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On Line Services Reconciliation & Incident
Management

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Ref: **NB/PRO/002**
Version: **6.0**
Date: **17/10//2005**

Document Title:	On Line Services Reconciliation & Incident Management
Document Type:	Procedure
Release:	S80
Abstract:	This document outlines the end-to-end reconciliation and incident management procedures required to investigate, report and resolve On Line Services reconciliation and business incidents.
Document Status:	APPROVED
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0.0 Document Control

0.1 Document History

Version No.	Date	Reason for Issue	Associated CP/PEAK/PPRR Reference
0.1	22/10/01	Initial Draft	N/A
1.0	19/12/01	Issued for Approval following Post Office Ltd review	N/A
2.0	22/01/02	Post V1.0 Post Office Ltd comments included to enable final approval off by Post Office Ltd	N/A
2.1	07/03/02	Changes following the implementation of CR27 and output from the reconciliation report workshop held on 20/21 February 2002	N/A
2.2	22/03/02	Changes following N08 contractual discussions	N/A
2.3	22/04/02	Changes following N08 contractual discussions & re-branding of ICL Pathway to Fujitsu Services	N/A
3.0	10/05/02	Comments following PO Ltd Review. For approval	N/A
4.0	15/12/02	Revised to remove references to Codified Agreement Schedule G01 and replace with CS/SER/017. Also to include references to Service Level Targets and remedies payable in respect of Debit Card Method of Payment (DCMoP)	
5.0	19/12/02	Updated for Contract Amendment. This versions does not include references to Service Level Targets and remedies payable in respect of Debit Card Method of Payment (DCMoP) – however these have been listed in 0.6 Changes Expected.	
5.1	10/6/05	Updated to reflect changes in S80; removal of the Cash Account.	
5.2	8/7/05	Reissued in response to comments, replacement of TP with POLMIS, replace BMS with OBCRDST	
6.0	17/10/05	Change of title of document to reflect reconciliation of all On Line Services.	

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		Reissued in response to comments received and general updating to include all On Line Services (E Top up, Debit Card, etc.)	

0.2 Review Details

Review Comments by :	14/10/05
Review Comments to :	Richard Brunskill, Fujitsu Service Delivery Management

Mandatory Review	
Post Office Ltd: Operations Control	Bernadette O'Donnell
Post Office Ltd : Product & Branch Accounting	Julie Dart *
Fujitsu POA Commercial	Hillary Forrest
Fujitsu POA MSU	Pooja Sujith
Post Office Ltd: Design Authority	Torstein Godeseth
Optional Review	
Fujitsu POA MSU	Jez Murray
*Issued for Information – **Please restrict this distribution list to a minimum***	
Fujitsu POA Design Authority	Gareth Jenkins
Fujitsu POA Service Support	Pete Thompson

(*) = Reviewers that returned comments

0.3 Associated Documents

Reference	Version	Date	Title	Source
CS/SPE/011	7.0	15/11/04	Network Banking End to End Reconciliation Reporting	PVCS
CS/PRO/111	6.0	17/10/05	TPS Reconciliation & Incident Management	PVCS
CS/PRO/168	0.1	17/10/05	Horizon Reconcliation Exceptions – Working Document	PVCS

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0.4 Abbreviations/Definitions

Abbreviation	Definition
Business Incident	Any exception (as defined below) reported via NB102 or via the HSD requiring investigation and the provision of corrective information to allow Post Office Ltd to settle or reconcile. A Business Incident relates to the 'Symptom' and not to the root cause of the exception.
Customer Critical Exception	A Priority Exception (see below for definition) where Fujitsu have received a DBTN, (see below for definition).
DBTN	Disputed Banking Transaction Notice: Where Fujitsu has received notification from Post Office Ltd via the Enquiry Service following a query by the 'End' customer relating to the state of his / her account.
EBBT	Enquiry Based Banking Transaction: Where Fujitsu has received notification from Post Office Ltd via the HSD wishing to query a particular transaction.
Exception Types	Within all reports the 'Exceptions' category will include: • 'Incomplete States', i.e. those transactions where one or more transaction component is missing – a C4 without a C12 etc • Genuine exceptions where transaction components belonging to the same high level transaction have been exceptioned, i.e. C12 (amount) not = to C4 (amount) etc. • DRS corruptions
MSU Day	Between 08.00hrs and 17.30hrs Monday – Friday inclusive, excluding English bank holidays
On Line Services	Transactions completed via the Horizon system within the Post Office branch that require real time communication with Post Office Ltd Financial Institutions or Clients. Currently this includes: Banking transactions (Alliance & Leicester, Card Account for the Post Office (CAPO) & LINK), Debit & Credit Card transactions and Electronic Top Up (ETU)transactions.
Priority Exception	An exception reported within NB102 section 5 relating to system states 4 or 12 following confirmation of a corresponding C4 or D message
System Incident	Any exception (as defined above) reported via NB102 or via the HSD requiring the investigation and repair of the root cause of the exception.
APS	Automated Payment Service
BIMS	Business Incident Management Service
CAPO	Card Account for the Post Office
D&CC	Debit & Credit Card
DRS	Data Reconciliation Service
EPOSS	Electronic Point of Sale Service
ETU	Electronic Top Up (for mobile phone services)
HSD	Horizon Service Desk

