

Reconciliation and Incident Management Joint Working
Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



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Note: See POA HNG-X Reviewers/Approvers Role Matrix (PGM/DCM/ION/0001) for guidance.



0 Document Control

0.1 Table of Contents

0	DOCUMENT CONTROL.....	2
0.1	Table of Contents.....	2
0.2	DOCUMENT HISTORY.....	4
0.3	Review Details.....	4
0.4	Associated Documents (Internal & External).....	5
0.5	Abbreviations.....	5
0.6	Glossary.....	6
0.7	Changes Expected.....	7
0.8	Accuracy.....	7
0.9	Security Risk Assessment.....	7
1	INTRODUCTION.....	8
1.1	WHAT IS RECONCILIATION?.....	8
1.2	WHAT DOES RECONCILIATION LOOK LIKE?.....	8
1.3	HOW IS RECONCILIATION USED?.....	8
2	SCOPE.....	10
3	BANKING AND RELATED SERVICES (ONLINE SERVICES).....	11
3.1	DRS REPORTS.....	11
3.2	REPORT DISTRIBUTION.....	13
3.2.1	Contingency in the Event on Non delivery of reports to Post Office Ltd.....	14
3.3	RECONCILIATION & INCIDENT HANDLING.....	14
3.3.1	Generation of Business Incidents.....	15
3.4	BUSINESS INCIDENT REPORTING.....	16
3.4.1	BIM Reports.....	16
3.4.2	BIMS for Banking and Related Services - SLT conditions.....	17
3.5	SYSTEM STATES & EXCEPTION TABLES.....	19
3.5.1	Banking and Related Services Exceptions explained.....	20
3.5.2	Incomplete States.....	28
3.5.3	Exception States.....	29
4	AUTOMATED PAYMENT SERVICE (APS).....	30

**Reconciliation and Incident Management Joint Working
Document****FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)**

4.1	APS REPORTS.....	30
4.1.1	Report Distribution.....	30
4.1.2	APSS2133c report explained.....	31
4.2	APS RECONCILIATION & INCIDENT HANDLING.....	32
4.2.1	APS Business Incidents.....	32
4.2.2	APS Business Incident Originators.....	32
4.2.3	Generation of Business Incidents.....	32
4.3	INCIDENT REPORTING.....	33
4.3.1	BIM Reports.....	33
4.3.2	Reporting Timescales.....	34
4.4	CLIENT FILE DELIVERY.....	34
4.4.1	Variable File Transfer.....	34
4.4.2	Reconciliation in the event of non delivery of the CTS to Post Office Ltd.....	35
4.4.3	Clerical Reconciliation Example in the event of non delivery of CTS to Post Office.....	35
5	TPS RECONCILIATION.....	36
5.1	TPS REPORT SET.....	36
5.2	RECONCILIATION AND INCIDENT HANDLING.....	36
5.2.1	Incident Originators.....	36
5.3	INCIDENT REPORTING.....	37
5.3.1	BIM Reports.....	37
5.3.2	Reporting Timescales.....	38
5.3.3	Repairing Data.....	39
5.4	LINKS TO PROBLEM MANAGEMENT.....	39
6	BIM REPORT.....	40



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



0.2 Document History

Version No.	Date	Summary of Changes and Reason for Issue	Associated Change - CP/PEAK/PPRR Reference
0.1	06/03/2007	First Draft for review	N/A
1.0	20/04/2007	Issued for approval	N/A
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0.3 Review Details

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Review Comments to :	cspoa.security GRO donna.munro GRO POA DocumentManagement GRO
Mandatory Review	
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Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



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0.4 Associated Documents (Internal & External)

Reference	Version	Date	Title	Source
PGM/DCM/TEM/0001 (DO NOT REMOVE)			Fujitsu Services Post Office Account HNG-X Document Template	Dimensions
SVM/SDM/SD/0020			End to End Reconciliation Reporting	Dimensions
SVM/SDM/SD/0015			Reconciliation Service: Service Description	Dimensions

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

0.5 Abbreviations

Abbreviation	Definition
APS	Automated Payments Service
A&L	Alliance and Leicester
BIMS	Business Incident Management Service
BRDB	Branch Database
CAPO	Card Account for the Post Office
CCD	Contract Controlled Document
CTS	Client Transaction Summaries
D&CC	Debit & Credit Card
DBTN	Disputed Banking Transaction Notice
DCS	Debit & Credit Card Services
DRS	Data Reconciliation Service
EBBT	Enquiry Based Banking Transaction
EDSC	Third Line Support (SSC)
ETS	Electronic Top Up Services
ETU	Electronic Top Up
FI	Financial Institution
HSD IMT	Horizon Service Desk Incident Management Team
LINK	Link Interchange Network



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



MA	Merchant Acquirer
MER	Manual Error Report
NBS	Network Banking Services (A&L, CAPO, LINK)
NBSC	Post Office Ltd Network Business Support Centre
POL RDT	Post Office Ltd Reference Data Team
POLSAP	Post Office Ltd Consolidated SAP System
Credence	Post Office Ltd Management Information Systems
POL Finance	Post Office Ltd Finance Department
POA	Fujitsu Post Office Account
SSC	Service Support Centre (Fujitsu Third Line Support - EDSC)
TES	Transaction Enquiry Service
TPS	Transaction Processing Service

0.6 Glossary

Term	Definition
Business Incident	Any exception (as defined below) reported via NB102 or via the HSD requiring investigation and the provision of corrective information to allow Post Office Ltd to settle or reconcile. A Business Incident relates to the 'Symptom' and not to the root cause of the exception.
Customer Exception	Critical
DBTN	A Priority Exception (see below for definition) where Fujitsu have received a DBTN, (see below for definition).
EBBT	Disputed Banking Transaction Notice: Where Fujitsu has received notification from Post Office Ltd via the Enquiry Service following a query by the 'End' customer relating to the state of his / her account.
EMIS	Enquiry Based Banking Transaction: Where Fujitsu has received notification from Post Office Ltd via the HSD wishing to query a particular transaction.
Exception Types	Electronic Management Information Service
Reconciliation Day	Within all reports the 'Exceptions' category will include: <ul style="list-style-type: none"> 'Incomplete States', i.e. those transactions where one or more transaction component is missing – a C4 without a C12 etc Genuine exceptions where transaction components belonging to the same high level transaction have been exceptioned, e.g.. C12 (amount) not = to C4 (amount) etc. DRS corruptions
On Line Services	Between 08.00hrs and 17.30hrs Monday – Friday inclusive, excluding English bank holidays
Priority Exception	Transactions completed via the Horizon system within the Post Office branch that require real time communication with Post Office Ltd Financial Institutions or Clients. Currently this includes: Banking transactions (Alliance & Leicester, Card Account for the Post Office (CAPO) & LINK), Debit & Credit Card transactions and Electronic Top Up (ETU) transactions.
System Incident	An exception reported within NB102 section 5 relating to system states 4 or 12 following confirmation of a corresponding C4 or D message
	Any exception (as defined above) reported via NB102 or via the HSD requiring the investigation and repair of the root cause of the exception.

0.7 Changes Expected

Changes
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Reconciliation and Incident Management Joint Working
Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



Possible changes following review and discussion.

0.8 Accuracy

Fujitsu Services endeavours to ensure that the information contained in this document is correct but, whilst every effort is made to ensure the accuracy of such information, it accepts no liability for any loss (however caused) sustained as a result of any error or omission in the same.

0.9 Security Risk Assessment

Security risks have been assessed and it is considered that there are no security risks relating specifically to this document.



1 Introduction

This document provides a summary of Reconciliation within the HNG-X solution.

This document also outlines the Reconciliation incident management procedures required to investigate, report and resolve all reconciliation incidents which are identified via the DRS (Data Reconciliation Service) reports and also incidents raised via HSD (Horizon Service Desk).

1.1 What is Reconciliation?

End to end Reconciliation within HNG-X is the mechanism by which Post Office Ltd (POL) and Post Office Account (POA) establish which transactions are complete and correct, and which are not. An incomplete transaction is not necessarily a Reconciliation error, but it might become one if it is not completed in a timely manner. An incorrect transaction is a Reconciliation error.

Each and every Reconciliation error is the result of some system fault. That fault might, for example, be a software fault (introduced through either design or coding), a system crash, or a telephone line being dug up. Such faults may affect transactions, thus it is the job of Reconciliation Service to detect when and how any transaction is affected by any system fault.

A reported Reconciliation error provides:

- A business impact in terms of an error report on a transaction, and
- Evidence of a system fault that may need some corrective action.

It is acknowledged that not all system faults will lead to corrective action as this is generally done on a contractual and/or cost benefit basis.

1.2 What does Reconciliation look like?

Reconciliation is delivered as a set of printable electronic reports (typically .txt files). The content and layout of the reports reflect the system architecture. This has been detailed in the SVM/SDM/SD/0020: End to End Reconciliation Reporting document.

1.3 How is Reconciliation used?

Reconciliation is used by Post Office Ltd:

- To provide Financial and Business Reconciliation at transaction level, i.e. to prove that each transaction is complete and correct and to report any transaction that is either not complete or not correct. Whilst zero value transactions might not affect settlement or accounts, excessive numbers can represent lost business. In addition, some APS transactions are zero value, but they must still be passed through to the end client, e.g. Card Account transactions, some DVLA transactions.
- To prove the accounts are correct and to enable individual transactions to be identified that are causing discrepancies in or incompleteness of the accounts.
- For settlement with Clients either by providing information to contribute towards the invoice or payment generation.



