staff absences, local access restrictions, safe clock incorrectly set, power failures, illness. **ICL Pathway do not require notification of outlet closures of less than one day.**

Short term closure

These are when a closure is for one day to three working days. Short term closures will typically be due to emergency situations, e.g. audit closure, safe failure, minor office damage.

POCL must request ICL Pathway to invoke procedures to suspend the foreign encashment counts for customers who would normally use the outlet.

Long term closure

These are when a closure is for four or more working days. Such closures result from more serious circumstances in the outlet, e.g. bereavement, a major fire, flooding or other environmental problems.

POCL must request that ICL Pathway transfer benefit encashment and payments to an alternative nominated outlet. Customers must be directed to this outlet.

Time scales

Whilst the time definitions for short and long term closure dictate the correct response they must also be sufficiently flexible to reflect the operational needs. Accordingly short term procedures should remain in place until formally reassessed and ICL Pathway notified. Any necessary flexibility required in defining the closure period will need to be fully discussed between the Regional Helpline and the HSH.

Who is involved

The main drivers and managers of unplanned emergency changes in the Regions are the Postmasters, Regional Helplines and Retail Network Managers (RNMs).

Postmasters and RNMs will provide the 'on the ground' operational assessment necessary to both report and then evaluate, where appropriate, the status of a closure.

The RNM and the retail line generally will be responsible for providing an impact assessment where long term closures occur and for ensuring the Regional Helpline are updated with the circumstances affecting the duration of closures.

The Regional Helpline will be solely responsible for informing...

The Regional Helpline will be solely responsible for informing Pathway when an outlet closes and reopens and of circumstances affecting the closure. It will also be responsible for informing other involved sections within the regional office of the closure as well as clients and external customers as appropriate.

The Regional Liaison Manager (RLM) should be informed of all emergency closures. The appropriate local procedures and responsibilities will apply.

Outlet information

The Horizon User Guide outlines the responsibilities and actions the Postmaster should undertake in the event of emergency unplanned closures.

Recording and Monitoring Unplanned Network Change Details

Reference is made in these procedures to the local maintaining of closure records. To ensure this information is consistent the Remedy System will be used by all regions.

Note : Details of the information which must be recorded are provided at Appendix B.

**ALERT PROCEDURES
DELAYED OPENING**

6. ALERT PROCEDURES - DELAYED OPENING



Notifying the Region

The Postmaster or RNM must notify the Regional Helpline where cases of delayed opening and temporary closures of less than one day occur. The Postmaster should be confident the outlet will re-open during the same day. The Regional Helpline should note the closure but take no further action.

Notifying ICL Pathway

Where an outlet has a delayed opening or closure of less than one day the ICL Pathway Horizon System Helpdesk does not require notification.

Note : Where a closure of less than one day is anticipated but it then transpires that the closure will extend to over one day the Regional Helpline must be informed and the Horizon System Helpdesk notified during the first day of closure.

Notifying Customers



The Postmaster is responsible for notifying the customers of:

- ☐ The reason for the delayed opening and when service is expected to be resumed.
- ☐ Any extension to the closure period, especially if different benefit encashment rules will apply.

It is the responsibility of the Postmaster or RNM to notify the Regional Helpline should the delay be prolonged or if any complications arise which have an impact on the duration of the closure.

PROCEDURES
SHORT TERM

7. ALERT PROCEDURES - SHORT TERM UNPLANNED CLOSURE

Notifying the Region

The Postmaster or RNM must notify the Regional Helpline in all instances of emergency closure.

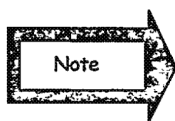


Note: If the Postmaster has informed the RNM of the closure and not the Regional Helpline the RNM must notify the Regional Helpline immediately.

The Postmaster or RNM should provide the Regional Helpline with the following details:

- ☐ Outlet name, address and FAD code (7 digit)
- ☐ The reason for the closure and the estimated date and time for re-opening.
- ☐ The state of the Horizon kit and cabling. The Postmaster or RNM should report if the equipment is either damaged or not secure.

Selecting the alternative nominated outlet



With short term closures it will be necessary to inform the Horizon System Helpdesk of an alternative nominated outlet. The established procedures in each Region to select an alternative nominated outlet should be used.

The Regional Helpline must also notify the Benefits Agency. See the appropriate section below.

Notifying Customers

The Postmaster or RNM is responsible for notifying the customers of:



- ☐ The reason for the closure and when service is expected to be resumed.
- ☐ The alternative nominated outlet and the appropriate benefit encashment rules that apply. These can be found in the Horizon User Guide.

Payment arrangements for short term closure will remain in force until either the outlet re-opens or POCL has re-assessed and changed the closure status and the Horizon System Helpdesk notified accordingly.

Notifying ICL Pathway

The Regional Helpline will be solely responsible for informing the Horizon System Helpdesk on behalf of the region of any unplanned outlet closures.

The Regional Helpline will also liaise where necessary with ICL Pathway for the duration of a closure and manage the timeliness and accuracy of the information provided.

The National Horizon System Helpdesk number is

GRO

Short Term Unplanned Closure Procedures

The Regional Helpline will notify the Horizon System Helpdesk of the closure by telephone.

This number will be used for notifying ICL Pathway of all outlet closures, reassessments of closures and when outlets re-open.

The Horizon System Helpdesk will require specific information about the outlet and conduct a question and answer dialogue. Details required are:



- ☐ Outlet FAD Code (7 digit)
- ☐ Callers name and telephone number
- ☐ Name of Postmaster
- ☐ Outlet telephone number
- ☐ Password from the matrix
- ☐ Description of the problem
- ☐ Type of closure and the estimated duration of the closure
- ☐ The state of the Horizon equipment and cabling - does the Horizon equipment need removing from on-site?
- ☐ Time and date of the closure
- ☐ Name and FAD code of the alternative nominated outlet

The Call Reference Number (CRN)

The Horizon System Helpdesk will allocate a Call Reference Number (CRN) against each closure. The Call Reference Number will be unique. It will be in the format of E-yymmdd9999 where 9999 is the individual reference number , i.e. E-9805230001.

The Call Reference Number must be used during all further communications with the Horizon System Helpdesk regarding that closure. However when the Regional Helpline notify the Horizon System Helpdesk of the reopening date a new Call Reference Number will be allocated against the reopening.

Note: The CRN will be retained should a closure be subsequently re-assessed from short to long term.

The Regional Helpline will need to record the date, Call Reference Number(s), outlet details, closure status, and whether the Horizon equipment is on site or is to be moved off site.

Call Authentication

To ensure closure information passed to the Horizon System Helpdesk is authorised and from a recognised source an Horizon Call Authentication Matrix will be used.

ICL Pathway will issue each Regional Helpline with a matrix.

The Horizon System Helpdesk will request selected details from this matrix during the question and answer dialogue.

Short Term Unplanned Closure Procedures

The matrix will be used in all telephone communications between the Regional Helpline and Horizon System Helpdesk regarding the closure and re-opening of an outlet.

Note : An example of the matrix and how it operates is provided at Appendix A

ICL Pathway Activities for Short Term closure

The Horizon System Helpdesk will only activate the short term procedures when notification has been received from the Regional Helpline.

Activities include:

- ☐ Suspension of foreign encashment count
- ☐ Cancellation of booked ICL Pathway engineering visits

The Horizon System Helpdesk will notify the Regional Helpline of any ICL Pathway issues affecting the closure or re-opening of the outlet.


Temporary Removal of Horizon equipment

If Horizon equipment needs to be temporarily removed from the outlet by Pathway engineers, the RNM should confirm its removal to the Regional Helpline. The Horizon System Helpdesk will contact the outlet to confirm an appointment time and date for the engineer.

The Regional Helpline should record all movements of Horizon equipment on their local records. Due to the timescales involved for removing and re-installing Horizon equipment it is unlikely this option will occur with a short term closure.

Business-As-Usual Procedures

The appropriate regional teams should ensure that all relevant business-as-usual procedures are activated and any other Horizon related procedures are undertaken.



**Don't forget
your normal
procedures**



Essential

Notifying the Benefits Agency (BA)

The Regional Helpline will notify CAPS Business Support Team of the closure and provide the required details on the outlet including the duration of the closure.

Reference Data

There are established procedures held in each region that apply to unplanned closures and how they are managed by the Reference Data System.

Reassessment of the Closure Status

....a reassessment must
be undertaken...

The duration of many emergency closures will be for a specific time, known at the time of closure, and will fall into either the short or long term categories.

Should circumstances at the outlet change then the Postmaster or RNM must provide an explanation of the new circumstances affecting the closure and a re-estimation of the intended opening date. The Regional Helpline must be notified accordingly.

If the circumstances result in the closure period being extended a reassessment must be undertaken. This will generally be carried out by the outlets RNM and, where appropriate, the retail line.

Note There needs to be an element of flexibility in some cases, where a short term unplanned closure may need to be temporarily extended. The Regional Helpline should liaise with the Horizon System Helpdesk when these circumstances occur.

Short term closure to long term closure

The Regional Helpline must always inform the Horizon System Helpdesk when a reassessment to long term closure occurs to ensure the correct benefit encashment arrangements are initiated by ICL Pathway. The Regional Helpline must notify the Horizon System Helpdesk using the National Horizon System Helpdesk number provided.

See Long Term Unplanned Closure procedure.

In the event of a short term unplanned closure being upgraded to long term the Postmaster or RNM is responsible for notifying customers.

Any notification must include:

- ☐ The relevant benefit encashment rules.
- ☐ Confirmation of the alternative nominated outlet for payment and collection of re-issued benefit cards.

Re-Opening the Outlet

As soon as it is known when the outlet is due to reopen the Postmaster or RNM must notify the Regional Helpline of the specific time and date.

Notifying ICL Pathway of the Re-opening

The Regional Helpline will notify the Horizon System Helpdesk by telephone when the outlet is due to re-open. This will enable ICL Pathway to revoke the short-term unplanned procedures for the outlet.

The Horizon System Helpdesk will require the following details:

- ☐ The Call Reference Number allocated from the closure
- ☐ Outlet FAD Code (7 digit)
- ☐ Callers name and telephone number
- ☐ Name of Postmaster
- ☐ Outlet telephone number

Short Term Unplanned Closure Procedures

- ☐ Password from the matrix
- ☐ Confirmation of the status of the Horizon equipment i.e. is it on site and fully functional
- ☐ Date and time of the re-opening
- ☐ Name and FAD code of the alternative nominated outlet allocated for the closure


The Horizon System Helpdesk will be requested to revoke the short term unplanned procedures for the outlet.