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LREC	LINK reconciliation file
MER	Manual Error Report
MSU	Fujitsu Services, Management Support Unit
NBX	Replacement architecture of network after removal of NBE
NWB	Network Banking
On Line Services Report Set	On Line Services Reconciliation Reports produced by Fujitsu
PEAK	POA fault logging system.
POL Finance	Post Office Ltd Finance Department
POLFS	Post Office Limited Financial Systems
POLMIS	Post office Ltd Management Information Systems
SSC	Fujitsu Third Line Support (System Support Centre)
TES	Transaction Enquiry Service
TPS	Transaction Processing Service

0.5   Changes in this Version

Version	Changes
1.0	• New section 'Disputed transactions' included • Report definitions amended to be consistent with CS/SPE/011 • Process maps amended following discussion • Definition of SLT components included in detail • Re- structuring of document following PO Limited review
2.0	• Late comments included to enable approval by Post Office Ltd: See section 4.4.3.1 – 'Customer Critical Exceptions' included in points 1 and 3.
2.1	Re issue for review following changes resulting from CR27 and workshop held on 20/21 February 2002. • System States 8,9,10 & 11 'Customer Critical' exceptions replaced by System State 4. • Reports NB100a & NB100b now deleted from report set • Reports NB101a & NB101b now deleted from report set and replaced with new report NB101 • Widespread error provisions and monitoring amended to agree with schedule N08 – now section 4.4.2. • Contingency for report distribution to Post Office Ltd amended to include NB101 and NB102 sections 1 and 2 • SLT definitions amended to agree with schedule N08 – now section 4.4.1. • Process maps for incident management, section 7 are deleted. Will

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	• be scoped and agreed in a separate non CCD • Caveat to exclude 'S' transactions from Network Banking reports. (EFTPOS reports will be populated with 'S' transactions)
2.2	Re-issue following N08 contractual agreement: 0.3: Deletions from associated documents and the inclusion of CS/PRO/111 0.4: Definition added for Priority Exception 4.4.1: SLT measurements and criteria brought in line with N08 4.4.2: Widespread error definition brought in line with N08 5.0: Amendments to BIMS report example 6.0: Tables brought in line to those quoted in CS/SPE/011
2.3	4.4.1 Amendments to Priority Exception SLT measurement from 'Average' time to 95% target time. 4.4.2 Amendments to the Widespread Error provision following final agreement of N08 Re-branding of ICL Pathway to Fujitsu Services throughout document
3.0	Final POL (Glenys Latham) comments included.
5.0	Updated for Contract Amendment. This versions does not include references to Service Level Targets and remedies payable in respect of Debit Card Method of Payment (DCMoP) – however these have been listed in 0.6 Changes Expected. Minor typos corrected.
5.1	Updated for release S80; Removal of the Cash account.
5.2	Response to comments, replace term TP with POLMIS, replace BSM with
6.0	Updated with revised title to cover all On Line Services and updated in response to comments received.

