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HORIZON M REGO 01



*PO/DSS*

Post Office Counters Ltd

**FACSIMILE TRANSMISSION**

**TO** Jeff Triggs  
Slaughter & May

**FROM** Keith Baines  
Horizon Commercial

**FACSIMILE** GRO

**DATE** 13 August 1999

**NUMBER OF PAGES** 28  
*(including header)*

Jeff,

As discussed this morning, there are 4 disputed acceptance incidents where POCL consider that the severity is category (a), i.e. High.

These are:

AI 218	Training Court Cash Account module inadequate.
AI 298	Counter system subject to lock ups and screen freezes requiring re-boots.
AI 369	Scanner reliability in relation to OBCS transactions.
AI 376	Derived cash account not equal to electronic cash account.

I am enclosing the following material:

- (1) list of current status of acceptance incidents with disputed high or medium severity, sent to Peter Copping.
- (2) Pathway analysis of the 4 AI's rated "high" by POCL.

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HORIZON Y REGO 02

Not yet available but to follow, later this afternoon, will be item (3) POCL  
business impact analysis of these 4 high severity AI's.

The meeting on Monday has now been re-timed for 8 a.m. (sorry!) at Gavrelle  
House, Conference Room 7.

Regards.

**GRO**

Keith Baines



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HORIZON M REGO 03

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**ACCEPTANCE INCIDENT HOTLIST**

13th August '99

Note : Pathway to confirm 'none' and 'closed' status of some incidents

A Spec	AI	Description	(PWY)	(POCL)	Remarks
TIP	342	TIP data file delivery SLA breach	Low	Medium	
TIP	361	Duplicate records and files over TIP Interface.	Low	Medium	
TIP	371	Late transactions over 9 days old on HAPS system.	Low	Medium	
TIP	376	Derived cash account not equal to electronic cash account	Low	High	
TIP	378	AIS contravention/Data Integrity on the cash account (TIP)	Closed	Medium	
EPOSS	211	Receipts and payments not equal on cash account	Closed	Medium	
Training	218	Training course Cash Account module inadequate.	Closed	High	
Rollout	372	Systems management (not all 299 offices successfully upgraded to LT2)	None	Medium	
Security	368	Physical Security of Lytham St Annes Computer Room	Low	Medium	Closed 13/8. To be removed from hotlist.
Security	391	Deficiency in physical security at Bootle & Wigan	Low	Medium	
APS	390	Recovery of APS transactions	Low	Medium	
APS	395	Duplicate AP transaction reference numbers	None/Low	Medium	
POCL Infra	298	Counter system subject to lockups & screen freezes requiring re-boots.	Low	High	
POCL Infra	314	Provision of tech. documentation for TP suppliers inadequate.	None/Low	Medium	
POCL Infra	369	Scanner reliability in relation to OBSC transactions	None	High/Med	
Service Levels	408	Failure of the Horizon System helpdesk to support the network	None/Low	Medium	

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HORIZON M REGO 04

		<b>Acceptance Incident Number (1)</b> 376	
<b>Acceptance Test Name (2)</b> TIP Interface		<b>Source (3)</b> BSM	<b>Date Observed (4)</b> 19/07/99
<b>Witness/Reviewer who observed Incident (Owner) (5)</b> Martin Box			<b>Authority (6)</b>
<b>Criterion not met</b> Substantive fault Other	831-01		High Medium Low <b>Pending</b> None
<b>Description of Incident (10)</b> New Description: AIS contravention/ Data integrity - derived cash account not equal to the electronic cash account. Incidents (TIP 821, 822, 846, 855, 856, 857, 858, 859, 864, 965, 866, 868, 869, 870, 873, 874) have been raised by TIP in respect of all transactions that constitute a cash account have not been received by TIP or when electronic cash accounts received where transactions that have been conducted and received by TIP are missing from the respective cash account lines. These issues have come to light when comparing a TIP derived cash account with the electronic cash account sent by Pathway. Not all instances of similar occurrences have been logged by TIP as the physical resource to check each occurrence of a difference within the derived versus the electronic is not available. It was expected that this facility would by now be comparing like with like. This is very significant. Missing transactions and missing cash account line entries cause reconciliation failures within POCL back end systems and error resolution is invoked. The cash account produced by the Organisational Unit in these instances must be in doubt and is not a fair reflection of the business undertaken at each Organisational Unit. A subposmaster may be asked to bring to account an error, but the error was produced via system failure rather than human failure. Many hours of investigation at both the front end and back end have taken place to help resolve these problems. The benefits assigned to POCL back end system in respect of an automated cash account are being questioned. Severity: POCL - high - would effect POCL's ability to produce an accurate cash account. PWY - accept the problem exists. Would argue about the severity - would it genuinely effect the accounting integrity as it currently exists?  Rectification: Steve Warwick to provide rectification of this issue. PWY understand the problem and are currently working on the fix. Steve Warwick to provide details.			
<b>Witness / Reviewer</b>	<b>Horizon Acceptance Test Manager</b>	<b>Pathway</b>	<b>AIM</b>
<b>Date:</b>	<b>Date:</b>	<b>Date:</b>	<b>Date:</b>
<b>DSS Acceptance Manager</b>		<b>POCL Business Assurance</b>	
<b>Entered in Acceptance Database</b>			<b>Date:</b>

