



Horizon Online Migration Non-conformance Process

1. Background

The delivery of Horizon Online is a key business strategy in delivering some of the cost savings that underpin bringing the business back into profit by 2011. The key dates for delivery of the Horizon Online rollout will be communicated by the Horizon Online Programme Team

The migration from the existing Horizon software to the new Horizon Online software will require the branch to undertake a migration process on the system, which involves printing and checking some basic reports, migrating the branch and then, once migrated, setting up all users with compliant passwords. It is therefore necessary to have processes in place to deal with branches that do not migrate on their scheduled date and formalise arrangements between the Horizon Online project and Network Directorate.

The purpose of this document therefore is to:

1. Outline the Network Directorate approach to dealing with branch non-conformance with regard to Horizon Online migration.
2. Formalise the arrangements and requirements between the Horizon Online project and Network Directorate. It has been assumed for the purposes of this document that the Horizon Online Project will have an Issues Resolution Team (IRT), which will be the first point of escalation for branches that have not migrated as scheduled.
3. Provision of Management Information required by the Horizon Online Project.
4. Outline resource requirements and costs associated with Network supporting the non-conformance process.



2. Non-conformance and Training Completion Processes.

This section will be split to cover the two types of potential non-conformance and training completion. These are as follows:

- Section 2.1 covers the non-conformance related to the router installation
- Section 2.2 documents the processes to tackle branches that do not migrate on the prescribed day.
- Section 2.3 details the approach to those branches that do not complete any of the training modules in advance of migration.

2.1 Router Installation Non-conformance

This section covers the approach to be taken to branch non-conformance during the router installation rollout. The installation of the router in branch is prerequisite for migration onto the Horizon Online platform. The rollout is being coordinated between the HOP and Fujitsu Services to ensure minimised impact on the branch network and that Fujitsu engineering resource can deliver the installations. Barring the largest branches in the network, where the router will be installed out of normal branch hours, the installations will take place in branch hours and will normally not require more than a hour for installation to be completed. Branches will receive advance contact from the Fujitsu engineer to confirm the date and time window (AM or PM) of the installation. It is anticipated that due to some of the mitigating actions the numbers of escalations for router installation non-conformance should be relatively small.

2.1.1 Dimensions of Non-conformance

The following have been identified as the branch non-conformance scenarios that could arise during the router rollout:

1. Branch refusal to have the router installed.
 - 1.1. Refusal of installation for unconnected reasons (e.g. other grievances with the business, branch about to transfer etc)



- 1.2. Refusal of installation on the assigned date (i.e. branch wants to reschedule). This could be advised when the engineer initially contacts the branch to confirm arrangements or when the engineer actually arrives on site.
- 1.3. Refusal due to branch being unhappy about closure and loss of business.
2. Branch cannot be contacted to confirm installation. These should only be escalated in cases where Fujitsu has attempted contact with the branch on at least three occasions on different days when the branch is open.
3. Recent unplanned closure at the branch.
4. Unable to conduct router installation due to branch system problems.

NOTE: 1.2 and 1.3 above will be mitigated against to a certain degree due to the fact that the branch will initially be offered 2/3 options for installation dates.

2.1.2 Escalation Process

Initial escalation for router installation will, in the vast majority of cases, be from Fujitsu Services to the HOP Issues Resolution Team, where they have not either not been able to install a router or have not been able to contact a branch to confirm installation. All escalations into Network Directorate from the IRT should be done by e-mail on the agreed spreadsheet template into the Post Office Migration Support Team (POMST) containing the following information:

- Branch Details (including FAD, Name, Segment, National Multiple, Head of BD, BDM, Tel No.)
- Proposed New Date of Installation (if appropriate)
- Reason for the escalation
- Details of conversation(s) already held with branch (including name of person spoken too and date/time of contact)
- Resolution Date
- Indicate cases where delay to router installation will impact migration date. In some cases, the router installation could be occurring as little as 2 or 3 days before migration.



The table below gives the actions required by the IRT and POMST for the different non-conformance scenarios. POMST will only need to undertake their actions where IRT cannot resolve the issue and need to escalate. All of the activities are in a numbered priority order, with IRT having first responsibility for trying to address the issue before escalating to POMST to follow their process.

