

Branch Trading Reporting, Management and Control and Transaction Management

Conceptual Design

ROLE	NAME	AREA OF RESPONSIBILITY	SIGNATURE	DATE
AUTHORS	DAVE PARNELL PHIL BOARDMAN	BUSINESS ARCHITECTURE		
CONTRIBUTORS	JULIE POPE NIGEL STONE BEN GILDERSLEVE JOHN DUTTON SHEENA PATIENCE TOM FITZGERALD TONY UTTING ALVIN WEST ANNE CLARK MARTIN DRAKE KAREN HILLSDEN PHILIP GODDEN HELEN PEDLEY CHRIS ALLEN BOB GURNEY GARETH JENKINS	PRODUCT DEPLOYMENT		
		TECHNICAL ARCHITECTURE		
BDA SIGN-OFF (PEER REVIEWER)	SUE HARDING	BUSINESS ARCHITECTURE		
TDA SIGN-OFF (PEER REVIEWER)	CLIVE READ	TECHNICAL ARCHITECTURE		
DELIVERY MANAGER	GRAEME SEEDALL	PROJECT DELIVERY		

Table of Contents

1	Document Control	6
1.1	Document Information	6
1.2	Document History	6
1.3	Change Process	7
1.4	Changes in this Version	7
1.5	Key Contacts	7
1.6	Review Details	8
1.7	Associated Documents	9
1.8	Abbreviations/Definitions	9
2	Introduction	11
2.1	Purpose	11
2.2	Scope	11
2.2.1	Exclusions	11
2.3	Background	11
2.4	Document Explanations	12
2.4.1	Creation Process	12
2.4.2	Business Process Models	12
3	Overview	13
3.1	Business Proposition	13
3.1.1	Accounting, Reconciliation and Settlement, including Debt Recovery and Branch Control	13
3.2	Functional Summary	14
3.2.1	Overview	14
3.3	Systems summary	17
3.4	Potential for Change	17
4	Constraints	18
4.1	Business & Functional	18
4.2	Legal & Regulatory	18
4.3	Architectural Framework & Building Blocks	18
4.3.1	Integration with Other Systems	18
4.3.2	Post Office™ Strategic Direction	18
4.3.3	Post Office™ Approved Technology	18
4.3.4	Post Office™ Approved Components	18
4.4	Fujitsu Services	18
4.5	Prism Alliance	18
4.6	Other Constraints	18
5	Design Principles	19
6	Functional Requirements	20
6.1	Overview – Local Verification	20
6.2	Overview – Other Data Capture	20
6.3	Overview – Produce Reports	21
6.4	Overview – Daily Trading	21
6.5	Overview – Produce Branch Accounts	21
6.6	Overview – Stock Control	22
6.7	Overview – Discrepancy Management	22
6.8	Overview – Transaction Management	22
7	Exclusions	23
8	High Level Process Models	24
8.1	A4 Accounts and Settlement	24
8.1.1	A4.1 Create / Verify Branch Trading Statement	25
8.1.2	A4.1.1 Local Verification	26
8.1.3	A4.1.2 Produce Reports and Information	27
8.1.4	A4.1.2.3 Produce Sales Report to Assist Remuneration Check	28
8.1.5	A4.1.3 Other Data Capture	29
8.1.6	A4.1.5 Discrepancy Management	30
8.1.7	A4.1.5.1 Receive Automated Message	31
8.1.8	A4.1.5.2 Handle Transaction Correction	32
8.1.9	A4.1.6 Compare Generated with Actual Cash Position	33
8.1.10	A4.1.6.1 Compare Generated with Actual Cash Held for Stock Unit	34
8.1.11	A4.1.6.2 Create Variance Report ... Compare Generated with Actual Cash Held Across Branch	35
8.1.12	A4.1.6.3 Make Good or Hold Any Cash Variance	36
8.1.13	A4.1.7 Produce Branch Accounts	37
8.1.14	A4.1.7.1 Stock Checking	38

Doc Ref: BTRMC&TM-001

Conceptual Design

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

8.1.15	A4.1.7.4 Make Good any Outstanding Variances	39
8.1.16	A4.1.7.5 Produce and Confirm Trading Statement	40
8.1.17	A4.1.7.5.2 Confirm Trading Statement	41
8.2	A4.3 Summarise Transaction Data	42
9	Information Flows	43
9.1.1	Transaction Data	43
9.1.2	Cheque and Voucher Values	43
9.1.3	Adjustment Transactions	44
9.1.4	Summaries	44
9.1.5	Despatched Dockets	44
9.1.6	Transaction Corrections	46
9.1.7	Trial Balance Report	46
9.1.8	Final Balance Report	47
9.1.9	Branch Trading Statement	47
9.1.10	Trading Statement Confirmation Event	48
9.1.11	Sales Report to Assist Remuneration Check	48
9.1.12	Non Accounting Data	48
9.1.13	Bulk Data	49
9.1.14	Additional Client Data	49
9.1.15	Stock Unit Cash Declarations	49
9.1.16	Cash Variances	50
9.1.17	Stock Revaluation Information	50
9.1.18	Cash Centre Financial Transaction Data	51
9.1.19	Ledger Entry Information (Horizon Outlets)	51
9.1.20	Ledger Entry Information (Cash Centres)	52
9.1.21	Explicit Transactions	52
9.1.22	Explicit Cash Centre Transactions	53
9.1.23	Summaries for HRSAP	53
9.1.24	Card Account Enlivenments	54
9.1.25	Client Transaction Summary (CTS)	54
9.1.26	User Events Log	55
9.1.27	Variances Report	55
9.1.28	Authorisation Discrepancies Reports	56
9.1.29	Transaction Corrections Report	56
10	Business Processes	57
10.1	Main Business Processes	57
10.1.1	Local Verification	57
10.1.2	Produce Reports and Information	61
10.1.3	Other Data Capture	66
10.1.4	Discrepancy Management	69
10.1.5	Compare Generated with Actual Cash Position	70
10.1.6	Produce Branch Accounts	73
10.1.7	Summarise Transaction Data	83
10.2	Business Data	86
10.2.1	Business Data Model	86
10.2.2	Reference Data Sources	86
10.2.3	On-line Transaction Data (Authorisation/Messages etc)	86
10.2.4	Transaction Data	86
10.3	User Interfaces	86
10.4	Reconciliation	86
10.5	Audit	86
10.6	Accounting Requirements	86
10.6.1	Settlement	87
10.6.2	Invoicing	87
10.7	MI	87
10.7.1	Post Office™	87
10.7.2	Supplier	87
10.7.3	Client	87
11	Non-Functional Requirements	88
11.1	Volumetrics	88
11.2	Sizing Assumptions	88
11.3	Service Levels	88
11.3.1	Post Office™	88
11.4	Problem Management & Tracking	89
11.4.1	Incident Management	89

Doc Ref: BTRMC&TM-001

Conceptual Design

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

11.4.2	Branch Support	89
11.4.3	Client Support	89
11.4.4	Failure Recovery	89
11.4.5	Backup & Recovery	89
11.5	Business Continuity	89
11.6	Training	89
11.7	Change Specific Non-Functional Requirements Required	89
12	Technical Requirements	92
12.1	Architecture Principles	92
12.1.1	Application	92
12.1.2	Resilience	92
12.1.3	Performance	92
12.1.4	Communications	92
12.2	Architecture Building Blocks	92
12.3	Architecture Components	92
12.4	Integration & Interfaces	92
13	Security Requirements	93
13.1	Security Policy	93
13.2	Physical Security	93
13.3	Technical Security	93
13.4	Implementation & Development Security	93
13.5	Security Management	93
13.6	Security Testing	93
14	Deliverables / Work Packages	94
14.1	Post Office™	94
14.2	Fujitsu Services	94
14.2.1	Development	94
14.2.2	End to End Integration, Testing and Acceptance	94
14.2.3	Managed Service	94
14.2.4	Documentation	94
14.2.5	Internal Processes & Procedures	94
14.3	Prism	94
14.3.1	High Level Solutions Design	94
14.3.2	Internal Processes & Procedures	94
14.4	AISs	94
14.5	Reference Data Changes	95
15	Planning	96
15.1	Timescales	96
15.2	Dependencies	96
16	Acceptance	97
17	Testing	97
17.1.1	Testing Statement	97
17.1.2	Internal Functional Testing	97
17.1.3	Non Functional Testing	98
17.1.4	Interface Testing	98
17.1.5	E2E Integration Testing	98
17.1.6	E2E Functional Testing	98
17.1.7	Pre-Pilot	98
18	Implementation & Migration	99
18.1	Migration Principles	99
18.1.1	Migration Timeline	99
18.2	Migration Requirements	100
19	Appendix A – Requirements Catalogue	102
20	Appendix B – Reports	113
20.1	Branch Trading Statement	113
20.1.1	Specification	113
20.2	Variance Report	114
20.3	Transaction Corrections Report	115
20.4	Sales Report	116
20.5	Declaration: Stock on Hand – Stock Report	117
20.6	Counter Weekly Stock on Hand - Stock Report	118
20.7	Stock Unit Balance: Snapshot	119
20.8	Trial Balance Report & Final Balance Report (Stock Unit Balance: Report) & Office Balance Snapshot	121
20.9	Remittance In Slip, Remittance Out Slip, Counter Weekly Remittances In, Counter Weekly Remittances Out and Counter Weekly Remittances Summary	125