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HORIZON M REGO 05

to be given to the Horizon Acceptance Incident Manager		
Acceptance Incident Number (1)	Analysis Sequence Number (2)	
376		
Acceptance Test Name (3)		
TIP Interface		
High / Medium / Low (4)		Authority (5)
Medium		
Analysis of Acceptance Incident (6)		
<p>Analysis of Acceptance Incident (6)</p> <p>Pathway have analysed all occurrences where the (TIP) derived cash account does not equal the actual cash account (up to TIP 883). There is no suggestion or indication that there is a fault in the calculation or reporting of the Cash Account; the incidents relate to transaction reporting to TIP. This currently has a rate of occurrence of c. 1% of outlets per week (6 occurrences in last 2 weeks), which it is agreed is unsustainably high when considered against a target population of 20,000 outlets.</p> <p>There are two causes:</p> <p>(i) very occasionally a transaction is recorded at the outlet with a missing attribute (start time or mode). The processing rules specified for the TPS harvester reject any transaction which has a missing attribute, meaning these transactions are not forwarded to TIP. They are however, correctly posted in cash account processing.</p> <p>The harvester specification is being modified to (i) reconstitute any missing start time attribute by interpolation from immediately preceding transactions within the customer session, or (if none is present) to log an event and (ii) map any null mode attribute to "serve customer" attribute. (No occurrences outside this mode have been detected in any incident.)</p> <p>Pathway will monitor occurrences of any such null attributes and work will continue to ensure that all transactions are correctly recorded with all attributes at the outlet. This will eliminate this problem; it is theoretically possible that a very occasional transaction will result with an invalid item transaction mode, although there has been no instance of this detected in any of the analysed cases.</p> <p>(ii) on one occasion a reference data change from core to non core and the new Reference Data mapping of products to Cash Account cause any transactions conducted within the CAP prior to the RD change not to be posted to the Cash Account. In this case there is no fault within the Pathway system. Pathway has proposed an approach to POCL to avoid this problem through the use of product types within RD.</p> <p>[Note that report TIP889 (2/8) is under investigation but relates to SLA delivery window (AI342)].</p> <p>A summary of outstanding incidents and analysed status under AI376 is attached.</p>		
Clearance Action (7)		
<p>The fix to reconstitute missing transaction attributes was introduced 2/8. For the current CAP any reported such occurrences will be analysed; there should no missing transactions subsequent to the fix. For ongoing monitoring Pathway believe a target maximum occurrence due to this cause for the next CAP should be 2 (0.67%) at which point the incident be reduced to Medium. This Acceptance Incident should finally reviewed for reduction to Medium on Thursday 12 August.</p> <p>Ongoing monitoring for the next three months should progressively reduce occurrence to a maximum of 0.1% at which point the incident be closed.</p>		
		Resolved
Signatures:		
I propose the Clearance Action and Incident Status described above	J.C.C Dicks	9th August 1999



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I accept / reject the Clearance Action and Incident Status described above		<b>POCL Business Assurance</b>	Date:
			Date:
<b>DSS Acceptance Manager</b>		<b>POCL Business Assurance</b>	
	Date:		Date:

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HORIZON M REGO 07

		<b>Acceptance Incident Number (1)</b> 369	
<b>Acceptance Test Name (2)</b> POCL Infrastructure		<b>Source (3)</b> BSM	<b>Date Observed (4)</b> 20/07/99
<b>Witness/Reviewer who observed Incident (Owner) (5)</b> David McLaughlin			<b>Authority (6)</b>
<b>Criterion not met</b> Substantive fault Other	536-01		High Medium Low <b>Pending</b> None
<b>Description of Incident (10)</b> The scanner reliability is questionable in relation to OBCS transactions where there has been a high number of rejections of pension and allowance books.			
<b>Witness / Reviewer</b>	<b>Horizon Acceptance Test Manager</b>	<b>Pathway</b>	<b>AIM</b>
<b>Date:</b>	<b>Date:</b>	<b>Date:</b>	<b>Date:</b>
<b>DSS Acceptance Manager</b>		<b>POCL Business Assurance</b>	
<b>Entered in Acceptance Database</b>			<b>Date:</b>

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HORIZON M REGO 008

Acceptance Incident Number (1)			Analysis Sequence Number (2)	
369				
Acceptance Test Name (3)				
POCL Infrastructure				
High / Medium / Low (4)			Authority (5)	
None				
Analysis of Acceptance Incident (6)				
<p>A problem with scanning OBCS bar codes was first notified in November 1998 by HSH following an increase in calls from PMs regarding impounded order books. The books concerned had a new type of printed bar code and so the problem was initially attributed to the new method of printing adopted by BA.</p> <p>Although problems were originally believed to be confined to one print run in November and calls relating to problem did cease by mid-December, calls re-emerged in late December. Further tests in early January revealed that the problem could be caused by a change to the paper.</p> <p>In mid-January, PIRA examined the paper supplies and concluded that the relative humidity levels of paper were 7% when the acceptable industry level is 5.3%. In addition, it was found that the necessary ink-hardening agent was not present in the paper. Arrangements were made for the immediate replacement of the hardening agent and for new supplies of paper to be tested.</p> <p>In early February, a temporary procedure was introduced by POCL that involved treating the order book as a non bar-coded book. This procedure is still in place. Tests undertaken by Welch Allyn on behalf of ICL Pathway in mid-February concluded that the problems resulted from the poor print quality of the bar codes.</p> <p>In March, BA received new supplies of paper. However, in mid-April, it was confirmed that these provided little improvement in paper quality. Further paper was ordered from another supplier. In late-May it was advised that more positive results had been obtained using this paper.</p> <p>In early June, BA provided the view that the ESNS scanner used by ALPS had greater tolerance than Horizon scanner. In late June, BA provided evidence that some bar codes could be read with the ESNS scanner but not with the Horizon scanner. However, it was confirmed that the Horizon scanner did accord with the agreed specification and those problems did not occur before November 1998.</p> <p>Tests of bar codes continue to be undertaken by both BA and Pathway. Pathway is currently awaiting confirmation from POCL that the tests carried out earlier this year by BA were compliant to 'Code 3 of 9' standard bar codes and that their tests have included the original paper and ink combination. Currently, ICL Pathway is beginning tests on a batch of 90 barcodes received from BA via POCL. The majority is being tested at BRA01 using both the ESNS and OBCS scanner, but two have been forwarded to Welch Allyn (via the Implementation team at KID01) for verification/ validation of the bar codes compliance with the agreed standard.</p>				
Clearance Action (7)				
<p>At present ICL Pathway does not believe that sufficient evidence has been provided that the bar code scanner is operating out of specification and request that this Incident is closed.</p> <p>ICL Pathway and POCL are continuing to investigate DSS's concerns, and ongoing management of these issues will continue via our respective Service Management groups.</p>				