0.6   Changes Expected

Changes
Changes after review

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0.7 Table of Contents

1.0 Introduction

The On Line Services Report Set produced by Fujitsu has been designed to enable Network Banking (NWB) including Alliance & Leicester, Card Account for Post Office (CAPO), LINK, Debit & Credit Card (D&CC) and Electronic Top Up (ETU) transactions completed in the Post Office branches to allow settlement to be made with Post Office Clients, e.g. LINK, or direct settlement to specific clients or financial institutions. Five separate Report Sets for Banking, D&CC and ETU are produced as listed below. See also sections 3.1 & 3.2 of this document for a full description of the format and content:

On Line Service	Report Title	Report Title
Banking: LINK	NB101	NB102
Banking: Alliance & Leicester	NB101	NB102
Banking: CAPO	NB101	NB102
E Top Up	NB101	NB102
Debit & Credit Card (Streamline)	NB101	NB102

Fujitsu central systems will produce the On Line Services Report Set for each of the above streams in accordance with the rules documented within *'CS/SPE/011: Network Banking End-to-End Reconciliation Reporting'*. This Report Set will reconcile all the individual transaction components making an On Line Services transaction. Reconciliation is driven to allow the counter reconciling with the 'Client, i.e. the Financial Institution'.

In addition to those exceptions reported by Fujitsu within the On Line Services Report Set, reconciliation errors may be discovered by Post Office Ltd Finance (POL Finance). when reconciling data within its own systems or relating to queries from Post Office Clients. To initiate the Business Incident Management (BIM) process, Fujitsu Management Support Unit (MSU), or generates On Line Services Business Incidents for one or more exceptions or reconciliation errors discovered.

The incident management process is generic for all services. Electronic Point of Sale Service (EPOSS), Automated Payment Service (APS) and On Line Services incidents are raised, documented and progressed to resolution in the same manner.
It should be noted however, that where an On Line Services incident does not affect reconciliation within POLFS Manual Error Report (MER) charging does **NOT** apply.

Definition and charges for On Line Services / Transaction Processing Service (TPS) related errors, where the incident has caused a reconciliation or settlement error within POLFS are found in associated Fujitsu Contract Controlled Document (CCD) entitled: *'CS/PRO/111: TPS Reconciliation & Incident Management'*

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2.0   Scope

This document sets out the reconciliation and incident management procedures to be adopted by Fujitsu MSU for dealing with On Line Services Report Set distribution to Post Office Ltd, and any associated On Line Services Business Incidents which may arise, including:

- On Line Services reconciliation report exceptions and incomplete states
- Software faults affecting reconciliation and settlement
- Post Office Client enquiries / disputed banking transactions
- On Line Services reconciliation reports

The present revision of the document is needed to describe the changes brought about by S70/75/80, specifically the removal of the Network Banking Engine (NBE), the removal of the Cash Account which is being replaced by the Branch Trading Statement (BTS) (thus the removal of the NB103 report) and the migration from Post Office Ltd Operational Transaction Information Processing (OPTIP) to POLFS,

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3.0   Reports produced by Fujitsu central systems

This section is intended to give an overview of the working of each reconciliation report available. It is not intended as a reference point in the design of the reports, as such any rules or definitions quoted within the associated CCD *'CS/SPE/011: NWB End to End Reconciliation Reporting'*, will take precedence.

3.1   NB101 – On Line Services Settlement Statement

This report provides settlement information based upon the 'Client View' where the Data Reconciliation Service (DRS) has received C4 transaction components.

1. **C4 Settlement Date 1** – This figure identifies all C4 transaction components received by the DRS with a 'C4 Settlement Date' = to the Run Date of the report.

2. **C4 Settlement Date 2** – This figure identifies all C4 transaction components received by the DRS with a 'C4 Settlement Date' = to the Run Date of the report minus 1 day if any C4 transactions received for this date.

3. *C4 Settlement Date 3 etc* – This figure identifies all C4 transaction components received by the DRS with a 'C4 Settlement Date' = to the Run Date of the report minus 2 days if any C4 transactions received for this date. *(Repeat for each day where C4 transactions have been received)*

4. **Total of all C4 transactions received on this report.**

5. **Columns**: Representing volume and value of Deposits, (titled 'Receipts') and Withdrawals, (titled 'Payments').

6. **Net Settlement column showing volume and value where**:

   - Volume = number of deposits plus number of withdrawals

   - Value = value of deposits minus value of withdrawals

   - Where the value of withdrawals exceeds the value of deposits, this total is shown as (£9999.99)

   NB: LINK transactions are reported via the LINK NB101 against their specific financial institutions.

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3.2   NB102 – Exception Summary

The report identifies all incomplete or exception states.

This report is divided into 12 sections:

Section 1:   All Uncleared confirmed, unconfirmed and POLFS exceptions

- Reports exceptions by 'Incomplete or Exception System State' and reconciliation date. Where no exceptions are reported for a particular system state, the row is suppressed.