Doc Ref: BTRMC&TM-001

Conceptual Design

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

20.10	<u>Office Daily Remittances In, Office Daily Remittances Out, Office Weekly Remittances In and Office Weekly Remittances Out</u>	
	125	
20.11	<u>Transfer In Slip, Transfer Out Slip, Counter Weekly Transfers In & Counter Weekly Transfers Out</u>	126
20.12	<u>Counter Weekly Transfer Summary</u>	126
20.13	<u>Office Weekly Transfer Reconciliation & Office Weekly Unreconciled Transfers</u>	128
20.14	<u>Office Daily Revalued Product List & Counter Daily Revaluation Session Slip</u>	128
20.15	<u>Event Logs</u>	130
20.16	<u>Office Weekly Suspense Account</u>	132
20.17	<u>Return Advice Note</u>	132
20.18	<u>Reports proposed to be deleted</u>	132
20.19	<u>Other reporting considerations</u>	133
21	<u>Appendix C – Simplification Work Requirements</u>	134

1 Document Control

1.1 Document Information

Horizon Release No:	S80
Document Title:	Branch Trading Reporting, Management and Control and Transaction Management
Document Type:	Conceptual Design
Abstract:	This document details the Business, & Operational Requirements for Branch Trading Reporting (including transaction verification), Management (including Cash and Stock Management) and Control (including product reporting and regular declarations) and Transaction Management. It shows the High Level Business Process Model, Details the Technical Requirements and describes the Architectural End-to -End scope and Principles that should be employed in the implementation of the solutions for the Branch and Transaction Management elements of the Impact Programme.
Document Status:	Draft
Originator & Department:	David Parnell – Business Solutions
Contributors:	Fujitsu Services
Post Office Distribution:	Graeme Seedall ; David Parnell
Supplier Distribution:	Gareth Jenkins; Bill Reynolds (Fujitsu)

Table 1: Document Information

1.2 Document History

Version	Date	Reason for Issue	Associated WP / CT Nos
0.1	11/12/03	Draft for discussion	
0.2	30/1/04	For review by workshops attendees	
0.3	17/2/04	Containing feedback/comments from workshops attendees	
0.4	3/3/2004	Submitted for formal review	
1.0	29/3/2004	Baselined following formal review	
1.2			
2.0			
etc			

Table 2: Document History

1.3 Change Process

Any changes to this issued version of this document will be made, controlled and distributed by: -

Business Solutions
Post Office Ltd
80 Old Street
London

1.4 Changes in this Version

Version	Changes
0.1	<ul style="list-style-type: none">None, First draft template.
0.2	<ul style="list-style-type: none">Second Draft, updated with output from requirements workshops of Jan 04
1.0	<ul style="list-style-type: none">Final review with Design Authority
	<ul style="list-style-type: none">
	<ul style="list-style-type: none">

Table 3: Changes in this Version

1.5 Key Contacts

Name	Position	Phone Number
David Parnell	Business Process Architect	GRO
Gareth Jenkins	Applications TDA	GRO

Table 4: Key Contacts

1.6 Review Details

Review Comments to:	Dave Parnell (Dave Parnell) GRO
Mandatory Review Authority	Name
Post Office Ltd:	
Design Authority	Clive Read
Programme Manager	Sue Harding
Technical Design Authority	
Business Design Authority	David Parnell, Chris Allen
Product Deployment	
Business Change	Ben Gildersleve, Ann Clarke, Julie Pope
Release Manager	Graeme Seedall
Fujitsu RASD	Gareth Jenkins
Fujitsu Project Manager	Bill Reynolds
Optional Review/Issued for Information	
POL	Ruth Holleran Rod Ismay, Ann Cruttenden, Tony Marsh, Vicky Noble, Shaun Delaney, Jacky Mackenzie, Tony Utting, Sheena Patience, John Dutton, Alvin West,

Table 5: Review Details

1.7 Associated Documents

Reference	Version	Date	Title	Source
CR/CDE/006	3.2	07/07/03	E2E Programme Conceptual Design.	Post Office Ltd
BD/BRD/017	0.1	21/02/03	Business Requirements - End to End Re-Architecting Post Office Product, Branch, Client, Cash and Stock Processes & Systems Feasibility Study	Post Office Ltd
PSO/IND/E2E/STR/023			PO Ltd Financial Systems Release 3 Conceptual Design	Post Office Ltd
tbs			Counter Dialogues for Impact R3 (to be produced, so title may change)	Fujitsu Services
tbs			Horizon to POL Client Transmission Summaries AIS (to be produced by Fujitsu, so title may change)	Fujitsu Services
tbs			Card Enlivenment Interface (to be produced by Fujitsu, so title may change)	Fujitsu Services
tbs	1.5		HR SAP 4.6B Interface Documentation	Prism
JED/LFS/007 BP/DES/023	4.0		LFS to SAPADS and SAPADS to LFS Application Interface Specification	Prism
SD/SPE/016	32.0		Horizon OPS Menu Hierarchy	Fujitsu Services
tbs			Horizon to POL Data Warehouse AIS (to be produced by Fujitsu, so title may change)	Fujitsu Services
EA/IFS/003	0.2		POL FS AIS	Prism
TI/IFS/008			Horizon to Post Office Technical Interface Specification	Fujitsu Services
SD/DES/005			Horizon OPS Reports & Receipts.	Fujitsu Services
PSO/IND/E2E/SOL/016 BP/DES/030	1.0		SAPADS to POL FS Application Interface Specification	Prism
EA/IFS/002	0.4		POL Finance Systems to TMS / Horizon Transactional Corrections Interface Specification	Prism
TI/IFS/001	7.0		Pathway to TIP Application Interface Specification	Post Office Ltd

Table 6: Associated Documents

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

1.8 Abbreviations/Definitions

Abbreviation	Definition
ADC	Advanced Data Capture
AIS	Application Interface Specification
A&L	Alliance and Leicester
AP	Automated Payments
APS	Automated Payments Service

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

ATM	Automated Teller Machine
BTS	Branch Trading Statement
CBDB	The Post Office Ltd. Accounts system to be replaced by the IMPACT programme
CLS	Cash Logistics (formerly CH&D - Cash Handling & Distribution)
CSV	Comma Separated Values
CTS	Client transaction Summary
CTT	Counter Transaction Timings
DRS	Data Reconciliation Service
EDS	Electronic Data Systems, a service provider.
EOD	End of Day
EPOSS	Electronic Point of Sale Service
ETU	Electronic Top-Ups for mobile phones.
FAD	Financial Accounts Division (FAD Code)
FIs	Financial Institutions
HRSAP	SAP Human Resources, the Post Office Ltd human resources system.
LFS	Logistics Feeder Service
MI	See MIS
MIS	Management Information Systems, the set of systems that gather Post Office transaction data and provide management reports about transaction activity.
NBSC	Network Business Support Centre
NRDS	New Reference Data System
OLA	Operational Level Agreement
ONCH	Overnight Cash Holding
OpTIP	Operational Transaction Processing system, a system to be replaced by the Impact programme.
PAF	Postal Address File
POL-FS	The new Post Office Ltd Financials System being implemented as a replacement to the CBDB suite as part of the IMPACT programme.
S60	Horizon system release reference, a release contains a number of approved developments, grouped together to minimise the development, testing and implementation costs, which would be greater if the required changes were developed, tested and implemented individually..
S70	See S60 above
S80	See S60 above
SAPADS	SAP Advanced Distribution System
SLA	Service Level Agreement
TC	Transaction Correction
TIS	Technical Interface Specification
TMS	Transaction Management Service, the set of system within the Horizon domain that provide the service of collecting and summarising the data from the Post Office branches for the central system.
TPS	Transaction Processing Service

Table 7: Abbreviations/DefinitionsOther generic IT terms can be looked up at: <http://www.whatis.com/>

2 Introduction

This section describes the objective of the document, any history of its production and other background information, but excludes material that is already contained in the preceding document control sections.

2.1 Purpose

This document is intended to detail Post Office requirements for the IMPACT Release 3 Branch Trading project. It is intended to act as the baseline reference for those involved in the various stages of design, development, deployment and support for the component parts of the Branch Trading project. It is also intended to support the concurrence and approval process required for the solutions that are to be implemented to meet the specified requirement.

2.2 Scope

Requirement Analysis Stage for Release 3 of the IMPACT Programme has been partitioned to address front-end Branch Trading and back-end aspects of the requirement.

This document concerns the provision of revised Branch Trading processes at post office branches and Post Office central facilities that are to be supported via Horizon as part of the IMPACT Release 3 Programme. The document defines Post Office requirements for these revised front-end Branch Trading processes.

Post Office requirements for IMPACT Release 3 relating to back-end processes are defined in the companion document entitled PO Ltd Financial Systems Release 3 Conceptual Design (Post Office ref. PSO/IND/E2E/STR/023)

2.2.1 Exclusions

None

2.3 Background

This document has been produced by Post Office Ltd with the assistance of Fujitsu Services and Prism Alliance.

