

Fujitsu Services **TPS Reconciliation & Incident Management** Ref: CS/PRO/111
Version: 4.0
Date: 19/12/02
COMMERCIAL IN CONFIDENCE

Document Title: TPS Reconciliation & Incident Management

Document Type: Procedure

Abstract: This document outlines the reconciliation and incident management procedures required to investigate, report and resolve TPS reconciliation and business incidents.

Document Status: APPROVED

Author: Richard Brunskill (IS Manager, Fujitsu Services - Pathway)

Reviewed By: **Post Office:**
Liz J Tuddenham,
Keith F Baines.
Fujitsu Services: John Pope

Comments By:

Comments To: Author

Distribution: Reviewers, plus:
Pathway CS/MSU
Library

0.0 Document Control

0.1 Document History

Version No.	Date	Reason for Issue	Associated CP/Pin/CL No.
0.1	22/11/99	First draft for review.	
0.2	03/12/99	Second issue for review following TIP workshop 01/12/99	
0.3	20/12/99	Third issue following review incorporating agreed changes	
0.4	14/01/00	Fourth issue following review and contractual changes	
0.5	27/01/00	Fifth issue following review and further contractual changes	
0.6	18/02/00	Sixth issue following review and comments	
0.7	08/06/00	Seventh issue following final PON review	
0.8	14/09/00	Eighth issue following for PON review	
1.0	16/10/00	Final issue following PON review	
1.1	30/04/01	Re-issue of version 1.0	
1.2	02/07/01	For approval	
1.3	13.08.01	Further comments received from K Baines	
2.0	30/04/02	Final version for approval following agreement by Keith Baines.	
3.0	03/12/02	Updated version following contract renewal & inclusion within Schedule 19	
4.0	19/12/02	Updated for Contract Amendment	

0.2 Approval Authorities

Name	Position	Signature	Date
Richard Brunskill	Fujitsu Services Pathway: Infrastructure Services Manager		
Liz Tuddenham	Post Office Network Support: Supplier & Service Performance		

	Manager		
--	---------	--	--

0.3 Associated Documents

Reference	Version	Date	Title	Source
TI/IFS/001	5.7	July 1999	Pathway – TIP Application Interface Specification	Joint Pathway / PO Ltd
CS/SER/017	0.1	15/12/02	Data Error / Not Data Error Contractual Definitions	PVCS

0.4 Abbreviations

Abbreviation	Explanation
APS	Automated Payment Service
BIMS	Business Incident Management System - (Fujitsu Services Pathway)
CA	Cash Account
CAP	Cash Account Period
CS/MSU	Customer Service / Management Support Unit – (Fujitsu Services Pathway)
EPOSS	Electronic Point of Sale Service
HSH	Horizon System Help Desk
MER	Manual Error Report
Post Office™ TIP	Transaction Information Processing
Post Office™ TP	Transaction Processing
SIL	System Incident Log
SSC	System Support Centre
TPS	Transaction Processing Service

0.5 Definitions

Term	Explanation
TPS Report Set	The six exception reports and one Non Polled Outlet report described in section 3
Business Incident	Where this term is used within this document it is meant as described in section 4.1.1
System Incident	Where this term is used within this document it is meant as described in section 4.1.2
Data Error	Where this term is used within this document it is meant as described within the CS/SER/017 "Data Errors / Not

Fujitsu Services **TPS Reconciliation & Incident Management** Ref: CS/PRO/111
Version: 4.0
Date: 19/12/02
COMMERCIAL IN CONFIDENCE

	<i>Data Errors - Contractual Definitions</i> ” para 3.6.1.1
Not Data Error	Where this term is used within this document it is meant as described within CS/SER/017 “ <i>Data Errors / Not Data Errors - Contractual Definitions</i> ” para 3.6.1.1

Cash Account Period or CAP	Where this term is used within this document it refers to each period (normally of seven days ending at 20.00hrs on a Wednesday), to which Post Office shall have allocated, or shall subsequently allocate, a Cash Account Period Number and of which it shall have informed, or shall inform, the Contractor through the Operational Business Change Process. (Taken from the CCD CS/SER/017 "Data Errors / Not Data Errors - Contractual Definitions" para 3.6.1.1 & 3.6.1.3)
Cash Account or CA	The electronic Cash Account committed at the outlet
Data Error Counting Period	A Data Error Counting Period means: Each Cash Account Period which is of a duration of seven days or less and In respect of Cash Account Periods of greater than seven days duration each proportion of any such Cash Account Period derived by dividing such Cash Account Period into two or more Data Error Counting Periods such that the first such Data Error Counting Period is between one and seven days duration and each subsequent Data Error Counting Period during that Cash Account Period is exactly seven days in duration. (CS/SER/017 "Data Errors / Not Data Errors - Contractual Definitions" para 3.6.1.1)
BIMS Report	The reports described in section 4.5.1.1
In addition to the words and expressions identified above as being defined in CS/SER/017 "Data Errors / Not Data Errors - Contractual Definitions" para 3.6, all other words and expressions defined in CS/SER/017 "Data Errors / Not Data Errors - Contractual Definitions" para 3.6 shall bear the same meanings when used in this document.	

0.6 Changes in this Version

Version	Changes
3.0	References to the Codified Agreement Schedule G01 Section 3.6, now deleted and replaced with the CCD entitled: CS/SER/017 'Data Error / Non Data Error – Contractual Contractual Definitions; which has been issued to preserve the definitions quoted in Schedule G01 section 3.6.
4.0	Updated for Contract Amendment. References to Schedule G01 have been removed. Minor typos corrected. Para 4.5.1.4 amendment to first sentence.