Section 2:   Uncleared exceptioned client transactions

- Reports exceptions, (D), individually listed in system state order and reconciliation date where the incomplete or exception state suggests an urgent resolution is required to avoid customer dissatisfaction

Section 3:   Uncleared corruption's

- Reports DRS corruption's individually listed in system state order and reconciliation date.

Section 4:   Uncleared timing differences

- Reports transaction components where there is a difference in the reconciliation date and the posting date allocated where an 'S' has been received with an earlier or later date than the 'C4'. The 'C4' automatically assumes the 'S' reconciliation date however the transaction is exceptioned. *NB: For Alliance & Leicester, CAPO, LINK & ETU transactions, this section is generally not expected to be populated due to the exclusion of 'S' type transactions from this stream.*

Section 5:   Uncleared confirmed, unconfirmed and POLFS exceptions >24 hrs

- Reports defined uncleared exceptions *(see CS/SPE/011)* previously included within Section 1 which have remained uncleared for a period of greater than 24 hours. They are removed from section 1 and listed individually in system state and reconciliation date order.

Section 6:   Uncleared future dated transactions by client

- Reports any transactions received by the DRS which are 'future dated' – Settlement date > report run date +3 in system state and reconciliation date order.

Section 7:   All Cleared confirmed, unconfirmed & TIP exceptions

- As section 1 – exceptions cleared and set to 'F99' by Fujitsu MSU

Section 8:   Cleared exceptioned client transactions

- As section 2 – exceptions cleared and set to 'F99' by Fujitsu MSU

Section 9:   Cleared corruption's

- As section 3– exceptions cleared and set to 'F99' by Fujitsu MSU

Section 10:   Cleared timing differences

- As section 4 – exceptions cleared and set to 'F99' by Fujitsu MSU

Section 11:   Cleared confirmed, unconfirmed & POLFS exceptions >24 hrs

- As section 5 – exceptions cleared and set to 'F99' by Fujitsu MSU

Section 12:   Cleared future dated transactions by Client

- As section 6 – exceptions cleared and set to 'F99' by Fujitsu MSU

3.3   Report Distribution & Checking

Reconciliation reports will be delivered to Post Office Ltd in accordance with the following Service Level Targets:

Delivery of reconciliation & settlement report (Normal)	By 08.05hrs day B
Delivery of reconciliation & settlement report (where DRS failure in overnight batch window)	By 10.05hrs day B
Delivery of reconciliation & settlement report (where there is system failure that is not DRS or TES)	By 12.00hrs day B
Delivery of reconciliation & settlement report (where there is DRS or TES failure)	By 18.00hrs day B
Enrichment with LREC data	
LREC received	Added to reconciliation & settlement report
LREC received by 23.59.59hrs day A	By 08.05hrs day B
LREC received by 01.59.59hrs day B	By 08.05hrs day B
LREC received between 02.00hrs and 22.00hrs day B	By 08.05hrs day C

All reports will be produced as ASCII text files – one for each report. The report layout will be fixed format with space characters providing the blank space. This will allow for 'Excel' input, using fixed field width facilities. Any formatting, (lines and shading) will not be included within the file.

3.3.1   Contingency in the Event on Non delivery of reports to Post Office Ltd

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If Fujitsu is unable to deliver any or all reports to the Post Office Ltd. / POLFS gateway by 08.00hrs the day following the run date of the report, Fujitsu MSU will liaise with POL Finance to arrange an e-mail transmission via the Fujitsu corporate account. Fujitsu MSU will operate this contingency under 'reasonable endeavours' and will aim to have the reports with POL Finance by 09.00hrs in contingency. However this timescale may not be achievable if processing problems have also delayed receipt of the reports into the DRS workstation.

> *NB: Should the Fujitsu corporate e-mail service unavailable, Fujitsu MSU will liaise with POL Finance and agree facsimile of reports NB101 and NB102 section 1 and 2.*

Any distribution list for these reports is considered by both Fujitsu and Post Office Ltd to be of a dynamic nature and therefore specific addressees are not covered within this document.

4.0 Reconciliation & Incident Handling

4.1 Incident Classification

4.1.1 On Line Services Business Incidents

Business Incidents relate to the 'Symptom' of an underlying cause – e.g. the effect of the system fault on the resulting reconciliation or settlement information sent to Post Office Ltd.