The IMPACT business case authorised by Post Office resulted from a Feasibility Study that evaluated opportunities for simplifying Post Office end-to-end processes throughout the business. The programme was formerly known as the End-to-End (E2E) Programme. The business changes that are to be introduced by the IMPACT Programme are to be delivered in three stages that have been aligned with Horizon releases S60 (Release 1), S70 (Release 2) and S80 (Release 3).

This document is produced as part of the Requirements Analysis stage of Release 3 of the IMPACT Programme.

2.4 Document Explanations

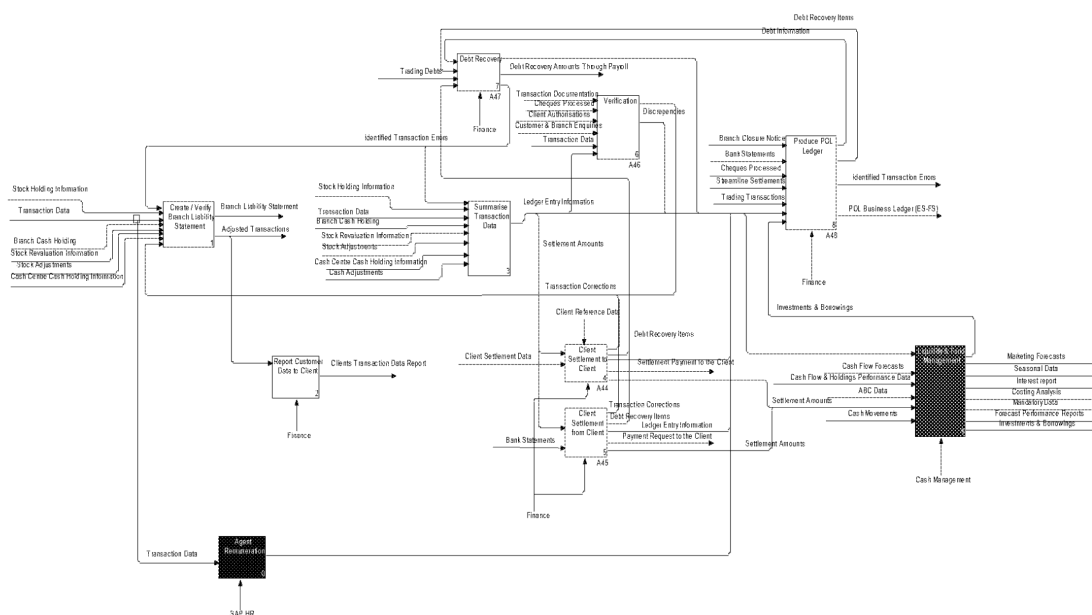
2.4.1 Creation Process

Details of the Business Proposition and Requirements have been provided by representatives of the Post Office™ Business Sponsor, Product Deployment Representative and the Business Architecture Representative.

The High Level End-to-End Solution Architecture and Architecture principles have been provided by the Post Office™ Technical Architect, who has also supplied the Technical Requirements, Supplier Domains and the required Supplier Deliverables.

2.4.2 Business Process Models

Post Office's functional requirements are represented in the form of Process models using Process objects and supporting descriptions and information flow definitions. The tool used for creating these Process Models is Popkin Systems Architect. The models have been created according to the IDEF0 modelling standard. An example of the high level process map for the Branch Trading aspects of the Programme is shown below.



Accounts and Settlement [IDEF0]

The example depicts a number of process boxes and related information flows. Where appropriate, each process box has been decomposed to a lower level process as part of the IMPACT Release 3 Requirement Analysis activities and is described within this document. Systems Architect has also been used to capture and manage the inter-dependencies between processes from which the data attributes required to create systems interfaces will be derived.

Boxes depicted in red are part of the overall process but deemed out of scope for this particular part of the IMPACT design.

Boxes depicted in black are processes which needed to be shown because of their relationship but are delivered elsewhere e.g. Royal Mail Group

These requirements together with the non-functional requirements are also represented as individual statements to enable compliance and acceptance processes to verify that the delivered solution meets the Post Office requirements. Each requirement is individually numbered using the following syntax: -

???-xxx - where ??? is a fixed label corresponding to the project and xxx is the requirement number, starting at 001.

3 Overview

3.1 Business Proposition

The Accounting and Cash Management Programme Conceptual Design [CR/CDE/006] identified a number of areas for the business proposition of the programme of which only some will be achieved by the completion of this project. The business proposition section of the programme is copied below (Section 3.1.1 in this document is a copy of Section 3.3 from the programme CD). These aims of the programme were considered to develop the principles identified in Section 3.2.1 to scope this project.

3.1.1 Accounting, Reconciliation and Settlement, including Debt Recovery and Branch Control

3.1.1.1 Scope

- Interface of data to RMG financial systems (including for data passed to HR-SAP)
- Management of PO Ltd Bank Accounts
- Capture, Validation, Verification and Correction of client transaction data from any channel where applicable
- Provision of validated client transaction data to internal and external recipients (though some of this is done via POL FS and MI)
- Responding to client/branch enquiries concerning transaction data (Enquiries to allow response)
- Accounting at branches
- Branch control
- Recovering debt from branches, clients etc (inc non-transaction) debt

3.1.1.2 Key Priorities

- Make the identification of debt easier
- Reduce the amount of reconciliation required
- Increase the amount of debt recovered
- Put the emphasis on clients and customers to validate the data
- Simplify branch processes by reducing the amount of paper
- Centralise/consolidate agents debt
- Enable matching of cash at branches with settlement with client

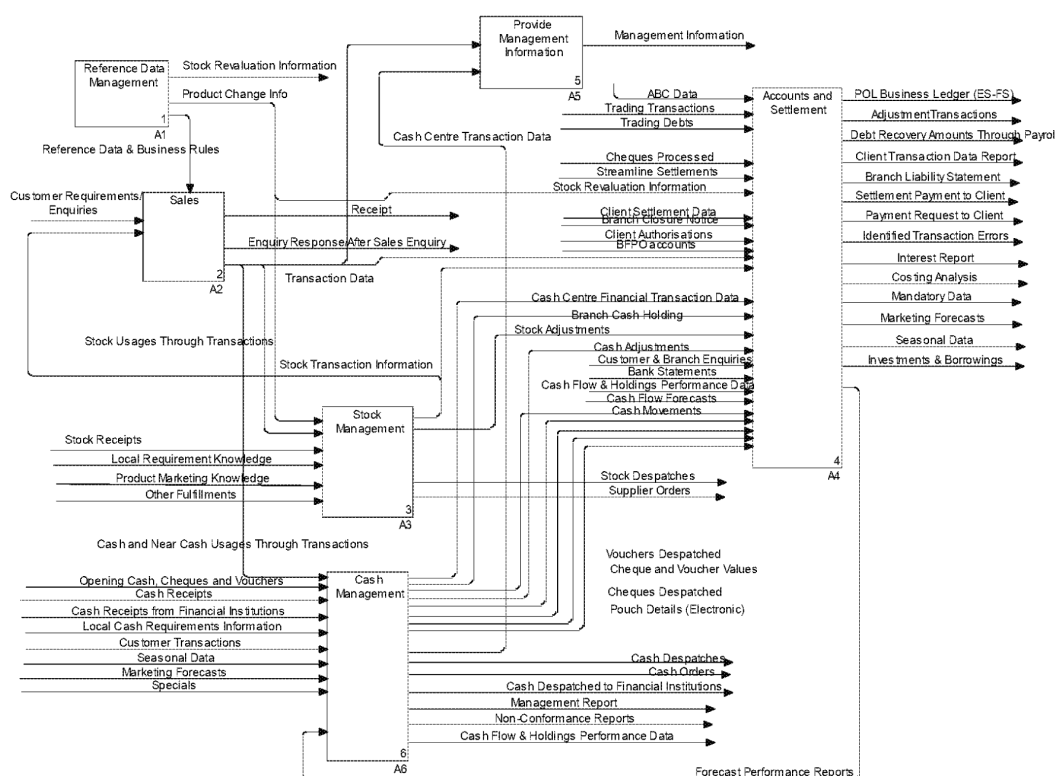
3.1.1.3 Business Drivers/Issues

- Re-focus on Debt Recovery (financial recovery of money), target 95%
- Only 10% of discrepancies are actually debt
- Establish a central debt monitoring environment to enable the identification of debt with a high degree of accuracy.
- To report Business and Client information separately and accurately.
- To increase accounting control in branches
- Alignment of management and accounting information
- Establish an appropriate and flexible accounting hierarchy
- Performance measures of throughputs and the actual financial debt.
- Rationalise systems in place to report client and business information.
- To modify the method of recovering debt e.g. using payroll for agents.
- Enable proper accounting of cash and stock
- Improve timing, accuracy, granularity and summarisation levels.
- Avoidance of losses from remittances and client settlement
- Accounting and settlement on our data, not clients

- Manual journal documents and human intervention produce errors
- Accounting period alignment – branch Wednesday, business Sunday.
- Settlement estimating can produce positive or negative interest position
- Cash centre accounting is manual, weekly, therefore no through view from transaction to settlement.