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HORIZON Y REGO 09

Signatures:			
I propose the Clearance Action and Incident Status described above	D.Cooke	Clearance Manager	Date: 29/7/99
I accept / reject the Clearance Action and Incident Status described above		Horizon Acceptance Manager	Date:
			Date:
DSS Acceptance Manager		POCL Business Assurance	
	Date:		Date:



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HORIZON M REGO 10

Acceptance Incident Number (1)		Analysis Sequence Number (2)	
369			
Acceptance Test Name (3)			
POCL Infrastructure			
High / Medium / Low (4)		Authority (5)	
None			
Analysis of Acceptance Incident (6)			
<p>We have carried out the test on 90 books referred to in the previous analysis, and found the scanner to be reliable.</p> <p>A brief report is attached</p>			
		2	
Clearance Action (7)			
POCL to reconsider severity in the light of the satisfactory Pathway report by 11/8.			
		Resolved	
Signatures			
I propose the Clearance Action and Incident Status described above	P. John Pope	Pathway Test Manager	11th August 1999
I accept / reject the Clearance Action and Incident Status described above		Horizon Acceptance Test Manager	Date:
			Date:
DSS Acceptance Manager		POCL Business Assurance	
	Date:		Date:



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HORIZON M REGO ☒ 11

		Acceptance Incident Number (1)	
		218	
Acceptance Test Name (2)		Source (3)	Date Observed (4)
Implementation A - User Training/Doc		Trial	19/05/99
Witness/Reviewer who observed Incident (Owner) (5)		Authority (6)	
Graham Katon		POCL	
Incident Description		Incident Severity	
Criterion not met Substantive fault Other		High Medium Low Pending None	
<b>Description of Incident (10)</b> The Managers Training Course is not acceptable due to deficiencies in the accounting modules. In the live environment the training given did not equip the users to perform the completion of office cash accounts. This is a basis POCL function that is central to running and accounting for the POCL network.			
<b>Signatures</b>			
Witness / Reviewer	Horizon Acceptance Test Manager	Pathway	AIM
Date:	Date:	Date:	Date:
DSS Acceptance Manager		POCL Business Assurance	
Entered in Acceptance Database			Date:

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HORIZON M REGO 012

to be given to the Horizon Acceptance Incident Manager			
Acceptance Incident Number (1)  218		Analysis Sequence Number (2)	
Acceptance Test Name (3)  Implementation A - User Training/Doc			
		High / Medium / Low (4) None	Authority (5) POCL
Analysis of Acceptance Incident (6)  Please see accompanying text of letter to Bruce McNiven			
Clearance Action (7)  All actions have now been completed satisfactorily and the review of the Acceptance Incident under cover of letter from Bruce McNiven of 10 August has been responded to.  Pathway asks POCL to Close this incident.			
		Resolved	
Signatures:			
I propose the Clearance Action and Incident Status described above	J C C Dicks	Horizon Acceptance Manager	11th August
I accept / reject the Clearance Action and Incident Status described above		Horizon Acceptance Test Manager	Date:
			Date:
DSS Acceptance Manager		POCL Business Assurance	
	Date:		Date:

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2000, 2001, 2002, 2003, 2004, 2005, 2006, 2007, 2008, 2009, 2010, 2011, 2012, 2013, 2014, 2015, 2016, 2017, 2018, 2019, 2020, 2021, 2022, 2023, 2024, 2025, 2026, 2027, 2028, 2029, 2030, 2031, 2032, 2033, 2034, 2035, 2036, 2037, 2038, 2039, 2040, 2041, 2042, 2043, 2044, 2045, 2046, 2047, 2048, 2049, 2050, 2051, 2052, 2053, 2054, 2055, 2056, 2057, 2058, 2059, 2060, 2061, 2062, 2063, 2064, 2065, 2066, 2067, 2068, 2069, 2070, 2071, 2072, 2073, 2074, 2075, 2076, 2077, 2078, 2079, 2080, 2081, 2082, 2083, 2084, 2085, 2086, 2087, 2088, 2089, 2090, 2091, 2092, 2093, 2094, 2095, 2096, 2097, 2098, 2099, 2100, 2101, 2102, 2103, 2104, 2105, 2106, 2107, 2108, 2109, 2110, 2111, 2112, 2113, 2114, 2115, 2116, 2117, 2118, 2119, 2120, 2121, 2122, 2123, 2124, 2125, 2126, 2127, 2128, 2129, 2130, 2131, 2132, 2133, 2134, 2135, 2136, 2137, 2138, 2139, 2140, 2141, 2142, 2143, 2144, 2145, 2146, 2147, 2148, 2149, 2150, 2151, 2152, 2153, 2154, 2155, 2156, 2157, 2158, 2159, 2160, 2161, 2162, 2163, 2164, 2165, 2166, 2167, 2168, 2169, 2170, 2171, 2172, 2173, 2174, 2175, 2176, 2177, 2178, 2179, 2180, 2181, 2182, 2183, 2184, 2185, 2186, 2187, 2188, 2189, 2190, 2191, 2192, 2193, 2194, 2195, 2196, 2197, 2198, 2199, 2200, 2201, 2202, 2203, 2204, 2205, 2206, 2207, 2208, 2209, 2210, 2211, 2212, 2213, 2214, 2215, 2216, 2217, 2218, 2219, 2220, 2221, 2222, 2223, 2224, 2225, 2226, 2227, 2228, 2229, 2230, 2231, 2232, 2233, 2234, 2235, 2236, 2237, 2238, 2239, 2240, 2241, 2242, 2243, 2244, 2245, 2246, 2247, 2248, 2249, 2250, 2251, 2252, 2253, 2254, 2255, 2256, 2257, 2258, 2259, 2260, 2261, 2262, 2263, 2264, 2265, 2266, 2267, 2268, 2269, 2270, 2271, 2272, 2273, 2274, 2275, 2276, 2277, 2278, 2279, 2280, 2281, 2282, 2283, 2284, 2285, 2286, 2287, 2288, 2289, 2290, 2291, 2292, 2293, 2294, 2295, 2296, 2297, 2298, 2299, 2300, 2301, 2302, 2303, 2304, 2305, 2306, 2307, 2308, 2309, 2310, 2311, 2312, 2313, 2314, 2315, 2316, 2317, 2318, 2319, 2320, 2321, 2322, 2323, 2324, 2325, 2326, 2327, 2328, 2329, 2330, 2331, 2332, 2333, 2334, 2335, 2336, 2337, 2338, 2339, 2340, 2341, 2342, 2343, 2344, 2345, 2346, 2347, 2348, 2349, 2350, 2351, 2352, 2353, 2354, 2355, 2356, 2357, 2358, 2359, 2360, 2361, 2362, 2363, 2364, 2365, 2366, 2367, 2368, 2369, 2370, 2371, 2372, 2373, 2374, 2375, 2376, 2377, 2378, 2379, 2380, 2381, 2382, 2383, 2384, 2385, 2386, 2387, 2388, 2389, 2390, 2391, 2392, 2393, 2394, 2395, 2396, 2397, 2398, 2399, 2400, 2401, 2402, 2403, 2404, 2405, 2406, 2407, 2408, 2409, 2410, 2411, 2412, 2413, 2414, 2415, 2416, 2417, 2418, 2419, 2420, 2421, 2422, 2423, 2424, 2425, 2426, 2427, 2428, 2429, 2430, 2431, 2432, 2433, 2434, 2435, 2436, 2437, 2438, 2439, 2440, 2441, 2442, 2443, 2444, 2445, 2446, 2447, 2448, 2449, 2450, 2451, 2452, 2453, 2454, 2455, 2456, 2457, 2458, 2459, 2460, 2461, 2462, 2463, 2464, 2465, 2466, 2467, 2468, 2469, 2470, 2471, 2472, 2473, 2474, 2475, 2476, 2477, 2478, 2479, 2480, 2481, 2482, 2483, 2484, 2485, 2486, 2487, 2488, 2489, 2490, 2491, 2492, 2493, 2494, 2495, 2496, 2497, 2498, 2499, 2500, 2501, 2502, 2503, 2504, 2505, 2506, 2507, 2508, 2509, 2510, 2511, 2512, 2513, 2514, 2515, 2516, 2517, 2518, 2519, 2520, 2521, 2522, 2523, 2524, 2525, 2526, 2527, 2528, 2529, 2530, 2531, 2532, 2533, 2534, 2535, 2536, 2537, 2538, 2539, 2540, 2541, 2542, 2543, 2544, 2545, 2546, 2547, 2548, 2549, 2550, 2551, 2552, 2553, 2554, 2555, 2556, 2557, 2558, 2559, 2560, 2561, 2562, 2563, 2564, 2565, 2566, 2567, 2568, 2569, 2570, 2571, 2572, 2573, 2574, 2575, 2576, 2577, 2578, 2579, 2580, 2581, 2582, 2583, 2584, 2585, 2586, 2587, 2588, 2589, 2590, 2591, 2592, 2593, 2594, 2595, 2596, 2597, 2598, 2599, 2600, 2601, 2602, 2603, 2604, 2605, 2606, 2607, 2608, 2609, 2610, 2611, 2612, 2613, 2614, 2615, 2616, 2617, 2618, 2619, 2620, 2621, 2622, 2623, 2624, 2625, 2626, 2627, 2628, 2629, 2630, 2631, 2632, 2633, 2634, 2635, 2636, 2637, 2638, 2639, 2640, 2641, 2642, 2643, 2644, 2645, 2646, 2647, 2648, 2649, 2650, 2651, 2652, 2653, 2654, 2655, 2656, 2657, 2658, 2659, 2660, 2661, 2662, 2663, 2664, 2665, 2666, 2667, 2668, 2669, 2670, 2671, 2672, 2673, 2674, 2675, 2676, 2677, 2678, 2679, 2680, 2681, 26