An On Line Services Business Incident relates to one or more of the exceptions reported within the On Line Services report set, or one or more reconciliation or settlement errors / disputed transactions raised in accordance with this document by POL Finance. (Refer to section 6.0 for a list of those On Line Services Business Incident incomplete or exception states currently known and for which appropriate On Line Services Business Incident reporting processes are set out in this document).

4.1.1.1 On Line Services Reconciliation Report Exceptions

Exceptions reported within the On Line Services Report Set will be applicable to:

- Communication difficulties between the Post Office branch and the Campus, Agents, Correspondence servers, etc.
- Errors within the DRS (with corresponding errors returned via the TES)
- Errors causing TPS transactions not to be harvested
- Corruption's within the DRS

4.1.2 On Line Services System Incidents

System Incidents relate to the underlying 'Cause'

Following the creation of an On Line Services Business Incident, Fujitsu MSU may raise an associated System Incident to identify and repair the underlying cause of an On Line Services

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Business Incident. System Incidents will be routed to the appropriate group within Fujitsu, for investigation and resolution.

Where there are associated System Incidents and On Line Services Business Incidents, their relationship can be either:

- one to one; or

- one to many, respectively.

Depending on the severity and understanding of the system incident a problem may be formally raised and the problem management route followed until the underlying cause can be rectified.

4.2 Generation of Business Incidents

In line with the generic incident management Post Office Ltd. policy agreed between Fujitsu and Post Office Ltd., On Line Services Business Incidents will only be recognised as such if generated by POL Finance. as appropriate, via the Horizon Systems Helpdesk (HSD) or via the 'Enquiry Service'. This ensures that the On Line Services Business Incident is properly logged, enabling Fujitsu MSU to ensure that corrective information can be supplied and any underlying system fault can be rectified.

It is envisaged that On Line Services Business Incidents will only be generated by the following groups within Fujitsu and Post Office Ltd.:

- Fujitsu MSU for all exceptions reported via the On Line Services report set

- POL Finance for any 'Enquiry Based Banking Transactions' (EBBT) or 'Disputed Transaction Notice' (DBTN) discovered by Post Office Ltd. that has not been reported by Fujitsu MSU via the On Line Services report set

- Fujitsu Third Line Support (SSC) for any system fault or database adjustment which is considered by Fujitsu to have a reconciliation or settlement implication within Post Office Ltd. in respect of On Line Services transactions.

Subject to agreement by the parties to the contrary, Post Office branch calls to the HSD will not generate On Line Services Business Incidents. However calls from Post Office branches will be monitored and if it is considered necessary by Fujitsu, difficulties reported to the HSD will be elevated to On Line Services Business Incident status.

4.2.1 On Line Services Business Incidents Raised via the HSD by Fujitsu/ MSU

Fujitsu MSU will raise an appropriate Business Incident when needed via the BIM data base for all exceptions appearing on reconciliation report NB102 sections 2,3,4 and 5.

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4.2.2 On Line Services EBBT Business Incidents Raised via the HSD by POLPBA

It is important that POL Finance supply sufficient information to the HSD when generating an On Line Services Business Incident in respect of an EBBT On Line Services Business Incidents to ensure the timescales for the resolution of On Line Services Business Incidents referred to in section 4.4 can be achieved. Achievement of such timescales is dependent upon the following information being provided by POL Finance when generating an On Line Services Business Incident via the HSD:

1. A valid 'PATH' code must be quoted, e.g. **'PATH040'** etc.

2. Prefix all narrative with **'THIS IS A BUSINESS INCIDENT FOR MSU'**

3. The following transaction detail:

   - Client Account Number (the PAN)
   - Outlet FAD
   - Value of transaction
   - Date of transaction

NB: Where Post POL Finance raise an EBBT On Line Services Business Incident which may require a large amount of supporting information, summary detail only may be given to the HSD and the additional information may be sent via e-mail to Fujitsu MSU. (A current Fujitsu MSU contact list will be made available to POL Finance).

4.2.3 DBTN On Line Services Business Incidents Raised via the Enquiry Service

This facility is to support requirements in respect of Disputed Banking Transaction Notice (DBTN) where Post Office Ltd. has received notification via either the Post Office branch or the Network Business Support Centre (NBSC). POL Finance will contact Fujitsu MSU 'Enquiry Service' directly by telephone, requesting urgent investigation within the timescales quoted in section 4.4.1

Achievement of such timescales is dependent upon the following information being provided by POL Finance when generating a DBTN enquiry via the Enquiry Service:

1. The following transaction detail:

   - Client Account Number (the PAN)
   - Outlet FAD
   - Value of transaction
   - Date of transaction

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NB: If incorrect or insufficient information is provided by POL Finance to allow resolution of the DBTN enquiry, no further action will take place until new information is supplied and the enquiry will not be monitored in accordance with the timescales referred to in section 4.4.1.