3.2 Functional Summary

The following depicts the high level processes and information flows between these processes.



3.2.1 Overview

The specification of the requirement detailed in this document, including the descriptions of the new Branch Trading processes, where relevant and practical, have taken the following principles into account:

1. Flexibility should be provided for each Branch to manage their own affairs to fit with local requirements, subject to the retention of appropriate Post Office retail line and business monitoring and control measures.
2. The balancing of Stock Units at the branch, for the purposes of rolling-over to a new trading period, should take place on a monthly basis, instead of the current weekly process. Prior to completing the monthly balance, all discrepancies should be brought to account and all business settled. There should be flexibility within the balancing period to manage local branch affairs, including more frequent "interim" balancing if required at a local level. There should also be the opportunity to compare and/or balance, on a daily basis, the Horizon generated cash figure against physical cash held at the Branch (See 4).
3. As indicated in principle 2 above, the branch trading period should be a month according to a predefined (4-4-5 week) calendar. It is intended that the branch balance period should continue to end on a Wednesday. This schedule should be arranged to optimise the phasing of central support requirement for branch processes. This may mean that the schedules for branches may be offset, i.e. groups of branches will have different balancing schedules to smooth the support requirements. When branches are grouped and given a balancing and/or trading period end, this will remain consistent for each branch (i.e. it will be a Wednesday mid month every month, or it will be month end Wednesday every month) this will reduce the confusion in individual branches.

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

4. To support local branch management processes, there is a continuing requirement to declare physical cash holdings on a daily basis. Improved local branch reporting should be provided to cover individual Stock Unit positions and the overall branch position regarding:

- ☐ The Horizon generated cash position
- ☐ The cash position declared by branch office staff
- ☐ Any +/- variance between the generated and declared positions

This information should be provided to support local branch management and is not incorporated in central accounts.

5. At the end of each branch trading period (which will end on a Wednesday (on a 4-4-5 week basis), local branch management should be required to produce a Branch Trading Statement that will be comprised of:

- ☐ a simple summary of business aligned to the trading period that is expected to be printed on one A4 sheet of paper, subject to the number of Stock Units configured for the branch
- ☐ a summary of the branch stock in hand position reporting stock volumes held.

The statement should be generated, signed and retained at the branch to be available to support branch and retail line management processes. Horizon should notify Post Office central systems when the production of the statement has been completed at the branch. The Branch Trading Statement should report on the branch trading position at the end of each trading period once all Stock Units have been balanced and rolled-over to the next trading period. Completion of the statement should require confirmation by the local branch management that the position reported represents an accurate account of the branch position. Confirmation should be evidenced by production of a signed copy of the statement that should be retained at the branch. There is not a requirement to forward an electronic version of the statement to Post Office central systems.

6. It should be possible to obtain a report on a branch's trading position at any time within a trading period to help support effective branch management and retail line monitoring and control.
7. It is an objective to reduce requirements to produce daily and weekly reports at the branch to those required to support mandatory daily despatch processes, and to introduce greater flexibility for reporting and despatch requirements for all items that are not time critical and do not have to be despatched daily. Consideration should be given to aligning reporting requirements with the differing business needs of the various branch types, e.g. it may be practical for Directly Managed Branches to continue to despatch weekly whilst Rural Branches despatch monthly. The ideal future state would be that daily despatch should be restricted to time critical items such as cheques, application forms, etc only. It is recognised that the extent to which this principle can be realised by IMPACT will be constrained by client requirements and it is therefore recommended that it is carried forward for further consideration and action by the Post Office Sales & Marketing Product Re-Engineering Programme.
8. Processes concerned with checking and confirming stock holdings at the branch should be aligned to the monthly trading period. The completion of these processes should be a mandatory part of the process responsible for producing the end of period Branch Trading Statement.
9. Stock in hand held at the branch should be reported and managed by volume and not value until sold or there is reason to adjust the stock in hand figure, e.g. following detection of lost stock. When stock is sold or adjusted, the associated transaction will include the value of the sale or adjustment and this value will be reflected in the branch trading position and reflected in Post Office ledgers. The unit of measure for all stock reporting on Horizon will be the retail sales unit of measure, i.e. the units in which the stock is sold.
10. The existing differentiation between value and non value stock within Horizon should be removed. It is proposed that all stock handled by Horizon should be controlled, i.e. stock deliveries/dispatches to the branch should be remitted in and out.
11. Within the monthly trading period, branches should have facilities to identify and the flexibility to manage local variances between system generated and actual cash holding positions, in line with Principle 1 above. These variances will be identified through one of three mechanisms:
- ☐ A cash declaration (assume that the near-cash items cheques and foreign currency are included in this)
 - ☐ A stamp declaration
 - ☐ A stock check or declaration
 - ☐ Balancing the SU

All local variances identified at the branch must be actioned within the monthly trading period, i.e. Stock Units should not be allowed to roll-over at trading period end with an outstanding local variance. Prior to balancing the Stock Unit at period end, any outstanding variances should be forwarded to the branch manager/supervisor's Stock Unit as local suspense items that should be addressed locally at branch level before the branch rolls over into the next trading period.

12. By the end of a monthly trading period, branches should be required to make good discrepancies between Horizon generated cash and stock positions and the actual physical position determined by branch office staff. To help facilitate this, existing Horizon facilities that permit branch staff to post cash discrepancies to a cash suspense account will be removed. Remaining branch suspense accounts should only be used following prior authorisation via Post Office central processes and will be restricted to use by branch staff with Horizon manager/supervisor roles.

COMMERCIAL IN CONFIDENCE

Suspense values can be cleared in several ways, namely through:

- ☐ Suspense can be cleared to cash, causing a cash variance, which can then be made good
- ☐ Transaction Corrections forwarded to the branch via POL FS (previously known in their manual form as Error Notices) which create pre-defined transaction to clear suspense and move to the authorised product line
- ☐ Arrangement made for sub postmaster to pay via salary or credit card (handled via Transaction Corrections)

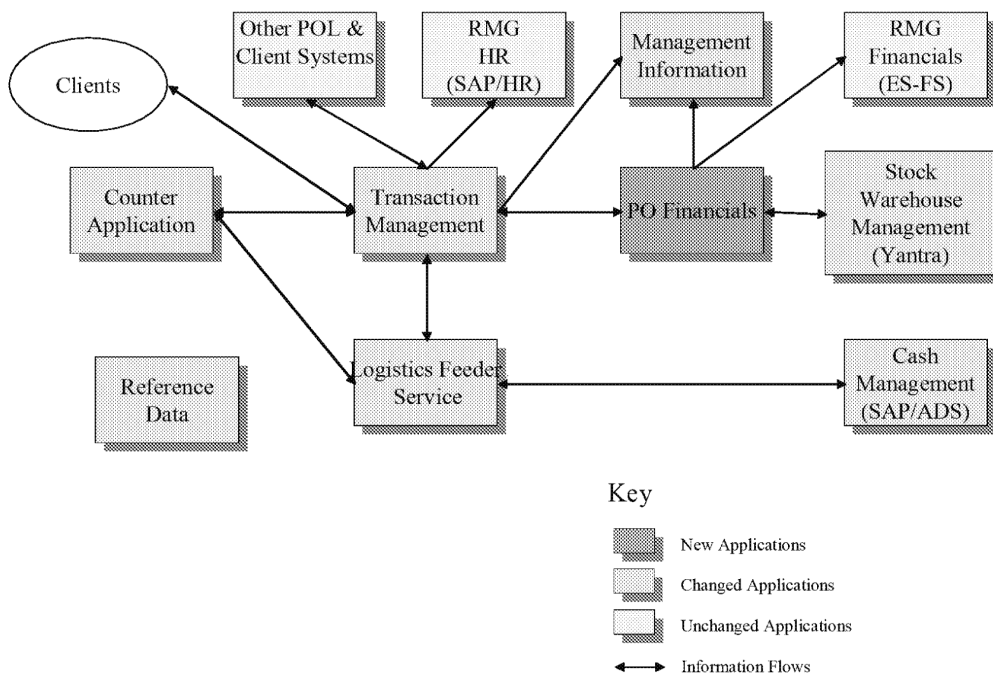
In Directly Managed Branches Managers or Supervisors will be able to clear values into central write off (posting should be handled via a new Horizon transaction)

This principle would remove the requirement for the use of vouchers to move losses into the centre. Consideration should be given to the use of this facility to replace the need for paper vouchers that are currently used in conjunction with TP to handle requirements such as re-imburement for postage costs.