0.7 Changes Expected

Changes

0.8 Table of Contents

1	INTRODUCTION.....	8
2	SCOPE.....	8
3	TPS RECONCILIATION REPORTS.....	9
4	RECONCILIATION AND INCIDENT HANDLING.....	10
4.1	Incident Classification.....	10
4.1.1	Business Incidents.....	10
4.1.2	System Incidents.....	10
4.2	Incident Originators.....	11
4.3	Generation of Business Incidents.....	11
4.4	Business Incident Categories.....	12
4.4.1	Data Errors & Not Data Errors.....	12
4.4.2	Business Incident Matrix.....	15
4.5	Incident Reporting.....	15
4.5.1	BIMS Reports / MER.....	15
4.5.2	System Incident Log.....	18
4.5.3	Reporting Timescales.....	18
4.5.4	Widespread Errors.....	19
4.5.5	Repairing Data.....	20
4.6	Incident Management Process.....	21
4.6.1	MSU Raised Business Incident - BIMS / MER Issued – (Records not repaired).....	22
4.6.2	MSU Raised Business Incident - BIMS / MER Issued (Repaired Records).....	23
4.6.3	Post Office TIP Raised Business Incident - BIMS / MER Issued.....	24
4.6.4	System Incident with Business Implications - BIMS / MER Issued – (Repaired / Not repaired records).....	25
4.7	Links to Problem Management.....	26
4.8	Appendix 1: ‘System Incident Log’.....	27
4.9	Appendix 2: Business Rules for Data Errors & Not Data Errors.....	28
4.9	Appendix 3: BIMS Report / MER Format.....	32

1 1 Introduction

The TPS Report Set has been designed to enable the transactions carried out in outlets using the Electronic Point of Sale Service (EPOSS), to be reconciled with the transaction data which is transmitted to Post Office Transaction Information Processing (TIP), and also to reconcile the daily transaction data with the Cash Account (CA) data at the end of the Cash Account Period (CAP). The TPS Report Set identifies errors which occur within counter transactions or during the harvesting process. In addition to errors highlighted by Fujitsu Services within the TPS Report Set, errors may also be discovered by Post Office when reconciling data within its central systems or which relate to enquiries from Post Office clients. To initiate the BIMS procedure, Pathway and Post Office generate Business Incidents for one or more errors discovered.

NB: Acceptance of this document will not indicate acceptance of a specific Horizon / TIP Interface solution. Those solutions should be identified within the relevant AIS or contractual document.

2 Scope

This document sets out the reconciliation and incident management procedures to be adopted by the Fujitsu Services for dealing with Business Incidents relating to the TPS Report Set errors and Post Office generated Business Incidents. This includes reconciling the data contained in the TPS Report Set and raising Horizon System Help Desk (HSH) Business Incidents, Business Incident Management System (BIMS) Reports and Manual Error Reports (MER) where necessary.

3 **TPS Reconciliation Reports**

Fujitsu Services currently generate six daily TPS exception reports (from the host and counter reconciliation software), and one Non Polled Outlet report from the host, which are described briefly below for information purposes:

1. Host Detected Transaction Control Errors:

Shows detail for any outlet where the control totals for the transactions output by the host to Post Office TIP do not match the daily transaction totals calculated by the counters.

2. TPS Harvester Errors:

Lists error conditions detected by the Harvester when failing to process one of the messages in the message store

3. Host Detected Cash Account Control Errors:

Shows detail for any outlet where the control totals for the number of entries on the Cash Account output by the host to Post Office TIP do not match the control totals calculated by the counters

4. Counter Detected Reconciliation Errors:

Shows details for any outlets where the accumulated daily transaction control totals for the Cash Account Period do not match the totals on the Cash Account produced by the counters.

5. Counter Transaction Errors:

Lists error conditions detected by the counter when failing to process one of the messages in the message store.

6. Receipts not Equal to Payments:

Identifies where the Cash Account 'Payment' table total does not equal the Cash Account 'Receipts' table total.

7. Non Polled Outlets:

Identifies all outlets, which have not been polled and have therefore not transmitted any transactions to Post Office TIP.

NB: It is not intended that this document discuss the format or content of the individual reconciliation reports

All seven reports will be routed to Fujitsu Services MSU, on a daily basis by 09.00hrs, where they will be checked for completeness and accuracy of content. In the event that the reports do not arrive, or after checking appear to be incorrect, in the sense that the reporting process in itself has failed, Fujitsu Services will raise a System Incident via the HSH.

It is not intended that Fujitsu Services will deliver any of the TPS Report Set to Post Office as a matter of course, other than the Non Polled Outlet report. An extract from the TPS Report Set may however be delivered as 'evidence' as an attachment to the BIMS Report / MER if it is considered by Pathway that this would aid the reconciliation or settlement process within Post Office.

4 Reconciliation and Incident Handling

4.1 Incident Classification

4.1.1 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.

- A Business Incident relates to one or more of the errors reported within the TPS Report Set, or one or more of the reconciliation or settlement errors raised in accordance with this document by Post Office TIP or TP. Each error is categorised as a Data Error or a Not Data Error in accordance with section 4.4.1.

Refer to the 'Business Incident Matrix' section 4.4.2 for a list of those Business Incident classes currently known and for which appropriate error reporting processes are set out in this document.

4.1.2 System Incidents

Relate to the underlying 'Cause'

System Incidents may be raised by Fujitsu Services to cover file rejections, non-delivery of files, or failures in the delivery of the TPS Report Set, where an associated Business Incident has yet to be discovered. In doing so, the appropriate BIMS report will be generated advising Post Office to expect a Business Incident as detailed in the BIMS report. In addition, following the creation of a Business Incident, Pathway may raise an associated System Incident. System Incidents will be routed to the appropriate group within Fujitsu Services, for investigation and resolution.

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

- one to one; or
- one to many, respectively.

4.2 Incident Originators

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

- Fujitsu Services MSU for errors reported via the TPS Report Set
- Post Office TIP / TP for any other reconciliation or settlement error discovered by Post Office that has not been reported by Pathway
- Fujitsu Services Service Support Centre (SSC) for any system fault or data 'surgery' which is considered by Fujitsu Services to have a reconciliation or settlement implication within Post Office.

Subject to agreement by the parties to the contrary, outlet calls to the HSH will not generate Business Incidents. However calls from outlets will be monitored and if it is considered necessary by Fujitsu Services, difficulties reported to the HSH, either directly or via the Network Business Support Centre (NBSC), will be elevated to Business Incident status.

4.3 Generation of Business Incidents

In line with the generic incident management policy agreed between Fujitsu Services and Post Office, Business Incidents will only be recognised as such if generated by Fujitsu Services or Post Office, as appropriate, via the HSH. This ensures that the Business Incident is properly logged, enabling Fujitsu Services to ensure that corrective information can be supplied and any underlying system fault can be rectified.