4.3   On Line Services Incident Reporting

4.3.1   BIM Reports / MER

The Business Incident Management System (BIMS) has been designed to report the progress to resolution of an On Line Services Business Incident to allow Post Office Ltd. to complete an accurate reconciliation or settlement with their clients. For ease of identification and association with the corresponding HSD call, BIM report references will mimic the HSD reference, or where no HSD input is needed the BIM report will use the Fujitsu fault logging (PEAK) reference. Where an incident has been raised via the Enquiry Service, an initial response will be provided via telephone to POL Finance and followed up by an appropriate BIM report using the PEAK reference.
In all cases each BIM report will have a unique identifier.

4.3.1.1   Format & content of BIM report / MER

A BIM report will be issued for each On Line Services Business Incident generated via the HSD and the Enquiry Service. As part of that BIM report, Fujitsu MSU will issue a MER for each error associated with the relevant On Line Services Business Incident where it is necessary to do so, to advise POL Finance of the transaction detail required to enable reconciliation or settlement to take place.

BIM reports / MER are designed to notify POL Finance of the detail required to assist in the reconciliation or settlement process within Post Office Ltd. domain. BIM reports communicate information concerning the resolution of the symptom of an underlying cause, not the cause itself. BIM reports / MER will not advise any detail as to the underlying 'Cause' of the problem if this is a result of a software error etc. This information is supplied via the Problem Management route (if escalated to this level).

Where a System Incident is generated to eradicate the cause of a particular problem and there are one or more associated On Line Services Business Incidents, cross-references will be supplied on the On Line Services Business Incident BIM report / MER and via the Problem Management process to allow tracking of the System Incident.

4.3.1.2   Clearance Criteria

Fujitsu MSU anticipates that it will provide information concerning On Line Services Business Incidents to POL Finance on a 'drip feed' basis, by issuing updated versions of the initial BIM report / MER.

- A BIM report is 'Cleared' when Fujitsu MSU has provided the reconciliation / settlement information required to be contained in the relevant BIM report as set

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out in section 4.4.1.1. Additionally, the exception is cleared from the appropriate section of NB102 by Fujitsu MSU.

POL Finance will advise Fujitsu MSU via spreadsheet on a monthly basis of any payments it considers are payable to Post Office Ltd (as compensation for Post Office Ltd. costs in dealing with MER). **For the avoidance of doubt, NO charges are payable in respect of MER issued for On Line Services incidents not affecting the POLFS transaction stream**.

If the parties disagree whether the POLFS transaction stream has been affected or not, or consequential loss has been incurred by Post Office Ltd and after discussion no agreement can be reached the specific incidents will then be escalated via a 'Case Law Referral' form, to the Commercial Forum for a final decision to be made.

4.3.1.3   BIM Report Distribution

Fujitsu MSU will distribute On Line Services BIM reports / MER to POL Finance. using the Fujitsu corporate e-mail network. In the event that this facility is temporarily unavailable, reports will be distributed via mutually agreed methods (CD/Floppy etc).

BIM reports / MER distributed in accordance with this section will be deemed to have been issued to POL Finance. at the time of transmission by mail.

An example of a BIM report / MER is shown in Section 5.0.

4.4   On Line Services Exception Resolution Timescales

4.4.1   On Line Services Business Incident Service Level Target (SLT) conditions

Fujitsu MSU will raise an initial BIM report relating to a new On Line Services Business Incident, on the same working day as the On Line Services Business Incident is generated via the HSD or the Enquiry Service, or in any event on the morning of the next working day. This will be made available in accordance with section 4.3.1.1, to POL Finance. This initial, incomplete, BIM report will serve to notify POL Finance that an On Line Services Business Incident has occurred and that the completed BIM report will be provided to POL Finance. within the agreed timescales below.

In the event of the On Line Services Report Set not being available to Fujitsu MSU in time to enable any exceptions to be notified within this timescale, Fujitsu MSU will contact the POL Finance to agree a temporary extension to the timescale.

