

18 NOV 1999

-2228-

Electronic *memo*



To John Meagher/POCL/POSTOFFICE@POSTOFFICE
cc Keith K Baines/POCL/POSTOFFICE@POSTOFFICE, min@marden. GRO
Hard Copy To
Hard Copy cc
From Min Burdett/POCL/POSTOFFICE
Date 18/11/99 17:51

Subject Papers for tomorrow

John

I attach:

Updated traffic light report:


November 24 Rollout stats6.doc

Updated Demand Paper:


Rollout Decision 2.doc

Background Paper (you'll need to make some changes as you get some info tomorrow):


Acceptance Meeting 22nd November 1999.doc

BSM reference data analysis which I don't understand but will look at to see if there's anything we should put in the background paper


Reference4.doc

Martin Box's stats updated with John Dick's view over the phone today:


AI3760.61.xls

You will also have two e-mails from Graeme Seedall - His to Keith Falconer this morning describing the issue and his reference data one sent this evening.















Give me a call on GRO tomorrow if you want some more info

Min

Version 0.6

Roll-out 2000 Criteria - Monitoring Report

Update for 22 Nov Checkpoint Meeting

	Week Commencing					21/10	28/10	4/11	11/11	Total	Red/Amber/Green
AI 298/1	The number of system stability incidents for the four week period 21/10 to 17/11 shall be less than 560.					119	201.5	112.5	117.5	549	Green 
		24/9-2/10	3/10-6/10	7/10-13/10	14/10-20/10	21/10-27/10	28/10-3/11	4/11-10/11	11/11-14/11	Total/Average	Red/Amber/Green
AI 376/1	The percentage of cash accounts containing discrepancies shall not exceed 0.6%		44.92%	42.97%	32.04%	2.24%	0.90%	0.39%		15.97%	Red 
AI 376/2	No cash account discrepancy will be as a result of a cause previously reported to POCL as having been remedied			0	0	0	0	0		0	Green 
AI 376/3	All new causes of cash account will be analysed and have a rectification plan, submitted to POCL, within 10 days (Number without analysis/rectification plan)	5	1	7	2	4	1			20	Red 
AI 376/4	The Accounting Integrity Control Release would have identified all new Cash Account Discrepancies reported prior to 24 th November (number not identified)									3	Red 
AI 376/5	Those elements of the Rectification Plan for AI 376 which are scheduled to be complete by 24/11 shall be complete									On Track	Amber 
	Week Commencing			4/10	11/10	18/10	25/10	1/11	8/11	Total/Average	Red/Amber/Green
AI 408/1	Service Levels for answering Level 1&2 calls to the Help Desk is met in at least four of the six weeks as follows:										
a)	95% of first level calls to be resolved in 5 minutes			97%	95%	96%	96%	96%	96%		Green 
b)	100% of first level calls to be resolved in 10 minutes			100%	100%	100%	100%	100%	100%		Green 
c)	95% of second level calls to be resolved in 30 minutes			96%	100%	99%	99%	100%	100%		Green 
d)	100% of second level calls to be resolved in 45 minutes			98%	100%	100%	100%	100%	100%		Green 
AI 408/2	Service Levels for answering 80% of calls to the Help Desk within 20 seconds is met in at least four of the six weeks			69%	82%	82%	66%	72%	83%		Red 
AI 408/3	Service Levels for cash account calls (no ring backs required) is met in at least four of the six weeks									Disputed data	Amber 
AI 408/4	Service Levels for Cash Account repeat calls is met in at least four of the six weeks									Disputed data	Amber 
AI 408/5	Service Levels for 95% compliance on Cash Account call scripts is met in at least four of the six weeks			N/A	40%	N/A	36%	70% 24%	N/A		
AI 408/6	The Contractor's Horizon System Helpdesk Service shall provide first, second and third level Services as described in Schedule G01									Agree	Green 

Roll-out Decision - Demand Position Paper

In anticipation of the criteria due to be met by 24th November not having been met by that date, and given POCL's associated concerns, POCL is proposing that the existing monitoring activities should continue and be strengthened, and is also proposing the introduction of some new activities. POCL proposes the following.