It is important that Post Office TIP / TP supply sufficient information to the HSH when generating a Business Incident to ensure the timescales for the resolution of Business Incidents referred to in section 4.5.3 can be achieved. Achievement of such timescales is dependent upon the following information being provided by Post Office TIP / TP when generating a Business Incident via the HSH:

- A valid 'PATH' code must be quoted, e.g. **'PATH040'** etc.
- Prefix all narrative with **'THIS IS A BUSINESS INCIDENT FOR MSU'**
- The valid incident class (from the 'Business Incident Matrix', section 4.4.2), if one is applicable, should be quoted together with any other relevant detail, e.g. product Id, CA lines etc.

NB: Where Post Office TIP / TP raise a Business Incident which may require a large amount of supporting information, summary detail only may be given to the HSH and the additional information sent via e-mail to Fujitsu Services. (A current contact list will be made available to Post Office).

4.4 Business Incident Categories

4.4.1 Data Errors & Not Data Errors

The action to be taken by Fujitsu Services in respect of an error which gives rise to a Business Incident, and whether or not Fujitsu Services has to pay a charge to Post Office in relation to such an error, depends, amongst other things, on whether the error is a Not Data Error or a Data Error, as defined in CS/SER/017 *"Data Errors / Not Data Errors - Contractual Definitions"* para 3.6.1.1. The following explanations are provided to assist Fujitsu Services and Post Office when classifying errors and do not modify, in any way, CS/SER/017 *"Data Errors / Not Data Errors - Contractual Definitions"* para 3.6.

Having determined the classification of an error, the appropriate action to be taken by Pathway is summarised in Appendix 2.

If, following discovery of an error, there is insufficient information available to Fujitsu Services to determine whether that error is a Data Error or a Not Data Error, then for the purpose only of deciding the action to be taken in accordance with Appendix 2, the error shall be treated as a Data Error.

4.4.1.1 Not Data Errors - categories

A. The following errors, whether they are related to a transaction or a Cash Account are always **Not Data Errors**:

- (i) an error caused by invalid data input by users in outlets (except where the input of data puts a previously balanced Cash Account into a state of imbalance);
- (ii) an error caused by the input of erroneous data by a user during migration of Post Office data to any outlet (i.e. during data migration), except where data migration tools provided by Fujitsu Services are supposed to detect such an error; the migration tool is properly used but the error is not detected;
- (iii) an error caused by Post Office reference data, provided that Fujitsu Services has properly applied that reference data; and
- (iv) an error which falls within a Business Incident classified in the table under section 4.4.2 as "F" or "G".

B. Inaccurate Cash Account (Not Data Error)

In addition to the above, an inaccurate Cash Account is a Not Data Error if the Cash Account was committed at the outlet, even though a warning was given to the outlet (in the form of "receipts not equal to payments" or such other warning as the parties may agree) that the inaccuracy existed, and either;

- (i) the inaccuracy was not caused primarily by:
 - (a) inaccurate Fujitsu Services reference data;
 - (b) Fujitsu Services incorrectly applying Post Office reference data;
or
 - (c) Fujitsu Services generated software error; or
- (ii) the inaccuracy was caused by one of the causes listed in (i), but it could have been corrected by a user in the outlet, if that user had applied a “work around” previously agreed by Fujitsu Services and Post Office to deal with such inaccuracies.

4.4.1.2 Data Errors – Categories

Inaccurate Cash Account (Data Error)

An inaccurate Cash Account is known as an Inaccurate Cash Account (Data Error) and is treated as a Data Error unless it is a Not Data Error because:

- (i) the inaccuracy is defined as a Not Data Error by reason of section 4.4.1.1 (A); or
- (ii) the Cash Account is an Inaccurate Cash Account (Not Data Error) because of section 4.4.1.1 (B).

Cash Account Error

If the electronic Cash Account committed at the outlet is not the same as that which TMS presents at the TIP interface e.g. because the Cash Account has been corrupted in some way, this is known as a Cash Account Error. This is a Data Error unless the error which results in the Cash Account Error falls within section 4.4.1.1.(A) above.

Transaction Errors

An error in one or more data fields in the electronic record of a transaction, or a missing, duplicate or spurious additional transaction record is known as a Transaction Error. A Transaction Error is a Data Error, unless it falls within section 4.4.1.1(A) above.

4.4.2 Business Incident Matrix

The Business Incident Matrix identifies known classes of Business Incidents. This list is based on the list of incidents provisionally agreed between Fujitsu Services and Post Office at the joint workshop held on 02/11/99 for EPOSS / TPS related Business Incidents. The list also includes those additional Business Incident types documented within the CS/SER/017 *"Data Errors / Not Data Errors - Contractual Definitions"* Error Matrix Section 4 (Annex). As such the list is an initial attempt to identify all currently understood Business Incident classes but it may not be exhaustive. The current Business Incident Matrix is held within the BIMS database and an extract can be provided to Post Office at any time for audit and checking.

4.5 Incident Reporting

4.5.1 BIMS Reports / MER

BIMS has been designed to report the progress to resolution of a Business Incident to allow Post Office to complete an accurate reconciliation (within Post Office central systems) or settlement with their clients. For ease of identification and association with the corresponding HSH call, BIMS Report references will mimic the HSH reference. However they will be prefixed with a letter 'B', e.g. HSH ref.: E9912120011 = BIMS ref.: BE9912120011.

4.5.1.1 Format and Content of BIMS Report / MER

A BIMS Report will be issued for each Business Incident generated via the HSH. As part of that BIMS report, Fujitsu Services will issue a MER for each error associated with the relevant Business Incident where it is necessary to do so to comply with CS/SER/017 *"Data Errors / Not Data Errors - Contractual Definitions"* para 3.6.

BIMS Reports / MER are designed to notify Post Office of the detail required to assist in the reconciliation or settlement process within Post Office. They communicate information concerning the resolution of the symptom of an underlying cause, not the cause itself. Business Incident reporting to Post Office TIP / TP will fall into one of the following categories:

1. BIMS Report for a Not Data Error

This will be the standard BIMS report as shown in Appendix 3 without the 'Transaction Details' section completed. It will provide Post Office TIP / TP with a brief description of each error to the extent that each error can be identified.

2. BIMS Report for a repaired Data Error

This will be the standard BIMS Report as shown in Appendix 3. However, the 'Transaction Details' section may be completed if considered necessary by

Fujitsu Services. Full details of the repaired transaction 'File' will be documented providing an explanation of each correction made.