13. Central accounting and control functions should operate from information based on the daily transaction stream delivered from the branch.
14. Reference data should be implemented more robustly to optimise the use of validation and range checks that are applied against transactions at the point of sale in the branch, helping to simplify existing central control processes. The objective is to identify potential errors more quickly, reduce discrepancies and improve the accuracy of branch accounting without introducing increases in main path Branch activities.
15. The capture of bulk data should not be linked to the production of the trading account and should be addressed, where practical, by daily processes to facilitate timely inclusion in Post Office ledgers.
16. The capture of non accounting data should not be linked to the production of the trading account and should be addressed, where practical, by periodic processes for data capture.
17. Additional data currently captured manually at the time of a transaction should, where practical, be captured and electronically reported via Horizon. It is recognised that the extent to which this principle can be realised by IMPACT may be constrained by client requirements and it is therefore recommended that it is carried forward for further consideration and action by the Post Office Sales & Marketing Product Re-Engineering Programme.
18. The manual Error Notice based process currently operated to handle variances identified centrally or at the branch should be automated using a Transaction Correction handling process controlled centrally via POL FS to help facilitate the clearing of discrepancies within a Branch Trading Statement period.
19. An enhanced Sales Report should be available to Branches to enable review of sales activities over a user specified period. For example, Agents should be able to produce a sales report covering a calendar month to help estimate their expected remuneration for the period. It is recognised that any such estimate would only be for guidance and would represent an approximation of the Agent entitlement.
20. It should not be possible to complete the production of the period end Branch Trading Statement until all items covered by dockets (e.g. Redeemed Savings Stamped, Redeemed Postal Orders, encashed benefit foils) have been cleared. This principle applies to items such as cheques, and consideration should be given to opportunities to automate the whole associated process, including cut off, dispatch and zeroing of volumes held on Horizon.
21. Consideration should be given to the introduction of improved processes that enable the removal of the need for using manual vouchers and error notices through the use of Transaction Corrections together with additional automation support.

3.3 Systems summary

The following diagram provides an overview of the end state architecture that has been specified by the IMPACT Programme:



3.4 Potential for Change

The design of the solution to these requirements should be based on a generic approach which will allow future additions to the functionality.

At the time of writing the most significant changes being considered by the business that may have an impact on this requirement are:

- Movement of central handling of stock of Foreign Exchange products from Hemel Hempstead stock centre to handling via Cash Centres, and any consequential requirements to manage Foreign Exchange stock like Cash.
- Implementation of a new stock management system within the Hemel Hempstead stock centre.

4 Constraints

4.1 Business & Functional

BT - 001	Fujitsu Services	Production of a balance report for a stock unit must be possible to be produced within 5 times the current production time for a stock unit with a busy transaction profile, long trading statement period
BT - 002	Fujitsu Services	Functionality not specifically identified to be changed within this document must not be affected to degrade the existing service provided by the Horizon system.
BT - 003	POL, Fujitsu Services, PRISM	Migration to POL-FS must occur at the end of a financial period.

4.2 Legal & Regulatory

BT - 004	POL	It will be verified that branch processes and reporting changes meet legal and regulatory financial reporting constraints (e.g. auditors) to ensure that there is sufficient information from the new system to support regulatory reporting, litigation and criminal prosecution.
----------	-----	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

4.3 Architectural Framework & Building Blocks

No Specific Requirements

4.3.1 Integration with Other Systems

No Specific Requirements

4.3.2 Post Office™ Strategic Direction

No Specific Requirements

4.3.3 Post Office™ Approved Technology

No Specific Requirements

4.3.4 Post Office™ Approved Components

No Specific Requirements

4.4 Fujitsu Services

It is required that simplification works be carried out to simplify the Horizon System architecture and eliminate reconciliation processes no longer required. The requirements are documented within Section 21, Appendix C. It is not required that these requirements are to be met within the same timescales as the other IMPACT requirements documented within this document.

4.5 Prism Alliance

4.6 Other Constraints

No Specific Requirements

Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

5 Design Principles

This conceptual design and the requirements identified within it have been developed in accordance with the design principles laid out within Section 3.2.1 of this document.

6 Functional Requirements

The Requirement Analysis activities that produced this Conceptual Design focussed on Post Office requirements associated with the 'Create/Verify Branch Trading Statement' and 'Summarise Transaction Data' sub-processes within the 'Accounts and Settlement' process, as depicted in the Functional Summary diagram in Section 3.3. Analysis and decomposition of these high level processes identified their underlying sub-processes. Where relevant to the scope of this work, these processes were decomposed further into their underlying processes. This analysis activity was repeated until an underlying process had been identified that could be performed by a single business role and for which further functional decomposition would provide no material benefit. The processes identified at the lowest level of functional decomposition were then further analysed to specify the logical procedural flows and interactions between business user and system roles. These procedural flows provide the requirement definition on which the counter dialogues will be constructed during the Solution Specification Stage.

The remainder of this section provides an overview of the high-level process areas that were studied during the Requirement Analysis activity. The results of the process analysis were used to construct a business process model that was captured in the Popkin System Architect modelling tool. The process diagrams for the decomposition of the processes, including the procedural flows, are reproduced in Section 8 below from outputs generated from the modelling tool. Section 9 contains a description of the information flows between the processes in the model and Section 10 contains the process descriptions.

6.1 Overview – Local Verification

The main purpose of the Local Verification function is to ensure the quality of the data being captured within Horizon by the Branch. This is to ensure that it reflects reality and is sufficient to feed the subsequent processing based upon it. This is an important part of the overall Branch Trading design, and has allowed other changes such as monthly account.

The three main functions within this area are:

- to validate the data captured, at the point of capture to ensure data accuracy
- to perform range checks on reported data, at a summary or sample level, to highlight areas for further investigation and potential corrective action
- to reconcile the data with other available sources i.e. client data.

The requirements discussions agreed Horizon currently has the functionality to verify data entered at the branch. The only change required will be to the ranges specified through reference data. This will then meet the objectives of controlling the quality of data captured at the branch.

It was agreed that functionality to perform range checks on data were not required at the branch. These will be provided by Management Information type reporting systems, which are not within the scope of this part of the IMPACT programme. These requirements are documented within the document, PO Ltd Financial Systems Release 3 Conceptual Design.

Much of this function currently takes place within Transaction Processing, so by moving these checks earlier in the chain, this should pro actively eliminate the errors. This will also reduce processing work throughout POL.

A review of system-based reconciliations has been made to identify those that support business requirements for managing data accuracy, and thus must be reproduced in new/enhanced systems, and those that can be eliminated by system redesign. These requirements are documented within the document, PO Ltd Financial Systems Release 3 Conceptual Design.

6.2 Overview – Other Data Capture

The purpose of the functions within Other Data Capture are to ensure that as much of the data that is captured at the Branch is communicated in the most efficient and effective manner. This will involve more data being transmitted electronically to recipients, for example POL Clients. This will also meet the programme objectives of simplifying the work required at the Branch.

The three main functions identified within this functional area are:

- to input non-accounting data, which is data regarding levels and proportions of various classes of transaction. This data does not have a financial effect but is required for further processing, often related to remuneration;
- to input bulk data, which is data generated from transactions that have been carried out through mechanisms other than Horizon terminals within branches, including Lotto terminals and ATMs;
- to capture additional data related to customer transactions which must be reported to the client, but which is currently captured manually at the point of transaction for example.

The requirements discussions concluded that the existing facilities for entering non-accounting and bulk data within the Horizon system will continue to meet the requirements to capturing such data.

The requirements analysis also identified opportunities, within the procedures for administering various products, to capture customer data at the point of transaction and reduce the post transaction processing of this data. However, it has been recognised that changing these procedures would require negotiations with the clients. As such this is best altered as part of the Product Re-engineering programme currently being implemented within Post Office Ltd. In spite of this being out of scope, the opportunities have been identified, and these have been taken into account when designing a generic Branch Trading process. Following further business as usual product re-engineering work, this should release additional benefits for POL.

6.3 Overview – Produce Reports

This functional area has the purpose of producing various reports from the data captured within Horizon. This allows data to be communicated directly from the branch to various sources. As part of the requirements analysis, the various product summaries that are produced on a daily or periodic (usually weekly) basis have been reviewed. Opportunities to eliminate the production of some of these summaries have been identified, though it has been recognised that such elimination would require negotiations with the POL clients. Again, this is part of the Product Re-engineering programme. Again, in spite of this being out of scope, this has been taken into account when designing the Branch Trading process, so additional benefits can be realised for POL. Where it has been possible to remove manual summaries and replace them with ones from Horizon, this has been taken.

This analysis considered requirements for improved control over dockets sent from the branch and identified that this would return little benefit over the existing cut-off mechanisms, which it was decided would remain unchanged. The analysis has also reviewed the content of other reports produced at the branch and revised the content of some of these reports to enhance the information they provide.

6.4 Overview – Daily Trading

The purpose of these functions is to support the Branch Managers in performing a regular (probably daily) set of processes to give them the information and controls to adequately manage their business. In reviewing this area the requirements study identified benefits from utilising the current daily cash declaration process. The cash declaration data compared to the system generated figures for cash, can be used as an indicator as to the likely state of balance within the Branch. This is based on the assumption that a cash variance/discrepancy would be the first and best place to identify a potential error.

The variances won't be reported centrally because they are local pieces of information, for the Branch to deal with. It was agreed that to report, monitor and control these would be too large a scale exercise for it to be beneficial. In particular, because the variances will be available for every Stock Unit. This report should be used as a flexible tool for Branches to make the best use to manage themselves on a day to day basis. This is particularly relevant within a longer trading period.