Reconciliation and Incident Management Joint Working
Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



Reconciliation is used by Reconciliation Service:

- For system diagnostics (fault finding) and to prove system integrity. Normally, all transactions are of interest including those with zero value. Zero value on-line transactions may indicate some 'network' issue that caused the transaction to time out at the Counter. While it may be acceptable for there to be a background level of these, they must be monitored so that corrective action can take place if the volumes become excessive.
- For explaining to Post Office Ltd why transactions are incomplete or incorrect and to provide evidence to support statements made;
- To prove that corrective action is effective.

Typically, Reconciliation reports fulfil the purposes of both Post Office Ltd and Post Office Account without the need for separate reporting for each organisation.



2 Scope

This document is intended to supplement the CCD SVM/SDM/SD/0020 - End to End Reconciliation Reporting document.



3 Banking and Related Services (Online Services)

The Banking and Related Services Reconciliation Report Set or the DRS Report set are used by Post Office Ltd for Reconciliation and settlement with Clients and by Reconciliation Service as input to error resolution and as evidence when advising Post Office Ltd of the true state of transactions.

Five different report sets are produced for transactions categorised below for the different Clients:

Network Banking transactions for Clients:

- Santander,
- Card Account for Post Office (CAPO),
- Vocalink
- Electronic Top Ups transactions for Client EPAY
- Debit & Credit Card (D&CC) transactions for Client MA

3.1 DRS Reports

The DRS is the Data Reconciliation Service for NBS, DCS and ETS. It is an implementation of a state table based on five input flows, [C12], [C112], [S], [C4], and [D]. It also has a [C2] output flow that is generated from the [C12] input flow.

- [C12] flow comes direct from the Counter at the time of transaction
- [C112] flow comes from the Counter via TPS at the End of Day
- [S] flow is optional and is used by DCS only to reflect the extended [C2] feed to MA to enable Post Office Ltd to view a preliminary settlement position
- [C4] flow reflects the bank view of the transaction, and the
- [D] flow represents an error form of the [C4] flow when it can be determined that a transaction is inconsistent from the bank point of view.
- [C2] flow comes from the [C12] input flow.

The diagram below 'Reconciliation in HNG-X' gives the overview of the following data flows:

- [R] Request message, [A] Authorisation message, [C0] Confirmation for 0 Value (which starts the reversal process) and [E] Reversal that form the RACE that is captured by the NPS (NBX Persistent Store).
- REC (Reconciliation file) to Santander, CAPO
- LREC (Link Reconciliation file) from Vocalink,
- DTF (Daily Transaction Feed) from EPAY,
- Payment file to MA
- EMIS (Electronic Management Information Service) from MA

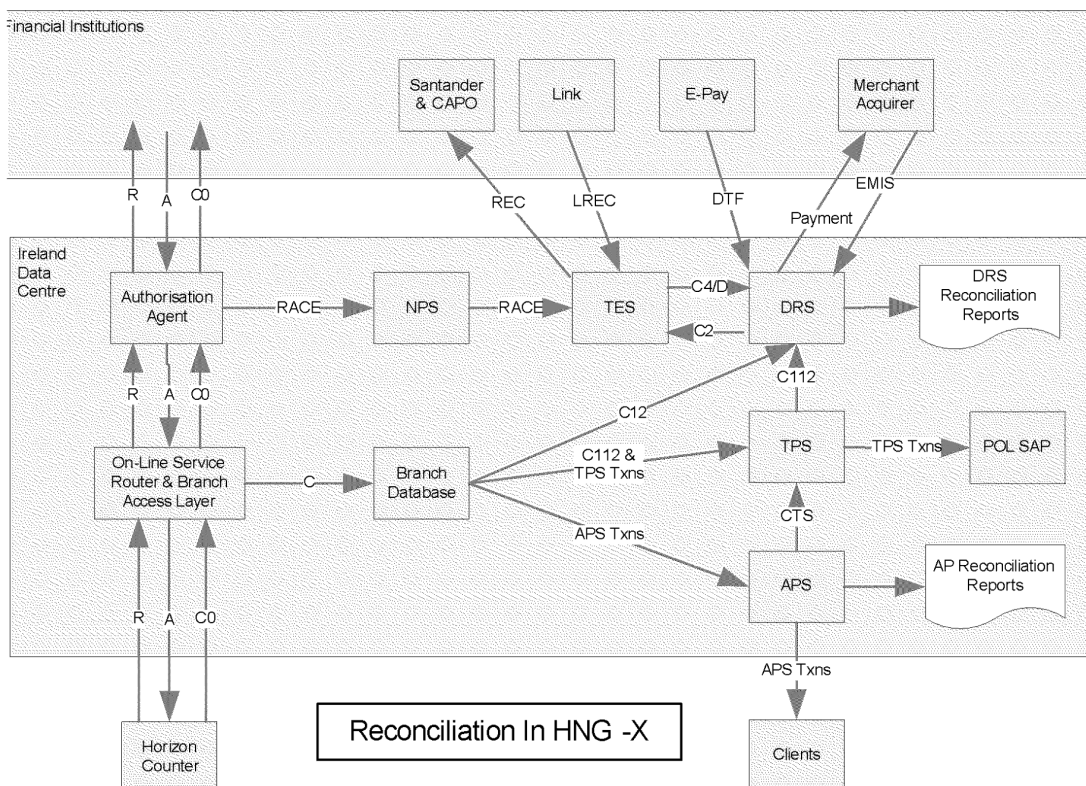


Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



- APS Client transaction files to Clients



If any of the transaction data flows are unavailable, this results in the creation of an 'Exception State' as defined in Section 3.5 of this document.

In addition, a transaction may well receive the full set of transaction sub components described above however one or more of these sub components may be for a differing or corrupt value when compared to the others. In such cases, an "ERROR STATE" will be created as defined in Section 3.5 of this document.

The reports produced are:

- NB000 DRS Summary Report. This is a single daily report covering NBS, DCS, and ETS. It lists all reports produced and identifies those not produced as there is no data with which to populate them.
- NB101 Network Banking Settlement Statement. This is a separate daily report for each Client. It is the baseline used for Client settlement subject to corrections based on the error reports. Essentially, it reports the [C4] position.
- NB102 section 1 All Uncleared Confirmed, Unconfirmed & POLSAP exceptions. This is a separate daily report for each Client. It is an error report used to correct the settlement figure.



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



- NB102 section 2 Uncleared Exception Client Transactions. This is a separate daily report for each Client. It is an error report used to correct the settlement figure.
- NB102 section 3 Uncleared corruptions. This is a separate daily report for each client. It is an error report used to correct the settlement figure.
- NB102 section 4 Uncleared Timing Differences. This is a separate daily report for each Client. It is an error report used to correct the settlement figure.
- NB102 section 5 Uncleared Confirmed, Unconfirmed & POLSAP exceptions >24 hours. This is a separate daily report for each Client. It is an error report used to correct the settlement figure. Transactions do not appear on it unless they have not changed state for more than 24 hours (i.e. there is no transaction progression).
- NB102 section 6 Uncleared Future Dated Transactions by Client. This is a separate daily report for each of NBS and DCS (ETS is treated as though it is a Client within NBS). It is used to report summaries of transactions that are 'future dated' and therefore do not fall into the normal scope of Reconciliation until a future Reconciliation overnight. Future Dated refers to the Reconciliation date, not the date on which the transaction took place.
- NB102 section 7 All Cleared Confirmed, Unconfirmed & POLSAP exceptions. This is a separate daily report for each Client. It is used to demonstrate that errors were 'cleared' from the DRS correctly.
- NB102 section 8 Cleared Exception Client Transactions. This is a separate daily report for each Client. It is used to demonstrate that errors were 'cleared' from the DRS correctly.
- NB102 section 9 Cleared corruptions. This is a separate daily report for each Client. It is used to demonstrate that errors were 'cleared' from the DRS correctly.
- NB102 section 10 Cleared Timing Differences. This is a separate daily report for each Client. It is used to demonstrate that errors were 'cleared' from the DRS correctly.
- NB102 section 11 Cleared Confirmed, Unconfirmed & POLSAP exceptions >24 hours. This is a separate daily report for each Client. It is used to demonstrate that errors were 'cleared' from the DRS correctly.
- NB102 section 12 Cleared Future Dated Transactions by Client. This is a separate daily report for each of NBS and DCS (ETS here is treated as though it is a Client within NBS). It is used to report summaries of transactions that were future dated but are now entered in to the main Reconciliation stream.

The report definitions are common to all applications although differences of the RAC model mean that for each of NBS, DCS and ETS the interpretation of the reports for each application must vary significantly.