1. AI 298 - System Stability

Objective:

- to ensure that Pathway continue to reduce the level of instability.

Activities:

- the current recording at the HSH does not facilitate the analysis and identification of faults and trends. POCL believe the best way of doing this is for Pathway, at their own expense, to develop a codified and structured fault recording system that will allow analysis to support the combined problem management and resolution function
- the current monitoring should continue for a further four weeks. The target for this period should be the same as the current period.

2. AI 376 - Data Integrity

Objectives:

- to ensure that the integrity control is capable of detecting all relevant incidents
- to continue to monitor error levels so POCL has an appropriate view of the level of disruption and cause of new incidents
- to increase POCL's level of understanding of the design and operation of emerging reconciliation controls:
 - a) to be in a position for POCL to design complementary operational procedures
 - b) obtain confidence that the new controls will be effective - given the constrained level of testing, POCL require greater level of assurance before release into the live environment. This is necessary in order for POCL to be assured that criteria 376 iii and iv are being met

Activities:

- The EPOSS/TIP reconciliation feature must be proven to be capable of detecting all data errors that would be detected by the TIP cash account compare process; for the avoidance of doubt, this includes an explicit check that receipts are equal to payments. This to be achieved by :
 - logical assurance of authorised design documentation
 - analysis of all previous root causes to determine that errors would be detected
 - testing to a jointly agreed strategy and high level test plan
 - dual running of EPOSS/TIP reconciliation and TIP Cash Account processes on test and live environments, over the periods described in CCN560, and subject to known stress conditions including outlet migration, reference data changes, transaction level data corruption
- the current monitoring should continue as defined in the second supplemental agreement for criteria 376 i-iii with the monitoring period commencing on the 18th November
- Pathway should demonstrate that they have met criterion 376 iv, if necessary by enhancing their Integrity Control design. This should include faults identified before September 24th and any faults found in the current monitoring period which would not have been detected by the current integrity control design
- Pathway should co-operate with POCL to review and revise the Rectification Plan to include new activities necessary for the successful development and implementation of operational procedures and any other new activities shown to be necessary by the review
- Pathway to extend the Logical Design information that is contractually controlled to cover those areas that POCL's experts reasonably say need to be subject to POCL's agreement, mainly interface and operational procedures

- mindful of the short time scales and the desire not to impede progress, the POCL ATM to be integrated into Pathway's delivery team so that POCL can gain the appropriate level of visibility in the design and progress to give POCL confidence in the Release
- Pathway's progress in developing the integrity release to be included in the scope of the review of readiness for roll-out which has been agreed and will be carried out by PA Consulting
- TIP checking shall continue at Pathway's expense until both of the following have occurred:
 - four weeks parallel running without faults as in the current contract
 - Pathway to have modified their integrity control to detect all error types that have occurred by that date.

3. AI 408 - HSH Performance

Objectives:

- to give POCL confidence that HSH can support roll-out especially:
 - a) to ensure that the HSH is appropriately resourced for the peak periods within a week
 - b) to ensure conformance to scripts.

Activities:

- continue to monitor HSH criteria i, iii and iv for a further four weeks. The six week monitoring period to be 1st November to 12th December. As per the original criteria, the aim being to attain the target levels in four out of the six weeks. In addition, 408 ii and v criteria should be enhanced (see below)
- to facilitate a detailed analysis of the root cause of the problems and allow POCL to have a more transparent understanding of ICL Pathway's performance, criterion 408 ii (calls answered within 20 seconds) should be reported during the four week extended period on a daily basis. The target of 80% of all calls answered within 20 seconds should be met every Wednesday and Thursday for three out of the four weeks and achieved as a weekly average for the same three out of the four weeks.
- to permit POCL to perform an audit of actual physical resource to the planned resource levels, Pathway to supply the four week detailed resourcing model broken down into 30 minute slots. POCL should be permitted to undertake an audit of physical resource to this model at any time during the 4 week period without prior notice. The actual resource levels should be within 95% of the planned levels for every audit performed
- paragraph 4.3.2.9 of schedule G10 (as amended by Schedule 5 of CCN560) to be further amended so that the compliance with the scripts shall be measured using call recordings which have been in operation since 1st November. A joint Pathway and POCL team to review and agree whether the operator has conformed to the scripts. The call logs detailing the scripts that have been used by the operator can be used as supporting evidence for the call recordings and can form part of the review to determine compliance. Pathway must achieve the target for the final three weeks of the audit. For this method of monitoring compliance to be effective:
 - a) Pathway to satisfy POCL that Pathway auditors have the expertise to undertake the review
 - b) POCL to select the calls at random
 - c) all cash account calls to be recorded.

Note that this also has the effect of changing the method of measuring criterion 408v
- Pathway to continue to work with POCL to review the quality of script to improve the accuracy leading to timely resolution of incidents. Additionally this will allow Pathway to acquire business knowledge from POCL.

4. Reference Data

Objective

- to give POCL confidence that Pathway's service is robust and can accurately account for POCL's transactions during reference data changes

Activities:

- The Reference Data interface agreement must be re-introduced, agreed and brought under contract control.
- Pathway must analyse all possible reference data changes in relation their impact on the target application(s) and derive a set of rules which protects the applications from all unintended effects.
- A robust management process is defined, agreed and brought under contract control to enforce this set of rules.
- A "reference data proving" test environment is created and maintained within the Pathway domain, on which all reference data releases are subject to formal (jointly agreed) test.
- All recommendations emerging from the joint end-to-end reference data process review Tactical stage which relate directly to accounting integrity are implemented.
- In principle agreement is reached on the deliverables and costs for the joint end-to-end reference data process review: Strategic stage. To include as a minimum that ...
- The Pathway owned target applications are reviewed such that they are more resilient to reference data changes and less reliant on protection mechanisms expressed in the above rule set.
- The different approaches taken by the two organisations to accounting principles is reviewed and harmonised where deemed appropriate.

Acceptance Meeting 22nd November 1999

General Background Information

For the Acceptance meeting on 22nd November between POCL and Pathway to discuss the continuation of the roll-out in 2000, the following have been prepared:

- Negotiation Brief (Keith Baines)
- Demand Position Paper (John Meagher)
- General Background papers (various contributions).

The general background papers consist of:

- this paper containing descriptions of issues and justifications of POCL's position on the monitoring report
- Monitoring Report (traffic lights - Min Burdett)
- Supporting data to the monitoring report
 - AI 298 graph report (DN awaiting final one)
 - AI 376 spread sheet analysis for each criterion
 - AI 408 Pathway's report
- paper for Keith Falconer describing the shortcomings and risks associated with the Integrity Control release (Graeme Seedall).

Status of Monitoring Report

1. AI 298

There are on-going discussions with Pathway to finalise and agree the data.

2. AI 376

AI 376 - Giro reference data integrity problem (Graeme Seedall - DN awaiting draft)

AI 376/1. It should be noted that Pathway have re-classified the Root causes using their own taxonomy. These and the associated figures have been added to POCL's detailed AI376 monitoring report (see attached). Pathway may argue that only their category 4 (Cash Account Discrepancy (not reference data)) should be used in the monitoring statistics and therefore they have met the criterion.

AI 376/3. Pathway's view is that there are only 4 new causes of cash account discrepancies which have not been analysed and a rectification plan submitted in 10 days. We don't accept this view, and even if we did it would be a fail.

AI 376/4. Pathway's view is that there are no Cash Account discrepancies which would not have been identified by the Accounting Integrity Control Release. This is presumably because they consider "Reversal of stock adjustment settlement", "negative giro records", and "Ecco transfer problem" as out of scope of this AI. Pathway will not provide any design documentation to confirm their analysis.