3. BIMS Report and MER

This will be the standard BIMS report as shown in Appendix 3. However, the 'Transaction Details' section will be completed as a MER to describe each Data Error associated with the Business Incident, and specifying in a format (suitable for Post Office TIP to key into a Post Office TIP data input facility):

- in the case of a Data Error resulting in an Inaccurate Cash Account (Data Error) or a Cash Account Error, each of the line items in the relevant Cash Account which need to be replaced in order to correct the Data Error in question; and
- in the case of a Data Error which is a Transaction Error, the relevant transaction record as it would have appeared but for the Data Error.

NB: A BIMS report may contain more than one MER.

Appendix 2 describes in tabular form the different error criteria for Data Errors and Not Data Errors and the business rules surrounding the transmission of data from Pathway to Post Office and the production of MERs where necessary.

BIMS 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 System Incident Log, (SIL). Where a System Incident is generated to eradicate the cause of a particular problem, and there are one or more associated Business Incidents, cross-references will be supplied on the Business Incident BIMS Report / MER to allow tracking of the System Incident.

4.5.1.2 Clearance / Closure Criteria & Charges Applicable to MERs

Fujitsu Services anticipates that it will provide information concerning Business Incidents to Post Office on a 'drip feed' basis, by issuing updated versions of the initial BIMS Report / MER.

A BIMS Report is 'Cleared' (for the purpose of determining whether the timescales as quoted within section 4.5.3 have been met), when Fujitsu Services has provided the information required to be contained in the relevant BIMS Report as set out in section 4.5.1.1. The BIMS Report is then closed following agreement between Post Office and Fujitsu Services at the monthly Incident Management Review. Such agreement is subject only to fulfilment of the following conditions:

1. If there is no associated System Incident, the BIMS Report is closed subject to the clearance criteria described above being met
2. If there is an associated System Incident, the BIMS Report is closed subject to the successful closure of the System Incident by Fujitsu Services.

Post Office will advise Fujitsu Services on a monthly basis via spreadsheet, (which cross refers to the appropriate details of the chargeable BIMS / MER reports), of any payments it considers are payable to Post Office (as compensation for Post Office costs in dealing with MERs) and / or its charges for dealing with widespread errors. For the avoidance of doubt, if an error, treated as a Data Error due to a lack of information in accordance with section 4.4.1 is subsequently found to be a Not Data Error, then no payment will be made in respect of a MER which may have been issued in respect of that error. If the parties disagree whether the error is a Data Error or Not Data Error, this will be initially discussed at the monthly Incident Management Review and then escalated via a 'Case Law Referral' form, to the Contract Administration Board for a final decision to be made.

Full details of the charges applicable in respect of MERs are set out in Appendix 2.

4.5.1.3 Notification of Anticipated Errors

There may be certain instances where an error identified in 'Week 1' will have an equal and opposite error generated in 'Week 2'. For example, if there is a difference in the derived transaction total transmitted to Post Office TIP when compared to the actual totals populated to the Cash Account line, probably due to a stock unit rolling over more than one CAP, an equal and opposite error will occur the following week. In such cases only one BIMS Report and MER if appropriate, will be issued following the notification of the error within Week 1.

NB: This is not applicable to any error being carried forward into a subsequent CAP as a result of a 'Receipts & Payments' misbalance where a separate BIMS Report and MER will be issued for both the original and subsequent error.

4.5.1.4 Report Distribution

Fujitsu Services will distribute BIMS Reports / MER's and the Non Polled Outlet report within Post Office using the Post Office mail network accessed via 'Lotus Notes'. In the event that this facility is temporarily unavailable, reports will be distributed via the Fujitsu Services corporate mail system. In the event that both 'Lotus Notes' and the Fujitsu Services corporate mail system are unavailable, the Fujitsu Services MSU Business Support Team leader will discuss with the Post Office 'Incident Manager, Transaction Processing' the appropriate means of information transfer.

BIMS Reports / MERs distributed in accordance with this section will be deemed to have been issued to Post Office, and / or Post Office given notice of any errors described therein, on confirmation of delivery by the 'Lotus Notes' system administrator at the time of transmission by mail.

An example of a BIMS Report / MER is shown in Appendix 3.

4.5.2 System Incident Log

The SIL is intended to track the progress to resolution of a System Incident generated to eradicate an underlying system fault. In practice, one system fault could lead to a number of symptoms generating Business Incidents. The SIL has been developed to remove the need to annotate each BIMS Report / MER associated with a particular system fault, with the detail required to ensure Post Office are fully advised as to the nature of this fault and how and when it is to be rectified. This information will be contained in the SIL.

An example of a completed SIL is shown in Appendix 1.

4.5.3 Reporting Timescales

Fujitsu Services will use reasonable endeavours to raise an initial BIMS Report (V1.0) relating to a new Business Incident. This will be made available in accordance with section 4.5.1.4, to the Post Office 'Incident Manager, Transaction Processing', on the same working day as the Business Incident is generated via the HSH, or in any event on the morning of the next working day. In the event of the TPS Report Set not being available to Fujitsu Services in time to enable any errors to be notified within this timescale, CS / Fujitsu Services will contact the Post Office 'Incident Manager Transaction Processing' to agree a temporary extension to the timescale. This initial, incomplete, BIMS Report will serve to notify Post Office that a Business Incident has occurred and that the completed BIMS Report will be provided to Post Office within the agreed timescales.

Fujitsu Services will use reasonable endeavours to ensure the final completed BIMS Report / MER, is made available in accordance with section 4.5.1.4 and is cleared within five working days from the date the Business Incident was generated via the HSH.

Where there is a need to correct Data Errors (see appendix 2), Fujitsu Services will use reasonable endeavours to deliver the corrected data file to Post Office TIP within five working days from the date the Business Incident was generated via the HSH. This may however, not always be practical due to the technicalities of creating a corrected data file if there is a high volume of data.

If the BIMS Report / MER is not cleared (in accordance with section 4.5.1.2) or Fujitsu Services think it is unlikely to be cleared within five working days, Fujitsu Services shall immediately notify Post Office Incident Manager Transaction Processing and shall procure that Fujitsu Services MSU Manager (or in his absence, his deputy) is made available to meet with Post Office Incident Manager Transaction Processing, (or his delegate), to discuss the delay within two working days of such notification.