3.2 Report Distribution

Reconciliation reports will be delivered to Server '**ng171tdapp35**' in Post Office Ltd in accordance with the Service Level Targets as stipulated in the Data Centre Operations Service – Service Description document SVM/SDM/SD/0003. At the time of writing the following Service Level Targets apply:

Delivery of reconciliation and settlement report (normal)	By 08.05hrs day B
Delivery of reconciliation and settlement report (where DRS failure in overnight batch window)	By 10.05hrs day B
Delivery of reconciliation and settlement report (where there is	By 12.00hrs day B



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



system failure that is not DRS or TES)	
Delivery of reconciliation and settlement report (where there is DRS or TES failure)	By 18.00hrs day B
Enrichment with LREC data	
LREC received	Added to reconciliation and settlement report
LREC received by 23.59.59hrs day A	By 08.05hrs day B
LREC received by 01.59.59hrs day B	By 08.05hrs day B
LREC received between 02.00hrs and 22.00hrs day B	By 08.05hrs day C

All reports will be produced as ASCII text files – one for each report. The report layout will be fixed format with space characters providing the blank space. This will allow for 'Excel' input, using fixed field width facilities. Any formatting, (lines and shading) will not be included within the file.

3.2.1 Contingency in the Event on Non delivery of reports to Post Office Ltd

If Fujitsu Services is unable to deliver any or all reports to the Post Office Ltd. / POLSAP gateway by 08.00hrs the day following the run date of the report, Fujitsu Reconciliation Service will liaise with POL Finance to arrange an e-mail transmission via the Fujitsu corporate account. Fujitsu Reconciliation Service will operate this contingency under 'reasonable endeavours' and will aim to have the reports with POL Finance by 09.00hrs in contingency. However, this timescale may not be achievable if processing problems have also delayed receipt of the reports into the DRS workstation.

NB: Should the Fujitsu corporate e-mail service be unavailable, Fujitsu Reconciliation Service will liaise with POL Finance and agree facsimile of reports NB101 and NB102 section 1 and 2.

Any distribution list for these reports is considered by both Fujitsu and Post Office Ltd to be of a dynamic nature and therefore specific addressees are not covered within this document

3.3 Reconciliation & Incident Handling

Reconciliation Service shall study and monitor the DRS reports and report on any Banking and Related Services transaction states which are:

- intrinsically anomalous, in that their occurrence implies malfunction in End to End On Line Services; or
- anomalous in that an expected state has persisted for an unexpected duration (e.g. where C12 Confirmations are received from the BRDB and the C4 messages received via the EMIS file from the MA but the Confirmation from the TPS Host has not been received after an abnormal delay),

Exceptions reported within the DRS Report Set will be applicable to:



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



- Communication difficulties between the Post Office branch and the BRDB, Authorising, Agents, etc.
- Errors within the DRS (with corresponding errors returned via the TES)
- Corruptions within the DRS

3.3.1 Generation of Business Incidents

Business Incidents will only be generated by the following groups within Fujitsu and Post Office Ltd.

- Fujitsu Reconciliation Service for all exceptions reported via the DRS report set.
- POL Finance for any 'Enquiry Based Banking Transactions' (EBBT) or 'Disputed Transaction Notice' (DBTN) discovered by Post Office Ltd. that has not been reported by Fujitsu Reconciliation Service via the DRS report set
- Fujitsu Third Line Support (SSC) for any system fault or database adjustment which is considered by Fujitsu to have a reconciliation or settlement implication within Post Office Ltd. in respect of banking and related transactions.

3.3.1.1 Business Incident raised by Reconciliation Service

Reconciliation Service will raise an appropriate Business Incident when needed via the BIMS database for all exceptions that require reconciliation reported on the NB102 Section 2, 3, 4 and 5 of the DRS report set.

3.3.1.2 EBBT incidents raised by POL Finance via HSD

It is important that POL Finance supply sufficient information to the HSD when generating a Business Incident in respect of an EBBT to ensure the timescales for the resolution of Business Incidents referred to in section 3.4.2 can be achieved. Achievement of such timescales is dependent upon the following information being provided by POL Finance when generating a Business Incident via the HSD:

1. A Tfs call is to be raised.
2. Prefix all narrative with '**This is a Business Incident for Reconciliation Service, PLEASE ROUTE THIS CALL TO EDSC**' The following transaction detail:
 - Branch code
 - HNG-X Transaction ID number
 - Value of transaction
 - Date of transaction

NB: Where POL Finance raise a business incident for an EBBT Business which may require a large amount of supporting information, summary detail only may be given to the HSD and the additional information may be sent via e-mail to the Fujitsu Reconciliation Service at PostOfficeAccount.reconciliation Irrelevant.

Subject to agreement by the parties to the contrary, Post Office branch calls to the HSD will not generate Business Incidents. However, calls from Post Office branches will be monitored and if it is considered necessary by Fujitsu, such reports to the HSD will be elevated to Business Incident status.

3.3.1.3 DBTN incidents raised by POL Finance via HSD

This facility is to support requirements in respect of Disputed Banking Transaction Notice (DBTN) where Post Office Ltd. has received notification via either the Post Office branch or the Network Business Support Centre (NBSC). POL Finance will contact Reconciliation Service directly by telephone, or email, requesting urgent investigation within the timescales quoted in section 3.4.2



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



Achievement of such timescales is dependent upon the following information being provided by POL Finance when generating a DBTN enquiry via the Enquiry Service:

- Branch code
- HNG-X Transaction ID Number
- Value of transaction
- Date of transaction

NB: If incorrect or insufficient information is provided by POL Finance to allow resolution of the DBTN enquiry, no further action will take place until the requisite information is supplied and the enquiry will not be monitored in accordance with the timescales referred to in section 3.4.2.

3.4 Business Incident Reporting

3.4.1 BIM Reports

- The Business Incident Management System (BIMS) has been designed to report the progress to resolution of a Business Incident to allow Post Office Ltd. to complete an accurate reconciliation or settlement with their clients. For ease of identification and association, BIM report references will take the Fujitsu internal Incident and Problem Management System (PEAK) reference number. In all cases each BIM report will have a unique identifier.
- A BIM report will be issued for each Business Incident generated. BIM reports are designed to notify POL Finance of the detail required to assist in the reconciliation or settlement process within Post Office Ltd. domain. BIM reports communicate information concerning the resolution of the symptom of an underlying cause, not the cause itself; this information would be supplied via the Problem Management route, if escalated to this level.
- Where a System Incident is generated to eradicate the cause of a particular problem and there is one or more associated Business and Related Services Business Incidents, cross-references will be supplied on the Business and Related Services Business Incident BIM report and via the Problem Management process to allow tracking of the System Incident.

3.4.1.1 BIM Report Distribution

- The Reconciliation Service will distribute BIM reports to POL Finance, using the Fujitsu corporate e-mail network. In the event that the Fujitsu or Post Office Ltd corporate email systems are unavailable, Fujitsu will discuss with POL Finance appropriate means of information transfer.
- BIM reports distributed in accordance with this section will be deemed to have been issued to POL Finance at the time of transmission by email.
- An example of a BIM report is shown at Section 6.

3.4.1.2 Clearance Criteria

- Reconciliation Service provides information concerning On Line Services Business Incidents to POL Finance on a 'drip feed' basis, by issuing updated versions of the initial BIM report.
- A BIM report is 'Cleared' when the Reconciliation Service has provided the necessary reconciliation / settlement information.



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



- Additionally, the exception is cleared from the appropriate section of NB102 after necessary F99 authorisation has been obtained from POL.
- MER charges are detailed in the Reconciliation Service: Service Description document reference SVM/SDM/SD/0015.

3.4.2 BIMS for Banking and Related Services - SLT conditions

Reconciliation Service will raise an initial BIM report relating to a new Business Incident on the same working day as the Business Incident is generated via the HSD or the Enquiry Service, or in any event on the morning of the next working day. This will be made available in accordance with Section 3.4.1.1 to POL Finance. This initial, incomplete, BIM report will serve to notify POL Finance that a Business Incident has occurred and that the completed BIM report will be provided to POL Finance within the agreed timescales below.

In the event of the DRS Report Set not being available to Fujitsu Reconciliation Service in time to enable any exceptions to be notified within this timescale, Fujitsu Reconciliation Service will contact POL Finance to agree a temporary extension to the timescale.

All enquiries and transaction searches within 90 days of the original transaction date will be carried out by the Reconciliation Service via the DRS/Transaction Enquiry Services (TES) system. Enquiries and transaction searches where the original transaction date is in excess of 90 days will be carried out by the Reconciliation Service using the POA Audit Archive.

The Reconciliation Service will ensure the final cleared BIM report in accordance with the following timescales:-

1. For DBTN enquiries where the **transaction date is within 90 days of the date the transaction is disputed by the end customer** and raised by POL via the HSD in accordance with Section 3.3.1.3 :

95% must be resolved within <= 8 hours of notification based upon all DBTN enquiries (Customer Critical Exceptions) received within the quarterly reporting period

The following conditions apply to DBTN enquiries:

The calculation of the time to resolution within the above SLT will only commence from either the receipt of the C4 or D transaction component within the DRS, or the reporting of a Priority Exception, (which becomes a 'Customer Critical Exception by way of the associated DBTN), within NB102 section 5 of the DRS report set.