The Horizon System Helpdesk will allocate a new Call Reference Number against the reopening. This second Call Reference Number must be recorded.

Business-As-Usual Procedures

The Regional Helpline should ensure all relevant business as usual procedures are activated and that any other Horizon related procedures are undertaken appropriate to the re-opening of the outlet.

The CAPS Business Support team must be notified of the reopening details.



**Don't forget
your normal
procedures**



Notifying Customers of the Re-opening

The Postmaster or RNM is responsible for notifying the customers of the re-opening date and time.

Closing the Call

Once the outlet has re-opened, the Regional Helpline will close the call and record the details on their local records.

LONG TERM

8. ALERT PROCEDURES - LONG TERM UNPLANNED CLOSURE

Notifying the Region



The Postmaster or RNM must notify the Regional Helpline in all instances of long term unplanned closure.

Note: If the Postmaster has informed the RNM of the closure and not the Regional Helpline the RNM must notify the Regional Helpline immediately.

The Postmaster or RNM should provide the Regional Helpline with the following details:

- ☐ Outlet name, address and FAD code (7 digit)
- ☐ The reason for the closure and the estimated time and date of re-opening.
- ☐ The state of the Horizon kit and cabling. The Postmaster or RNM should report if the equipment is either damaged or not secure.

Where necessary the Regional Helpline should obtain more information from the Postmaster or RNM as to the nature of the problem and in particular confirm the duration of the closure.

If there is doubt over the estimated duration of closure or the status of the Horizon equipment the RNM should, where possible, be requested to provide a second opinion.

Where it is not possible to clearly identify when the outlet will re-open, but it could re-open within a few days, the closure should initially be defined as short term.

(The status can then be revised to long term and Pathway advised accordingly if this becomes necessary.)

If it is clear a closure will be long term the appropriate procedures should be initiated immediately.

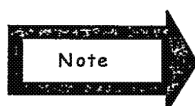
The Regional Helpline will acknowledge the closure status of the outlet with the Postmaster or RNM.

Horizon Equipment Risk Assessment

The Regional Helpline will have ascertained from the Postmaster if the Horizon equipment is secure or is under threat of damage. If it is at risk ICL Pathway will need to be informed and arrangements made for the equipment to be temporarily removed. This information will be included in the telephone notification to the Horizon System Helpdesk.

Selecting the alternative nominated outlet

With long term unplanned closures it will be necessary to direct customers to an alternative outlet for benefit payment and collection of benefit cards. The established procedures in each region to select an alternative nominated outlet for benefit encashment should be used.



The selected outlet must be notified of the closure and expected increase in business volumes. The details of the alternative outlet must be provided to the Postmaster or RNM of the closed outlet. The Regional Helpline must also notify both the Horizon System Helpdesk and the Benefits Agency. See appropriate sections below.

Impact Assessment and Temporary Outlets

Where an outlet is closed for 4 days or more the Retail Network Manager and the retail line should conduct an impact assessment on the closure.

In some circumstances it may be decided to provide a temporary mobile outlet for the duration of the closure. Liaison *must* be maintained with the regional team managing the opening of the temporary outlet. The team managing the opening of the temporary outlet will then activate the relevant set of Advance procedures.

See Horizon Advance procedures.

Notifying Customers

The Postmaster or RNM is responsible for notifying the customers of:



- ☐ The reason for the closure and when service is expected to be resumed.
- ☐ The alternative nominated outlet for payment, the appropriate benefit encashment rules and the card collection arrangements that apply to the long term closure. These can be found in the Horizon User Guide.

Payment arrangements for long term unplanned closure remain in force until either the office re-opens or the outlet is permanently closed and the Horizon System Helpdesk is notified accordingly.

Notifying ICL Pathway

The Regional Helpline will be solely responsible for informing the Horizon System Helpdesk on behalf of the region of any unplanned outlet closures. It will also liaise where necessary with ICL Pathway for the duration of a closure and manage the timeliness and accuracy of the information provided.

The Regional Helpline will notify the Horizon System Helpdesk of the closure by telephone.

The National Horizon System Helpdesk number is

GRO

This number will be used for notifying ICL Pathway of all outlet closures, reassessments of closures and when outlets re-open.

The Horizon System Helpdesk will be advised to invoke the long term unplanned closure procedures for the outlet.

The Horizon System Helpdesk will require specific information about the outlet and conduct a question and answer dialogue. Details required are:



- ☐ Outlet FAD Code (7 digit)
- ☐ Callers name and telephone number
- ☐ Name of Postmaster
- ☐ Outlet telephone number
- ☐ Password from the matrix
- ☐ Description of the problem
- ☐ Type of closure and the estimated duration of the closure
- ☐ The state of the Horizon equipment and cabling - does the Horizon equipment need removing from on-site?
- ☐ Time and date of the closure
- ☐ Name and FAD code of the alternative nominated outlet
- ☐ The Call Reference Number, if being upgraded from short term to long term unplanned closure

The Call Reference Number (CRN)

Horizon System Helpdesk will allocate a Call Reference Number against each closure.

Each Call Reference Number will be unique and will be used by POCL and ICL Pathway to identify and monitor the closure. It will be in the format of E-yymmdd9999 where 9999 is the individual reference number, i.e. E-9805230001 etc.

The Call Reference Number allocated should be used in all further communications with the Horizon System Helpdesk regarding the closure. However when the Regional Helpline notify the Horizon System Helpdesk of the reopening date a new Call Reference Number will be allocated against the reopening.

Note: If an outlet has already been notified to ICL Pathway as a short term unplanned closure and is then reassessed as long term the outlet will retain its original Call Reference Number

The Regional Helpline will record the date, Call Reference Number(s), outlet details, closure status, and whether the Horizon equipment is on site or is to be moved off site.

Call Authentication

To ensure closure information passed to the Horizon System Helpdesk is authorised and from a recognised source a Horizon Call Authentication Matrix will be used.

ICL Pathway will issue each Regional Helpline with a matrix.

The Horizon System Helpdesk will request selected details from this matrix during the question and answer dialogue.

The Horizon Call Authentication Matrix will be used in all telephone communications between the Regional Helpline and Horizon System Helpdesk regarding the closure and re-opening of an outlet.

Note : An example of the matrix and how it operates is provided at Appendix A

ICL Pathway Activities for Long term closure

The Horizon System Helpdesk will only activate the long term unplanned procedures when notification has been received from the Regional Helpline.

Activities include:

- ☐ Re-issue of benefit cards and directing payments to the POCL nominated alternative outlet.
- ☐ If appropriate ICL Pathway engineers will be instructed to remove Horizon equipment from the outlet.
- ☐ Cancellation of booked Pathway engineering visits

The Horizon System Helpdesk will notify the Regional Helpline of any ICL Pathway issues affecting the closure or re-opening of the outlet.

Temporary Removal of Horizon equipment

If Horizon equipment needs to be temporarily removed from the outlet by Pathway engineers, the RNM should confirm its removal to the Regional Helpline. The Horizon System Helpdesk will contact the outlet to confirm an appointment time and date for the engineer.

The Regional Helpline should record all movements of Horizon equipment on their local records.

Business-As-Usual Procedures


The Regional Helpline should ensure all relevant business-as-usual procedures are activated and any other Horizon related procedures are undertaken.

Notifying the Benefits Agency (BA)

The Regional Helpline will notify CAPS Business Support Team of the closure and provide the required details on the outlet including the duration of the closure.

Reference Data

There are established procedures held in each region that apply to unplanned closures and how they are managed by the Reference Data System.



**Don't forget
your normal
procedures**



Essential

Reassessment of the Closure Status

With some long term unplanned closures it may not be possible to establish a clear re-opening date or circumstances may result in the closure period being extended.

The RNM and the retail line should monitor the closure and where necessary undertake a reassessment of the closure. Any reassessment resulting in a change to the forecast re-opening date should be communicated to the Regional Helpline.

Extension to closure period

The Regional Helpline must always inform the Horizon System Helpdesk when changes to the forecast re-opening dates occur to ensure the correct benefit encashment arrangements are maintained by ICL Pathway.

It is the responsibility of the Postmaster and RNM to contact the Regional Helpline as soon as it is known that the closure period is to be extended. The Postmaster or RNM must provide an explanation of the new circumstances affecting the closure and a re-estimation of the intended opening date.

Liaison should be maintained with the alternative nominated outlet whenever a closure period is extended to ensure that the outlet is ready and able to take on the additional benefit encashment work.

Check Step

Where a re-open date is unknown and the outlet has been closed for 7 days, a 'check step' review of the closure will be undertaken. The Regional Helpline will contact the Horizon System Helpdesk with an update on the closure and provide the latest estimated re-opening date for the outlet. The Horizon System Helpdesk will then assess any Horizon equipment issues.

Should the closure continue the Horizon System Helpdesk must be informed when any new information is available, until the outlet either re-opens or closes permanently.

Permanent Closure of an Outlet

Instances will occur where an outlet has been closed for a considerable length of time and it is decided to close the outlet permanently.

All business-as-usual notifications have to be made together with confirmation to customers of their alternative nominated outlet for payment and collection of benefit cards.

The Regional Helpline will notify the Horizon System Helpdesk by telephone of the intended permanent closure providing the following details:

- ☐ The Call Reference Number allocated from the closure
- ☐ Outlet FAD Code (7 digit)



- ☐ Callers name and telephone number
- ☐ Name of Postmaster
- ☐ Outlet telephone number
- ☐ Password from the matrix
- ☐ Confirmation of the name and FAD code of the alternative nominated outlet allocated for the closure
- ☐ Confirmation that the outlet is to be permanently closed
- ☐ Confirmation on the status of the Horizon equipment. If the Horizon equipment is on site it will need to be removed by ICL Pathway engineers. The ISDN line will also be removed.

The Regional Helpline must inform the Horizon System Helpdesk that the Horizon Advance Procedures will be used to manage the closure and close the call.

The Horizon System Helpdesk will allocate a second Call Reference Number on closing the call. This second Call Reference Number should be recorded

All permanent closures of outlets are covered by
the Horizon Advance procedures.

The Regional Helpline will pass the outlet details (together with the original Call Reference Number) to the Regional staff managing the closure. The team managing the permanent closure will activate the relevant set of Advance Procedures with ICL Pathway Customer Services.

See Horizon Advance Procedures.

Re-Opening the Outlet

As soon as it is known when the outlet is due to reopen the Postmaster or RNM must notify the Regional Helpline of the specific time and date. The Postmaster or RNM will liaise with the alternative nominated outlet.

Notifying ICL Pathway of the Re-opening.

The Regional Helpline will notify the Horizon System Helpdesk by telephone when the outlet is due to re-open. This will enable ICL Pathway to revoke the long-term unplanned procedures for the outlet.

