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Fujitsu Services

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0.0 Document Control

0.1 Document History

Version No.	Date	Reason for Issue	Associated CP/PinICL
1.0	20/12/02	Produced for Contract Amendment	

0.2 Review Details

Review Comments by :	
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Post Office: Network Support - Supplier & Service Performance Manager	Liz Tuddenham
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Optional Review / Issued for Information	

(*) = Reviewers that returned comments

0.3 Associated Documents

Reference	Version	Date	Title	Source
NB/PRO/002	4.0	04/12/02	Network Banking / Debit Card MoP Reconciliation & Incident Management	PVCS
CS/SPE/011	3.0	04/12/02	Network Banking End to End Reconciliation Reporting	PVCS

Unless a specific version is referred to above, reference should be made to the current approved versions of the documents.

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0.4 Abbreviations/Definitions

Unless the context otherwise requires, the following terms have the following meanings:

Abbreviation	Definition
DRSH	Data Reconciliation Service Host
EPOSS	Electronic Point of Sale Service
MSU	Fujitsu Services; Pathway – Management Support Unit
NBE	Network Banking Engine
NBS	Network Banking Service
TIP	Post Office – Transaction Information Processing
TPS	Transaction Processing Service

The definitions above apply for use within this document only, any other defined terms used within this document other than those set out in the table above shall have the meaning as defined within Schedule 1 of this Agreement.

0.5 Changes in this Version

Version	Changes
1.0	Produced for Contract Amendment

0.6 Changes Expected

Changes

0.7 Table of Contents

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1.0 Introduction

1.1 Supplementary Documentation

This document supplements two (2) other Network Banking Reconciliation Service CCDs as defined in Schedule 1 to this Agreement by providing information on the Reconciliation Service and reconciliation and settlement reporting. In order to do this, references are made in this document to such other Network Banking Reconciliation Service CCDs.

1.2 Document Structure

As a consequence of the interconnecting nature of the Network Banking Reconciliation CCDs as explained in paragraph 1.1 above, the numbering in this document has assumed a particular numbering structure. If then, as a result of Soft Change Control Procedure or otherwise, the contents of this document are altered there may need to be consequential changes to the other Network Banking Reconciliation Service CCDs. In order to prevent the need for such consequential changes it is advised that in the event of changes being made to this document the numbering is as far as possible preserved

1.3 Statement of Precedence

In the event of any conflict or ambiguity the provisions of this CCD shall take precedence over the provisions of the following CCD's:

- Network Banking Reconciliation & Incident Management NB/PRO/002
- Network Banking End to End Reconciliation Reporting CS/SPE/011

2.0 Scope

The reconciliation and settlement reporting services for Banking Transactions (the "Data Reconciliation Service") are described in this paragraph 3.0.

3.0 Network Banking Data Reconciliation

3.1 Reconciliation System

- 3.1.1 **This paragraph 3.1 describes the functionality for that part of the end-to-end network banking reconciliation system required by which shall be developed and operated by as part of the NBS. Such part is referred to in this as the "Reconciliation System". [NBR040]**

3.1.2 and shall follow the reconciliation and incident management procedures (applicable to each of them) for the investigation, reporting and resolution of business incidents related to the NBS as set out in the CCD entitled “*Network Banking Reconciliation and Incident Management*” (NB/PRO/002). [NBR041, NBR500, NBR504]

3.1.3 shall not unreasonably withhold or delay its agreement to the design of back end processes and Banking Transaction processing procedures required to support the reconciliation and incident management of Banking Transactions. [NBR041, NBR495, NBR496]

3.1.4 **Reconciliation between counter and Cash Account**

Reconciliation of EPOSS Transactions to the Cash Account shall be dealt with at summary level using the reconciliation functionality used for EPOSS as a Service that existed prior to the introduction of Network Banking. [NBR454]. Such reconciliation functionality shall ensure that all Banking Transactions (reflected in C1 Confirmations) are included in the Cash Account, but shall not identify erroneous Cash Account mappings which cause such Banking Transactions to be included in the wrong line of the Cash Account, or non-Banking Transactions to be included in Cash Account lines intended for Banking Transactions. Reconciliation to the Cash Account described in this paragraph 3.1.4 will be performed after the electronic Cash Account is produced, which will be an indeterminate time after the Transactions have been settled (in the same manner as for Services that existed prior to the introduction of Network Banking).

