In relation to Issue 1:

1.1 [Request For Information 1.1]^{J1} Can it be described how an SPM reports an issue (detailed from the moment that SPM picks up the phone), how this is recorded, how this is investigated (throughout the various 1st, 2nd and 3rd lines of support) and if a bug is determined how the impact is considered and how this is scheduled into the development cycle and then ultimately the code versioning system and then when changes are agreed through to release management, including the release notes for new versions and which persons these are shared amongst.

1.2 [RFI 1.2]^{J2} Can it be described how bugs/errors/defects identified by Fujitsu or PO are processed if it is the case that this is a different mechanism to those identified through an SPM issue.

In relation to Issue 2:

1.3 [RFI 2.1] Can it be described how SPMs receive reports of active bugs or errors regarding the Horizon system. For example, were SPMs notified about the "Local Suspense Account" problem, or "Receipts and Payments mismatch" issues (and any other known issue within Horizon), if so, how?

1.4 [RFI 2.2]^{J3} Is there a list of error codes that Horizon has (or that FJ apply) to identify when an error/issue has occurred and the potential branch account impact?

In relation to Issue 3:

1.5 [RFI 3.1] If it is the case that reports such as NB102 recorded reconciliation exceptions, what other control reports exists that record how human errors are prevented/detected or recorded.^{J5}

In relation to Issue 4:

1.6 [RFI 4.1] With regards to the acknowledgement that the Horizon system is not perfect and there has been deployment of

Prepared by: Jason Coyne
Occupation: Partner
Specialist Field: IT Systems
On the Instructions of: Freeths LLP

Page 1 Comments

J1   This request is incredibly broad/unfocused, but could we provide references to documents which show: (1) the process for how a potential bug is investigated when reported by a SPMR; and (2) the development cycle process?
JONATHANG, 16/05/2018 07:37 AM

J2   We understand this to be a request for information about the process where Fujitsu or Post Office detect a bug/error/defect. Can we provide documents on this?
JONATHANG, 16/05/2018 07:38 AM

J3   Is there a list of error codes? Are there multiple lists?
JONATHANG, 16/05/2018 07:40 AM

J4   Can FJ provide form NB102?
JONATHANG, 16/05/2018 07:41 AM

J5   Is there a list of control reports?
JONATHANG, 16/05/2018 07:41 AM

technical controls to reduce errors, can it be described what these technical controls are (referred in Defence paragraph 16), when these technical controls have been triggered and how they have been dealt with?

In relation to Issue 5:

1.7 [RFI 5.1] Can it be described which data sources outside of Horizon (providing transactional data into Horizon) have previously been implicated as cause/contribution to any discrepancies occurring within branch accounts?

1.8 [RFI 5.2] Can it be described what the process inputs into Horizon are following the discovery of a branch difference.

1.9 [RFI 5.3] If it is not the case that report NB102 does not identify all causes of transaction errors between Horizon and transaction data sources outside of it, then what other reports or sources exist to identify those? [J6]

1.10 [RFI 5.4] Once a discrepancy has been identified between in and out of Horizon, what is the process for determining whether a TC or balancing trans or should be raised? [J7]

In relation to Issue 6:

1.11 [RFI 6.1] [J8] Can it be described what system level logging and system events are considered when investigating shortfalls and Transaction Corrections in order to investigate cause?

1.12 [RFI 6.2] Can it be described how often JSN checks were performed in the investigation of a discrepancy/shortfall and if so what are the results or records of differences?

In relation to Issue 7:

1.13 [RFI 7.1] [J9] When Fujitsu accessed branch accounts to modify or insert [J10] data, can it be described what the need for that access was and what modifications were performed? Can it be confirmed how many times this occurred? [J11]

Page 2 Comments

J6 Are there other documents that identify potential causes of transaction errors?
JONATHANG, 16/05/2018 07:43 AM

J7 Does FJ have any documents regarding the Transaction Correction process?
JONATHANG, 16/05/2018 07:44 AM

J8 Can FJ point us to documents that relate to system level logging and system events when errors/bugs arise? FJ can ignore the reference to shortfalls in this request.
JONATHANG, 16/05/2018 07:45 AM

J9 Is there a log of remote access to review data?
JONATHANG, 16/05/2018 07:46 AM

J10 Is there a log of remote access when data has been modified, added or deleted?
JONATHANG, 16/05/2018 07:47 AM

J11 Is there a log of this?
JONATHANG, 16/05/2018 07:47 AM

1.14 [RFI 7.2] Can it be described what privileges and capabilities Administrators had in relation to Branch remote access and the relevant processes and procedures?