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Sender..... Gro
Recipient..... James M. Felton
John Teaghen
Cuth Holleran
Bruce McHenry
John Hicks
Mike
Review of Acceptable Incident 2a - Training
Sent..... 10/05 1999 18:24
Attachments... Dick
Acceptance
Reply Requested..... No
Folder..... Inbox
In Reply To.....
Read..... 11/05 1999 08:59
Reply Sent.....
Reply Requested by...
Delivered..... 10/05 1999 18:27
Priority..... Normal
Sensitivity..... None
Status..... Read
Importance..... Normal
Conversion Prohibited: No

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# GRO

Apologies, but I incorrectly sent this mail to you initially as I meant to 'Save as Draft' and instead hit send!

Please find attached, the final version of both documents which have been updated since I initially sent it to you.

Sorry for any confusion.

Avila

(See attached file: Dicks 1006.doc) (See attached file: Acceptance Incident 216.doc)

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HORIZON M REGO 14

John Dicks  
Director, Customer Enquiries  
ICL Pathway Limited  
Forest Road  
Feltham  
Middlesex TW13 7EJ

10<sup>th</sup> August 1999

Dear John

**Re: Review of Acceptance Incident 218 - Training**

An analysis of the evaluation against the business impacts identified in the Acceptance Incident is attached.

Although many of the criteria have been met, it is regarded as significant that the training and go-live process relies on the deployment of POCL HFSO resource. On the basis of this evaluation, we are not prepared to reduce the severity rating from 'high'.

POCLs view is that without this resource there would have to be a complete revision of the training approach in order to ensure helpdesks were not rendered ineffective by the high level of calls following the first and, to some extent, subsequent balances.

POCLs view is that HFSO resource was not deployed as an extension of training. The cost impact and diversion of resource which this requires must be addressed by ICL Pathway.

It is also POCLs view that the related adequacy of HSH support must be integrated with this Acceptance Incident and removed as an additional source of concern.

The training improvements identified as part of the qualitative research by Post Office Business Consultancy must also be addressed as part of a rectification plan.

Yours sincerely

GRO

Bruce McNiven  
Director  
Horizon Programme

cc: Mike Coombs, Chris French, Ruth Holleran, John Meagher



## Horizon Incident Number 218 - Evaluation

### 1. Criterion: 534/1

"Pathway's Training solution shall take account of users experience in terms of automated products and platforms (ECCO+, APT, APTS) and their differing abilities to learn".

2. BUSINESS IMPACT	SUMMARY OF SUCCESS CRITERIA MEASURE	EVALUATION
1. The Office Managers ability to undertake daily balancing and produce a cash account is adversely impacted resulting in a failure to support accurate POCL accounting. This is a high severity impact on POCL's ability to perform its normal business functions.	<ul style="list-style-type: none"> <li>■ Reduction in the number of offices unable to complete the cash account balance process and produce a cash account balance (relative to the sample).</li> <li>■ Continuing or better level of success in the pass rate of the Performance Standard Assessment (PSA) test.</li> <li>■ Performance Standard Assessment (PSA) to reflect live operation and standard practices; Horizon users complete PSA again on day 10.</li> </ul>	<ul style="list-style-type: none"> <li>■ Data from BSM telephone survey for balance related to the 4<sup>th</sup> August contained the following; 22 offices produced an account, 1 office had a two week cash account. This criteria is therefore met.</li> <li>■ Criteria met.</li> <li>■ Criteria met.</li> </ul>
2. The consequential effect is that the amount of time taken to produce the cash accounts is excessive in relation to the time taken on the previous (manual) system and significantly in excess of POCL's expectations for the service.	<ul style="list-style-type: none"> <li>■ Reduction in time taken to produce a stock unit balance, the office balance and finally produce a cash account (relative to the sample).</li> </ul>	<ul style="list-style-type: none"> <li>■ Balancing statistics for the 4<sup>th</sup> August Cash Account indicate an overall reduction in time taken to complete balances in both sub offices and ECCO offices. Even at the reduced level, concerns remain about overall balancing times.</li> </ul>

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BUSINESS IMPACT	SUMMARY OF SUCCESS CRITERIA MEASURE	EVALUATION
<p>3. The consequences are also that the number of cash account related incidents reported to POCL NBSC is considerably greater than expected. (About a third of the calls coming to NBSC Help Desk indicate a lack of understanding of the cash accounting and balancing process). HSH are responsible for resolving these service incidents but are unable to cope with the content and volume of calls which are therefore having to be dealt with by NBSC. As the Manager's training course is deficient, NBSC and presumably HSH staff who receive this training course, are also inadequately trained.</p>	<ul style="list-style-type: none"><li>■ Reduction in demand on support - Measured through a reduction in the number of calls (at the peak time on Wednesday evening and Thursday morning) for advice and guidance to support stock unit balancing, office balancing and production of the cash account received at the HSH and/or at the NBSC.</li><li>■ Reduction in the length of calls from the additional 25 offices.</li></ul>	<ul style="list-style-type: none"><li>■ The overall number of calls in weeks 1, 2 and 3 by the LT2 offices showed a reduction on the LT1 mirror offices for the equivalent three weeks. The average number of calls made by offices during the non-peak days also showed a reduction. However, it should be noted there is a significant increase in the 2<sup>nd</sup> week cash account for both LT1 and LT2 offices when there is no support at these outlets, suggesting that some of the outlet managers still do not have the confidence or ability to complete the process unsupported.</li><li>■ The evidence to analyse this criteria is limited and was regarded as indicative only. The broad conclusion is that the evidence is insufficient to make a substantive judgement regarding first cash accounts but there is overall evidence to suggest a reduction in call times for 2<sup>nd</sup> cash accounts. However, it again has to be noted that the length of calls for both LT1 and LT2 offices was significantly higher on 2<sup>nd</sup> cash accounts than the 1<sup>st</sup> cash account suggesting the critical requirement for training to be supported/delivered by HSH. It also underlines the necessity of the HFSO support to balancing in week 1.</li></ul>