The requirements discussions identified requirements for a new report to be produced by the Horizon system, the Cash Variance Report. This report will summarise by day and by stock unit the following data for the Branch Manager:

- the system generated cash holdings
- the declared cash holdings, if made (indication will be shown when cash was not declared)
- any variances between these figures
- any values held in suspense
- the numbers of any outstanding Transactions Corrections (correction actions generated from the Post Office Ltd. accounts system).

This report will be produced and retained within the Branch, but can be reviewed by the Retail Line Manager and/or Auditors on visits. Again, these roles will view the report as an indicator as to whether or not the Branch Manager is effectively using the managerial controls available.

6.5 Overview – Produce Branch Accounts

This area of functions has the purpose of providing all of the mechanisms for the branch to produce a balanced set of accounts, which accurately reflect the result of all of the trading for the period. The requirements discussions agreed to move Branches from settling their accounts on a weekly basis, to a monthly basis. This recognises that the creation of regular Cash Variance Reports should provide the Branch Manager with the ability to manage the Branch on a day to day basis, within this extended period. It will also give an early indication of any potential errors in the accounts. Existing mechanisms to correct such errors will be available to be used within the accounting period (i.e. the Branch Manager will not have to wait till the end of the accounting period to make such corrections). With the data quality (verification) work discussed above, this should improve the transaction stream of data, potentially reduce errors, and hence simplify the overall branch trading (accounting) process.

The new Post Office Ltd accounting system (POL-Financial System (POL-FS)) will base its information directly on the daily stream of Transaction Data being provided by Horizon, rather than the current Cash Account summaries. There will no longer be a requirement for the branch accounts to be posted into the Post Office Ltd. Accounts systems.

A requirement will remain for branch accounts to be produced and on a regular basis (monthly on a Wednesday, on a 4-4-5 week basis) but they will be produced for local accounting purposes and so will be retained within the branch. Requirements were agreed to support the management of conformance to these requirements, by reporting the production (and non-production) of branch accounts to the Management Information system(s).

The analysis has also devised a new branch accounts report (Trading Statement Report) to ensure that it displays the required accounting information that the Branch Manager needs in a simpler more summarised format. The design has retained elements of the current balancing and accounting process which are simple and understood, but has attempted to rationalise processes to a degree. There has also been a separation of processes where there is no strict requirement for them to be finalised together. This should mean a more streamlined process, both daily and weekly.

6.6 Overview – Stock Control

This area identifies a group of functions that support the control of stock around the Post Office Ltd. business. In branch trading terms the functions have the purpose of providing appropriate information as to movements of stock items within the branch, whether through delivery (remittance in or out), sale or adjustment. The overall purpose of the Stock Control function is to ensure that the business has visibility of its stock holdings across the Post Office Network, to accurately account for that stock which is held on the balance sheet, and to effectively control all stock (whether balance sheet stock or not).

It has been agreed to remove the notions of value and non value stock, and just have Stock. This will bring effective system control to managing stock, and to remove the reporting of stock by value within the branch accounts and reports. In Branches stock will only be associated with a value when it is sold or adjusted; value indicated stamps are a notable exception to this. This will remove the need for stock revaluations; instead stock will simply be re-priced at the appropriate time.

6.7 Overview – Discrepancy Management

This area of functions has the purpose of providing mechanisms to make adjustments to branch accounts, to correct errors and ensure Branch accounts align with the Post Office Ltd. Accounts within POL-FS. Various mechanisms are available to identify errors that require adjustments, and the discrepancy management functions may be initiated from various places across the business. The main areas will be from within the Branch, from POL Clients or centrally via distributing electronic transaction corrections. These corrections will replace the current error notice processes and should not involve any manual paperwork or processing. They will be received and actioned via Horizon, and will be distributed more quickly, potentially only days after an error is recorded.

The analysis has also identified requirements to more tightly control and police the use of the suspense account within the branch accounts, only a limited subset of the existing suspense account products will be retained. The contractual requirements for agents to make good unknown errors in branch accounts will be used instead.

6.8 Overview – Transaction Management

This functional area has the purpose of summarising the data regarding transactions to the appropriate levels for onward communications to the central systems

The requirements discussions have identified the needs to support the various data feeds currently fed into, and out of, OpTIP and CBDB and to identify mechanisms for the acceptance, and delivery, of the information on those feeds by the replacement systems.

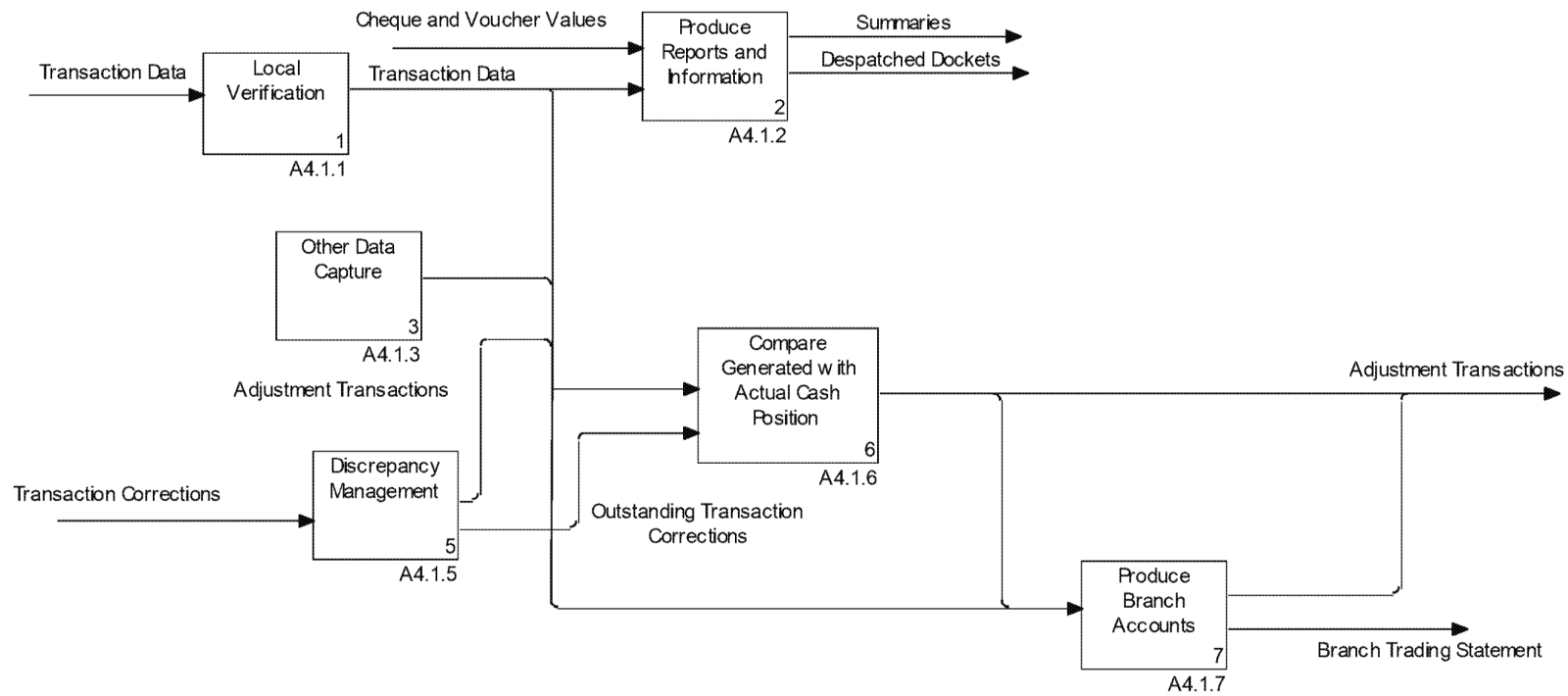
In doing this the analysis has identified all opportunities to eliminate future development and testing costs, within the transaction management systems. The opportunity to have cash centre transaction data automatically fed into the central systems is also to be realised via this mechanism.

7 Exclusions

A number of facilities or implementation methods are described in the overall requirements analysis. Post Office confirms that that the following items are not required in the Branch Trading Reporting, Management and Control and Transaction Management solution: -

	<i>Item</i>	<i>Comment</i>
1.	Management Information	It is confirmed that reporting of management information across transaction data, identifying trends and providing mechanisms to analyse transactional data is excluded from the scope of these requirements.
2.	Product Re-engineering	It is confirmed that, though many of the benefits sought through elimination of off-system data capture and reporting could be achieved by changing the way that this data is captured (on-system) that such changes are out of scope of these requirements. Since such changes would require negotiations with the clients for which these product are sold and so would best be altered as part of the Product Re-engineering programme.
3.	Stock Management	Opportunities for improving overall stock holdings stock replenishment processes have not been followed up as part of this project. Any such opportunities are assumed to be being followed up by the implementation of Yantra
4.	Bureau de Change handled through Cash Centres	There is a project currently considering the benefits of handling Bureau de Change stock products through cash centres. Any requirements related to making such changes are deemed out of scope of this project.
5.		