AI 376/5. Cycles 2 and 3 of System Testing will commence on 23rd November. This represents a slippage of eight calendar days against the original plan.

3. AI 408

AI 408/2. Pathway (John Dicks) are reporting this as passed as they are using 81% not 72% for the week beginning the 1st November. They are excluding calls due to reference data problems for this week. POCL do not agree with this exclusion.

AI 408/3 and 4. POCL are disputing the figures provided by Pathway which are generally no ring backs or repeat calls. POCL and Pathway are meeting Monday 22nd pm to try and resolve the difference of opinion (DN Adele Henderson should be providing on Friday POCL's view of the figures going into the meeting).

AI 408/5. Pathway are disputing POCL's audit approach which has been used. POCL agree. This criterion is therefore void.

AI 408 - issues with Reference Data (Dave McLaughlin - DN analysis provided, but not sure what it's saying - probably delete this point)

Reference data problems

Area where resolution lies	Problem Number	Problem Title	Action Taken	Status
POCL Head office	BSM19990916001	Special Promotion vouchers (Bunches) were not accountable on the Horizon System. The account team did not follow OBC procedures to change product.	Authorised Temporary Procedure (ATP) implemented. Ensure that all future instructions are checked for Horizon compatibility before they are released.	ATP withdrawn Closed
	BSM19990916002	Software missing for Northern Ireland MVLs. Offices unable to carry out transaction. The account team did not follow OBC procedures to change product.	Authorised Temporary Procedures (ATP) implemented. Ensure that Account teams are aware of the OBC procedures when changing or introducing new products.	Transaction now on the system. Offices are able to carry out transaction. Account team aware of OBC procedure. Closed
	BSM19991007001	£2 British Gas stamps not on the system. Product withdrawn and then reinstated to sell to exhaustion. Account team did not follow OBC procedure.		Stamp icon now on the system. Awaiting Counter News article to inform users.
	BSM19991025005	Simple Payment Module Trial was extended and was not available on the Horizon system. Account team did not figure Horizon into their plans so sent no OBC form.		Should be available on the system by 3 Dec at the earliest.

Area where resolution lies	Problem Number	Problem Title	Action Taken	Status
POCL Head office	BSM19991022002	SWALEC bar-coded bills not being recognised by the system	This is a client error as the problem is caused by the check digits in the bar-code not being recognised.	Short lived as only affected one batch of client bills.
	BSM19991105001	Lancashire homecare stamps not on the system. Migrated offices in this area could not put the new value stamps on the system. OBC not processed at OSG.	Authorised Temporary Procedure (ATP) implemented. Ensure account teams check that their OBC forms have been received by OSG	Awaiting conformation that stamps are on system
OSG	BSM19991105003	Users unable to find national savings Girobank transaction icons. Offices could not find these icons as they had been prematurely moved.	Explanations received from both ICL Pathway and OSG. OSG will tighten up their internal processes for verification and change to ensure no more misunderstandings.	Users informed. Awaiting update from OSG.
Reference data	BSM19991029003	Lack of adequate Reference Data Processes	There have been a number of problems raised which were due to reference data problems and a lack of management for the reference data process. There needs to be a complete review of how the business deals with reference data and the processes designed to manage reference data.	Ongoing
	BSM19990922001	Girobank Transcash fee set at 97p. Users could not alter the fee. Problem in Reference Data front end system.	Change request to RDS, which will stop future occurrences of this incident.	Awaiting conformation of change