All enquiries and transaction searches within 90 days of the original transaction date will be carried out by Fujitsu MSU via the DRS/Transaction Enquiry Services (TES) Workstation(s). Enquiries and transaction searches where the original transaction date is in excess of 90 days will be carried out by Fujitsu MSU using the Audit Archive via the Fujitsu POA security team.

Fujitsu MSU will ensure the final cleared BIM report / MER, is made available in accordance with section 4.3.1.1.and is cleared in accordance with the following timescales:

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1. For DBTN enquiries where the **transaction date is within 90 days of the date the transaction is disputed by the end customer** and raised by POL Finance. via the Enquiry Service in accordance with section 4.2.3:

   95% must be resolved within <= 8 hours of notification based upon all DBTN enquiries (Customer Critical Exceptions) received within the quarterly reporting period

   The following conditions apply to DBTN enquiries:

   The calculation of the time to resolution within the above SLT will only commence from either the receipt of the C4 or D transaction component within the DRS, or the reporting of a Priority Exception, (which becomes a 'Customer Critical Exception by way of the associated DBTN), within NB102 section 5 of the On Line Services reconciliation report set.

2. For any DBTN enquiries where the **transaction date is in excess of 90 days of the date the transaction is disputed by the end customer** and raised by POLPBA. via the Enquiry Service in accordance with section 4.2.3:

   - *It must be resolved within 5 MSU days of notification*

3. For any 'Priority' exception relating to incomplete states 4 or 12, where a DBTN enquiry has not been received, reported within NB102 section 5 and raised by Fujitsu MSU via the HSD in accordance with section 4.2.1:

   95% must be resolved within <= 8 hours commencing at 08.00hrs on the SECOND MSU day following receipt by the DRS of the exception, based upon all Priority exceptions received within the quarterly reporting period.

4. For all non 'Customer Critical' On Line Services exceptions reported within NB102 sections 2 – 5 and raised via the HSD by Fujitsu MSU in accordance with section 4.2.1:

   - *They must be resolved within 5 MSU days of notification via NB102 sections 2 -5.*

5. For EBBT On Line Services reconciliation errors raised by POL Finance. via the HSD in accordance with section 4.2.2:

   - *They must be resolved within 5 MSU days from the date they were reported to the HSD.*

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NB: All time is calculated using the MSU day (08.00 to 17.30) and Monday to Friday inclusive, excluding English bank holidays.

4.4.1.1   SLT Exclusion / Suspension Criteria

- Where an exception has been generated due to factors outside of Fujitsu control, e.g. where a Post Office branch has failed to communicate due to fire, flooding or other agreed 'Force Majeur' conditions, the exception will be removed from the BIM SLT calculation in agreement with Post Office Ltd and resolved using 'Reasonable Endeavours'.

- Where an exception necessitates the retrieval of information from, or access to, a Post Office branch to enable successful resolution and this is not available. The period whilst Fujitsu waits, having requested that information or access be provided, shall not count towards the time for resolution of that exception.

Post Office Ltd. will be informed via the BIM report applicable to the exception being investigated that SLT suspension is being invoked in respect of the above.

4.4.1.2   On Line Services System Incident Resolution Timescales

There is no strict timescale for the resolution of a System Incident as the time taken to develop a fix or correct erroneous reference data cannot be determined. Obviously however, Fujitsu will give every System Incident the priority it deserves taking into account Post office Ltd. requirement and would aim to deliver an initial analysis of the root cause within 5 working days and a final analysis and evidence of remedial action, within 10 working days. A System Incident may be escalated through the 'Problem Management' route depending on the complexity and impact of the system incident. Registered problem updates will be regularly supplied to Post Office Ltd at agreed intervals.

4.4.2   Widespread Errors

Fujitsu MSU will monitor 'trigger points', for example HSD calls and the On Line Services Report Set, which can alert of any likely potential or actual 'widespread' errors which may occur.

4.4.2.1   Widespread Error Conditions:

Total Number of Exceptions	Customer Critical	Priority Exceptions which aren't Customer Critical Exceptions	Other Exceptions

in the day	Exceptions		
Up to 100	8 hr SLT	8 hr SLT	5 day target time
100 to 500	8 hr SLT	8 hr SLT unless there are more than 100 in either state 4 or state 12 in which case those in that error state will have a Widespread Error 'let' to 5 day target time, but all others to meet the 8 hr SLT	5 day target time
Over 500	8 hr SLT	Target time for Widespread Errors. 8 hr SLT for the first 500 which are not Widespread Errors and 5 day target time thereafter	5 day target time

4.4.3   Repairing Data

Refer to Fujitsu document *'CS/PRO/111 'TPS Reconciliation & Incident Management'* for the repair criteria in relation to On Line Services transactions affecting the POLFS transaction stream.