2. For any DBTN enquiries where the **transaction date is in excess of 90 days of the date the transaction is disputed by the end customer** and raised by POL via the HSD in accordance with section 3.3.1.3:

- ***All attempts will be made to resolve this within 5 Reconciliation Service days of notification, but if there is a delay in obtaining evidence from the Audit Archive, the SLA will be suspended after agreement with POL.***

3. For any 'Priority' exception relating to incomplete states 4 or 12 reported within NB102 section 5 and raised by Fujitsu Reconciliation Service in accordance with section 3.3.1.1:

95% must be resolved within <= 8 hours commencing at 08.00hrs on the SECOND Reconciliation Service day following receipt by the DRS of the exception, based upon all Priority exceptions received within the quarterly reporting period.

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4. For all non 'Customer Critical' exceptions reported within NB102 sections 2 – 5 and raised via the HSD by Fujitsu Reconciliation Service in accordance with section 3.3.1.1:
 - ***They must be resolved within 5 Reconciliation Service days of notification via NB102 sections 2 -5.***
5. For EBBT Business and Related Services reconciliation errors raised by POL via the HSD in accordance with section 3.3.1.2 :
 - ***All attempts will be made to resolve this within 5 Reconciliation Service days from the date they were reported to the HSD, but if there is a delay in obtaining evidence from the Audit Archive, the SLA will be suspended after agreement with POL.***

NB: All time is calculated using the Reconciliation Service day (08.00 to 17.30) and Monday to Friday inclusive, excluding English bank holidays.

3.4.1.1 SLT Exclusion / Suspension Criteria

- Where an exception has been generated due to factors outside of Fujitsu control, e.g. where a Post Office branch has failed to communicate due to fire, flooding or other agreed 'Enforced Closure' conditions, the exception will be removed from the BIM SLT calculation in agreement with Post Office Ltd and resolved using 'Reasonable Endeavours'.
- Where an exception necessitates the retrieval of information from, or access to, a Post Office branch to enable successful resolution and this is not available, the period whilst Fujitsu waits, having requested information or access to be provided, shall not count towards the time for resolution of that exception.
- Post Office Ltd. will be informed via the BIM report relating to the exception under investigation that SLT suspension is being invoked.

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					When										
Pre-validation					C112	C12	C4	D	S						
On Incomplete/Corrupt error go to:					E27	E28	E29	E30	E31						
					Validate on entry to State (# means 'not equal to')									MSU Action	
State	Conf Agent	NBE	TPS		When valid, go to State					Amount:Action	Amount:Action	Amount:Action	Settlement Date:Action	Set state to	
Start	0				5	1	4	12	8	-	-	-	-	-	
1	C12				6	E02	2	13	10	-	-	-	-	F99	
2	C12	C4			3	E02	E04	E09	E06	C12#C4:E23	-	-	C4 Settle Dtm#Rec Dt:E39	F99	
Final	3	C12	C4	C112	E10	E11	E12	E13	E14	C112#C12:E20	C112#C4:E21	-	C4 Settle Dtm#Rec Dt:E39	-	
4		C4			7	2	E04	E09	E06	-	-	-	-	F99	
5				C112	E01	6	7	14	9	-	-	-	-	F99	
6	C12			C112	E01	E02	3	15	11	C112#C12:E20	-	-	-	F99	
7		C4		C112	E01	3	E04	E09	E06	C112#C4:E21	-	-	C4 Settle Dtm#Rec Dt:E39	F99	
8		S			9	10	16	20	E05	-	-	-	-	F99	
9		S		C112	E01	11	17	21	E05	C112#S & C112#D:E22	-	-	S Settle Dtm#Rec Dt:E39	F99	
10	C12	S			11	E02	18	22	E05	C12#S & C12#D:E24	-	-	S Settle Dtm#Rec Dt:E39	F99	
11	C12	S		C112	E01	E02	19	23	E05	C112#C12:E20	C12#S & C12#D:E24	-	S Settle Dtm#Rec Dt:E39	F99	
12		D			14	13	E08	E03	E07	-	-	-	-	F99	
13	C12	D			15	E02	E08	E03	E07	C12#D(C12):E26	-	-	D Settle Dtm#Rec Dt:E39	F99	
14		D		C112	E01	15	E08	E03	E07	C112#D(C12):E25	-	-	D Settle Dtm#Rec Dt:E39	F99	
15	C12	D		C112	E01	E02	E08	E03	E07	C112#C12:E20	C112#D(C12):E25	-	D Settle Dtm#Rec Dt:E39	F99	
16		S/C4			17	18	E04	E09	E05	C4#S & C4#D:E32	-	-	C4 Settle Dtm#Rec Dt:E39	F99	
17		S/C4		C112	E01	19	E04	E09	E05	C112#C4:E21	C4#S & C4#D:E32	-	C4 Settle Dtm#Rec Dt:E39	F99	
18	C12	S/C4			19	E02	E04	E09	E05	C12#C4:E23	C4#S & C4#D:E32	-	C4 Settle Dtm#Rec Dt:E39	F99	
Final	19	C12	S/C4	C112	E10	E11	E12	E13	E14	C112#C12:E20	C12#C4:E23	C4#S & C4#D:E32	C4 Settle Dtm#Rec Dt:E39	-	
20		S/D			21	22	E08	E03	E05	D(A)#S:E33	-	-	D Settle Dtm#Rec Dt:E39	F99	
21		S/D		C112	E01	23	E08	E03	E05	C112#S & C112#D:E22	D(A)#S:E33	-	D Settle Dtm#Rec Dt:E39	F99	
22	C12	S/D			23	E02	E08	E03	E05	C12#S & C12#D:E24	D(A)#S:E33	-	D Settle Dtm#Rec Dt:E39	F99	
23	C12	S/D		C112	E01	E02	E08	E03	E05	C112#C12:E20	C112#S & C112#D:E22	D(A)#S:E33	D Settle Dtm#Rec Dt:E39	F99	
Exception states															
E01	Additional C112				-	-	-	-	-	-	-	-	-	F99	
E02	Additional C12				-	-	-	-	-	-	-	-	-	F99	
E03	Additional D				-	-	-	-	-	-	-	-	-	F99	
E04	Additional C4				-	-	-	-	-	-	-	-	-	F99	
E05	Additional S				-	-	-	-	-	-	-	-	-	F99	
E06	S after C4				-	-	-	-	-	-	-	-	-	F99	
E07	S after D				-	-	-	-	-	-	-	-	-	F99	
E08	C4 after D				-	-	-	-	-	-	-	-	-	F99	
E09	D after C4				-	-	-	-	-	-	-	-	-	F99	
E10	C112 after final state				-	-	-	-	-	-	-	-	-	F99	
E11	C12 after final state				-	-	-	-	-	-	-	-	-	F99	
E12	C4 after final state				-	-	-	-	-	-	-	-	-	F99	
E13	D after final state				-	-	-	-	-	-	-	-	-	F99	
E14	S after final state				-	-	-	-	-	-	-	-	-	F99	
E15	Not used				-	-	-	-	-	-	-	-	-	-	
E16	Not used				-	-	-	-	-	-	-	-	-	-	
E17	Not used				-	-	-	-	-	-	-	-	-	-	
E18	Not used				-	-	-	-	-	-	-	-	-	-	
E19	Not used				-	-	-	-	-	-	-	-	-	-	
E20	Amount of C112#C12				-	-	-	-	-	-	-	-	-	F99	
E21	Amount of C112#C4				-	-	-	-	-	-	-	-	-	F99	
E22	Amount of C112#S & C112#D				-	-	-	-	-	-	-	-	-	F99	
E23	Amount of C12#C4				-	-	-	-	-	-	-	-	-	F99	
E24	Amount of C12#S & C12#D				-	-	-	-	-	-	-	-	-	F99	
E25	Amount of C112#D				-	-	-	-	-	-	-	-	-	F99	
E26	Amount of C12#D				-	-	-	-	-	-	-	-	-	F99	
E27	Incomplete/Corrupt C112				-	-	-	-	-	-	-	-	-	F99	
E28	Incomplete/Corrupt C12				-	-	-	-	-	-	-	-	-	F99	
E29	Incomplete/Corrupt C4				-	-	-	-	-	-	-	-	-	F99	
E30	Incomplete/Corrupt D				-	-	-	-	-	-	-	-	-	F99	
E31	Incomplete/Corrupt S				-	-	-	-	-	-	-	-	-	F99	
E32	Amount of C4#S & C4#D				-	-	-	-	-	-	-	-	-	F99	
E33	Amount of D#S				-	-	-	-	-	-	-	-	-	F99	
E34	C112 arrived after state F99				-	-	-	-	-	-	-	-	-	F99	
E35	C12 arrived after state F99				-	-	-	-	-	-	-	-	-	F99	
E36	C4 arrived after state F99				-	-	-	-	-	-	-	-	-	F99	
E37	D arrived after state F99				-	-	-	-	-	-	-	-	-	F99	
E38	S arrived after state F99				-	-	-	-	-	-	-	-	-	F99	
E39	Settlement Date # Reconciliation Date				-	-	-	-	-	-	-	-	-	F99	
Final	F99 MSU resolved				E04	E35	E36	E37	E38	-	-	-	-	-	