8.1.1 A4.1 Create / Verify Branch Trading Statement

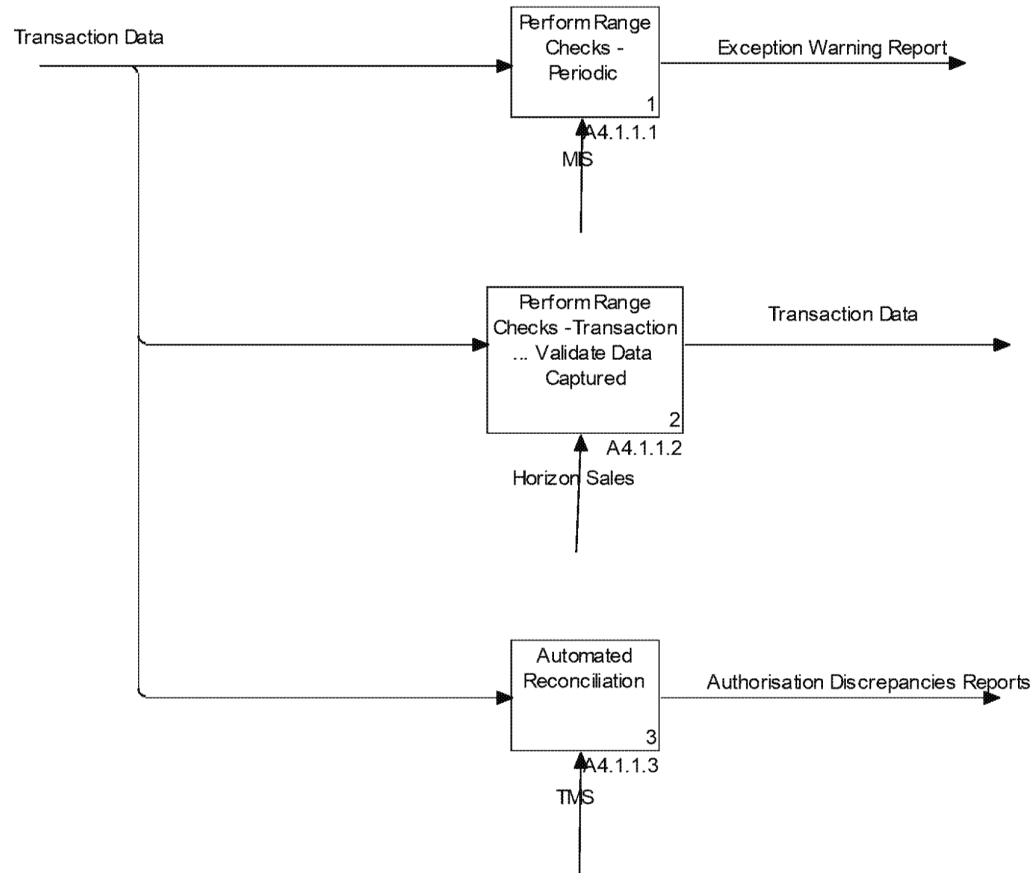


Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.2 A4.1.1 Local Verification

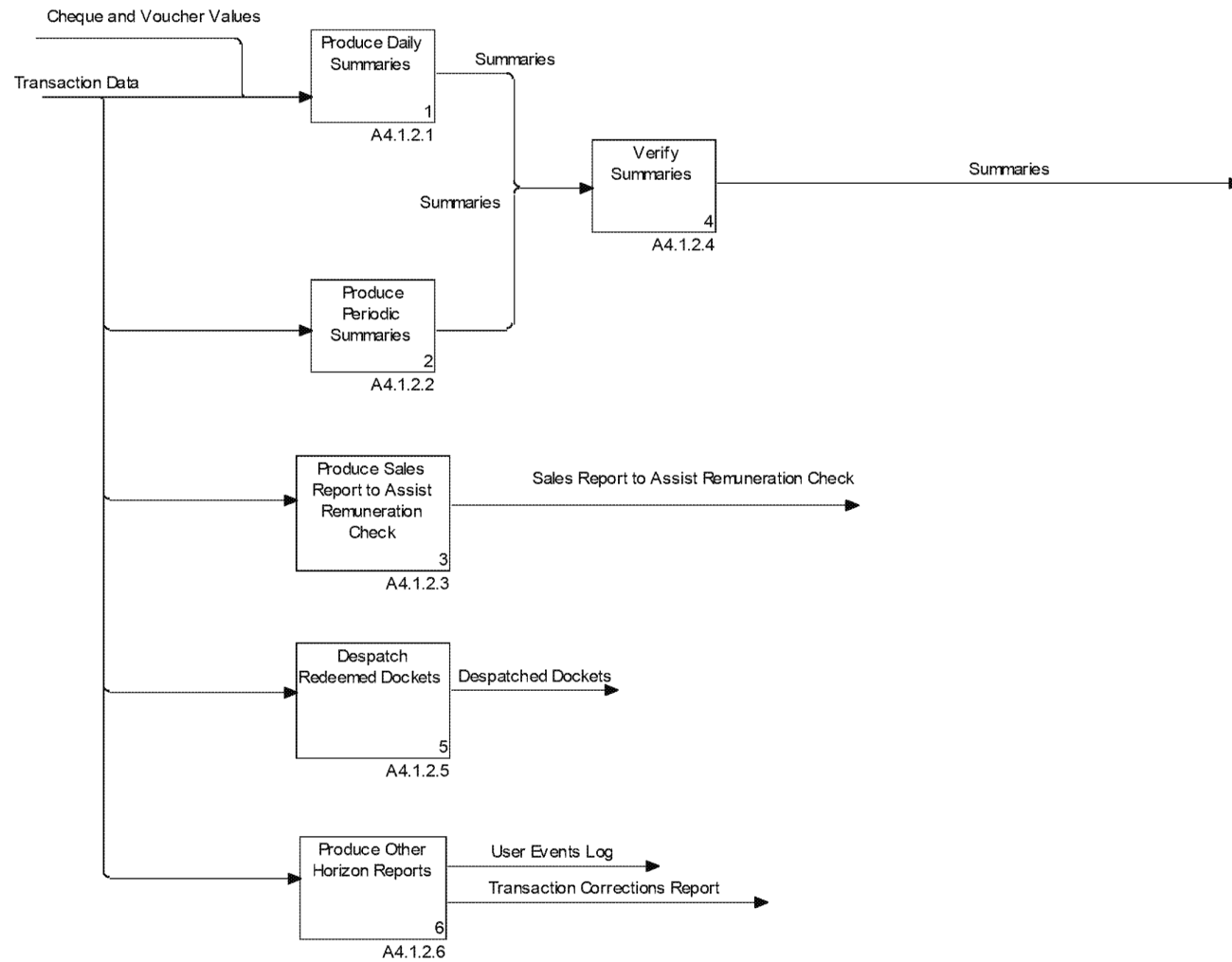


Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.3 A4.1.2 Produce Reports and Information