The Horizon System Helpdesk will require the following details:


- ☐ The Call Reference Number allocated from the closure
- ☐ Outlet FAD Code (7 digit)
- ☐ Callers name and telephone number
- ☐ Name of Postmaster
- ☐ Outlet telephone number
- ☐ Password from the matrix

- ☐ Confirmation the status of the Horizon equipment i.e. is it on site and fully functional
- ☐ Date and time of the re-opening
- ☐ Name and FAD code of the alternative nominated outlet allocated for the closure

The Horizon System Helpdesk will be requested to revoke the long term unplanned procedures for the outlet.

If the equipment has been removed from the outlet ICL Pathway engineers will be required to re-install the equipment. The Horizon System Helpdesk will contact the outlet to confirm an appointment time and date for the engineer.

The Horizon System Helpdesk will allocate a new Call Reference Number against the reopening. This second Call Reference Number should be recorded



**Don't forget
your normal
procedures**

Business-As-Usual Procedures

The Regional Helpline should ensure all relevant business-as-usual procedures are activated and that any other Horizon related procedures are undertaken appropriate to the re-opening of the outlet.

The CAPS Business Support team must be notified of the re-opening details.

Notifying Customers of the Re-opening

The Postmaster or RNM is responsible for notifying customers of the re-opening date and time.



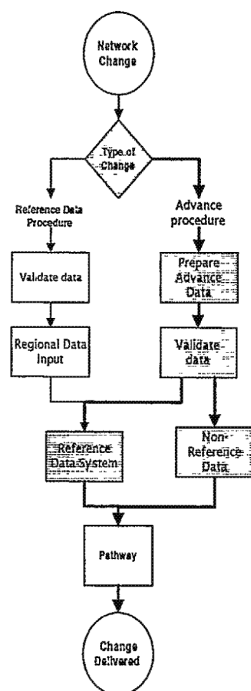
Closing the Call

Once the outlet has re-opened, the Regional Helpline will close the call and record the details on their local records.

**ADVANCE PROCEDURES
OUTLINE**

9. ADVANCE PROCEDURES OUTLINE

General



The Horizon Advance procedures are designed to deliver advance notification to ICL Pathway of intended network changes and will enable these changes to take place in the Horizon environment.

These procedures will supplement the business-as-usual procedures already in operation in each region to deliver network change. Their purpose is to indicate when and how ICL Pathway need to be informed.

Regional practice often varies firstly in the team that carries out the activities and secondly in how the change is managed.

The Horizon advance procedures outlined below are mandatory.

A process chart illustrating the main activities for managing Advance network changes is provided at appendix C

Definitions

Advance procedures are defined as planned changes to the network. They can be broadly characterised as having:

- ◆ long lead in times
- ◆ a complex series of processes
- ◆ project management and co-ordination in the region
- ◆ a need to remove or install equipment.

Advance procedures cover a specific pre-defined set of change types. A description and definition of these change types is provided in the index.

They are distinct from the procedures covering unplanned closures of outlets.

Closures arising from Alert closures

A permanent closure of an outlet may occur from an unplanned closure. The original closure of the outlet will be managed by the Alert procedures.

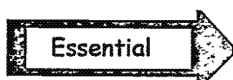
Once the decision has been made to permanently close the outlet the management of that closure will be via the advance procedures.

The Regional Helpline will inform the Network Change Authoriser of the outlet details, including the Call Reference Number. The Call Reference Number should be noted on the OBC20 form.

New Outlet - Informing the Business Centres

Whenever a new outlet is planned it is *imperative* that the Headquarters Business Centre is informed in advance of the details. A new outlet is defined as a Greenfield site and does not include outlet conversions or relocations.

This procedure is designed to ensure that the correct range of products is made available for sale at the new outlet. Whilst the opening of the new outlet will be initiated and managed by the regions, the products to be sold at that outlet are decided by the Business Centres.



The Network Change Authoriser must forward a copy of the completed OBC20 for the new outlet by e-mail to the Head Office Procedure Management Team. The Change Control Number for the change should be appended with the suffix N to denote the change is for a new outlet.

The OBC20 should be forwarded to the Procedure Management Team at the same time as the OBC form is forwarded to Pathway Customer Service team i.e. a *minimum* of 8 weeks prior to the target opening date of the new outlet.

E-Mail Address : "Management Process Team"
--

The Procedure Management Team will issue a receipt to the Network Change Authoriser.

Any further liaison between the Regions and Business Centres should be completed using business-as-usual procedures.

Summary of Regional Change Activities

Listed below are the main activities which will need to be undertaken with ICL Pathway to successfully deliver the change.

✓	Identify the correct Change type
✓	Assemble all information associated with the change
✓	Prepare and Send Change Advice to ICL Pathway
✓	Ensure co-ordination with ICL Pathway
✓	Collate and pass all information to the Reference Data System (if applicable)
✓	Sign off the change with ICL Pathway

**MANAGING THE
CHANGE**

10. MANAGING THE CHANGE

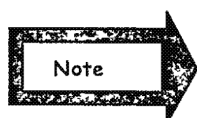
A. ROLES AND DOCUMENTATION

Who is involved?

Initiating Network Change

Advance changes can be initiated from several sources including:

- ☐ *Teams* - who manage business-as-usual, network change. These include Agency Recruitment, Network Transformation or Management Services sections, depending on the region. These teams co-ordinate and ensure delivery of the change.
- ☐ *RNM's* - changes commonly initiated by an RNM i.e. for the provision of a temporary outlet to service a sports event or the refurbishment of an outlet etc. Also closures where an unplanned temporary closure of an outlet becomes permanent, these changes are linked to the Alert procedures.



Note

See Alert Section of this manual.

Managing Network Change

In addition to the business as usual activities an additional two roles are required to ensure the change is communicated to ICL Pathway to enable them to manage all their relevant activities. These roles are:

- ☐ The Network Change Authoriser
- ☐ Network Change Originator

Both are discussed in the section - 'Authorisation and Validation of Change Information'.

Regional Liaison Manager (RLM)

The Regional Liaison Manager should be notified of the proposed change. The appropriate local procedures and responsibilities will apply.

Outlet information

The Horizon User Guide outlines the responsibilities and actions the Postmaster should undertake in the event of particular planned changes i.e. outlet refurbishment's.

Types of change information

There are two main categories of information used to inform ICL Pathway of advance change - primary and secondary. They differ in when and how the information is communicated to ICL Pathway. They are defined as:

Primary

- ☐ the agreed minimum 'set' of information necessary for ICL Pathway to begin planning their activities associated with the change.

The Network Change Authoriser must ensure that primary information on the change is assembled.

Examples of primary information are; change type, change control number, purchase order number (if applicable) , outlet name, outlet address, FAD code, outlet type and category and number of counter positions.

Primary information is forwarded to ICL Pathway using the Network Change Advice Form (OBC20).

Secondary

- ☐ all the other items of information associated with the change.

The Network Change Authoriser must ensure that secondary information on the change is assembled. Examples are information ICL Pathway need to assist them in carrying out their activities e.g. notification of access times to the outlet for ICL Pathway engineers, contact name(s) at the outlet, changes to target dates.

Once available this information must be forwarded as early as possible to ICL Pathway using the Network Change Additional Advice Form (OBC21).

Secondary information is variable depending on the type of change. This information will generally become available throughout the implementation cycle for the change.

Once secondary information is confirmed and available it should wherever possible be included on the OBC20 form.

Note: Some changes may not include secondary information, as they can be fully described using the OBC20 form e.g. permanent closure of an outlet.

Information required for each Change Type

The Network Change Authoriser will have the responsibility to provide *all the information required on any one particular change* to ICL Pathway Customer Service.

It is vital that all the relevant information on the change is also supplied, where applicable, to the Reference Data System to fully reflect the change.

The Data Change Catalogue will indicate which advance changes require changes to Reference Data.

The Network Change Authoriser will complete and forward the change information using the OBC22 form and liaise with the Regional Reference Data Team to ensure all information required has been captured and entered utilising the regional Reference Data practices.

See section on Change and the Reference Data System.

Authorisation and Validation of Change Information

1. The Network Change Authoriser (NCA).

To ensure that the change information passed to ICL Pathway is accurate, complete and timely each region has appointed a Network Change Authoriser.

The regional staff managing a change, or an RNM, will be the prime source for providing the required change information to the Network Change Authoriser. Liaison may be required with other regional sections who may be responsible for acquiring and delivering specific items of information.

Responsibilities of the Network Change Authoriser

The main responsibilities of the Authoriser are:

- ☐ to act as the primary point of contact for ICL Pathway for the resolution of issues and provide any initial clarification about the intended network change.
- ☐ to assemble, verify and authorise the information gathered on all advance changes implemented and be responsible for ensuring ICL Pathway are promptly informed of the intended network changes using the OBC20 and OBC21 forms.
- ☐ To 'sign-off' the OBC20 form for each advance change once all the associated regional activities for delivering the change have been actioned.
- ☐ to manage the allocation and recording of unique Change Control Numbers (CCNs) to each advance change and record the change details locally.
- ☐ to be responsible for ensuring that all information on the change, if applicable, is forwarded to the regional Reference Data Team using the OBC22 form and undertake final checking prior to live transmission.

2. The Network Change Originator

An additional and optional role is that of the Network Change Originator. The principal responsibilities will be to :

- ☐ act as a named contact on the OBC20 form and where necessary, provide co-ordination and liaison with ICL Pathway engineers and service suppliers for the day to day management of the change activities.
- ☐ assist in ensuring all information associated with the change, which may originate from different sections, is co-ordinated and passed to the Network Change Authoriser at the appropriate time.

Advance Procedures -Managing the Change

- ☐ update the Network Change Authoriser of any circumstances which may affect the delivery of the change (time scale, access times etc.) and provide an impact assessment of any changed circumstances. (This may include information received from ICL Pathway Customer Services)
- ☐ advise the Network Change Authoriser when all business-as-usual and Horizon related activities have been actioned for the particular change.

The nomination of an Originator for a particular change will be at the discretion of the region according to the type of change being proposed. Some advance changes, such as simple refurbishments and closures of outlets, may not require this role.

The Originator will generally be located in the section most associated with delivery of the change and will be appropriate where a number of activities are being co-ordinated with ICL Pathway engineers or service providers.

Where a particular change is project managed the Originator would most likely be in the project team.

Changes to Network Change Authoriser or Originator

The Region must ensure continuity of both these roles in the event of sickness and absence

Should the details of either change or a new person be appointed their details, including contact numbers must be provided to ICL Pathway Customer Services.