Scenario	IRT Activities	POMST Activities
Refusal of installation <ul style="list-style-type: none"> • Branch about to transfer • Branch about to close • Temporary SPMR issued • Unconnected branch grievance • Personal emergency • Straight refusal (including claims of being too busy) • Lack of training • Branch unhappy at having to close for installation. 	<ol style="list-style-type: none"> 1) Reschedule installation with Fujitsu if reason for refusal is on list of valid reasons (e.g. sudden family bereavement). Section 2.1.4 below gives a break down of the reasons 2) IRT will make initial attempt to persuade the branch to install router before escalating. This should be done in line with agreed scripting. 	<ol style="list-style-type: none"> 3) Contact the branch and run through standard script. The purpose of the phonecall is to persuade the branch to permit the router installation and advise them of the consequences of not doing so. The script will include the opportunity to give a verbal warning to the branch in cases where there is no legitimate reason for refusing the router installation. A standard data capture log will be completed for any of these calls. For National Multiple branches the SAM will be contacted instead of the branch. 4) Permanently closing branches flagged back to IRT with closure date to be dropped from programme. 5) Send data capture log to



Scenario	IRT Activities	POMST Activities
		<p>Network Support Admin team to add to branch record on EFC</p> <p>6) SAM will liase direct with the National Multiple partner to resolve the issue at the branch. All other branches refusing installation at this stage should be flagged to the Contracts Advisor who will initiate the corrective action process.</p>
<p>Branch cannot be contacted</p>	<p>1) Check that Fujitsu have been using the correct number and that the branch is open from the Configuration Database</p> <p>2) Check the NBSC Weekly Closure report to see if the branch is closed.</p>	<p>3) Check EFC to see if branch has been closed or is still closed. Inform IRT of any closures and if known, the anticipated reopening date.</p> <p>4) Branch Open - Attempt contact with the branch once more and if available advise them of the installation using agreed script.</p> <p>5) Branch Open But Not Contactable - Send branch standard letter by Recorded Delivery asking them to contact POMST within 48 hours. If the preferred Fujitsu router installation date is known the letter will just give</p>



Scenario	IRT Activities	POMST Activities
		<p>that date and explain to the branch that Fujitsu and POL have been trying to contact them, but as there has been no answer, the letter is the notification that the installation will be taking place.</p> <p>6) For any National Multiple branch escalate to SAM for liaison with multiple partner.</p> <p>7) If necessary arrange for BDM/OFS/NS Manager to go out to the branch.</p>
Recent unplanned closure	<p>1) If reasons for closure are known, are legitimate and the branch reopen date is known, then IRT should agree rescheduled date with Fujitsu</p> <p>2) Check the NBSC Weekly Closure report to see if the branch has reported the reason for closure to the NBSC.</p>	<p>3) Check EFC to see if there is a known reason for the branch closure. Inform IRT of any closures and if known, the anticipated reopening date.</p> <p>4) Attempt to contact the branch in cases where there is no known reason for closure.</p> <p>5) Branch Open But Not Contactable - Send branch standard letter by Recorded Delivery asking them to contact POMST within 48 hours. If the preferred Fujitsu router installation date is known the letter will just give</p>



Scenario	IRT Activities	POMST Activities
		<p>that date and explain to the branch that Fujitsu and POL have been trying to contact them, but as there has been no answer, the letter is the notification that the installation will be taking place.</p> <p>6) For any National Multiple branch escalate to SAM for liaison with multiple partner.</p> <p>7) If necessary arrange for BDM/OFS/NS Manager to go out to the branch</p>
Branch System Problems	1) Liaise with Fujitsu to agree a new install date once the branch system issues have been confirmed as resolved.	No actions required from POMST

2.1.3 POMST Responsibilities

In all cases of escalations it is imperative that POMST:

- Keep IRT informed of progress including when and how the issue has been resolved. This should be done via daily exchange of information on the spreadsheet.
- Advise IRT if resolution will take the branch beyond its agreed installation date. This will require liaison between POMST and IRT on prospective reschedule dates that can be met by Fujitsu.



- Longer-term branch closures will need to be monitored such that the IRT can be notified in cases where the branch reopens within the project period, so that a router installation can be scheduled.
- Record summary of intervention activity and escalation to contact points on the EFC to support potential future remedial action
- POMST will be responsible for maintaining the master spreadsheet of all escalations.