3.5 System States & Exception Tables



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



3.5.1 Banking and Related Services Exceptions explained

Service	Exception Type	Post Office Ltd Implications	Fujitsu Reconciliation Service Action		Post Office Ltd Action
			To SSC?	Reconciliation Service / BIM	
All On Line Services	State 1	Transient State – None envisaged	N	No Action	No Action
All On Line Services	State 2	Transient State – due to branch non polling – not applicable in HNG-X	N	No Action	No Action
All On Line Services	State 3	Final State – not on exception report	N	No Action	No Action
All On Line Services	State 4	Banking (Santander, CAPO & Vocalink) & ETU: Potential for incorrect settlement with FI and /or incorrect adjustment of End Customer Account. Debit & Credit Card: Exceptions will always be cleared upon receipt of Refund instruction from POL Finance. Exception will not be investigated and ultimately cleared from the reports by F99 action.			
			Y (Banking A 8hr Priority) (ETU B Priority 5 day)	Banking & ETU: Issue BIM report detailing as far as possible how far the transaction progressed via the Horizon counter – confirm whether Fujitsu Reconciliation Service believe payment was made or accepted by End Customer. F99 exception to clear from reports	Adjust settlement with FI with instructions to FI to adjust end customer account if required



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



Service	Exception Type	Post Office Ltd Implications	Fujitsu Reconciliation Service Action		Post Office Ltd Action
			To SSC?	Reconciliation Service / BIM Report	
All On Line Services	State 5	Transient State – None envisaged	N	No Action	No Action
All On Line Services	State 6	If D&CC potential for transaction to have settled but no debit to end customer account. Value is only “ring fenced” by FI for three days.	Y (A Priority)	Issue BIM report with transaction details so that POL are able to provide the same to MA for processing the incomplete transaction.	Adjust settlement with FI with instructions to FI to adjust end customer account if required
All On Line Services	State 7	Transient State – None envisaged	N	No Action	No Action
Debit & Credit Card	State 8	Transient State – None envisaged	N	No Action	No Action
Debit & Credit Card	State 9	Transient State – None envisaged	N	No Action	No Action
Debit & Credit Card	State 10	Transient State – None envisaged	N	No Action	No Action
Debit & Credit Card	State 11	MA do not send Confirmation back until after internal checks are complete. This will then change the state to E39.	N	No Action	No Action
All On Line Services	State 12, 13 and 14	Potential for incorrect settlement with FI and /or incorrect adjustment of end customer account. “D” exception type signifies that the FI is aware	N	Issue final BIM report when State progresses to State 15 or exception remains at State 12, 13, or 14. F99 to clear from reports	Adjust settlement with FI with instructions to FI to adjust end customer account if required



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



		of the error.			
Service	Exception Type	Post Office Ltd Implications	Fujitsu Reconciliation Service Action		Post Office Ltd Action
			To SSC?	Reconciliation Service / BIM Report	
All On Line Services	State 15	Final State with a “D” signifying that the FI is aware of the error	N	Issue final BIM report. F99 to clear from reports	Adjust settlement with FI with instructions to FI to adjust end customer account if required
Debit & Credit Card	State 16	None envisaged	N	No Action.	No Action
Debit & Credit Card	State 17	None envisaged	N	No Action	No Action
Debit & Credit Card	State 18	Transient State	N	No Action	No Action
Debit & Credit Card	State 19	Final State – not on exception report	N	No Action	No Action
Debit & Credit Card	State 20	None envisaged	N	No Action	No Action
Debit & Credit Card	State 21	None envisaged	N	No Action	No Action
Debit & Credit Card	State 22	None envisaged	N	No Action	No Action
Debit & Credit Card	State 23	Final State – will appear on exception report. D state implying FI is aware of error	N	Final BIM report issued. F99 to clear from reports	Adjust settlement with FI with instructions to FI to adjust end customer account if required



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



All On Line Services	E01	Transaction authorised by the FI but no authorisation was received at the counter.	Y	Issue BIM report detailing as far as possible how far the transaction progressed via the Horizon counter – confirm whether the Fujitsu Reconciliation Service believe payment was made or accepted by End Customer. F99 exception to clear from reports	Adjust settlement with FI with instructions to FI to adjust end customer account if required
Service	Exception Type	Post Office Ltd Implications	Fujitsu Reconciliation Service Action		Post Office Ltd Action
			To SSC?	Reconciliation Service / BIM Report	
All On Line Services	E02	Assumed C112 and / or C12 exception has no reconciliation implication as they are derived from the same transaction component	N	No Action	No Action
All On Line Services	E03 & E04	Possibility of a duplicate transaction having been created which may require settlement adjustment with FI and / or end customer account	Y	Issue BIM report detailing as far as possible how far the transaction progressed via the Horizon counter – confirm whether Fujitsu Reconciliation Service believe payment or deposit was duplicated and whether or not end customer account has been affected. F99 to clear from reports	Adjust settlement with FI with instructions to FI to adjust end customer account if required



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



Debit & Credit Card	E05, E06, E07	Possibility of a duplicate transaction having been created which may require settlement adjustment with FI and / or end customer account	Y	Issue BIM report detailing as far as possible how far the transaction progressed via the Horizon counter – confirm whether Fujitsu Reconciliation Service believe payment was duplicated and whether or not end customer account has been affected. F99 n to clear from reports	Adjust settlement with FI with instructions to FI to adjust end customer account if required
Service	Exception Type	Post Office Ltd Implications	Fujitsu Reconciliation Service Action		Post Office Ltd Action
			To SSC?	Reconciliation Service / BIM Report	
All On Line Services	E08 & E09	Possibility of a duplicate transaction having been created which may require settlement adjustment with FI and / or End Customer Account	Y	Issue BIM report detailing as far as possible how far the transaction progressed via the Horizon counter – confirm whether Fujitsu Reconciliation Service believe payment or deposit was duplicated and whether or not End Customer Account has been affected. F99 n to clear from reports	Adjust settlement with FI with instructions to FI to adjust End Customer Account if required
All On Line Services	E10	Assumed C112 and / or C12 exception has no reconciliation implication as they are derived from the same transaction component	Y	No Action	No Action
All On Line Services	E11	Assumed C112 and / or C12 exception has no reconciliation implication as they are derived from the same transaction component	Y	No Action	No Action



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



All On Line Services	E12 & E13	Possibility of a duplicate transaction having been created which may require settlement adjustment with FI and / or end customer account NB: ZERO value E12 exceptions can appear for EPAY which are automatically sent to F99 with no further action.	Y	Issue BIM report detailing as far as possible how far the transaction progressed via the Horizon counter – confirm whether Fujitsu Reconciliation Service believe payment or deposit was duplicated and whether or not End Customer Account has been affected. F99 to clear from reports	Adjust settlement with FI with instructions to FI to adjust End Customer Account if required
Service	Exception Type	Post Office Ltd Implications	Fujitsu Reconciliation Service Action		Post Office Ltd Action
			To SSC?	Reconciliation Service / BIM Report	
Debit & Credit Card	E14	Possibility of a duplicate transaction having been created which may require settlement adjustment with FI and / or end customer account	Y	Issue BIM report detailing as far as possible how far the transaction progressed via the Horizon counter – confirm whether Fujitsu Reconciliation Service believe payment or deposit was duplicated and whether or not end customer account has been affected. F99 n to clear from reports	Adjust settlement with FI with instructions to FI to adjust end customer account if required
NOT USED	E15, E16, E17, E18, E19				
All On Line Services	E20	Assumed C112 and / or C12 exception has no reconciliation implication as they are derived from the same transaction component	Y	No Action	No Action
All On Line Services	E21	Potential settlement error with FI: Possible failure to send reversal to either	Y if not resolved via DRS	Reconciliation Service issue interim BIM Report. If resolved via DRS, Final BIM Report issued.	Adjust settlement with FI with instructions to FI to adjust end customer account if required



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



		Santander, CAPO, Vocalink and Debit & Credit Card; or Transaction timeout after 50 minutes in relation to EPAY		If not resolved via DRS, confirm via BIM what happened at the Horizon counter and whether Fujitsu Reconciliation Service believe there are settlement implications with the FI and / or end customer account	
Service	Exception Type	Post Office Ltd Implications	Fujitsu Reconciliation Service Action		Post Office Ltd Action
			To SSC?	Reconciliation Service / BIM Report	
Debit & Credit Card	E22	Potential settlement error with FI	Y if not resolved via DRS	Reconciliation Service issue interim BIM Report. If resolved via DRS, Final BIM Report issued. If not resolved via DRS, confirm via BIM what happened at the Horizon counter and whether Fujitsu Reconciliation Service believe there are settlement implications with the FI and / or end customer account	Adjust settlement with FI with instructions to FI to adjust end customer account if required
All On Line Services	E23	Potential settlement error with FI: Possible failure to send reversal to either Santander, CAPO, Vocalink and Debit & Credit Card; or Where a reversal transaction has not reached the agent within 50 minutes in relation to EPAY, this is not forwarded to EPAY NB: If discrepancy type " 3", no action.	Y if not resolved via DRS	Fujitsu Reconciliation Service issue interim BIM Report. If resolved via DRS, Final BIM Report issued. If not resolved via DRS, confirm via BIM what happened at the Horizon counter and whether Fujitsu Reconciliation Service believe there are settlement implications with the FI and / or end customer account	Adjust settlement with FI with instructions to FI to adjust end customer account if required