The Horizon Network Change Advice Documents (OBC20 and OBC21)

Two forms are used to forward change information to ICL Pathway Customer OBC Services.

Note: Examples of the OBC20 and OBC21 forms (manual versions) are provided at appendix D and appendix E respectively.

The ICL Pathway Network Change Advice Form (OBC20) will

- ☐ be the primary means by which the business delivers advance notification of network change to ICL Pathway. It must be forwarded to ICL Pathway within the agreed time scales.
- ☐ authorise and enable ICL Pathway to begin planning their activities associated with the particular change.
- ☐ provide a sign-off facility to ICL Pathway for the change.
- ☐ ICL Pathway will not accept notification of or action any planning for an advance network change without receipt of an authorised OBC20 form.

Sections 1 and 2 are completed and forwarded to ICL Pathway within the required notification period for the change. Section 3 is completed

and forwarded to ICL Pathway once all regional activities on the change have been actioned and any reference data changes have been entered on the Reference Data System.

Section 3 should be forwarded to ICL Pathway at least 10 working days before the target implementation date for the change. Due to the time scales involved for outlet closures only one OBC20 should be forwarded to ICL Pathway, with section 3 completed.

Should any critical items of information be omitted from the OBC20 i.e. the CCN, Change Target Date, Authorisers details or Purchase Order number (if appropriate). ICL Pathway Customer Services will return the document to the Network Change Authoriser for correction and resubmission.

Note : Care must be taken in providing clear, accurate and full information on the OBC20 form. Failure to do so may delay outlet change activities and implementation.

The ICL Pathway Network Change Additional Advice Form (OBC21) will

- ☐ enable the region to forward any relevant *additional* information on the change to ICL Pathway i.e. notification of access dates and times at the outlet.
- ☐ inform ICL Pathway of any confirmed change to the scheduled date of commencement for the change, as reported on the original OBC20.

The Network Change Authoriser will check for completeness and accuracy and liaise with the section providing the information in the event of errors and omissions. FAD codes in particular should be double-checked.

Allocating a unique Change Control Number (CCN)

To ensure that each network change can be identified and managed effectively throughout its implementation a change control numbering system will be used.

The Network Change Authoriser will be *solely* responsible for managing the allocation of CCNs. Every advance change must be allocated a unique CCN. This number must always be recorded on the OBC20, OBC21 and OBC22 forms and must be referred to in all communications between POCL and ICL Pathway related to that change.

The CCNs allocated must be recorded locally using the OBC Network Change Register.

See section 'Recording Change Information' below.

The basic CCN is an eight digit number comprising three parts :

- ☐ a two digit alpha prefix identifying the region originating the change.
- ☐ a three digit number (1 for the year, 2 for the month) indicating the date of the request in the format YMM (where Y is the *last* digit of the year format)

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Change Control Number Layout

- ☐ a three digit serial number indicating the individual change number.

Exceptionally a ninth digit is available but should only be used in two specific instances:

- ☐ where the change is a new 'greenfield' outlet the suffix 'N' must be added informing the Procedure Management team that the change is a network change.
- ☐ where data is corrected via the reference data correction process the suffix 'C' must be added denoting a data correction. In this instance the suffix will be used on the OBC22 form only.

Regional Identifiers

Region	Identifier
Scotland & N Ireland	SN
North Wales & North West	NW
North East	NE
Midlands	MI
South Wales & South West	SW
North Thames & E. Anglia	NT
South East	SE

The three digit serial number must be issued in ascending order. Numbers allocated will return to 001 at the beginning of each new financial year.

Examples of CCNs are NW812021, SN004004 and MI908156.

It is vital that the CCN is unique so each change can be effectively managed and monitored from initiation to completion.

Recording Change Information - The 'OBC Network Change Register' - OBC23

For audit and management purposes network change information records must be maintained by the region.

The Network Change Authoriser must ensure that records of the CCN numbers allocated and associated change details are recorded locally.

The region must use the electronic 'OBC Network Change Register' and record the following items of information :

Date, CCN allocated, Outlet Name, Outlet FAD code, Change Type, Change Target Date, Change Completion Date and Comments.

The comments field must be used to record any significant variation to the standard procedures or timescales. These will normally occur prior to the point of installation or de-commissioning of equipment and may

be caused by any of the contractors or parties involved in the change. Whilst resolution will usually be negotiated between POCL and ICL Pathway through normal operational business channels, the details must be noted.

Later, trend analysis of the variations will be used to evaluate change on a nation-wide basis.

The Network Change Authoriser must ensure these records are amended and updated.

The OBC Network Change Register must be e-mailed to the Procedure Management Team at the end of each month.

E-Mail Address : "Management Process Team"

Maintaining Records

All change documentation and any other relevant Horizon documents associated with the change must be filed locally and an 'audit trail' carefully maintained.

Summary of Horizon Documentation

The following OBC and ICL Pathway documents are used to manage network change:

Document Title	POCL to ICL Pathway	Sent by :	ICL Pathway to POCL	Sent by :
OBC20 (sections 1,2 and 3)	✓	e-mail		
OBC21 (where applicable)	✓	e-mail		
ICL Pathway Change Request Acknowledgement			✓	e-mail
ICL Pathway Schedule of Works 1			✓	e-mail
ICL Pathway Schedule of Works 2 (where applicable)			✓	e-mail
ICL Pathway Horizon System Change (Sign-Off)			(via Postmaster or RNM)	Post
ICL Pathway Reference Data Verification			✓	e-mail

B. COMPLETION OF THE NETWORK CHANGE ADVICE***Notes to assist completion of the Network Change Advice forms.***

The OBC20 and OBC21 forms are in electronic format held on one file. The file with the appropriate form and sections completed should be forwarded to ICL Pathway by e-mail.

Information should be entered on the form and the drop-down information boxes used where provided.

Where more than one OBC21 is required the additional information must be added to the *original* document and the new entry clearly dated. The file must then be resent to ICL Pathway using the same filename. During the course of a more complex change the file may be forwarded to ICL Pathway several times.

In emergencies, where an e-mail connection is unavailable, manual forms should be completed. Where this occurs the forms should be completed in black ink and capital letters should be used throughout to ensure greater legibility.

The ICL Pathway Network Change Advice document - OBC20

The OBC20 form comprises five sections:

Section 1.

Records the basic information about the change type, the unique Change Control Number, the intended date of commencement of the change (the target date) and the date forwarded to ICL Pathway.

Section 2.

Records the primary information about the change, including the outlets details. It also contains the Originator's and Authoriser's details.

Section 3.

The Certificate of Change Completion confirms to ICL Pathway that all activities associated with the change have been actioned, including, where applicable, reference data.

Section 4.

This section captures the details of the new relocated or converted outlet and should be completed where appropriate. It largely mirrors the fields of information required in Section 2.

Section 5.

Any further information on the change not captured in the other sections can be entered in section 5. This section may contain secondary information if it is available. This includes information on access times for ICL Pathway engineers or ICL Pathway service providers when arranging visits to an outlet.

Advance Procedures -Managing the Change

Once completed Sections 1 and 2 (sections 4 and 5 if appropriate) should be forwarded to ICL Pathway within the agreed time scales for notification. Section 3 should be forwarded as soon as possible once the conditions have been satisfied and no later than 10 working days before the change target date.

The following table summarises the appropriate sections to be completed for each change type.

OBC 20					
	Section 1	Section 2	Section 3	Section 4	Section 5
Open Outlet	✓	✓	✓		✓
Close Outlet	✓	✓	✓		
Convert Outlet	✓	✓	✓	✓	✓
Relocate Outlet	✓	✓	✓	✓	✓
Refurbish Outlet	✓	✓	✓		✓
Equipment Change	✓	✓	✓		✓
FAD Code change	✓	✓	✓		

Help

When completing the form detailed help is available by pressing F1 when in the appropriate input field. A short description of the required entry is also displayed on the status bar located at the foot of the screen.

Managing volumes of change using the Network Change Advice Forms

Where a large number of changes of the same change type occur i.e. FAD codes these should be processed using both the OBC20 and OBC21 forms.

The appropriate Change Type box should be selected on the OBC20 and the details noted at section 5. Where larger volumes are involved section 2 of the OBC21 form must be used.

C. NOTIFYING ICL PATHWAY***Notification Requirements for ICL Pathway***

To ensure that all ICL Pathway Services or ICL Pathway called-off Services can be scheduled and co-ordinated with the regional business-as-usual activities, a set of standard notification times have been agreed for each change type. These are the *minimum* periods of notification required by ICL Pathway to undertake delivery of the change.

Where all the necessary information is available on the change, the OBC20 may be forwarded to ICL Pathway in advance of the minimum notification periods noted below. This will enable maximum planning time.

The time scales for notification via the OBC20, the amount of information and levels of co-ordination required will vary accordingly for the different change types.

Table 1 below summarises the minimum periods of notification that ICL Pathway Customer Services require for each change type. Time scales are expressed in working days *before* the change target date.

Table 1 : Minimum Standard Time scales

Advance Change Type	Notification by OBC20, not less than (working days)	Site Access confirmation to ICL Pathway, not less than (working days)	ICL Pathway will attend site before go-live date, not less than (working days)
Close outlet (all types)	10	10	5
Open outlet (all types)	40	10	5
Relocate Horizon equipment (simple)	15	10	5
Relocate Horizon equipment (complex)	30	10	5
Horizon equipment change	30	10	5
Relocate outlet	40	10	5
Convert outlet	40	10	5
FAD	40	10	5

Note: A 'simple' relocation of equipment is one that does not involve a permanent relocation of the Horizon equipment within the outlet.

Site Access

As soon as access times for ICL Pathway engineers to attend site are confirmed by the Postmaster, or RNM, they should be notified to the ICL Pathway Customer Service team. This should be done using section 5 of the OBC20 form or by the OBC21 form once the information becomes available.

The region must inform ICL Pathway of the access times at the outlet concerned at least two weeks (10 working days) prior to the target implementation date. Due to the time scales involved for outlet closures the access time must be provided on the OBC20.

Where ICL Pathway request a change to a previously notified and agreed outlet appointment ICL Pathway Customer Services are responsible for informing the Network Change Authoriser of the circumstances and the revised dates. Any such amendments will be confirmed to the Network Change Authoriser by e-mail using the ICL Pathway Schedule of Works document.

ICL Pathway Site Visits

ICL Pathway will normally schedule visits directly with the outlet. This will be done through the Horizon System Helpdesk. All visits will be scheduled within a minimum of 5 working days prior to the change implementation date.

All Pathway related work at the outlet, as outlined in the ICL Pathway Schedule of Works, will be completed within this 5-day period.