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 Services will give every System Incident the priority it deserves taking into account Post Office's 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 will be closed by Fujitsu Services once the relevant fix has been developed and tested and delivered, or a correction to the relevant erroneous reference data has been authorised or approved for release through the appropriate agreed procedures between Fujitsu Services and Post Office. The SIL, advising the current status of System Incidents will be delivered to Post Office TIP / TP at the end of each week. Post Office may telephone CS / Fujitsu Services at any time to receive an update as to the status of any System Incident documented on the SIL.

4.5.4 Widespread Errors

'Widespread Errors' are those Data Errors or Not Data Errors affecting Cash Accounts in a Cash Account Period at more than 100 outlets. *This section, 4.5.4, defines the notification procedures referred to in paragraph 3.6.4.1 (a) of CS/SER/017 "Data Errors / Not Data Errors - Contractual Definitions" and actions to be taken by Fujitsu Services in relation to Widespread Errors referred to in paragraph 3.6.4.1 (b) of CS/SER/017 "Data Errors / Not Data Errors - Contractual Definitions"*.

Fujitsu Services will monitor 'trigger points', for example HSH calls and the TPS Report Set, which can alert of any likely potential or actual 'Widespread Errors'. If Widespread Errors are discovered through this monitoring, the Fujitsu Services Business Continuity Manager (or other senior representative of Fujitsu Services) will immediately notify the Post Office Business Continuity Manager (or, if unavailable, another senior representative of Post Office) that Widespread Errors have been discovered and of the action the Fujitsu Services has taken or proposes should be taken in accordance with this section 4.5.4. Upon giving such notice the provisions of this document (other than this section 4.5.4) shall cease to apply in respect of those Widespread Errors.

Fujitsu Services will deal with Widespread Errors in the following manner:

- In respect of those Outlets which have not irrevocably committed electronic Cash Accounts which may be affected by Widespread Errors Fujitsu Services will notify those Outlets directly by telephone that they should not attempt to irrevocably commit Cash Accounts until further notice from Fujitsu Services.
- If the Widespread Errors have resulted in electronic Cash Accounts irrevocably committed in Post Office Branches not being transmitted to Post Office / TIP, Fujitsu Services will notify Post Office / TP of all such missing electronic Cash Accounts.
- Fujitsu Services will use all reasonable endeavours to ensure that all electronic Cash Accounts not transmitted to Post Office / TIP as a result of Widespread Errors will subsequently be transmitted to Post Office / TIP, without correction and still containing any Widespread Errors contained within them in order that they will agree with the signed paper Cash Account produced in the outlet.

- Where Widespread Errors have resulted in a reconciliation error within the Cash Account Pathway will not correct any electronic Cash Account records if this correction would result in an electronic Cash Account being received by Post Office / TIP which differs from the signed paper Cash Account produced in the outlet
- In addition to the above, Fujitsu Services agrees that it will provide all reasonable assistance to Post Office and will co-operate with Post Office with the aim of resolving or mitigating to both parties satisfaction the effect of Widespread errors discovered. In so doing, the parties may agree reasonable alternative or additional action by Pathway (to that set out above) which is appropriate for the type or Widespread Errors discovered and the number of Outlet Cash Accounts affected by them. Such action might include, for example: the calculation of corrective factors which if applied to the relevant line or lines of each Cash Account in error, would produce the correct outcome or balance for those Cash Accounts or the provision of corrective data for such Cash Accounts (provided that the parties can agree the changes to the CCD (TIP/IFS/001 – V5.7: Pathway – TIP Application Interface Specification) which would be necessary for such transmission)

The charges for widespread errors shall be as set out in CS/SER/017 “Data Errors / Not Data Errors - Contractual Definitions” para’s 3.6.4.3 & 3.6.4.4.

4.5.5 Repairing Data

Where Fujitsu Services corrects Data Errors, ONE Business Incident will be raised to cover each error, which has been corrected (or group of errors if they are related to each other or if they relate to one Cash Account). A BIMS report containing appropriate information (in accordance with section 4.5.1.1) will be issued relating to that error or group of errors.

Where there is a need to correct Data Errors, Fujitsu Services may make corrective assumptions, based upon the format and content of previous valid records of the same type, if no other detail is available. For example, where a transaction mode is unknown, the mode used may be obtained from a previous transaction of the same type. In such cases, Fujitsu Services will promptly inform Post Office ‘Incident Manager Transaction Processing’ of the assumption, and anticipates that this will be by fax normally within the working day that the assumption has been made. Post Office may wish to review and validate these assumptions on a case by case basis and it should be noted that any assumptions made would not necessarily set a precedent.