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



Debit & Credit Card	E24	Potential settlement error with FI	Y	Reconciliation Service issue interim BIM Report. If resolved via DRS, Final BIM Report issued. If not resolved via DRS, confirm via BIM what happened at the Horizon counter and whether Fujitsu Reconciliation Service believe there are settlement implications with the FI and / or end customer account	Adjust settlement with FI with instructions to FI to adjust end customer account if required
Service	Exception Type	Post Office Ltd Implications	Fujitsu Reconciliation Service Action		Post Office Ltd Action
			To SSC?	Reconciliation Service / BIM Report	
All On Line Services	E25 & E26	Potential settlement error with FI: Possible failure to send reversal to either Santander, CAPO, Vocalink and Debit Card; or Transaction timeout after 10 minutes in relation to ETU	Y if not resolved via DRS	Fujitsu Reconciliation Service issue interim BIM Report. If resolved via DRS, Final BIM Report issued.	Adjust settlement with FI with instructions to FI to adjust end customer account if required
All On Line Services	E27 & E28	Assumed C112 and / or C12 exception has no reconciliation implication as they are derived from the same transaction component	Y	No Action	No Action
All On Line Services	E29 & E30	Possibility of a duplicate transaction having been created which may require settlement adjustment with FI and / or end customer account	Y	Issue BIM report detailing as far as possible how far the transaction progressed via the Horizon counter – confirm whether Fujitsu Reconciliation Service believe payment or deposit was duplicated and whether or not end customer account has been affected. F99	Adjust settlement with FI with instructions to FI to adjust end customer account if required



Reconciliation and Incident Management Joint Working Document
FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



				exception to clear from reports	
All On Line Services	E39	No action required	N	F99 from report, if all elements match	No Action
All On Line Services	F99	Will not appear on report.	N	This transaction state implies that the transaction had a Reconciliation error that has been cleared by manual procedures	No Action

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FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)

3.5.2 Incomplete States

This table identifies the NB102 series report section where incomplete and discrepancy States are reported in detail.

Incomplete State	Transaction Components					Exception report NB102 Section	
	C112	C12	C4	S	D	Uncleared	Cleared
1		√				1 & 5	7 & 11
2		√	√			1 & 5	7 & 11
4			√			1 & 5	7 & 11
5	√					1 & 5	7 & 11
6	√	√				1 & 5	7 & 11
7	√		√			1 & 5	7 & 11
8				√		1 & 5	7 & 11
9	√			√		1 & 5	7 & 11
10		√		√		1 & 5	7 & 11
11	√	√		√		1 & 5	7 & 11
12					√	2	8
13		√			√	2	8
14	√				√	2	8
15	√	√			√	2	8
16			Then √	√		1 & 5	7 & 11
17	√		Then √	√		1 & 5	7 & 11
18		√	Then √	√		1 & 5	7 & 11
20				√	Then √	2	8
21	√			√	Then √	2	8
22		√		√	Then √	2	8
23	√	√		√	Then √	2	8

Shaded lines represent System States refer to D&CC exception states only.



Reconciliation and Incident Management Joint Working Document



FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)

3.1.3 Exception States

This table identifies the NB102 series report section where an exception is reported in detail.

Exception State	Description	Exception report NB102 Section	
		Uncleared	Cleared
E01	Additional C112	1 & 5	7 & 11
E02	Additional C12	1 & 5	7 & 11
E03	Additional D	2	8
E04	Additional C4	1 & 5	7 & 11
E05	Additional S	1 & 5	7 & 11
E06	S after C4	1 & 5	7 & 11
E07	S after D	2	8
E08	C4 after D	2	8
E09	D after C4	2	8
E10	C112 after final state	1 & 5	7 & 11
E11	C12 after final state	1 & 5	7 & 11
E12	C4 after final state	1 & 5	7 & 11
E13	D after final state	2	8
E14	S after final state	1 & 5	7 & 11
E15	Not Used		
E16	Not Used		
E17	Not Used		
E18	Not Used		
E19	Not Used		
E20	Amount of C112#C12	1 & 5	7 & 11
E21	Amount of C112#C4	1 & 5	7 & 11
E22	Amount of C112#S & C112#0	1 & 5	7 & 11
E23	Amount of C12#C4	1 & 5	7 & 11
E24	Amount of C12#S & C12#0	1 & 5	7 & 11
E25	Amount of C112#D	2	8
E26	Amount of C12#D	2	8
E27	Incomplete/corrupt C112	3	9
E28	Incomplete/corrupt C12	3	9
E29	Incomplete/corrupt C4	3	9
E30	Incomplete/corrupt D	3	9
E31	Incomplete/corrupt S	3	9
E32	Amount of C4#S & C4#0	1 & 5	7 & 11
E33	Amount of D#S	2	8
E34	C112 arrived after state F99	1 & 5	7 & 11
E35	C12 arrived after state F99	1 & 5	7 & 11
E36	C4 arrived after state F99	1 & 5	7 & 11
E37	D arrived after state F99	2	8
E38	S arrived after state F99	1 & 5	7 & 11
E39	Settlement Date # Reconciliation Date	4	10

Shaded lines represent System States refer to D&CC exception states only.



4 Automated Payment Service (APS)

The APS Report Set produced by Fujitsu central systems and the End-to-End APS reconciliation have been designed to enable APS transactions completed in Post Office branches to be reconciled to the transaction stream received by Post Office Ltd, via Post Office Ltd Consolidated SAP System (POLSAP) to enable settlement to be made with Post Office Clients. This also applies to transactions of zero value; while these transactions do not affect financial reconciliation they will be reported in cases where they were not properly transferred to the Automated Payment (AP) Clients or POLSAP.

For the avoidance of doubt, there is no formal reconciliation produced between POLSAP and the Credence transaction stream. The Credence stream should therefore not be used to verify financial integrity and Post Office Ltd should ensure the TPS report set and POLSAP transaction stream are used for this purpose

4.1 APS Reports

The following reports are sent daily to POL Finance:

1. APSS2133 – The APS Daily Account Balancing Report
2. APSS2133b – The APS Client Summary Report
3. APSS2133c – The APS Delayed Transaction Report (See Section 4.1.2)
4. APSS2136 – The Daily TPS / APS Transaction Reconciliation Summary Report

4.1.1 Report Distribution

As governed by email availability, the Reconciliation Service will ensure all reports are made available to POL Finance by 09.00hrs daily, Monday to Friday basis only. For example, on a Monday or the day after a bank holiday, reports will be delivered for all days having occurred since the delivery of the last set of reports.

Reports are initially sent to POL Finance using the Fujitsu corporate email account. If the Fujitsu or POL email accounts are not available fall back measures will be made, i.e. floppy disk hand delivered to the Post Office Ltd POL RDT team (Ref Data Team) located on the 4th floor at the Fujitsu site at Bracknell.

NB: Due to the size of these reports, Fujitsu is unable to resort to facsimile transmission should the corporate email service of either organisation be unavailable except in situations where any failure is deemed to be long term. In such cases, the Reconciliation Service will liaise with POL Finance to agree a contingency distribution.

The distribution list is considered by both Fujitsu and Post Office Ltd to be of a dynamic nature and therefore specific addressees are not covered within this document.



Reconciliation and Incident Management Joint Working Document

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4.1.2 APSS2133c report explained

Processing Date: 15/06/2005
Date: 15/06/2005
Time: 22:02:33

APS Delayed Transactions Report

Report
Report

Transaction Date	Transaction Details	Value (£)	Error Message
15/06/2005	CCM 2654 Local Collect 5654 4271 0123110 07:40:35 13211001300603558251 01 H 7191 0	0.00	Digital Signature Failure
	CardAccount 2685 Card Account 5685 4747 0123110 07:39:49 63364110803854137 01 H 7 190 0	0.00	Digital Signature Failure
	DVLA 2422 D.V.L.A. 3 5927 0123110 08:35:42 09010213308202964440 01 H 7196 0	0.00	Digital Signature Failure
	DVLA 2422 D.V.L.A. 3 5927 0123110 08:35:59 09010214626193524587 01 H 7197 0	0.00	Digital Signature Failure
	DVLA 2422 D.V.L.A. 3 5927 0123110 08:36:22 09010213453464647554 01 H 7198 0	0.00	Digital Signature Failure
	DVLA 2422 D.V.L.A. 3 5927 0123110 08:36:41 09010214408686229879 01 H 7199 0	0.00	Digital Signature Failure
	DVLA 2422 D.V.L.A. 3 5927 0123110 08:36:58 09010214379121878192 01 H 7200 0	0.00	Digital Signature Failure
	DVLA 2422 D.V.L.A. 3 5928 0123110 08:35:03 09010215679293600152 01 H 7194 0	0.00	Digital Signature Failure
	QUANTUM 2413 Siemens Metering Ltd 3333 3206 1915045 16:36:25 CA1005453483657 02 H 710 0	3.00	CRY_INVALID_DIGITURE
TOTAL	12	3.00	
Reconciliation Error	0	0.00	
End of Report APSS2133c			

Clearing Agent	Client Account & Name	Client code	Item (product)
QUANTUM	2413 Siemens Metering Ltd	3333	3206
FAD (ignore last digit)	Time of transaction	Various stuff about receipt numbers	APSSSEQ, in this case is 020710, counter=2
1915045	16:36:25	CA1005453483657	02 H 710
0 Transaction type?	3.00 Amount three pounds	CRY_INVALID_DIGITURE	Error message



4.2 APS Reconciliation & Incident Handling

4.2.1 APS Business Incidents

4.2.1.1 Reconciliation Errors within APSS2133 report

Reconciliation errors within the APS Daily Account Balancing Report should be minimal and, if they do occur, will be applicable to:

- Software errors
- Unidentified differences classed as 'Reconciliation Errors' within APSS2133.