Where the change involves the counter area the new counter must be in place prior to ICL Pathway or ICL Pathway Service suppliers commencing work at the outlet.

Where circumstances permit and the counter area is prepared ICL Pathway may undertake work at the outlet earlier, following agreement with the outlet and regional team managing the change.

In some instances e.g. relocations and refurbishments, access times for ICL Pathway engineers will be restricted to one or possibly two days and may involve weekend working. A higher degree of co-ordination between the Region and ICL Pathway will be required in these circumstances.

Amendments to Scheduled Time Scales

The target implementation date for the change will be initially provided on the OBC20 form. There will be a number of instances where during the implementation phase the target date may slip back or possibly be brought forward.

As soon as any revised date is known and confirmed it must be notified to ICL Pathway by e-mail using the OBC21 form.

The circumstances and impact of the changed target date will be discussed and liaison with ICL Pathway will be required to examine if the service and change is deliverable.

The Network Change Authoriser must ensure that any re-planned activities and time scales are notified to all the relevant bodies. The outlet concerned must be fully informed of any revised time scales.

Cancelling the Change

Where a change is aborted or indefinitely postponed ICL Pathway must be notified using the OBC21 form, indicating the reason for the cancellation.

Liaison will be required where ICL Pathway have undertaken any work in respect of the change.

Deviations from Standard Time scales

Occasions may arise where the standard time scales for notification and provision of site access times noted at Table 1 are not achievable.

These cover instances where the regional office, and the Network Change Authoriser, in particular are notified at a very late stage of an intended Advance change.

Where reduced time scales occur the standard procedure for notifying the ICL Pathway Customer Services should be employed using the OBC20. The reason for the deviation to time scale should also be indicated.

However, due to the reduced period of notification, liaison with ICL Pathway will be required on a case-by-case basis to examine the necessary contingency arrangements and examine if the service and change are deliverable.

Any deviation to a minimum time scale may be subject to a re-quotation process with ICL Pathway and is likely to cost POCL significantly more to implement. Deviations from the standard time scales must therefore be kept to a minimum.

Any re-planned activities and time scales must be notified to all the relevant bodies as defined in the regional business-as-usual procedures. The outlet concerned should always be fully informed of any revised time scales.

Sending the Network Change Information to ICL Pathway

The Network Change Authoriser will forward the completed OBC20/ OBC21 file , by e-mail to ICL Pathway OBC Customer Services using the following e-mail post-box :

E-Mail Address : "OBC Network"

Where an e-mail link is unserviceable a manual OBC20 or OBC21 should be completed and faxed to ICL Pathway Customer services. A

fax transmission slip should be attached to the OBC20 or OBC21 form as confirmation of its receipt by Pathway.

Should the e-mail and fax link be unavailable the OBC20 or OBC21 must be forwarded to ICL Pathway by post.

Manual OBC20 and OBC21 forms will be available for completion in emergency when the electronic version cannot be used. Where manual forms are required page two of the OBC20 should also be forwarded to ICL Pathway indicating the CCN.

The Network Change Authoriser should notify the appropriate regional teams involved in managing the change that ICL Pathway has been formally notified.

The ICL Pathway Customer Service team will notify the Network Change Authoriser should any change be made to the ICL Pathway address or fax numbers provided.

ICL Pathway Documentation

All ICL Pathway electronic documentation will be forwarded to the region using the regional OBC e-mail boxes. The following address boxes will be used :

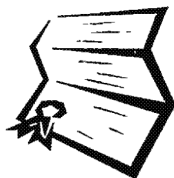
Region	e-mail address
Scotland & N Ireland	SNI-OBC
North Wales & North West	NW&NW-OBC
North East	NE-OBC
Midlands	MID-OBC
South Wales & South West	SW&SW-OBC
North Thames & E. Anglia	NT&EA-OBC
South East	SE-OBC

ICL Pathway - Change Request Acknowledgement form (CRA)

The ICL Pathway Customer Service team will confirm to the Network Change Authoriser receipt of the OBC 20 by e-mail using a CRA form. It must be returned to the region by the end of the next working day following ICL Pathway receipt of the OBC20.

Only one CRA will be issued per change. Where more than one OBC21 is forwarded, ICL Pathway will acknowledge receipt by return e-mail.

Prior to confirming receipt the ICL Pathway Customer Service Team may wish to clarify details provided on the OBC20.



The ICL Pathway CRA form will indicate the outlet name, CCN, FAD code, change type and outlet contact details.

Where an e-mail link is not available the CRA will be faxed to the Network Change Authoriser.

ICL Pathway change acknowledgement forms must be filed with all other associated change documents.

ICL Pathway Schedule of Works.

When ICL Pathway Customer Service have received full details, including where possible confirmed outlet access times, a Schedule of Works will be forwarded by e-mail to the Network Change Authoriser.

The Schedule of Works will detail:



- ☐ the outlet and change details : CCN, change type, outlet name, FAD code and outlet contact information.
- ☐ the work intended at the outlet and summary of the services ICL Pathway will supply to deliver the change
- ☐ the date of outlet visits by ICL Pathway engineers or service suppliers, where possible
- ☐ the cost of the services provided, if applicable

A Schedule of Works will not be provided for outlet closures or simple refurbishments (where there is no counter change involved).

Where appointment times are not included on the original Schedule a second Schedule of Works will be forwarded providing the details once they have been confirmed with the outlet.

Whilst recording the services ICL Pathway will call off to deliver the change the Schedule of Works is indicative i.e. as a result of an outlet survey work not originally envisaged may be required.

Where critical information is omitted and it cannot be clarified by phone the Network Change Authoriser will return the Schedule of Works by e-mail to ICL Pathway for correction and re-submission.

Where an e-mail link is not available the Schedule of Works will be faxed to the Network Change Authoriser.

On receipt the ICL Pathway Schedule of Works must be filed with all other associated change documents.

The Network Change Authoriser should in turn notify the regional Helpline of the intended visit details, as appropriate.

ICL Pathway Horizon System Change Form

Following completion of the change this document confirms that all ICL Pathway related work scheduled has been carried out to satisfaction and the outlet has been left in good order.

The document will be signed off by the Postmaster and ICL Pathway representative, dated and timed.

One copy will be retained by the ICL Pathway engineer and the second copy will be forwarded by ICL Pathway, by post, to the Network Change Authoriser.

On receipt the ICL Pathway Horizon System Change form must be filed with all other associated change documents.

D. SIGN - OFF***Notifying the Network Change Authoriser of Completion***

Once all the physical activities which are the responsibility of POCL to undertake e.g. site preparation and any modification work, have been actioned the Network Change Authoriser must be notified.

The Reference Data System Team, Chesterfield will notify the Network Change Authoriser by e-mail, using the OBC22 form, that all associated Reference Data has been successfully passed to ICL Pathway, if applicable.

See section 'Change and the Reference Data System'.

The Certificate of Change Completion

The Certificate of Change Completion is located at section 3 of the OBC20 form. It is the means by which the Region notifies to ICL Pathway that:

- ☐ All the Reference Data on the particular change has been gathered, entered and forwarded to ICL Pathway, where appropriate.
- ☐ All relevant activities associated with the change have been actioned by POCL.

The Network Change Authoriser will authorise and date Section 3 of the OBC20 form and forward it to the ICL Pathway Customer Service team by e-mail.

E-Mail Address : "OBC Network"

Snagging Visits to outlet.

The regional team managing the change may, as part of their business-as-usual procedures, visit the outlet to ensure all necessary activities have been completed and to the required standards.

Any snagging visits should be undertaken prior to the sign off with ICL Pathway engineers.

ICL Pathway Sign Off Process**ICL Pathway Receive 'Sign Off' on site**

Where work has been undertaken in an outlet or equipment has been removed or installed the Postmaster, or RNM, will be required to sign off the completed work on site using a Horizon System Change form. The Postmaster may also be required to complete a ICL Pathway Quality Checklist.

Where Horizon equipment is delivered or removed two further ICL Pathway documents will be used, a Proof of Collection Document and Proof of Delivery Document. These require the Postmaster to sign for and confirm either the removal or delivery details.

E. GENERAL

Co-ordination of Downstream Activities

The Network Change Authoriser will be responsible for ensuring the necessary level of liaison is maintained with ICL Pathway throughout the implementation of the change. There are potentially several main areas where co-ordinated activities and liaison will be required during the delivery of an Advance change.

Outlet information

The Horizon User Guide outlines the responsibilities, actions and timescales for notification the Postmaster should be aware of in the event of outlet refurbishments.

ICL Pathway Communication with Regional Staff

Where site visits are required ICL Pathway will notify the Network Change Authoriser using the Schedule of Works document. Further liaison may be required by telephone to clarify details or minor changes to visit details.

ICL Pathway Communications with Outlets

Appointment times and dates for ICL Pathway or their Service Suppliers will be made directly with the outlet by the Horizon System Helpdesk.

Exceptionally where direct contact with the outlet is not possible or inappropriate ICL Pathway or their Service Suppliers will arrange visit details via the Network Change Authoriser.

The Network Change Authoriser should ensure that all appropriate regional staff and teams are informed of the ICL Pathway visit schedule. Any standard rules for communicating outlet appointments within the Regional office should apply.

ICL Pathway Responsibilities

ICL Pathway will be required to deliver the requested network changes at the required outlets within the agreed time scales and quality assurances. ICL Pathway responsibilities will include:

- ☐ liaison with the Network Change Authorisers and nominated regional staff to resolve any issues arising from the network change.
- ☐ notifying the region initiating the change of any circumstances affecting the delivery of that change.
- ☐ provision of a receipt for the OBC20 document, one for each change.
- ☐ provision of documented notification of intended work and appointment dates at the outlet(s).
- ☐ ensuring that outlet appointments are made directly with the outlets concerned.

- ☐ provision of documentation to the outlet to enable the change to be signed-off once the Postmaster or POCL staff have accepted the work on site.
- ☐ ensuring a control loop of reference data for each change, where applicable, is supplied to the region for verification purposes.

**CHANGE AND THE
REFERENCE DATA SYSTEM**

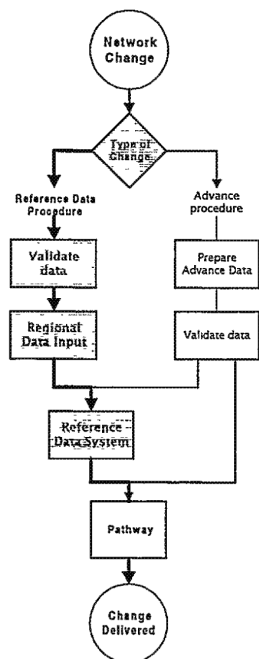
11. CHANGE AND THE REFERENCE DATA SYSTEM

What is Reference Data?