Area where resolution lies	Problem Number	Problem Title	Action Taken	Status
ICL Pathway	BSM19990922002	Corrupt Correspondence Server at Wigan The correspondence server at Wigan became corrupt and the system had to run off the Bootle site however ICL Pathway informed BSM that the reference data for the previous evening would not be run. 12 products not available at counter.	Technical explanation as to the cause has been given by ICL Pathway and agreed by Pathway have given assurances that the underlying software bug has been dealt with and that this specific bug will not re-occur. Products were sent to counter the following day.	Post implementation review to be held.
	BSM19990928002	Missing icons on the Horizon System (CO-OP banking) Users could not find icon. to do transaction. Problem occurred within Icl Reference data.	ICL have released necessary Reference Data to re-instate the missing icon. Explanation received.	Icons back on system.
	BSM19991001001	Reference Data Scheduling - 1 Sided Transfers. Products could not be remmed or transferred out. e.g. cheques.	A change has now been made to the operational procedures to include an additional level of consistency checking. This includes the use of a reporting tool which will flag any such inconsistencies. In the longer term a change will be made to the design of the service	Ongoing. Residual incidents to be investigated. Post Incident Review to be held.
	BSM19991013002	Discrepancies in the amount entered in Giro Change giving	An ICL Pathway CHANGE (NB this is not a fix) will be released to bring this into line. This	Ongoing

		This showed when offices produced their cash account.	change is currently with ICL Pathway testing, - (WP 5711). The reference data change has not given rise to any reconciliation occurrences within the live ICL Pathway system, but has within Interim TIP. When the ICL Pathway change is released to the entire estate, this will synchronise Interim TIP with the entire ICL Pathway system.	
	BSM19991028005	Duplicate transaction numbers for BA OBCS transactions. The BA reported to the BA Account Team that they had had a number of duplicate transaction numbers for OBCS.	A fix was sent down in beginning of August and this was monitored. ICL are currently awaiting information from BA to see if the problem has reoccurred.	Call closure agreed by all parties.
	BSM19991105002	Girobank Business deposit account number field missing. Users could not input the Giro account number. Caused by lack of full testing of change.	There appears to be a gap in the ICL pathway testing of a product and OSGs verification. ATP issued to offices as transaction could be accessed on another screen. Problem rectified.	Ongoing work to establish gap.

376 (i)

AI 376 - Incident Analysis

Number of outlets affected by cash account week

Root cause	Wk 29-Sep 27	6-Oct 28	13-Oct 29	20-Oct 30	27-Oct 31	3-Nov 32	10-Nov 33	17-Nov 34	Total	% in error
1 Negative sign on transactions						2			2	0.02%
2 Reversal of stock adjustment settlement		2	14	13		fix applied			29	0.36%
3 Incorrect stock transfer transactions		32	12						44	0.54%
4 Missing cash account records			1		3				4	0.05%
5 Negative giro change records	2	367	424	388	5	ref data updated			1186	14.59%
6 Invalid Item Transaction Mode									0	0.00%
7 ECCO transfer problem				3					3	0.04%
8 AP reversal mode failure			3	1	1					0.00%
9 Outlet discrepancies under investigation		1	28	8	24	14	7		82	1.01%
Totals	2	402	482	413	33	16	7		1355	
No. of outlets affected	2	385	452	404	33	15	7		1298	
No. of cash accounts received by POCL	24	857	1052	1261	1472	1675	1788		8129	
% of cash accounts in error (all root causes)	8.33%	44.92%	42.97%	32.04%	2.24%	0.90%	0.39%		15.97%	
% of cash accounts in error (excluding negative giro change)	0.00%	4.08%	5.51%	1.98%	1.90%	0.90%	0.39%		2.02%	
<div> <div>observation period starts</div> <div>observation period ends</div> </div>										
Not an Incident		1							1	

Note:- Week 27 figures only include cash accounts received from 3/10

Pathway's View (given over 'phone to John Meagher/Min Burdett 18/11)										
1 POCL Reference Data	2	367	424	388	5	0	0		1186	14.59%
2 Other not 376 related (includes 2 of POCL's list)	0	2	15	18	6	4	0		45	0.55%
3 Pathway Reference Data	0	32	40	3	0	0	0		75	0.92%
4 Cash Account Discrepancy (not reference data)	0	1	3	1	22	0	0		27	0.33%
5 Under Investigation	0	0	0	3	2	11	7		23	0.28%
Totals	2	402	482	413	35	15	7	0	1356	16.68%

NB Pathway analysis does not take into account cash accounts affected by more than one root cause in a week