2.1.4 Non-conformance Reasons

The table below gives a breakdown of the various reasons that a branch may give for refusing a router installation and stipulates in each case if they are to be considered a valid reason (i.e. one that requires no explanation). The list below is not exhaustive and if uncertain the IRT should contact POMST to discuss individual cases.

Ref	Reason Type	Description/Examples	Valid
REAS-1.	Office Management Issue	Branch being managed by a temporary SPMR	No
		National or local multiple branch - Area Manager input required.	No
		Branch being run by relief SPMR (holiday cover)	No
		Absentee SPMR - Staff unwilling to agree to router installation	No
REAS-2.	Closure/Transfer	Retail refurbishment closure on the day of install (Please note: These do not go through the OBC process and are most likely in the National Multiple network)	Yes
		Unplanned closure on the day of install (e.g. robbery, flood, power cut)	Yes
		Branch will be closing (temporarily)	No



Ref	Reason Type	Description/Examples	Valid
		Branch will be closing (permanently)	Yes - if within timescale for rollout
REAS-3.	Refusal to allow install	Branch refusal due to unconnected grievance (e.g. transaction corrections)	No
		Branch refusal due to branch having to close and lose footfall	No
		Branch too busy to allow engineer access	No
REAS-4.	System Problems	Branch has technical issues with the Horizon system preventing installation of router.	Yes
REAS-5.	Personal Emergency	Medical emergency of SPMR or family	Yes
		Bereavement	Yes
		Illness	Yes

2.1.5 Timescales

The timescales for the router non-conformance process are outlined below:

1. Day 0 - Non-conformance identified
2. Day 1/2 - IRT actions to resolve and reschedule without the need for escalation
3. Day 3/4 - POMST initial contact with the branch or checking of records dependent on reason for non-installation. For non-valid refusals a verbal warning will be issued by POMST if the branch is still unwilling to accept the installation.
4. Day 5/6 - Escalation by POMST to Contracts Advisor or Senior Account Manager
5. Day 9/10 - Contracts Advisor/SAM report back on resolution to POMST
6. Day 10/11 - POMST report back to IRT on branch.



2.2 Migration Non-conformance

This section documents the processes for dealing with any branches that fail to migrate. Fujitsu will produce daily MI detailing the branches that have failed to migrate on the prescribed date. The following assumptions have been made with regard to the migration and the MI:

- Any escalations required into Network will have those branches that could not migrate due to technical reasons stripped out by Fujitsu/IRT.
- In cases where the branch misses the migration date the icon will disappear from the Horizon system and will have to be scheduled to go back on. The current assumption is that the icon will not be able to appear any sooner than 5 working days after the initial date, due to the restrictions of the OBC process. This is the same process each time the branch fails to migrate and adds greater risk into the process.
- The project has to meet its final migration date as advised by the Horizon Online Programme. Having only one branch not migrated means that the old Horizon platform cannot be turned off and the costs of dual running could be substantial. It is therefore recommended below that there be flexibility in the process described to reduce the number of steps as the deadline approaches and, secondly, that there be an exceptions process to deal with those cases that cause particular issues (e.g. Absentee subpostmasters). The Exceptions Process and the issues around tail end management are discussed in more detail in Section 2.4 below.
- Section 2.3 outlines that the training plan for branches now included on site migration support at all branches. This means that a branch's failure to migrate will most likely arise either when the branch is contacted by either the IRT or, NBSC or POMST field resource in advance of the visit, or when the POMST field resource arrives on site and is refused access or the branch refuses to migrate during the process itself.

2.3 Non-completion of Training

Branches will be advised to complete training prior to migration onto the Horizon Online platform. It should be noted however that none of the training is mandatory and failure to



complete will not prevent the branch from migrating onto the new software. The branch will have the following training options:

- All branches will receive on site migration support onto the new Horizon Online platform; this will be on the day of migration and will include support with the migration process through to conclusion and a short introduction to the new software.
- Horizon test and confirmation - All branches will have the facility to do this prior to migration. Once a branch has migrated the facility to complete this test will not be available
- Online test via website - For any branch that has access to the Internet and wishes to complete by this method.