3.1.5 **Branching data-flows**

(a) The Reconciliation System shall enable reconciliation of Financial Transactions arriving at the DRSH from the following three sources: [NBR183, NBR212, NBR229]

(i) the Confirmation Agent (i.e. the C1 Confirmations received by the Confirmation Agent from the Counter Position);

(ii) the NBE (i.e. D Messages and C4 Confirmations) [NBR294, NBR389];
and

(iii) the TPS Host (i.e. the C1 Confirmations harvested by the TPS Agent)

which reconciliation shall be reported by in accordance with the CCD entitled “*Network Banking End to End Reconciliation Reporting*” (CS/SPE/011).

In the event that a C0 Confirmation is sent to the NBE the relevant C1 Confirmation will indicate that a C0 Confirmation has been generated.

(b) The Reconciliation System shall monitor the Financial Transactions and report Banking Transaction states which are:

- (i) intrinsically anomalous, in that their occurrence implies malfunction in End to End Banking; or
- (ii) anomalous in that an expected state has persisted for an unexpected duration (e.g. where C1 Confirmations are received from the Confirmation Agent and C4 Confirmations are received from the NBE but the Confirmation from the TPS Host has not been received after an abnormal delay),

identifying any such anomalous Banking Transaction states which require human analysis for resolution. [NBR042, NBR228]

(c) The expected Banking Transaction states and Banking Transaction states which constitute exceptions are those set out in the CCD entitled "*Network Banking End to End Reconciliation Reporting*" (CS/SPE/011).

(d) The Data Reconciliation Service shall not produce reports which relate Banking Transactions included in Cash Accounts to Banking Transactions included in the Transaction files sent by the TPS Host to TIP, as these shall be covered by the reconciliation reporting and processes used for EPOSS (as a Service that existed prior to the introduction of Network Banking) and for TIP.

3.1.6 Complete processing

(a) The Reconciliation System shall:

- (i) ensure that all data received by it are processed;
- (ii) check for completeness of Financial Transactions; and
- (iii) report exceptions/anomalies for resolution as described in paragraphs 3.1.5 (b) and 3.1.5 (c) of this . [NBR227, NBR042]

(b) The Reconciliation System shall not regard a Banking Transaction as complete until reported as such in accordance with the CCD entitled “*Network Banking End to End Reconciliation Reporting*” (CS/SPE/011).

3.2 Reconciliation and Settlement Reporting

The Reconciliation System shall transmit to the TIP Gateway the reports described in the CCD entitled “*Network Banking End to End Reconciliation Reporting*” (CS/SPE/011) at intervals set out in that CCD. [NBR456]

3.2.1 Widespread Errors (as referred to in the CCD entitled “*Network Banking Reconciliation & Incident Management*” (NB/PRO/002)) shall be dealt with in accordance with the provisions of that CCD.

3.2.2 shall use reasonable endeavours to resolve all exceptions in each of the following categories within 5 MSU Days:

(a) Priority Exceptions to which the Service Level Targets set out in Schedule 15 do not apply

(b) all other exceptions in any of the system state categories set out in the CCD entitled “*Network Banking End to End Reconciliation Reporting*” (CS/SPE/011).

3.2.3 For the purposes of paragraph 3.2.2 of this , the resolution time for:

(a) Priority Exceptions shall be measured by in accordance with Schedule 15

(b) all other exceptions shall be measured in accordance with the CCD entitled “*Network Banking Reconciliation and Incident Management*” (NB/PRO/002).

3.2.4 shall report on a monthly basis (in the Working Document entitled “*Service Review Book*” its performance against the 5 MSU Day target referred to in paragraph 3.2.2 of this CCD.