(CONTRACT CONTROLLED - Leave Blank if Not Applicable)

5.0 BIM Report Example

BIMS Reference:	**BE**		
Service:	Version:	Last Updated:	
Service Sub Type:			
Exception Type:			
Originator:	Transaction Date:	BTS:	FAD:
Status:		Exception Value:	

Other References	Transaction Liability	
POL Reference:	Provisional:	Final:

Settlement Details

Exception Settlement

HSD Reference:	Settled Amount:
	Invoice Number:
	Invoice Date:

Manual Error Report

Incident History	Chargeable Errors:
Date Received:	MER Set Amt:
Date Cleared:	MER Inv No:
Date Closed:	MER Inv Date:

Actions			
Actions: Date & Time	**Action Type**	*(Describe Incident)*	**Analyst**
Actions: Date & Time	**Action Type**	*(Clear Incident)*	**Analyst**

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6.0 Incomplete and Exception States

6.1 Incomplete States

This table identifies the NB102 series report section where incomplete and discrepancy States are reported in detail.

Incomplete State	Transaction Components					Exception report NB102 Section	
	C112	C12	C4	S	D	Uncleared	Cleared
1		√				1 & 5	7 & 11
2		√	√			1 & 5	7 & 11
4			√			1 & 5	7 & 11
5	√					1 & 5	7 & 11
6	√	√				1 & 5	7 & 11
7	√		√			1 & 5	7 & 11
8				√		1 & 5	7 & 11
9	√			√		1 & 5	7 & 11
10		√		√		1 & 5	7 & 11
11	√	√		√		1 & 5	7 & 11
12					√	2	8
13		√			√	2	8
14	√				√	2	8
15	√	√			√	2	8
16			Then √	√		1 & 5	7 & 11
17	√		Then √	√		1 & 5	7 & 11
18		√	Then √	√		1 & 5	7 & 11
20				√	Then √	2	8
21	√			√	Then √	2	8
22		√		√	Then √	2	8
23	√	√		√	Then √	2	8

Shaded lines represent System States refer to D&CC exception states only.

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6.2 Exception States

This table identifies the NB102 series report section where an exception is reported in detail.

Exception State	Description	Exception report NB102 Section	
		Uncleared	Cleared
E01	Additional C112	1 & 5	7 & 11
E02	Additional C12	1 & 5	7 & 11
E03	Additional D	2	8
E04	Additional C4	1 & 5	7 & 11
E05	Additional S	1 & 5	7 & 11
E06	S after C4	1 & 5	7 & 11
E07	S after D	2	8
E08	C4 after D	2	8
E09	D after C4	2	8
E10	C112 after final state	1 & 5	7 & 11
E11	C12 after final state	1 & 5	7 & 11
E12	C4 after final state	1 & 5	7 & 11
E13	D after final state	2	8
E14	S after final state	1 & 5	7 & 11
E15	Not Used		
E16	Not Used		
E17	Not Used		
E18	Not Used		
E19	Not Used		
E20	Amount of C112#C12	1 & 5	7 & 11
E21	Amount of C112#C4	1 & 5	7 & 11
E22	Amount of C112#S & C112#0	1 & 5	7 & 11
E23	Amount of C12#C4	1 & 5	7 & 11
E24	Amount of C12#S & C12#0	1 & 5	7 & 11
E25	Amount of C112#D	2	8
E26	Amount of C12#D	2	8
E27	Incomplete/corrupt C112	3	9
E28	Incomplete/corrupt C12	3	9
E29	Incomplete/corrupt C4	3	9
E30	Incomplete/corrupt D	3	9
E31	Incomplete/corrupt S	3	9
E32	Amount of C4#S & C4#0	1 & 5	7 & 11
E33	Amount of D#S	2	8
E34	C112 arrived after state F99	1 & 5	7 & 11
E35	C12 arrived after state F99	1 & 5	7 & 11
E36	C4 arrived after state F99	1 & 5	7 & 11
E37	D arrived after state F99	2	8
E38	S arrived after state F99	1 & 5	7 & 11
E39	Settlement Date # Reconciliation Date	4	10

Shaded lines represent System States refer to D&CC exception states only.