The training pack will be sent out to branches 3 weeks prior to their migration dates with the on-site migration support attending on the scheduled migration date. . Along with the two interactive tests mentioned above (Horizon and website), this approach should give branches sufficient initial knowledge to be comfortable operating the new Horizon Online software from opening on the first day. . This process for training non-completion is based on the following three assumptions:

- All branches should at least complete the Horizon test and confirmation.
- The Horizon test and confirmation should be completed before the scheduled migration date and attendance by the Horizon Online Trainer
- Branches that have not completed the Horizon test will not be stopped from migrating or trading on Horizon Online, but they will be expected to conclude the test within 7 days of migration.

2.3.1 Actions for Non-completion of Training

POMST will be provided with management information on a daily basis that will show the status of all branches in the rollout and their current status with regard to the training highlighted above. POMST field resource will be supplied with this data prior to their visit to the branch



on the scheduled migration date and will check to see if the branch has completed the Horizon online test. Any branches that have not completed the test will be challenged on the visit and a commitment sort that they do the test within a week of migration.

2.3.2 Escalation Process

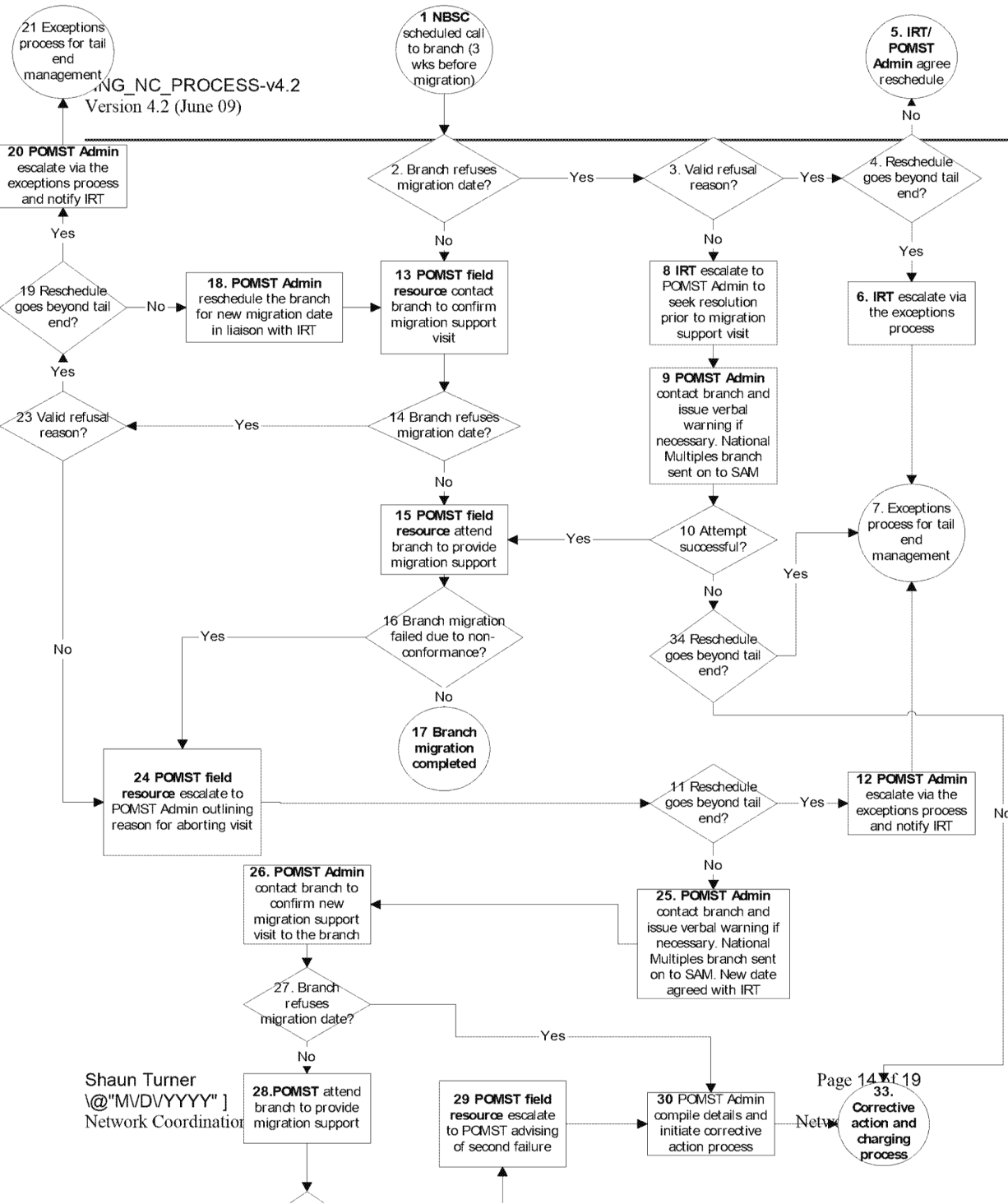
The IRT will receive regular management information updates on what training a branch has completed. The timeline for branches with regard to training non-completion will be as follows:

- **3 weeks prior to migration following dispatch of training pack** - Phonecall from NBSC will be made to the branch to ensure they are on track for migration; part of this call will be to remind branches of the need to complete the confirmation on Horizon that they have undertaken the training.
- **1 week prior to migration** - Phonecall from NBSC to branches that have not done any of the training to remind them to complete it.
- **1 or 2 days prior to scheduled migration date** - The POMST field resource checks the management information to see if the branch they are visiting the following day has completed the Horizon test. POMST field resource contacts the branch to confirm the appointment and reminds the branch to complete the Horizon test in cases where they have not already done so.
- **Day of scheduled migration** - POMST field resource attends branch to carry out migration support, and as part of the visit checks to see if the branch has done the Horizon confirmation training. If the branch has completed the training the POMST field resource should check the receipts in branch and make a note to state they have seen them. If the branch has not completed the Horizon Test the POMST field resource should advise the branch that they must complete a manual copy of the training within 7 days and they will receive a letter from the Contracts Advisor asking for confirmation that they have done so. The paper copy of the test should be retained in branch as proof of completion of the test.
- **8 days after scheduled migration date** - Network Support Admin will issue a letter to any branch identified by POMST field resource has not completing Horizon Test on date of migration. The letter will carry a reply slip for the branch to confirm that they have now



completed the training. Returned slips should be scanned in and added to the branch record on the EFC.

The flowchart embedded below is the high level process showing the interactions between the three groups involved in dealing with potential migration non-conformance; the Horizon Online Project IRT, the POMST field resource and the POMST Admin Team The process covers the basic process with links into the processes to deal with Exceptions (Section 2.4) and Corrective Action (Section 2.4.1).



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2.4. Exceptions Process & Tail End Management

There will be a need to set up an exceptions process to deal with those branches that:

- Still fail to conform after being taken through the full non-conformance process detailed above.
- Are unable to migrate due to valid mitigating circumstances
- Branches unable to migrate for various reasons that have not been anticipated.
- Circumstances prevent migration before the milestone date for all branches to be migrated (date will be advised by Horizon Online Programme)

It is anticipated that only small numbers of branches should be required to go through the Exceptions Process (EP) and that responsibility for managing the exceptions will be given to an Exceptions Manager within Network, who will log, track and crucially bring together any parties responsible for resolution. The Exceptions Manager responsible for managing the EP will be notified daily by POMST of any branches that require escalation via e-mail, along with the details of previous contacts with the branch.

The Manager will then be responsible for managing any branches through to resolution. This will involve bringing together key stakeholders to ensure that the issues at the branch are resolved. The Exceptions Manager will have responsibility for ensuring the logging of all escalations and ensuring that information is transparent to the other key stakeholders involved in the migration rollout (principally IRT and POMST).