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BUSINESS IMPACT	SUMMARY OF SUCCESS CRITERIA MEASURE	EVALUATION
4. The practical effect of the incident is also causing the HFSO's to devote a disproportionate amount of time to support the outlets on cash accounts. The number of HFSOs that would be required to support National Roll-Out would be significantly greater than currently envisaged (initial indications are that two to three times as many HFSOs as planned would be required. This compounds the major impact on POCL's resources.	<ul style="list-style-type: none"><li>■ No specific success criteria was identified to address this business impact. Overall, POCL would wish to reduce the cost of extended training support at outlets through HFSOs.</li></ul>	<ul style="list-style-type: none"><li>■ POCL are now planning for 100% support of first cash accounts and recognise that significant additional support may be required for second and subsequent balances at some offices. This is a cost and resource drain on POCL. It is also a change to the original HFSO role which was to support the KPI delivery for POCL and to accelerate the learning curve at outlets. POCL concerns on this impact remain.</li></ul>
5. There is also an impact on TP who are having to process a significant increase in errors on Class and Pivot (up to 3 times as many weekly errors). This is having a significant impact on resources in TP during the live trial. These errors will also raise liability issues between the POCL and subpostmasters, and POCL and client organisations.	<ul style="list-style-type: none"><li>■ Reduction in both the number of incidents where Receipts do not equal Payments and Incidents where balance B/F does not equal balance due to PO on previous Cash Account.</li><li>■ Reduction in the number of errors reported by TP - both CLASS and PIVOT errors (relative to the sample).</li></ul>	<ul style="list-style-type: none"><li>■ Overall, the incidents of receipts not equal to payments have reduced and the residual causes are under investigation or have been resolved. Criteria met.</li><li>■ The level of CLASS errors between 26<sup>th</sup> May and 21<sup>st</sup> July has reduced. Without full information, the indications are that PIVOT errors have also reduced.</li></ul>

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## Qualitative Measures

Although the small sample size of 18 responses limits the validity of the findings, some significant improvements were found in comparison to Live Trial 1 (a sample of 102). Overall, attitudes towards Horizon are better at the LT2 offices compared to the LT1 experience. The key outstanding issues to emerge from research were as follows:

- The course is still considered to be too short and intensive. ICL have proposed a pre-training course but details are awaited.
- The need to further stream the training groups. This issue has not been addressed by Pathway beyond the streaming required by POCL for ECCO+ staff. Pathway's response is to do this wherever possible. There are impacts on the number of training places.
- Variation in trainer quality. Discussions taking place between POCL and ICL Pathway to look at how there can be a greater quality assurance for trainer ability and consistency of delivering the course specification.
- There are significant problems with technical and software faults in the training sessions. POCL regard these as significant issues which will require rectification.



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Bruce McNiven  
POCL  
20-23 Greville Street  
London  
EC1N 8SS

11 August 1999

Dear Bruce

Thank you for your letter of 10 August.

Pathway is convinced that it has done everything that it can to improve the training and prepare users for Horizon, and that the essence of the remaining issues that you are seeking to address relate to POCL's own management of change. This was made clear to Bruce McNiven in correspondence from John Bennett (KP/99Jul339 dated 7<sup>th</sup> July '99) and a second letter to Bruce McNiven (dated 25<sup>th</sup> June '99).

Pathway has consistently maintained that user confidence in the system will be achieved only through managing the change in POCL business processes such that POCL's target standard approach is adopted across the Post Office network. Until this achieved by POCL, it will be necessary for POCL to substitute additional support in one form or another. Increased use of the revised training, which is now a very suitable vehicle, is one such form. Another is the gradual dissemination of the target business process through POCL's own support, however provided, to the balancing business process.

For these reasons, Pathway believes the Acceptance Incident 218, which formally relates to training, should now be closed.

Pathway does not accept that any further revisions to the training courses, other than routine minor improvements already identified, are required, or indeed are now desirable in light of the commitments made by both parties to revised courses and collateral.

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Pathway has made every effort to make changes to the training to POCL's satisfaction throughout live trial, such that every course has been significantly changed. Furthermore, an additional 24 outlets were installed in July, at POCL's request, to form a basis on which the effectiveness of the training improvements could be – and indeed have been – demonstrated. At every stage POCL has had complete approval authority for the changes being made and has registered its satisfaction with the results of these changes.

The narrative below details the extensive steps taken by Pathway, with POCL approval, to address the concerns expressed in AI 218.