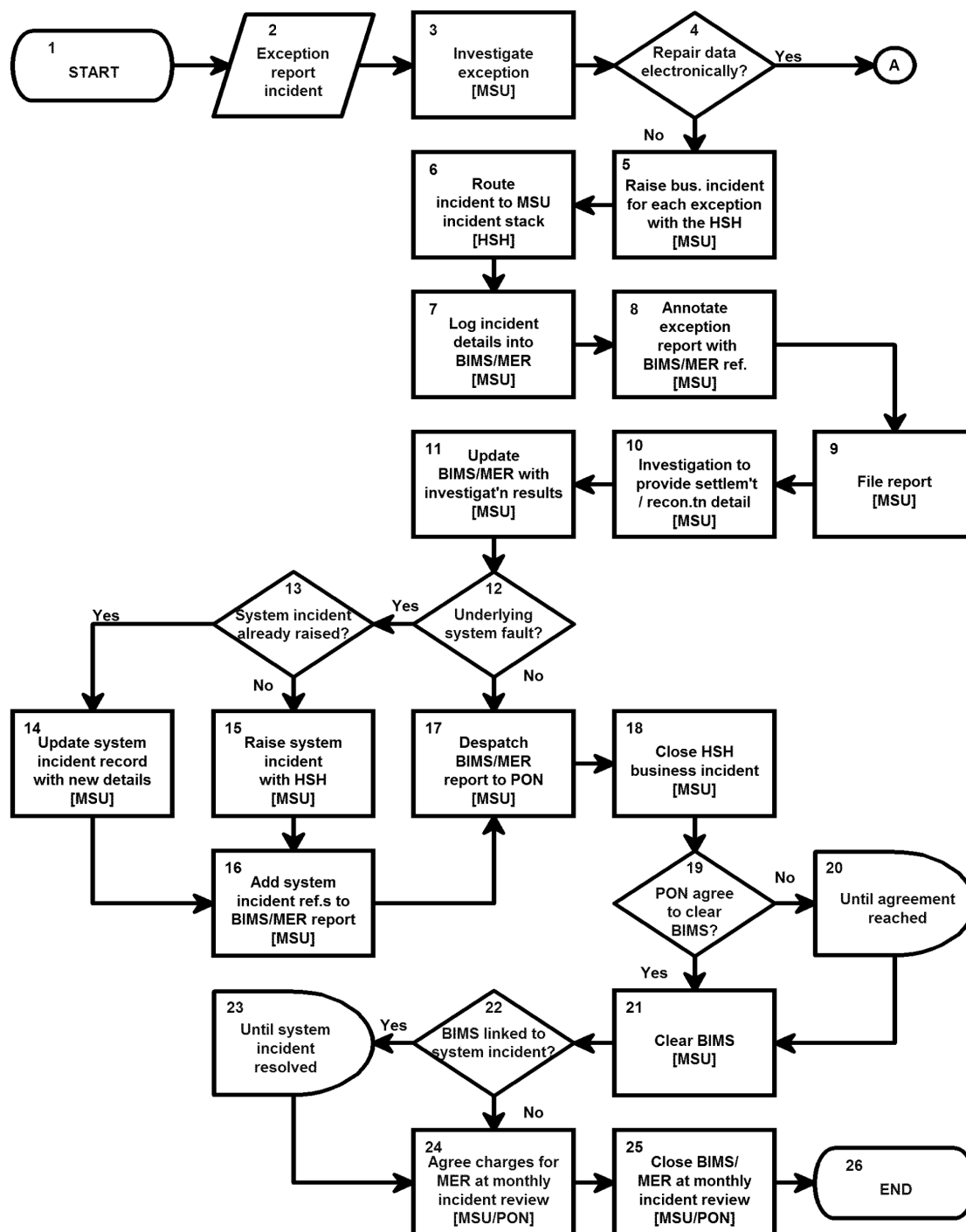
Where Post Office agrees that a Cash Account transmitted to Post Office TIP shall be repaired rather than require a MER, then Fujitsu Services obligation to transmit a repaired Cash Account may be satisfied by transmitting such part of the repaired Cash Account as is necessary to correct the Data Error concerned, provided that such transmission complies with the requirements of the CCD TI/IFS/001 ‘Pathway to TIP Application Interface Specification’.

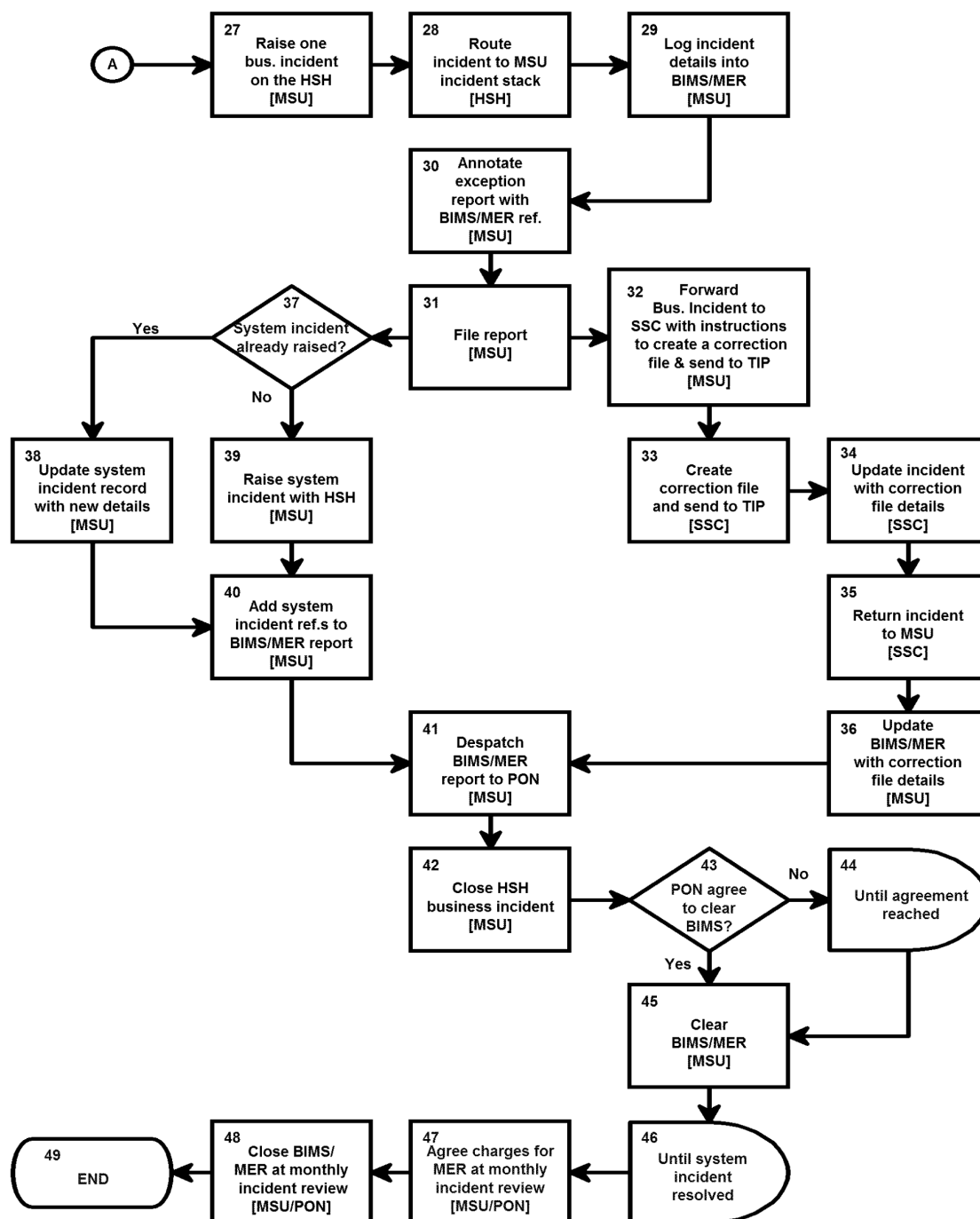
Appendix 2 sets out the rules surrounding the decision to repair data or advise corrections via MER.