Reference data at its simplest is that information required to enable Pathway to :

- ☐ Maintain details of all installed outlets and products for the Horizon system
- ☐ Record and validate sales at each installed location within Post Office Counters and produce a cash account. This data comprises details of outlets and products together with a small amount of other relevant information.
- ☐ Outlet information identifies where the outlet is, when it is open and what it can sell
- ☐ Product information provides the names and parameters for all transactions

Other information relates to cash account periodicity, management information and any local closure details.



Reference Data Change Flow

Overview

The process for capturing Network reference data is initiated within the Region. The information required by the reference database is an extension of the data that currently comprises the outlet details. The basic reference data flow is shown in the adjacent graphic.

The process for the provision of network reference data has been designed to:

- ☐ Follow the existing regional processes
- ☐ Match the advance procedures described in earlier sections of these instructions

It is essential that change information to the existing network be reflected in the Reference Data System (RDS). The timely and accurate recording of change in the RDS and its transmission to ICL Pathway is necessary to enable the change to take place.

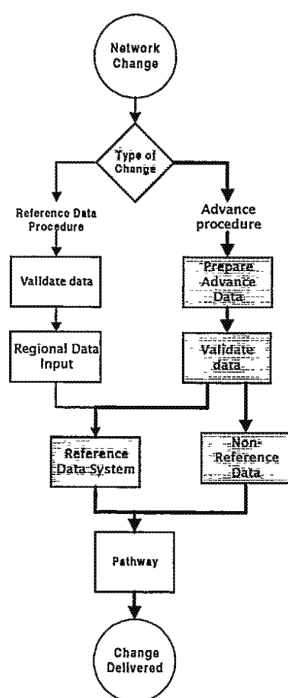
Note: A number of advance changes are not reflected in reference data i.e. refurbishments and changes to counter configurations.

"It is essential that change information to the existing network be reflected in the Reference Data System"

OBC and Reference Data Links

The Network Change Authoriser will ensure that all the information appropriate to the particular change has been assembled and is accurate.

The Data Change Catalogue (Ref. CS/IFS/001 version 1.0), owned by the regional Reference Data Teams, will indicate which advance changes require a reference data change and also which individual items of



**Advance Procedure
Reference Data**

reference data need to be changed. A simplified version of this document will be available to Network Change Authorisers.

The reference data information will be associated with the unique Change Control Number allocated to the change. This number will also be used to identify the particular change within the RDS and the ICL Pathway Reference Data Management Centre (RDMC).

The relevant reference data must be entered on the OBC22 form and forwarded by the Network Change Authoriser via e-mail to the regional Reference Data Team. The latter will check and forward the OBC22 to the Reference Data Team in Chesterfield.

An example of the OBC22 form is provided at appendix G.

Where the change is an outlet closure the nominated alternative outlet information must be recorded on the RDS.

The outline reference data flow for Advance procedures is shown in the adjacent graphic.

It is imperative that all data connected with an advanced type change is processed together.

Confirmation of ICL Pathway Receipt of Change Data

The Reference Data Team in Chesterfield will check and forward the reference data for the change to the ICL Pathway RDMC.

The Reference Data Team in Chesterfield will then return the 'signed off' OBC22 form by e-mail to the Network Change Authoriser within 2 working days.

This will act as confirmation that the data for the change has been successfully forwarded to the ICL Pathway RDMC. This confirmation will enable the Network Change Authoriser to complete section 3 of the OBC20 form.

Reference Data Verification

As an additional check to ensure the validity of the data on the system, prior to its release onto the live system, a data 'control loop' will be undertaken for the data on all advance changes.

ICL Pathway RDMC will return a copy of the reference data using the regional OBC e-mail boxes to the Network Change Authoriser for verification. This will be done using the ICL Pathway Reference Data Verification Report.

The regional OBC e-mail box must be checked by 12:00 each working day.

The Network Change Authoriser will check the copy against the original information provided on the OBC22.

Allowing for 1 correction file, a *minimum* of 6 working days are required for the verification of network reference data from the point where ICL

Pathway RDMC return the data copy to the Network Change Authoriser.

The Reference Data Receipt and Verification form - OBC24

The Reference Data Receipt and Verification form is in electronic format and confirms to ICL Pathway RDMC whether the copy of reference data returned to the NCA is accepted or rejected.

The details provided are the CCN, outlet FAD code, whether the data is accepted or rejected (if rejected the data to be corrected must be noted), the NCA name and contact number.

An example of the OBC24 form is provided at appendix F
The OBC24 must be completed by the NCA and forwarded to ICL Pathway RDMC by e-mail using the following address :

E-Mail Address : "OBCRefData"

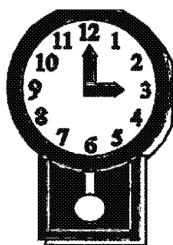
Correct Data - Release of Reference Data onto the Live Network

If the Reference Data is correct the Network Change Authoriser will confirm this to the RDMC via e-mail using the OBC24 form.

ICL Pathway RDMC will release the Reference Data onto the live system prior to the 'go-live' date for the change.

The *minimum* time scale for verifying correct data is:

- Day 1 : RDMC return copy of data to NCA by 12:00
- Day 2 : NCA accepts data as correct, notifies the RDMC by 12:00
RDMC release data change to POCL counter
- Day 3 : POCL outlet receives data



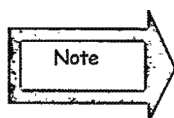
Note: An example of the Reference Data Receipt and Verification form is provided at appendix F.

Incorrect Data - Reference Data Correction Process.

If the reference data contains an error or omission the following Reference Data Correction process must be activated.

The Network Change Authoriser must notify the RDMC of the error via e-mail using the OBC24 form indicating the data item(s) requiring correction.

The corrected data must be checked and verified and passed to the regional Reference Data Team.



The suffix C must be included in the CCN before being forwarded to the regional Reference Data Team. This will indicate that the data is a correction item associated with the original change request and CCN. The corrected data must be noted on an OBC22 form and forwarded to the regional Reference Data Team.

Final Check

There will be one further confirmation that the corrected data has been recorded on the RDMC system.



ICL Pathway RDMC will return a copy of the *corrected data only* by e-mail to the Network Change Authoriser.

Receipt of the copy should be acknowledged in the manner described previously, using the OBC24 form.

No further checks will be undertaken and the data will be released onto the live network.

The *minimum* time scale for verifying incorrect data is:

- | | |
|---------|--|
| Day 1 : | RDMC return copy of data to NCA by 12:00 |
| Day 2 : | NCA rejects data as incorrect - notifies the RDMC by 12:00.
NCA initiate correction of data |
| Day 3 : | RDT forward corrected data to RDMC by 16:00 |
| Day 4 : | RDMC receive corrected data, process and return copy of corrected data only to NCA |
| Day 5 : | NCA accept corrected data copy, notifies RDMC by 12:00
RDMC release data change to POCL counter |
| Day 6 : | POCL outlet receives data |



Note: The full procedures for managing reference data are detailed in the Reference Data Project 'Regional Data Capture Procedure' document held by the Regional Reference Data Teams (Ref. RDP/OPS/013)

In all communications between the region and ICL Pathway RDMC where the e-mail link is unavailable a fax must be provided.

RELATED ACTIVITIES

12. RELATED ACTIVITIES

Notifying ICL Pathway of Planned Volumes of Change

Where large volumes of change are being planned or are envisaged by the Region, Head Office or the Network Change Authoriser should liaise with the Headquarters Network Team. The latter will in turn liaise directly with the ICL Pathway Customer Services team where necessary. An example is a major regional refurbishment program.

Any large-scale Network changes may require special project management terms to be applied.

Other Regional Change Activities

A number of other Horizon related procedures are involved when managing network change. These procedures will be co-ordinated within the region to ensure delivery of the change and will need to be reported to the Network Change Authoriser when actioned. They include:

Business-as-Usual Procedures

Each region has established procedures in place to manage and deliver all the types of outlet change covered by the Horizon advance procedures. In the Horizon environment a number of new activities will need to be introduced to cover the movement, installation or decommissioning of Horizon equipment.

All the business-as-usual activities associated with the particular change should be completed according to the existing regional guidelines.

Should there be any significant issues arise or potential delays the Network Change Authoriser should be informed, as there may be an impact on the time scales for delivering the change and the co-ordination of activities with ICL Pathway.


See Section on 'Amendments to Scheduled Time scales'.

The regional staff managing the change should be aware when all activities have been actioned as they will need to update the Network Change Authoriser.

Selecting the alternative nominated outlet

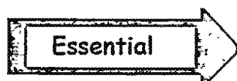
With a number of planned changes i.e. temporary or permanent closures, it will be necessary to direct customers to an alternative outlet for benefit payment and collection of benefit cards. The established procedures in each region to select an alternative nominated outlet for benefit encashment should be used.

The selected outlet must be notified of the closure and expected increase in business volumes. The details of the alternative outlet must be provided to the Postmaster or RNM of the outlet to be closed.



**Don't forget
your normal
procedures**

The details will be supplied to ICL Pathway on the appropriate section of the OBC20 form.



Notifying the Benefits Agency

In the Horizon environment a number of change activities will have an impact on the management of Benefit Payment Cards and Card Payment arrangements. It is essential that the Benefit Agency CAPS Business Support Team is informed of these changes and provided with the required details.

On Site Equipment Activities

A number of activities may need to be undertaken by the Postmaster, or RNM, in conjunction with the ICL Pathway engineer. These include:

- ☐ the complete shut down of the system including managing the PMMC card under ICL Pathway engineers' instructions.
- ☐ securing PMMC and PIN during temporary closures and refurbishments.
- ☐ ICL Pathway documentation recording both the delivery or collection of Horizon equipment may require a signature for confirmation.

Payment and Card Management Activities

A number of activities may also be required. These include:

- ☐ The Postmaster or RNM will be responsible for informing customers of the change and where necessary indicating the alternative nominated outlet for benefit payments and card collection.
- ☐ Depending on the type of change and whether the change is temporary or permanent a number of additional activities will need to be undertaken by the Postmaster or RNM at the outlet i.e. unissued payment cards and PINs will need to be securely stored until the outlet re-opens.

POCL Provision of Compliant Counter

In instances where new outlets, relocation and conversions are concerned it is the responsibility of the Postmaster or POCL to ensure that the counter area is compliant with the necessary specification to enable the Horizon equipment to be successfully installed.

The outlet counter area and any major modification work such as screen rebuilds or bespoke joinery must be completed prior to ICL Pathway engineers or ICL Pathway service suppliers attending site.