4.2.1.2 Delayed Transactions on APSS2133c Report

Where transactions have failed to be delivered to Post Office Clients, they are referred to as Delayed Transactions.

In normal circumstances, these transactions will be input by Fujitsu SSC into the APS data file via the APS secure workstation and will be received by Post Office Client 24 hours later, subject to the client's delivery agreement. There may be occasions when transactions cannot be sent via the data file process and have to be delivered to 'Manual'. In such cases full details of the transaction are supplied via the BIM report route; these incidents are NOT chargeable.

4.2.2 APS Business Incident Originators

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

- Fujitsu for errors reported via the APS report set and End-to-End APS reconciliation
- POL Finance or POL RDT for any other reconciliation or settlement error discovered by POL Finance that has not been reported by Fujitsu Services
- Fujitsu SSC for any system fault or data 'surgery' which is considered by Fujitsu to have a reconciliation or settlement implication within Post Office Ltd.

Subject to agreement by the parties to the contrary, Post Office branch raised calls to the Horizon Service Desk (HSD) will not generate APS Business Incidents. However, calls from Post Office branches will be monitored and if it is considered necessary by Fujitsu incidents reported to the HSD will be elevated to APS Business Incident status.

4.2.3 Generation of Business Incidents

APS Business Incidents will only be recognised as such if generated by Fujitsu or Post Office Ltd via the HSD. This ensures that the APS Business Incident is properly logged, enabling Fujitsu to ensure that corrective information can be supplied and any underlying system fault can be rectified.

It is important that POL Finance supply sufficient information to the HSD when generating an APS Business Incident to ensure the timescales for the resolution of APS Business Incidents referred to in section 5.4 can be achieved. Achievement of such timescales is dependent upon the following information being provided by POL Finance when generating an APS Business Incident via the HSD:



Reconciliation and Incident Management Joint Working Document



FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)

- A TfS call is to be raised.
- Prefix all narrative with '***This is a Business Incident for Reconciliation Service, PLEASE ROUTE THIS CALL TO EDSC***'
- Relevant details including the Branch code, date of the transaction, value of transaction, HNG-X Transaction ID should be supplied.

NB: Where POL Finance raises an APS Business Incident which may require a large amount of supporting information, summary detail only may be given to the HSD and the additional information sent via e-mail to Fujitsu Reconciliation Service, at [PostOfficeAccount.reconciliation](#) Irrelevant.

4.3 Incident Reporting

4.3.1 BIM Reports

- The Business Incident Management System (BIMS) has been designed to report the progress to resolution of a Business Incident to allow Post Office Ltd. to complete an accurate reconciliation or settlement with their clients. For ease of identification and association, BIM report references will take the Fujitsu internal Incident and Problem Management System (PEAK) reference number. In all cases each BIM report will have a unique identifier.
- A BIM report will be issued for each Business Incident generated. BIM reports are designed to notify POL Finance of the detail required to assist in the reconciliation or settlement process within Post Office Ltd. domain. BIM reports communicate information concerning the resolution of the symptom of an underlying cause, not the cause itself; this information would be supplied via the Problem Management route, if escalated to this level.
- Where a System Incident is generated to eradicate the cause of a particular problem and there is one or more associated Business and Related Services Business Incidents, cross-references will be supplied on the Business and Related Services Business Incident BIM report and via the Problem Management process to allow tracking of the System Incident.

4.3.1.1 BIM Report Distribution

- The Reconciliation Service will distribute APS BIM reports to POL Finance, using the Fujitsu corporate e-mail network. In the event that the Fujitsu or Post Office Ltd corporate email systems are unavailable, Fujitsu will discuss with POL Finance appropriate means of information transfer.
- BIM reports distributed in accordance with this section will be deemed to have been issued to POL Finance at the time of transmission by email.
- An example of a BIM report is shown at Section 6.

4.3.1.2 Clearance Criteria

- The Reconciliation Service provides information concerning APS Business Incidents to POL Finance on a 'drip feed' basis, by issuing updated versions of the initial BIM report.
- A BIM report is '**Cleared**' when the Reconciliation Service has provided the requisite reconciliation / settlement information.
- Additionally, the exception is cleared from the appropriate section of NB102 after necessary F99 authorisation has been obtained from POL.
- MER charges are detailed in the Reconciliation Service: Service Description document reference SVM/SDM/SD/0015.

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4.3.2 Reporting Timescales

The Reconciliation Service will use reasonable endeavours to raise an initial BIM report relating to a new APS Business Incident within 24 hours of the notification of the incident. This will be made available to POL Finance, on the same working day as the APS Business Incident is generated via the HSD, or in any event on the morning of the next working day.

In the event of the APS report set not being available to Fujitsu in time to enable any errors to be notified within this timescale, Fujitsu will contact POL Finance by telephone or email to agree a temporary extension to the timescale. The Reconciliation Service will use reasonable endeavours to ensure the final completed BIM report is made available in accordance with section 5.1, and is cleared within five working days of the date the APS Business Incident was generated via the HSD.

Where there is a need to correct APS / TPS Data Errors Fujitsu will use reasonable endeavours to deliver the corrected data file to POLSAP within five working days from the date the APS Business Incident was generated via the HSD. 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.

There is no agreed timescale for the resolution of a System Incident. Fujitsu will give every System Incident the priority it deserves (including the Problem Management escalation process) taking into account Post Office Ltd's requirement and will 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.

If the Problem Management route is taken the issue will be closed by mutual agreement.

4.4 Client File Delivery

4.4.1 Variable File Transfer

Post Office Clients take transaction delivery from Fujitsu in accordance with their own processing requirements. NB: Specific Client requirements are described elsewhere; this document is not intended to describe this detail.

APS transactions from Post Office Ltd branches are available for onward transmission each day to Post Office Clients should they require it. However, some Post Office Clients only require transactions to be delivered on a five day, or one day per week basis. This has no impact upon the reconciliation between the actual Post Office Client transmission and the Client Transaction Summaries (CTS).

The CTS accurately identifies the volume and value of the 'normal' transactions (not reversed / reversing transactions) that have been delivered to the Post Office Clients on a particular day, in accordance with their specific requirements. It is important to note that the transactions actually delivered to Post Office Clients as recorded on the CTS will differ from the value shown on APSS2133 within the Delivery Sub Total (9). This figure represents the total values from the Post Office branches, which may, or may not, have been delivered to Post Office Clients in accordance with their requirements.

4.4.2 Reconciliation in the event of non delivery of the CTS to Post Office Ltd

POL Finance will use the CTS as the basis for settlement with Post Office Clients. In the unlikely event that Fujitsu fails to deliver the CTS file to POLSAP or POLSAP reject the file, POL Finance will need to

**Reconciliation and Incident Management Joint Working
Document****FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)**

use the APSS2133b to manually calculate settlement due. The CTS only reports normal transactions whereas the APSS2133b includes reversed / reversing transactions. Consequently POL Finance can only use the APSS2133b to calculate the value (not the volume) of the settlements due.

It is also possible to send the CTS file to POL via email if the normal means of delivery is not available.

Settlement is time critical and Fujitsu will ensure all the relevant system derived APS reconciliation reports are delivered on time to ensure that settlement can be made between Post Office Ltd and its Clients. In order to satisfy this requirement, Fujitsu has elected to make all reconciliation reports available by 09.00hrs as stated in section 4.1.1, Monday to Friday, excluding bank holidays.

4.4.3 Clerical Reconciliation Example in the event of non delivery of CTS to Post Office

When using the APSS2133b report to calculate settlements due, POL Finance will need to take account of the individual Post Office Clients file delivery pattern and settlement frequency, e.g. for Post Office Clients who have elected to take five day delivery – Monday to Friday the Monday delivery will include transactions generated on the Friday / Saturday and Sunday. For Post Office Ltd Clients who have elected to take six day delivery – Monday to Saturday, the Monday delivery will include transactions generated on the Saturday and Sunday.

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5 TPS Reconciliation

5.1 TPS Report Set

The Transaction Processing System (TPS) Report Set has been designed to enable reconciliation of the transactions carried out in Post Office branches using the Electronic Point of Sale Service (EPOSS) which are sent to POLSAP, and Post Office Ltd Management Information Systems (Credence). The TPS report set identifies errors that occur within counter transactions.

NB: For the avoidance of doubt, there is no formal reconciliation produced between the POLSAP and Credence transaction stream. The Credence stream should therefore not be used to verify financial integrity and Post Office Ltd should ensure the TPS Report Set and POLSAP transaction stream are used for this purpose.

Fujitsu Services will generate three daily TPS exception reports (TPS Report Set) (from the Host and counter reconciliation software)

NB: TPSC257 is emailed to Post Office Ltd daily, TPSC250 and TPSC254 can be provided for audit requirements if required.

1. Host Detected Transaction Control Errors: - TPSC250

This report shows detail for any Post Office branch where the control totals for the transactions output by the host to POLSAP and Credence do not match the daily transaction totals calculated by the counters.