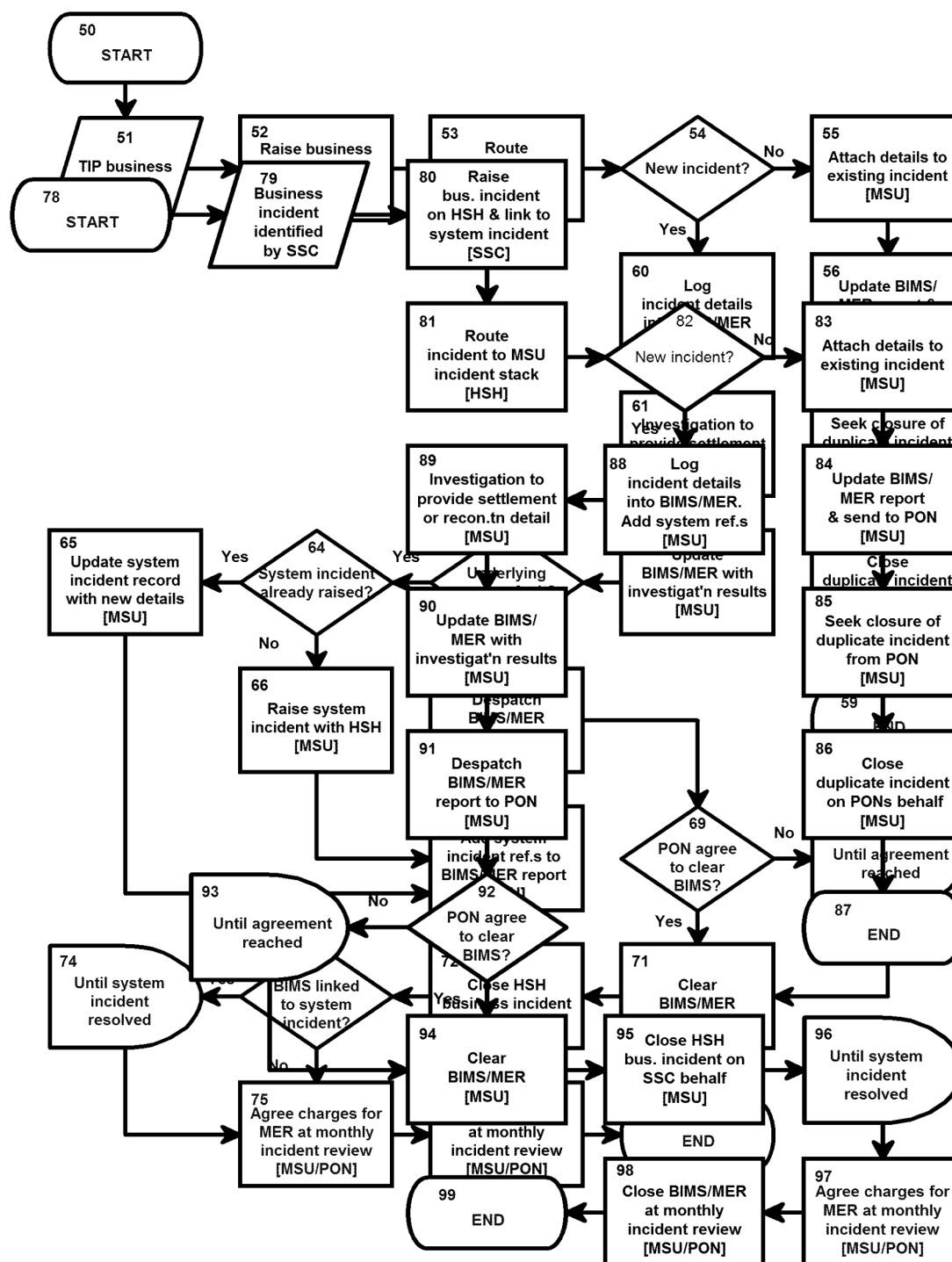
4.6 Incident Management Process

The following flowcharts have been prepared to describe the processes required to bring each Business Incident and System Incident to a successful conclusion within Fujitsu Services and Post Office and are for information only. They do not attempt to describe any low-level Pathway procedures.

The individual cases where Pathway will elect to repair or not to repair data are not included within these flowcharts.

4.6.1 MSU Raised Business Incident - BIMS / MER Issued – (Records not repaired)

4.6.2 MSU Raised Business Incident - BIMS / MER Issued (Repaired Records)

4.6.3 Post Office TIP Raised Business Incident - BIMS / MER Issued

4.6.4 System Incident with Business Implications - BIMS / MER Issued – (Repaired / Not repaired records)

4.7 Links to Problem Management

The processes highlighted within this document are not intended to replace the current agreed Problem Management procedures, which will run side by side with the incident management process, as has always been the case.

By way of example, “problems” may be raised by Fujitsu Services or Post Office in the following scenarios:

- Where there is a trend of similar Business Incidents where there is no identifiable cause. This may include the scenario where the number of Data Errors discovered after transmission to Post Office TIP exceeds 20 within the relevant Data Error Counting Period. (*CS/SER/017 “Data Errors / Not Data Errors - Contractual Definitions”* para 3.6.6.2)
- Where a System Incident has been raised and the cause is unknown.

Problem management expands the scope of the incident management process described in this document to include any wider issues, which must be dealt with in order to rectify problems and to ensure that the associated Business and / or System Incidents are not repeated.

A System Incident is generated by Fujitsu Services to ensure the relevant code or fix etc. is developed, tested and delivered to the live estate. However, resolution of problems which arise as a result of that System Incident will cover any additional requirements of both parties e.g. Counter News updates, briefings etc. and in many cases the authority from Post Office to proceed with a relevant fix.