1.15 [RFI 7.3] Please describe how Transaction amendments (including reversals and balancing transactions) can be identified for those which were not carried out by the SPM in the audit/transaction data/logs (i.e, is it flagged in some specific way)?

1.16 [RFI 7.4] POL-0032939.doc references a tool that allows transaction data to be modified outside of branch. Can it be described how such modification was audited, and how the audit files are updated? Further, how often such a tool was used?

In relation to Issue 8:

1.17 [RFI 8.1] Please describe what reports set out the causes of identified shortfalls and discrepancies arising from bugs/defects and how often they were issued to senior management and/or provide such reports that statistical metrics may be derived from.

1.18 RFI [8.2] Please describe what dictates when BIM and MER reports are produced and how often BIF and PTF meetings were held and whether meeting minutes are available for those.

In relation to Issue 9:

1.19 [RFI 9.1] Please describe how often counter error logs were reviewed in the event of a reported issue and if they were available to the SPM for investigating issues?

1.20 [RFI 9.2] Please describe if Discrepancy Reports have ever been provided to SPMs and if so, what was their purpose, what replaced them and when? Further, what receipts were SPMs advised NOT to be retained?

In relation to Issue 10:

1.21 [RFI 10.1] Please describe how often branch account transactions rebuilds took place and if so, how often was this with the knowledge of the SPM or PO?

Page 3 Comments

J12   Is there a standard document or documents about this?
JONATHANG, 16/05/2018 07:47 AM

J13   Is there a standard document or documents containing this information?
JONATHANG, 16/05/2018 07:48 AM

J14   We understand this to be about balancing transactions and privileged user access
JONATHANG, 16/05/2018 07:48 AM

J15   We think this covers the same ground as the previous two requests i.e. balancing transactions and privileged user access.
JONATHANG, 16/05/2018 07:49 AM

J16   Does FJ know what these reports are?
JONATHANG, 16/05/2018 07:50 AM

J17   Does FJ know what Discrepancy Reports were and what replaced them?
JONATHANG, 16/05/2018 07:51 AM

J18   Is there standard process documentation about such rebuilds?
JONATHANG, 16/05/2018 07:51 AM

In relation to Issue 11:

1.22   [RFI 11.1]^[J19] For the One Balancing Transaction that PO are aware of (Defence 57(3)) please describe how PO were made aware?

1.23   [RFI 11.2]^[J20] Please describe whether the Post Office or Fujitsu have a log of issues that were reported where the discrepancy cause could not be determined and what further action was performed/planned to identify a cause.

1.24   [RFI 11.3]^[J21] Please describe what would determine whether a branch was informed or not of Fujitsu carrying out a fix to branch data.

1.25   [RFI 11.4]^[J22] Please describe how often branches were told to pause usage of any equipment whilst remote access occurred.

In relation to Issue 12:

1.26   [RFI 12.1] KEL cardc1655P states as a solution "If a counter is stuck in a 'recovery loop' with the user not being able to use the counter due to not being able to complete recovery then it may be necessary to delete the affected recovery records from the brdb_rx_recovery_transactions table on the branch database. However, this can ONLY be carried out after being given express authority to do so by POL." Please describe how often such permissions were typically given. Please describe whether this solution was the remedy for any other KELs/issues?

In relation to Issue 15:

1.27   [RFI 15.1] Please describe what evidence/reports are provided to a SPM with the Transaction Correction. Are they informed of what the specific transaction was, or combination of transactions in the event of there being multiple causes?

1.28   [RFI 15.2] Please describe the average duration of resolution for Transaction Corrections and where other statistical information might be found in relation to causes of TCs.

Page 4 Comments

J19   How did FJ make Post Office aware of this?
JONATHANG, 16/05/2018 07:52 AM

J20   Does FJ have such a log?
JONATHANG, 16/05/2018 07:53 AM

J21   Is there standard process documentation about this?
JONATHANG, 16/05/2018 07:53 AM

J22   Is there standard process documentation about whether a branch would be told not
to use equipment while remote access occurred?
JONATHANG, 16/05/2018 07:54 AM