#### Counter Manager & Counter Assistant courses revised

In response to feedback received from POCL and formally through CR R0052b, ICL Pathway has made a large number of detailed changes to both the Counter Manager and Counter Assistant training courses. Crucially, the Counter Manager (CM) course was much modified to improve coverage and an emphasis placed on the balancing business process and related issues. The CM course now devotes much of Day 2 (Workbook 10) to this process and considerable time is spent explaining the process and checking the understanding of the delegates.

Both the CM and CA courses have been observed and positively received by POCL and approved to go forward to National Rollout including routine minor improvements (Trevor Rollason's Email to Andy Barkham of 10/8/99) which Pathway are only too pleased to incorporate.

ICL Pathway believes that the improved CM training better prepares Outlet managers for the task of balancing when they return to the outlet. This improved training, coupled with changes to the way that Horizon now handles the balancing process, makes achieving a balance much easier than during Live Trial and the comparative success of the extra 24 outlets bears this out.

#### HFSO course revised

POCL requested several changes to the HFSO training programme in their CR R0060. This CR requested changes to the content of the course, the introduction of a new 4-day MiMAN course and a new 1-day MiECCO course. These new courses provide more opportunities to practice the migration processes and to work with different error detection/correction scenarios – all of which add value to the migration process.

Additionally, ICL Pathway retrained HFSOs during Live Trial to provide more training on balancing and related topics.

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Since Live Trial, ICL Pathway has developed a new three-day course for HFSOs that runs after the POCL induction training and before the 4-5 day HFSO course. This extended course (previously it was a two-day event) provides in-depth coverage of balancing the cash account; reversals; use of the suspense account and error detection and correction.

This new course has been very well received by POCL observers (Ann Cocker and Graham Young) and POCL HFSOs alike, who were pleased that their comments from Live Trial were taken onboard.

#### HFSO role positioning

The HFSO role has always been pivotal to the success of the programme. In addition to performing migration (a vital function which sets the scene for the first balance) the HFSO also provides help and support to the Outlet Manager at what can be a stressful and trying time. At the point of installation the Outlet Manager comes face to face with the Horizon system for the first time since training and will, naturally, be anxious, even apprehensive. It is important that the HFSO helps the Outlet Manager to complete the migration process effectively and in accordance with the defined processes.

#### Extra trainers for balancing support

On a weekly basis since Live Trial, ICL Pathway has been providing additional balancing support through the use of ICL TS trainers. ICL Pathway has borne this cost in recognition of the need to enhance support levels at the HSH and NBSC.

#### Extra Transition Executives (TEs)

The Transition Executive role exists primarily to provide expert help and support to the HFSOs. Since Live Trial, an extra TE has been added to each IP region bringing the total of TEs to eight – thus doubling the initial size of this team.

#### HSH & NBSC training

ICL Pathway has trained HSH and NBSC staff in the revised processes and systems embodied in LT2. This training was targeted at those topics most frequently calling for helpdesk assistance.

#### CRs/Balancing process changes

A number of changes to the Horizon system and the way that it deals with balancing were implemented in LT2. These changes sought to make balancing easier and to remove unnecessary steps from balancing processes and procedures.

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QRGs and workbooks

The Quick Reference Guides and Training Workbooks have been revised to reflect the new courses and also best practice. These QRGs and Workbooks have been signed-off by POCL for use in NRO.

Yours sincerely

John Dicks

Director, Customer Requirements

Copies: Chris French, Ruth Holleran, John Meagher  
Mike Coombs

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<b>Acceptance Incident Number (1)</b> 298			
<b>Acceptance Test Name (2)</b> POCL Infrastructure	<b>Source (3)</b> BSM	<b>Date Observed (4)</b> 01/07/99	
<b>Witness/Reviewer who observed Incident (Owner) (5)</b> Jeremy Folkes		<b>Authority (6)</b>	
<b>Criterion not met</b> Substantive fault Other	536-01	High Medium Low <b>Pending</b> None	
<b>Description of Incident (10)</b> Evidence from the Live Trial shows that the counter system is subject to "lockups" and "screen freezes", where the system halts in mid-processing giving the user no opportunity to take any corrective action. This is either exhibited by the system hanging or presenting a blank blue screen. The user is forced to ring the HSH and is advised to reboot the system. The immediate effect of this problem is in terms of the reliability of the Service Infrastructure's input devices. However, once the underlying reasons for the problem are identified, this could change the perception. At least 25 such occurrences have been identified on the LTSC log between the start of the Core Observation Period on 31st May and the 28th June. However, as such problems should be reported directly to the HSH, it is likely that this number represents only a small proportion of the total in which case, this problem would be widespread. Consequently, POCL's initial assessment is that this incident is likely to be more than low severity.			
<b>Witness / Reviewer</b>	<b>Horizon Acceptance Test Manager</b>	<b>Pathway</b>	<b>AIM</b>
<b>Date:</b>	<b>Date:</b>	<b>Date:</b>	<b>Date:</b>
<b>DSS Acceptance Manager</b>		<b>POCL Business Assurance</b>	
<b>Entered in Acceptance Database</b>			<b>Date:</b>