The table below outlines the anticipated stakeholders that would need to be brought into resolve issues at branches:

Issue Preventing Rollover	Stakeholders	Potential Solutions
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Issue Preventing Rollover	Stakeholders	Potential Solutions
Non-conformance or branch refusal to rollover	Relevant Contracts Advisor Business Development Manager (if applicable) Senior Account Manager (if applicable)	<ul style="list-style-type: none"> ▪ Contact with the branch from the Contracts Advisor with consideration given to terminating the contract ▪ Visit from the BDM to migrate the branch.
Branch temporarily closed at short notice	Relevant Field Change Advisor BDM or Scheduling Team (where branch needs POL representative to attend) Senior Account Manager (if applicable)	<ul style="list-style-type: none"> ▪ Arrange with SPMR for them or a POL representative to do the migration ▪ In cases where the branch is going to be closed for a protracted period (e.g. major structural damage), will need to liaise with FCA about kit removal and new FAD re-roll
Personal emergency at branch prevented rollover	Business Development Manager (if applicable) Senior Account Manager (if applicable) Scheduling Team for Centrally Supported	<ul style="list-style-type: none"> ▪ Arrange with branch for migration to occur, by a trained individual or POL representative if the SPMR is not able to.
Issue with a Temporary SPMR	Relevant Contracts Advisor Temp SPMR Manager	<ul style="list-style-type: none"> ▪ Liaise with Temporary SPMR Manager and Contracts Advisor to ensure migration. ▪ In cases where a Temp is running the branch whilst the actual SPMR is
Access issue to branch	Scheduling Team if visit	<ul style="list-style-type: none"> ▪ POL Representative to attend



Issue Preventing Rollover	Stakeholders	Potential Solutions
	necessary	the branch <ul style="list-style-type: none"> ▪ If no access and migration is possible before the end of rollout, the branch will have to be closed via OBC and re-rolled.

The Exceptions Manager will also take primary responsibility for dealing with those branches that fall into the tail end management process. It is currently anticipated that the migrations schedule allows for a 2-week mop up period at the end of the migration rollout. This is crucial, as any branches remaining during this period will have to be managed closely, as the business cannot afford to have any branches on the current Horizon software platform beyond the end of rollout. The Exceptions Manager will be responsible for recommending to Network stakeholders, in cases where migration will not be possible by the end of rollout, that a branch be closed in Reference Data via the OBC process. This is not a decision that can be taken lightly as it will mean the branch being closed for potentially up to 30 days. It is recommended that Network have a 'decisions panel' operating each week throughout the last month of rollout to take decisions on any branches falling into the exceptions process as the deadline approaches.

The Exceptions Manager will be additionally responsible for the following:

- Attempting to resolve all escalations within 14 days.
- Weekly conference calls (moving to daily in the last month of rollout) to discuss progress on branches in the escalations process with IRT and POMST representatives
- Keeping Network stakeholders informed of number of branches migrated against target and any early warnings if the tail end management is likely to see larger numbers than expected.
- Link from POMST into the corrective action process. This makes sense due to the fact that although a branch may justify corrective action, if it is also going into the tail end of the rollout when this occurs, that situation will need to be managed also.



- Liasing with External Communications, Flag Case Team and the NFSP if required for some of the more sensitive cases.

2.4.1 Corrective Action

Section 2.4 above outlines the Exceptions Manager in Network as the link into the Corrective Action process. This is due to the fact that the Corrective Action process may still not be responsive enough to ensure a branch is migrated before the end of rollout, particularly if the branch in question is towards the end of the rollout. The escalation points for the Corrective Action process are as follows:

- Crown Offices - Exceptions Manager to liase direct with the BDM for the branch
- National Multiples - The relevant Senior Account Manager
- Agency Branches - The relevant Contracts Advisor

The standard corrective action process for dealing with branches will be initiated by the relevant Contracts Advisor or, in the case of National Multiples, the relevant SAM. The Contracts Advisor/SAM will liase directly with the BDM in the case of any Account Managed branches. Corrective action against branches is an established process with defined steps to be followed, although the process will be expedited in the case of agency branches by the fact that a verbal warning will have already been issued by POMST in the telephone conversation with the branch. Contracts Advisors and SAMs will be advised of the impact of branches not migrating by the end of rollout and this will be built into their communications with branches and National Multiple partners.



3. Management Information Provision

In addition to the management information stipulated in the previous sections of the document, the HOP has MI requirements on Network to ensure smooth and effective management of the project. These requirements are summarised below:

- Temporary SPMR branches - Weekly
- Unplanned Closures (non-critical) - Weekly
- Unplanned Closures (critical) - Daily
- Branches scheduled for audits the following week - Weekly
- Branches that are scheduled for transfer - Weekly
- Branches not completing branch trading statements on time - Daily