The detailed specification required for the counter area is documented in the 'SPSO 2000 - Screen and Counter Handbook & Planning Guide'.

The regional office should where necessary both advise and ensure that these standards are made known to the Postmaster.

It will be the responsibility of the regional staff managing these types of changes and/or the Postmaster to ensure all on site counter preparation work is completed prior to the ICL Pathway engineers attending the outlet to install the Horizon equipment.

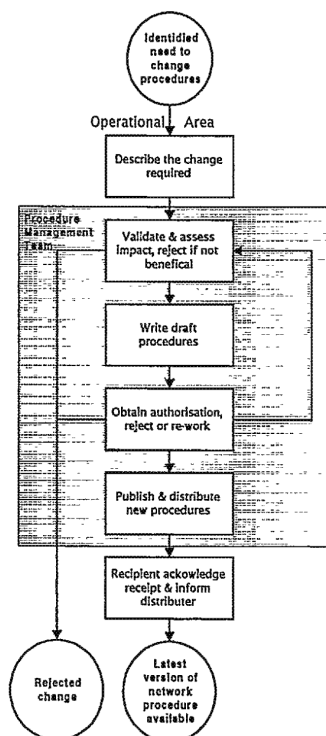
Any circumstance concerning the preparation of the outlet, in particular the counter area, which may impact on the time scales for implementing the change, should be notified to the Network Change Authoriser.

Note: Where the region or Postmaster has arranged for other contractors to undertake outlet modifications it is the responsibility of the region to inform ICL Pathway of their arrangements and work schedule. ICL Pathway will not negotiate with third parties. This information can be provided to ICL Pathway using section 5 of the OBC20 or using the OBC21.

ADMINISTRATION

13. ADMINISTRATION

A. PROCEDURE CHANGE PROCESS



Introduction

The introduction to these instructions indicated that there would be a review process. Proposals to change network procedure documentation may be generated by regional teams, or from within the network procedure management team itself.

The network procedure management team will be monitoring business developments in order to introduce necessary changes to procedure documentation in good time.

They have a further responsibility to liaise with other automation projects. The aim of this is to ensure that where common data is required for several activities, there is one cohesive procedure for conformant delivery.

The purpose of this procedure is to ensure all procedure documentation is amended, agreed and published in a consistent and systematic way.

Procedure

Initiation

On identifying a requirement to change part, or all, of the procedure documentation an originator will describe the change required. This will then be transferred to the network procedure management team.

The team will initially validate and assess the impact of the proposed change. Should the change be deemed necessary the team will create a draft version of the proposed procedure. In the event of the proposed change failing the validation exercise or impact assessment, the team will inform the originator of the rejection and the reason.

Authorisation

The draft procedure will then be passed to the procedure owner for concurrence.

The procedure owner will then decide whether to:

- ☐ Refuse concurrence and totally reject the proposed change.
- ☐ Refuse the concurrence pending re-work on the proposed change.
- ☐ Endorse the proposed change.

The network procedure management team will manage any re-work on the proposed change.

The decision of the procedure owner (refuse, re-work or endorse) will be communicated to the originator by the network procedure management team and the reasons for that action.

Revised Procedure Publication

On endorsement of the proposed change the network procedure management team will update the procedure master files and manage the publication of them.

The network procedure management team will then manage the distribution of this new procedure to registered holders.

A transmission note will accompany it and this will be recorded on the version control database.

Note: An example of the OBC Procedure Revision form (OBC40) is provided at appendix H.

Recipient action



On receipt of the new procedure and transmission note, procedure holders will destroy the old version and replace with the new. They will also complete and comply with transmission note requirements.

On receipt of the completed transmission note the network procedure management team will record this on the version control database and file them

B. INCIDENT MANAGEMENT

Introduction

The day to day communications described within the previous sections of these procedures should resolve the majority of situations that could become incidents. However, it is expected there will be occasions when events will interrupt the normal performance of the Operational Business Change procedures. The underlying cause of the variation could be due to POCL, ICL Pathway or a third party. This variation will be termed an 'Incident'.

Terminology

The following definition has been adapted from service management guidelines:-

"Incidents are individual day to day faults or failures in delivering the required changes to hardware it's location or associated software. They will be raised either by change implementers or authorisers at an operational level. They are managed via operational contact or Help Desk services."

Incidents may arise at the point of installation or de-commissioning of equipment by ICL Pathway.

The procedures described below are designed to enable us to deal with such incidents which may interrupt normal POCL service. They are designed to fit to existing operational and service management procedures.

On-site Installation Incidents

This procedure will apply when an agreed schedule of work fails. This may be due to a failure by an ICL Pathway engineer at the point of, or during, installation or de-commissioning of equipment. Failures or faults due to other circumstances will be dealt with by local procedures.

Where circumstances arise affecting the delivery of the service at an outlet and which concerns the installation or de-commissioning of equipment, the retail outlet must contact the Horizon System Helpdesk immediately.

Horizon System Helpdesk

Telephone Number **GRO**

The Horizon System Helpdesk will advise the retail outlet of any actions to take, record the incident, and issue a unique incident number. This number must be noted by the retail outlet, and when the call is closed the date and time recorded.

The NCA is responsible for ensuring that retail outlets are aware that the Horizon System Helpdesk must be contacted if an ICL Pathway incident occurs.

Incident log

The reporting of an incident to Horizon System Helpdesk will raise an incident record within the business. ICL Pathway will provide periodic reports of the incidents recorded to the POCL Service Management team.

Problem Management

Whilst this is outside the scope of these procedures it should be noted that unresolved or repeated incidents may result in escalation into problem management for long term resolution.

APPENDICES

14. APPENDICES

A. USING THE HORIZON CALL AUTHENTICATION MATRIX

The following instructions are intended for use by Regional Helpline staff when contacting the Horizon System Helpdesk to report an unplanned, emergency closure of an outlet.

Creation and Distribution by ICL Pathway

ICL Pathway are responsible for the creation of the Call Authentication Matrix and for its distribution to POCL Regional Helplines.

A new Matrix will be issued by Pathway each month to each Regional Helpline Manager. Each new Matrix will be effective from the first day of the month and the outdated matrix should be destroyed. The period the matrix is valid for will be indicated.

If a Matrix is compromised a new version will be issued to all Regional Helplines.

Distribution and Management By Regional Helplines

The Regional Helpline Manager will be responsible for controlling the distribution of the Matrix to Helpline staff. It is for each Region to determine the number of staff operationally who will need to use the Matrix daily. Photocopies are acceptable but should be kept to an absolute minimum.

The Regional Helpline Manager and Helpline staff using the Matrix will be responsible for the secure storage and confidentiality of its contents. Any unauthorised disclosure should be reported to the Regional Helpline Manager.

The Regional Helpline Manager is responsible for reporting to the Horizon System Helpdesk any compromise of the Matrix. The Regional Helpline Manager will collect and destroy any copies of the compromised Matrix.

The Regional Helpline Manager will ensure that adequate security and confidentiality are maintained.

Use of the Matrix

The Matrix must be used in all communication for reporting unplanned outlet closures to the Horizon System Helpdesk. This includes initial notification, any reassessment of the closure and for information regarding the re-opening the outlet.

The Matrix should only be used when the Helpline staff contacting the Horizon System Helpdesk has the authorisation from the Region to request that Pathway change the Service at the outlet(s).

During the Question and Answer dialogue the Horizon System Helpdesk will prompt for a password response from the Regional Helpline staff member reporting the closure.

Where an incorrect answer is given one further chance will be provided after checking that the correct version of the Matrix is currently in use. Should a further incorrect answer be given the Horizon System Helpdesk will not pursue the call further, will ask for the callers details and will escalate the incident. The Regional Helpline Manager will be informed by the Horizon System Helpdesk of the failure.

Where a breach of security is identified the Region must investigate the circumstances.

Example of the Call Authentication Matrix

	Alpha	Bravo	Charlie
1	Please	Yesterday	Driver
2	Friend	Paper	Luck
3	Shop	Easter	Test
4	Hotel	Pencil	Mouse
5	Field	Exit	Computer

The example Matrix above is a simplified version of the actual Matrix. The format however will be the same.

The Horizon System Helpdesk operator would prompt for a password by requesting the word found at Bravo 2. The Regional Helpline operator would respond 'Paper'.

Keeping ICL Pathway informed

Should the Regional Helpline Manager permanently change the new details should be forwarded to the Horizon System Helpline Manager.

B. RECORDING & MONITORING (ALERT)

It is vital for audit and management purposes that records are maintained of all instances of unplanned emergency closures. The information will be used for Systems Performance measurement and may be used for charging purposes.

The Remedy System

The Remedy System operated by each Regional Helpline will be used to record closure information. Helpline staff will be responsible for recording and updating information on closures.

The table below summarises the full range of key data which, where appropriate, will need to be recorded and where this information will be recorded in Remedy. Where possible existing fields have been utilised.

The information is keyed into the main 'Submit Window - Main (custcare)' screen.