4.8 Appendix 1: 'System Incident Log'

System Incident References				Associated Business Incident		Resolution Detail			
Date Raised	HSH Ref.	PinICL (1)	PinICL (2)	BIMS / HSH Ref.	TIP Ref.	Cause / Rectification of Error	Fix Detail	Problem Mgt Ref.	Closure Date
03/11/99	E9911030813	32733	N/A	BE9911020258	999	Narrative text	WP1234 29/11	34567	03/12/99
03/11/99	E9911030845	32675	32688	BE9911020259	N/A	Narrative text		34666	

Description of Fields

System Incident References

- Date Raised: The date the System Incident was raised by Fujitsu Services
- HSH Ref.: The System Incident HSH reference
- PinICL (1): The initial System Incident PinICL
- PinICL (2): Any subsequent System Incident PinICLs raised for the same Business Incident

Associated Business Incident

- BIMS / HSH ref.: The HSH and BIMS references which are identical but for the 'B' prefixing the BIMS reference
- TIP Ref.: Any TIP reference quoted against a TIP / TP raised Business Incident

Resolution Details

- Cause Rectification of Error: A non technical description of the fault and the solution to rectify
- Fix Detail: The Work Package (WP) detail and associated dates of any fix delivered to the estate
- Problem Mgt Ref.: The associated Problem Management Database reference
- Closure Date: The date the System Incident was closed following successful delivery of fix or reference data changes.

4.9 Appendix 2: Business Rules for Data Errors & Not Data Errors

Data Errors Discovered Before Transmission to Post Office / TIP

		Action by Pathway								
Data Error Criteria	Para (in CS/SER/017)	Retain Original Record	Transmit Original Record	Correct the Data Error	Correct the Data Error if Post Office Agree	MER (Subject to 50 Limit) Note 3	MER (No Limit)	Send Corrected Record	Report Explain Correction	Charge to Fujitsu Services (Amt. Per MER)
Transaction Error	3.6.5.1	✓		✓				✓	✓	N/A
Transaction Error – MER option	3.6.5.4	✓ Note 1				✓				✓ £100
Inaccurate Cash Account (Data Error) - Corrected	3.6.5.2 (a)		✓		✓			✓	✓	N/A
Inaccurate Cash Account (Data Error) - Not Corrected	3.6.5.2 (b)		✓				✓			✓ £100
Cash Account Error	3.6.5.3	✓		✓				✓	✓	N/A
Cash Account Error – MER Option	3.6.5.4	✓ Note 1				✓				✓ £100

Note 1: Fujitsu Services will usually retain the original record but is not obliged to do so if a MER is issued.

Fujitsu Services **TPS Reconciliation & Incident Management**

Ref: CS/PRO/111

Version: 4.0

Date: 19/12/02

COMMERCIAL IN CONFIDENCE**Data Errors Discovered After Transmission to Post Office TIP**

		Action by Pathway								
Data Error Criteria	Para (in CS/SER/017)	Retain Original Record	Transmit Original Record	Correct the Data Error	Correct the Data Error if Post Office Agree	MER (Subject to 50 Limit) Note 3	MER (No Limit)	Send Corrected Record	Report Explain Correction	Charge to Fujitsu Services (Amt. Per MER)
Transaction Error Corrected	3.6.6.1 (a)	N/A	N/A		✓			✓	✓	N/A
Transaction Error – Not Corrected	3.6.6.1 (b)	N/A	N/A			✓ Note 2				✓ £150
Inaccurate Cash Account (Data Error) - Corrected	3.6.5.2 (a)	N/A	N/A		✓			✓	✓	N/A
Inaccurate Cash Account (Data Error) - Not Corrected	3.6.5.2 (b)	N/A	N/A				✓			✓ £100
Cash Account Error Corrected	3.6.6.1 (a)	N/A	N/A		✓			✓	✓	N/A
Cash Account Error – Not Corrected	3.6.6.1 (b)	N/A	N/A			✓ Note 2				✓ £100

Note 2: the '50 limit' only applies if the Data Error is discovered after transmission to Post Office TIP, but before the conclusion of the Data Error Counting Period. If discovered after the end of the Data Error Counting Period, the '50 limit' does not apply in respect of MERs required to be issued, (see CS/SER/017 "*Data Errors / Not Data Errors - Contractual Definitions*" para 3.6.6.3)

Note 3: Instead of retaining and repairing Data Errors, Fujitsu Services is entitled to issue MERs for up to a total of 50 Data Errors (or such higher limit as the parties may agree) relating to any Data Error Counting Period.

For the purposes of this '50 limit', a Data Error relates to a Data Error Counting Period if;

- a) it is a Transaction Error in a transaction carried out during that Data Error Counting Period; or
- b) it is a Cash Account Error or an Inaccurate Cash Account (Data Error) for the Cash Account Period (if any) which is co-terminus with that Data Error Counting Period.

For the purposes of the definitions Data Error Counting Period, a day shall mean a period of 24 hours ending at 20.00hrs. (CS/SER/017 "*Data Errors / Not Data Errors - Contractual Definitions*" paras 3.6.1.2 & 3.6.1.3). Fujitsu Services and Post Office may agree that the '50 limit' may be increased if felt operationally viable.

Fujitsu Services **TPS Reconciliation & Incident Management** Ref: CS/PRO/111

Version: 4.0

COMMERCIAL IN CONFIDENCE

Date: 19/12/02

Not Data Errors Discovered Before or After Transmission to Post Office TIP

		Action by Pathway						
Data Error Criteria	Para (in CS/SER/017)	Retain Original Record	Transmit Original Record	Correct the Data Error	Correct the Data Error if Post Office Agree	BIMS Report (No MER)	To the extent that is reasonable, Fujitsu Services to assist Post Office	Charge to Fujitsu Services (Amt. Per MER)
Not Data Error	3.6.7		✓			✓	a) investigate and seek to prevent the recurrence of such Not Data Error and; b) prevent the production of Cash Accounts which are incorrect as a result of such Not Data Error	N/A

Appendix 3: BIMS Report / MER Format

BIMS Reference: BE/9912240077		
Incident Type:	Version:	Last Updated:
Incident Class	Originator:	
Transaction Date:	CAP:	FAD:
Status:	Error Value: £	
OTHER REFERENCES PinICL reference: Incident 'xref' : TIP / TP ref: System Incident References HSH: PinICL:		TRANSACTION LIABILITY Provisional: Final: Settlement Details Transaction Settlement Settled Amount: Invoice Number: Invoice Date: MER Charge No of Chargeable MER MER Settlement Amount: MER Invoice Number MER Invoice Date
INCIDENT HISTORY Date Received Date Cleared Date Closed		
ACTIONS		
Action Date / Time:	Action Type:	Analyst:
[Text description]		
TRANSACTION / CASH ACCOUNT DETAIL MANUAL ERROR REPORT: Y/N		
20 Fields available for insertion of Transaction or Cash Account detail in content and format agreed with Post Office TIP.		