2. TPS Harvester Errors: - TPSC254

This report shows a list of exceptions detected by the BRDB copy process when failing to process one or more messages.

3. Incomplete POLSAP Summaries: - TPSC257

This report identifies all Post Office branches on a daily basis in which the net total of transactions (debits/credits) does NOT net to a value of zero.

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

The TPS Report Set will be made available to Fujitsu, on a daily basis by 08.30hrs, 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 will raise an incident via Post Office Account Third line support (SSC).

A BIM report will be issued to POL Finance where appropriate, i.e. where there has been a reporting error (the reconciliation reports are flawed but not the transaction stream), or in cases where 'delayed transactions' can be delivered later without compromising the integrity of those transactions.

5.2 Reconciliation and Incident Handling

5.2.1 Incident Originators

Business Incidents will only be generated by the following groups within Fujitsu and POL Finance:

- Reconciliation Service for errors reported via the TPS report set



Reconciliation and Incident Management Joint Working Document



FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)

- POL Finance for any other reconciliation or settlement error discovered by POL Finance that has not been reported by Reconciliation Service
- Fujitsu SSC, for any system fault, file or transaction rejection which cannot be repaired electronically or data base adjustment which is considered by Fujitsu Services to have a reconciliation or settlement implication within Post Office Ltd.

Subject to agreement by the parties to the contrary, Post Office branch raised calls to the HSD will not generate Business Incidents. However calls from Post Office branches will be monitored and if it is considered necessary by Fujitsu Services, incidents reported to the HSD, either directly or via the Post Office Ltd Network Business Support Centre (NBSC), will be elevated to Business Incident status.

5.2.1.1 Generation of Business Incidents by POL

Business Incidents will only be recognised as such if generated by POL Finance via the HSD; this ensures that the Business Incident is properly logged.

In all cases Fujitsu will raise a 'BIM' report to log incidents. For ease of identification and association, BIM report references will take the Fujitsu internal Incident and Problem Management System (PEAK) reference number. In all cases each BIM report will have a unique identifier.

It is important that POL Finance supply sufficient information to the HSD when generating a Business Incident to ensure the timescales for the resolution of Business Incidents referred to in section 5.3.2 can be achieved. Achievement of such timescales is dependent upon the following information being provided by POL Finance when generating a Business Incident via the HSD:

- A Tfs call to be raised.
- Prefix all narrative with ***'This is a Business Incident for Reconciliation Service, PLEASE ROUTE THIS CALL TO EDSC'***
- Relevant details including the Branch code, date of the transaction, value of transaction, HNG-X Transaction ID should be supplied.

NB: Where POL Finance raises a Business Incident which may require a large amount of supporting information, summary detail only may be given to the HSD and the additional information sent via e-mail to Fujitsu Reconciliation Service, at PostOfficeAccount.reconciliation@postoffice.co.uk. **Irrelevant**.

5.3 Incident Reporting

5.3.1 BIM Reports

- The Business Incident Management System (BIMS) has been designed to report the progress to resolution of a Business Incident to allow Post Office Ltd. to complete an accurate reconciliation or settlement with their clients. For ease of identification and association, BIM report references will take the Fujitsu internal Incident and Problem Management System (PEAK) reference number. In all cases each BIM report will have a unique identifier.
- A BIM report will be issued for each Business Incident generated via the HSD (by POL) or the PEAK Incident tracking system (by SSC). BIM reports are designed to notify POL Finance of the detail required to assist in the reconciliation or settlement process within Post Office Ltd. domain. BIM reports communicate information concerning the resolution of the symptom of an underlying cause, not the cause itself; this information would be supplied via the Problem Management route, if escalated to this level.
- Where a System Incident is generated to eradicate the cause of a particular problem and there is one or more associated Business and Related Services Business Incidents, cross-references



Reconciliation and Incident Management Joint Working Document



FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)

will be supplied on the Business and Related Services Business Incident BIM report and via the Problem Management process to allow tracking of the System Incident.

- MER charges are detailed in the Reconciliation Service: Service Description document reference SVM/SDM/SD/0015.

5.3.1.1 BIM Report Distribution

- The Reconciliation Service will distribute BIM reports to POL Finance, using the Fujitsu corporate e-mail network. In the event that the Fujitsu or Post Office Ltd corporate email systems are unavailable, Fujitsu will discuss with POL Finance appropriate means of information transfer.
- BIM reports distributed in accordance with this section will be deemed to have been issued to POL Finance at the time of transmission by email.
- An example of a BIM report is shown at Section 6.

5.3.1.2 Clearance Criteria

- The Reconciliation Service provides information concerning On Line Services Business Incidents to POL Finance on a 'drip feed' basis, by issuing updated versions of the initial BIM report.
- A BIM report is 'Cleared' when the Reconciliation Service has provided the appropriate reconciliation / settlement information.
- MER charges are detailed in the Reconciliation Service: Service Description document reference SVM/SDM/SD/0015.

5.3.2 Reporting Timescales

The Reconciliation Service will use reasonable endeavours to raise an initial BIM report relating to a new Business Incident. This will be made available to POL Finance, on the same working day as the Business Incident is generated via the HSD or on the PEAK system where applicable. 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, Fujitsu will contact POL Finance to agree a temporary extension to the timescale. This initial, incomplete, BIM report will serve to notify POL Finance that a Business Incident has occurred and that the completed BIM report will be provided to POL Finance within the agreed timescales.

Reasonable endeavours will be used to ensure the final completed BIM report is cleared within five working days Service Level Target (SLT) from the date the Business Incident was generated via the HSD, or the PEAK system.

If the BIM report is not cleared, or Fujitsu do not believe it will be cleared within five working days, Fujitsu Reconciliation staff will notify POL Finance in advance of the SLT; status report timeframes will be agreed and detail provided accordingly.

There is no agreed timescale for the resolution of a System Incident. Fujitsu will give every System Incident the priority it deserves (including the Problem Management escalation process) taking into account Post Office Ltd's requirement and will 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.

If the Problem Management route is taken the issue will be closed by mutual agreement.



5.3.3 Repairing Data

Where Fujitsu corrects errors, one Business Incident will be raised to cover each error, or group of errors, if they are related to each other. A BIM report containing appropriate information will be issued relating to that error or group of errors.

5.4 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.

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

- Where there is a trend of similar Business Incidents where there is no identifiable cause.
- 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 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. Operational Focus updates; briefings etc. and in many case the authority from Post Office Ltd to proceed with a relevant fix.

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FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)

6 BIM Report

BIMS Incident Report - COMMERCIALLY SENSITIVE

BIMS Reference: SE 00000002		Final Update	
Service: APB	Version: 3	Last Updated: 10/06/2011 13:32:08	
Service Sub type:		Priority: 1	
Exception Type: APB2133c APB Reconciliation Error			
Originator: APB	Transaction Date: 08/06/2011	Branch: APB2133c APB	
Status: 0 Open		Exception Value: 0.00	
Other References		Transaction Liability	
HNGX Branch: No		Provisional: Final	
POL Reference:	Settlement Details		
		Transaction Settlement	
		Settled Amount:	
		Invoice Number:	
		Invoice Date:	
		Manual Error Report	
Incident History		Chargeable Errors: 0	
Date Received: 08/06/2011	MER Set Amt:		
Date Cleared: 10/06/2011	MER Inv No:		
Date Closed:	MER Inv Date:		

Unique BIMS reference

Classifications 1) Online Services
2) APB 3) SPOBS POLPS

Priority effect

Specifies Error Date of the exception being investigated

Transaction Value

Branch FAD code

Transaction except date

100% Management Support Unit has now been changed to Reconciliation Service

Auto generate BIMS created date

Auto generate Incident cleared date

Initial BIMS v03 only show this action and it contains a brief description of the incident

Final BIMS v03 contains the information and it contains the reconciliation information

Actions			
Actions: Date & Time	08/06/2011 10:57:24	Action Type	Reconciliation
		Analyst	Andy Dunks
APB2133c Delayed Transaction Report produced on 08/06/2011. Branch shows 1 new delayed transaction for Transaction Date 08/06/2011. Client: TPoB Bureau Total Value: £0.00 Error Message: UNMATCHED REVERSAL FOUND This is currently under investigation			
Actions: Date & Time	10/06/2011 13:31:44	Action Type	Reconciliation
		Analyst	Andy Dunks
Reconciliation will be required as follows: 1) POL will need to check with the PM client what actually transpired, i.e. did the PM client hand over the £40 EURO currency and make £16.82 currency self margin on the £501.91 total cash taken or not from the customer. Any currency adjustments that are required for the £40 EURO currency solitary currency self margin made, or not, will therefore have to be decided by POL. 2) The branch accounts will balance for the branch in BR06 in either case, since ZERO settlement lines for the original APB sale bin and the APB reversal bin were eventually inserted into the BR06. 3) Credence has passed on both the APB TPoB EURO currency sale and APB TPoB EURO currency reversal positions from POLMI to FirstRate services 4) POL will have to account for any reconciliation issues required from the original APB TPoB Bureau EURO currency sale data sent for the APB ED002 TPoB Bureau Client, since POL have not clarified as yet whether this APB client is one Credence send details for, or not?			