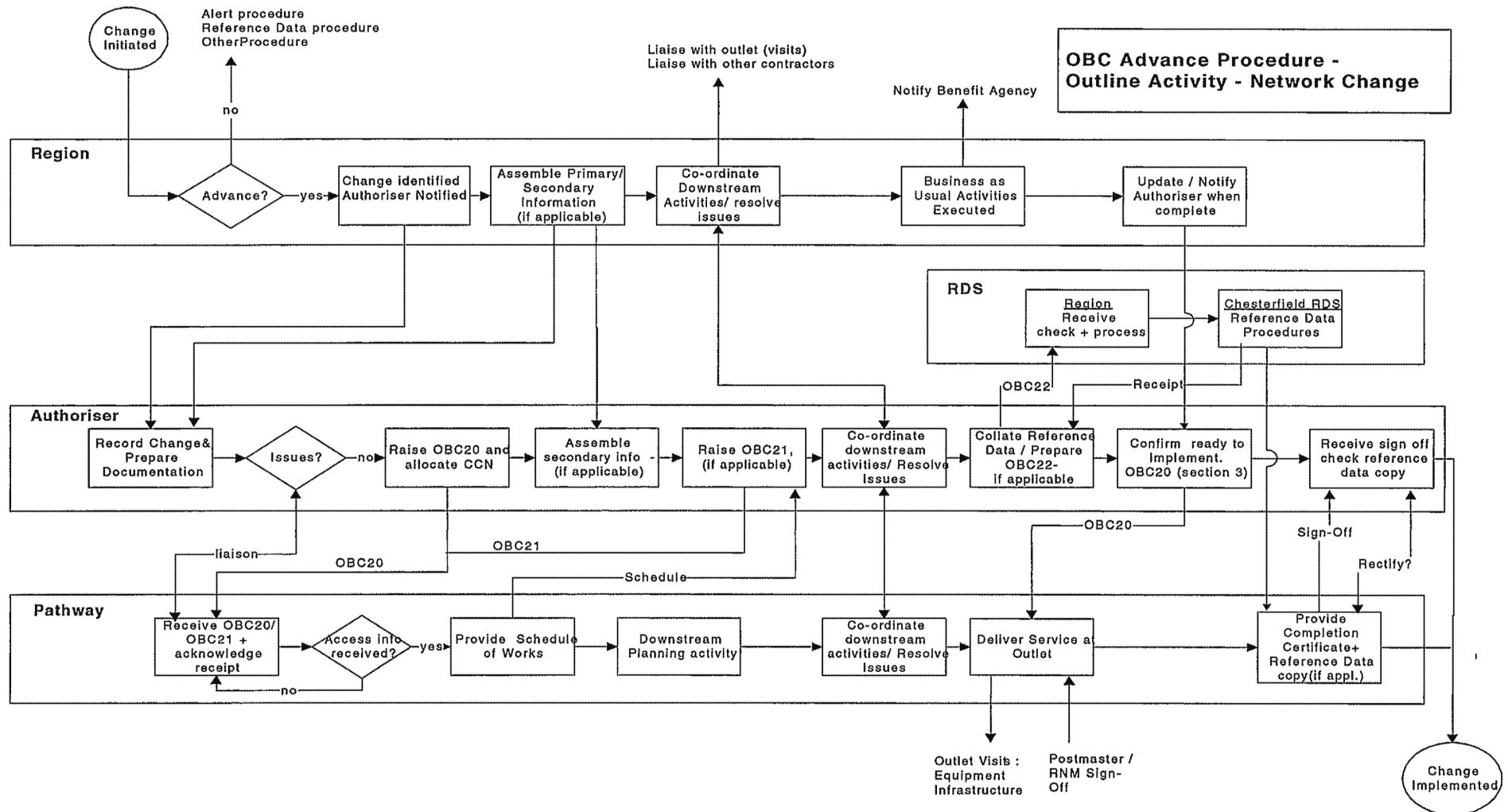
Data to be Recorded	Field in Remedy
Outlet Name	Office Name
Outlet FAD	FAD Code
Call Reference Number (CRN) (allocated by Pathway)	CRN
Call Reference Number (re-opening) (allocated by Pathway)	Action Log
Date of Closure	Reported Date/Time
Current Outlet Status (open/close)	Incident Status
Closure Type (short/long)	Office Closure Status
Closure Upgraded	Incident Details
Horizon Equipment Removal (date out/date in)	Incident Details
Call Close Date	Re-Opening Date/Time
Pathway Communications (closure review dates etc.)	Incident Details
Alternative Nominated Outlet	Alternative Office 1
Purchase Order Number/Cost (if applicable)	Action Log

Where the Incident Detail field is used a free text entry should be made briefly recording the pertinent dates or decisions.

As this information is required for on-going Business Service Management purposes it may need to be expanded. Any changes must be processed via the change control procedures, described in the Administration section. Any change must also be communicated to all users via the Remedy Users Group.

If the Remedy System is not available the details must be recorded manually and entered on the system when it is fully functional.

C. OUTLINE PROCESS CHART



Operational Business Change

Horizon Operating Instructions

appendix D

D. ICL PATHWAY NETWORK CHANGE ADVICE FORM - OBC20**ICL Pathway Network Change Advice Form OBC 20**POST
OFFICE

This form is to be used to deliver Advance Network change information to ICL Pathway
Instructions for use are contained in the Pathway Operating Instructions

Section 1 Change Type

Change Control No: (must be unique
and copied onto the OBC22 where
appropriate)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Today's Date:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Change Target Date :

DATE:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Purchase Order No. _____ (If required)

Change Type
Please Tick
(One Only)

Open Outlet	
Close Outlet	

Convert Outlet	
Relocate Outlet	

Refurbish Outlet	
Equipment Change	

FAD	
-----	--

New FAD Code

See also section 4 of this
form

If this change results from an earlier unplanned closure please insert Call Reference No _____
Is this a Temporary Opening or Closure ☐
If so please indicate target Closure/Re-open date _____

Section 2 PRIMARY DATA & AUTHORISATION

Outlet Name _____

Outlet Contact _____ Telephone _____

Street Name _____

Village/Suburb _____

Town/City _____

County _____

Postcode _____

FAD Code _____ (7 Digits)

Outlet Category if other than Permanent

Temporary ☐Mobile ☐Seasonal ☐(If Seasonal is it a New Outlet? ☐**Equipment**Will equipment be re-located within Outlet ☐

Number of Horizon Counter Positions _____

If Changing - Increase/Decrease to _____

Alternative Nominated Outlet (If applicable)

Name _____ FAD _____ (7 Digits)

Telephone No. _____

Originators' Name: _____ Originators' Phone No: _____

Authorisers' Name _____ Authorisers' Phone No: _____

Date: _____ Authorisers' Fax No _____

Section 3 CERTIFICATE OF CHANGE COMPLETION

All relevant information in respect of this change has been progressed to the Reference Data Process and/or to the
appropriate ICL Pathway Action Point.

Any Other Comments _____

Change Authorised for release _____ Date: _____ Phone No: _____

Operational Business Change

Horizon Operating Instructions

appendix D

ICL Pathway Network Change Advice Form OBC 20 Side 2

Section 4 New Outlet Details (for Re-locations & Conversions)

Outlet Name _____ Change Control No :

--	--	--	--	--	--	--	--	--	--

Street Name _____ Outlet Contact _____ Telephone _____

Village/Suburb _____ Outlet Category if *other* than Permanent

Town/City _____ Temporary ☐

County _____ Mobile ☐

Postcode _____

FAD Code _____ (7 Digits)

Equipment :

Number of Horizon Counter Positions _____

Section 5 Additional Change Information

Examples - Special access or security arrangements, Other contractors, POCL Security liaison requirements, Weekend working, and if the outlet is a FPO or multiple where special visit arrangements are required?

E. ICL PATHWAY ADDITIONAL INFORMATION - OBC 21**ICL Pathway Network Change Additional Advice**

OBC 21

This form is to be used to deliver *additional* Advance Network change information to ICL Pathway**Section 1 Change Type**Change Control No: (must be as
quoted on original OBC 20)

--	--	--	--	--	--	--	--	--	--

Today's Date:

--	--	--	--	--	--	--	--

Outlet Name _____

Outlet FAD Code _____ (7 digits)

Change Target Date

DATE:

--	--	--	--	--	--

Section 2 Supplementary Change Information and Authorisation*Examples - access times for engineers to visit outlet, changes to planned dates etc.*

Authorisers Name _____

Authorisers' Phone No. _____

Date: _____

Authorisers' Fax No. _____

F. REFERENCE DATA RECEIPT AND VERIFICATION FORM -OBC24**Reference Data Receipt and Verification OBC24**

This form must be forwarded to ICL Pathway RDMC via e-mail

Change Control Number :

Outlet FAD Code : (7 digit)

Accept Data ☐

The data change(s) for the network change notified above has been received, checked and confirmed as accurate and complete.

Reject Data ☐

Data change(s) for the network change notified above have been found to be incorrect. The amended details will be forwarded to the Reference Data System. Please note the corrected data :

Network Change Authoriser :

Telephone Number :

Horizon Operating Instructions

appendix G

Private business <div style="display: flex; align-items: flex-start;"> <div style="flex: 1;"> <ol style="list-style-type: none"> 1 Super/Hypermarket 2 Convenience Store 3 Confectioner/Tobacconist/News 4 General Store 5 General Stationer 6 Greetings Stationer 7 Pharmacist/Chemist 8 Garage/Service Station 9 Miscellaneous </div> <div style="flex: 1; border-left: 1px solid black; height: 100px; margin-left: 10px;"></div> </div>		<div style="display: flex; justify-content: space-between;"> <div> This private business is a Dominant Substantial Minimal </div> <div>part of the retail offer</div> </div> <div style="margin-top: 10px;"> 10 Only PO business is conducted at this outlet </div> <div style="text-align: right; margin-top: 10px;"> (tick one of the above 4 boxes) </div> <div style="margin-top: 10px;"> (up to 80 characters) </div>	
--	--	---	--

POCL opening hours (state actual hours not contractual hours) <div style="display: flex; justify-content: space-around; font-weight: bold;"> AM PM </div> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th style="border: 1px solid black; padding: 2px;">Open</th> <th style="border: 1px solid black; padding: 2px;">Close</th> <th style="border: 1px solid black; padding: 2px;">Open</th> <th style="border: 1px solid black; padding: 2px;">Close</th> </tr> </thead> <tbody> <tr><td>Mon</td><td><div style="border: 1px solid black; height: 20px;"></div></td><td><div style="border: 1px solid black; height: 20px;"></div></td><td><div style="border: 1px solid black; height: 20px;"></div></td><td><div style="border: 1px solid black; height: 20px;"></div></td></tr> <tr><td>Tue</td><td><div style="border: 1px solid black; height: 20px;"></div></td><td><div style="border: 1px solid black; height: 20px;"></div></td><td><div style="border: 1px solid black; height: 20px;"></div></td><td><div style="border: 1px solid black; 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Service cut off times The latest time a transaction could be processed that day, and not held over. If none state none				
	Parcels (Ordinary)	Datapost etc	Royal mail Registered etc	Giro
				Lottery
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Local Non-Standard transactions If none state none		

RDS Operations Confirmation.
Advance Change Control Number

9

This change has been successfully transmitted to Pathway on :

Operational Business Change

Horizon Operating Instructions

appendix H

H. TRANSMISSION NOTE**OBC Procedure Revision****OBC 40****Transmission Notice****This form is to be used to deliver revisions to procedures holders****Section 1 - To be completed by the procedure management team**

Procedure holder

Date

To maintain the integrity of the procedures please remove and destroy the old version and replace with the attached.

Procedure revisions attached

We also attach a list of the latest version numbers of the procedures. Please examine your copies and ensure they align to these. Should you have any discrepancies please contact the appropriate procedure management team

Section 2 - To be completed by the procedure holder

Please sign and date below to confirm receipt and return this form to the appropriate procedure management team.

Signature:

Date:

Section 3 - To be completed by the procedure management team

On receipt back of this endorsed form, section 2 completed, the procedure management team will update the version control database

Database updated

☐

(✓ When completed)

Retention period 12 months, then destroy in accordance with Post Office Counters Ltd. environmental policy