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Acceptance Incident Number (1)		Analysis Sequence Number (2)	
298			
Acceptance Test Name (3)			
POCL Infrastructure			
High / Medium / Low (4)		Authority (5)	
Low			
Analysis of Acceptance Incident (6)			
<p>System faults reported to the Horizon System Helpdesk on Wednesday/Thursdays for the past 12 weeks have been analysed. The reason for only reporting on Wed/Thurs figures is that these have been monitored over an extended period of time, and do represent the "worst case" figures. Figures for each day are now monitored (as from the end of July).</p> <p>The HSH calls analysed are provided on the Worksheet "HSH Call Analysis".</p> <p>These figures continue to be monitored but clearly show that the number of "lockouts" and frozen screens has fallen to the lowest figure for the past 12 weeks since the introduction of LT2.</p> <p>This will continue to be monitored, but should be reduced to Low severity on the basis of the progress shown.</p>			
Clearance Action (7)			
<p>Pathway will continue to investigate the root cause of residual occurrences and a further formal review undertaken on completion of the first three months of roll-out.</p> <p>On the basis of further information provided by POCL (the telephone survey) on 6 August and Pathway's selective re-survey conducted 9-10 August, Pathway has carried out further analysis and testing and has identified no fault conditions as at the 11/8/99. See separate document.</p> <p>On the basis of the significant progress to date Pathway expects this AI to be recategorised by both POCL and Pathway as Low, by Wednesday 11/8.</p> <p>Pathway points out that even if all offices were to reboot their counters prior to balancing every week the impact level would be that specified for a Medium severity incident. The time taken to reboot a gateway counter is typically no more than 15 minutes.</p>			
Acceptance Incident Status (Open/Resolved)			
Resolved			
Signatures:			
I propose the Clearance Action and Incident Status described above	John Dicks	ICL Pathway Test Manager	11th August 1999
I accept / reject the Clearance Action and Incident Status described above		Horizon Acceptance Test Manager	Date:
Horizon Acceptance Test Manager			Date:
DSS Acceptance Manager		POCL Business Assurance	
Date:		Date:	

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Criteria

Criteria Descriptions

536 - 01

Peripheral and input devices supplied as part of the elements of the Service Infrastructure on which OPS is provided shall be reliable, robust and easy to use

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HORIZON M REGO [ ] 26**System Faults Identified from HSH call log: LT1 & LT2 - Analysis of Wednesday & Thursday HSH Calls received**

Call analysis taken using Wednesday and Thursday calls from each week as received by HSH.  
With effect from Friday 23.07.99, the call analysis at this level will be completed daily and reported weekly (Friday to Thursday calls).

LT2 sites shown as shaded

Types of Fault	12/13 May	19/20 May	26/27 May	02/03 June	09/10 June	16/17 June	23/24 June	30/01 July	07/08 July	14/09 July	21/09 July	28/09 July
Lock Out: Clerks reports that they are unable to continue to operate the system	2	3	1	5	13	0	1	0	2			
Frozen Screen: Clerks reports that they are unable to continue to operate system	9	10	9	34	17	23	12	26	13			
Blue Screen: Screen goes blue preventing the clerk from continuing to operate the system	0	1	2	6	3	3	0	2	5			
Blank screen: Screen goes blank preventing the clerk from continuing to operate the system	0	0	0	0	0	1	0	2	1			
Totals	11	14	12	45	33	27	13	30	21			
Numbers of Live Outlets	198	241	289	299	299	299	299	299	299			
Faults per Live Outlet	0.06	0.06	0.05	0.16	0.12	0.1	0.05	0.11	0.08	0.09	0.06	0.02



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### Reboots without calling the HSHD

It is undoubtedly the case that outlets are rebooting their counters without calling the HSH.

Using the POCL telephone survey data supplied by POCL on 6 8 its was possible to re-survey more closely the outlets not calling the HSHD before rebooting and by inspection of the associated message stores seek to understand the reasons why outlet staff are habitually rebooting.

Pathway will also in the immediate future and on a random basis contact outlets that are rebooting so that a real fault unknown to us at present is not overlooked.

The question posed by POCL was not sufficiently specific to discriminate between several classes of problem. Pathway CS has asked POCL to make the questions used on the survey more specific and would ask that the comment reason field is completed if at all possible.

### Why are outlets rebooting?

In general, rebooting is seen – incorrectly - as a “cure for all ills” and understandably outlet staff will not always be ready to expend time reporting to the HSHD a course of action they have already embarked upon.

The reboots that are recorded and that are not associated with a call to the HSHD do include cases where the system unit is being turned on after having been turned off overnight or in error during the day. Although instructions are clear not to turn off system units, it is clearly the case that staff do turn them off, as was evidenced by the difficulties Pathway had in upgrading counters to LT2.

Where a user has made a mistake, he may choose to reboot instead of Undo-ing an uncommitted transaction or Reversing a committed one. In the latter case a reversal would/will still be required, but it is possible that this may not be understood. It is not possible for Pathway to distinguish this case from the message store record.

A user may get into a thought “loop” whereby he cannot see how to return to a desired state and reboots to wipe the slate clean and have another try. There are several instances of the user having been coached through such a thought loop by the HSHD. Again, it is not possible for Pathway to distinguish this case from the message store record.

In some offices we believe the keyboard is being used as an auxiliary work surface with books and manuals being placed on it. It is possible that if a key or key is permanently pressed the counter will exhibit symptoms of being frozen, although it should be possible to unfreeze it after a short delay. Similarly it is not possible for Pathway to distinguish this case from the message store record.

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It is possible that printers being replenished with paper are not responding to resume the printing for some seconds, although they will in fact resume when the user retries from the screen button.

Pathway's search for faults

Pathway, nevertheless accepts there are probably significant residual faults in the system that could present themselves as a "freeze" and is working hard to find them. At the time of preparing this report none has been found. Consideration is being given to increasing the swap file size, although testing has eliminated this as a specific cause.

Jced  
11/8