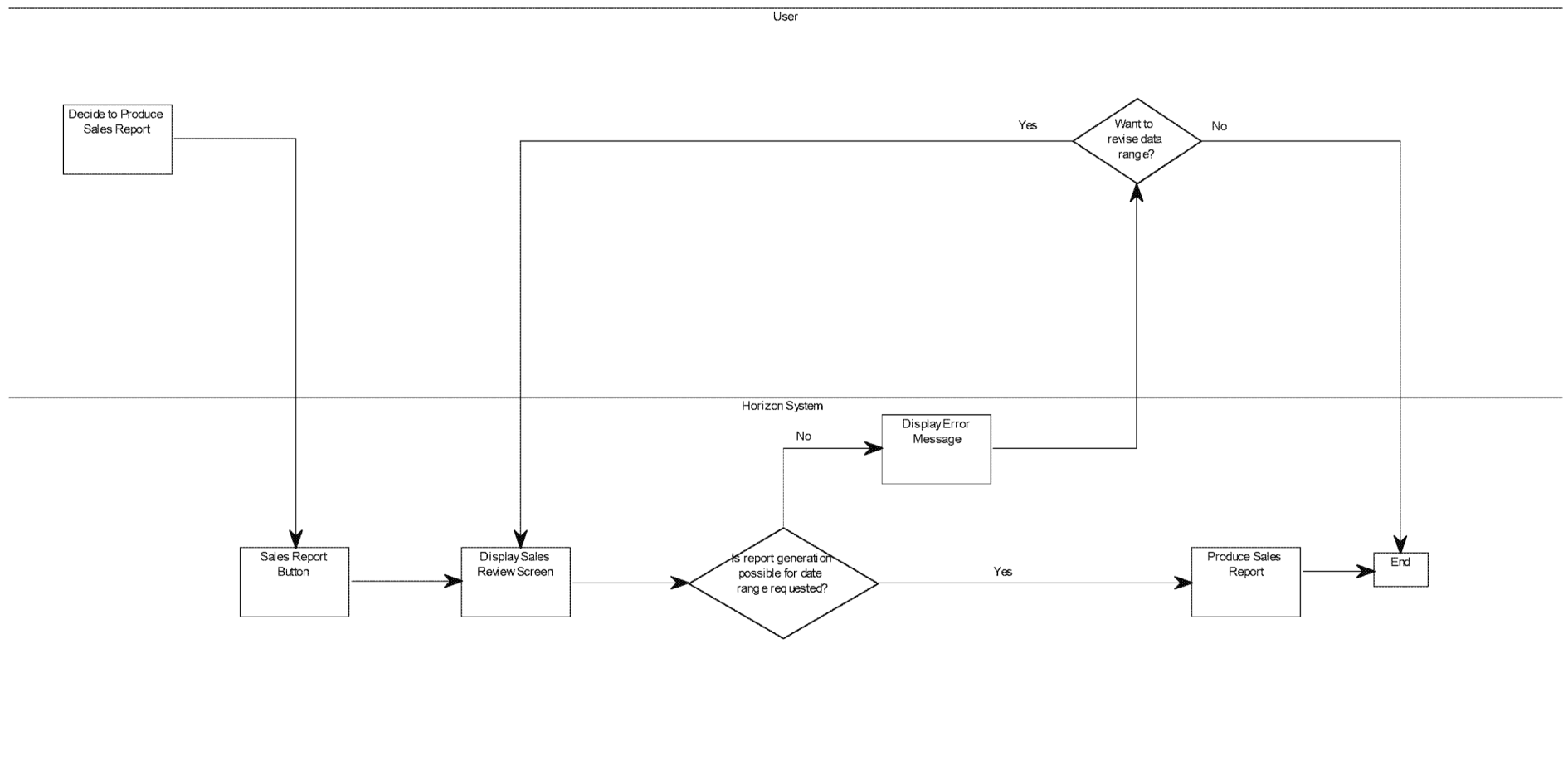


Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.4 A4.1.2.3 Produce Sales Report to Assist Remuneration Check

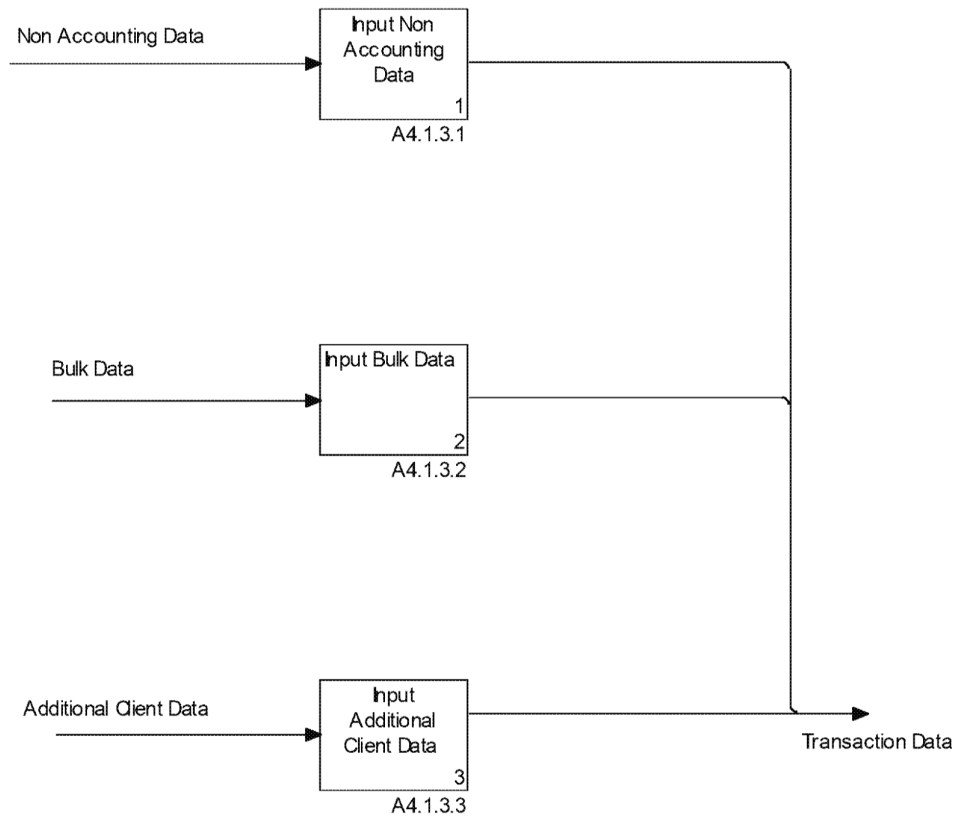


Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.5 A4.1.3 Other Data Capture

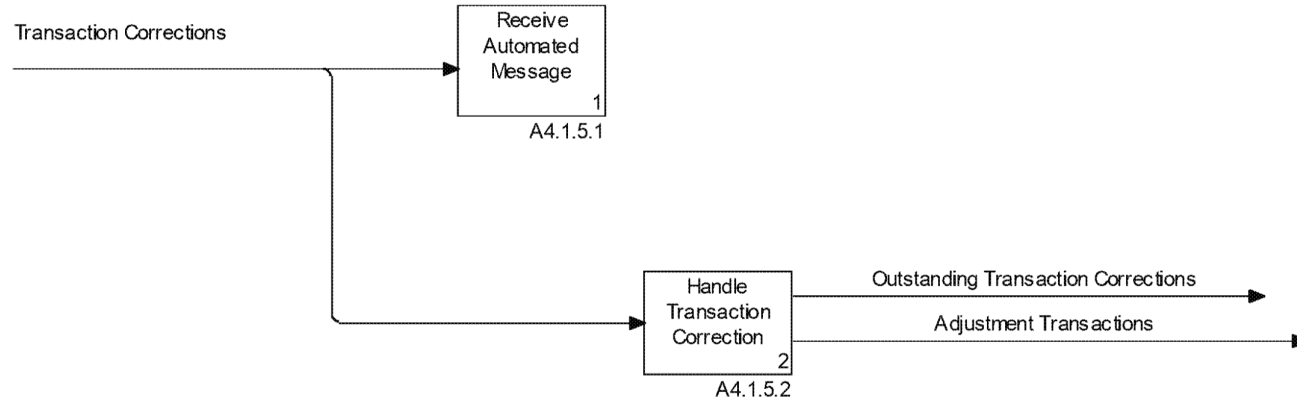


Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.6 A4.1.5 Discrepancy Management

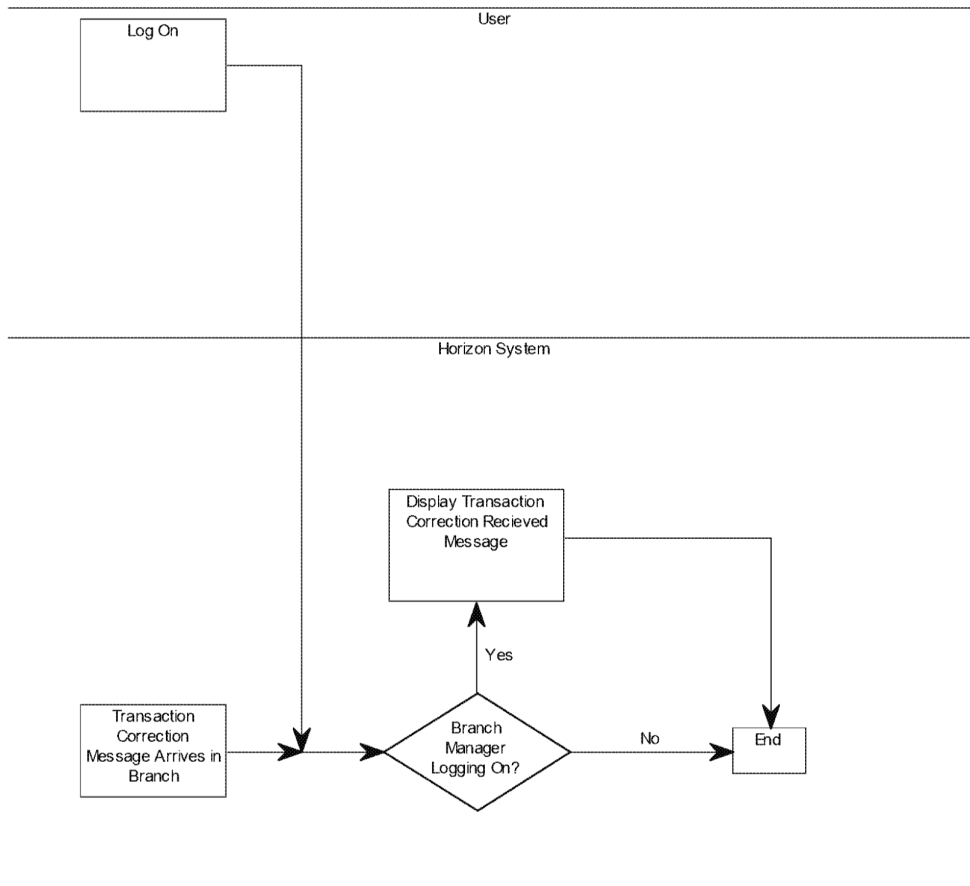


Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.7 A4.1.5.1 Receive Automated Message

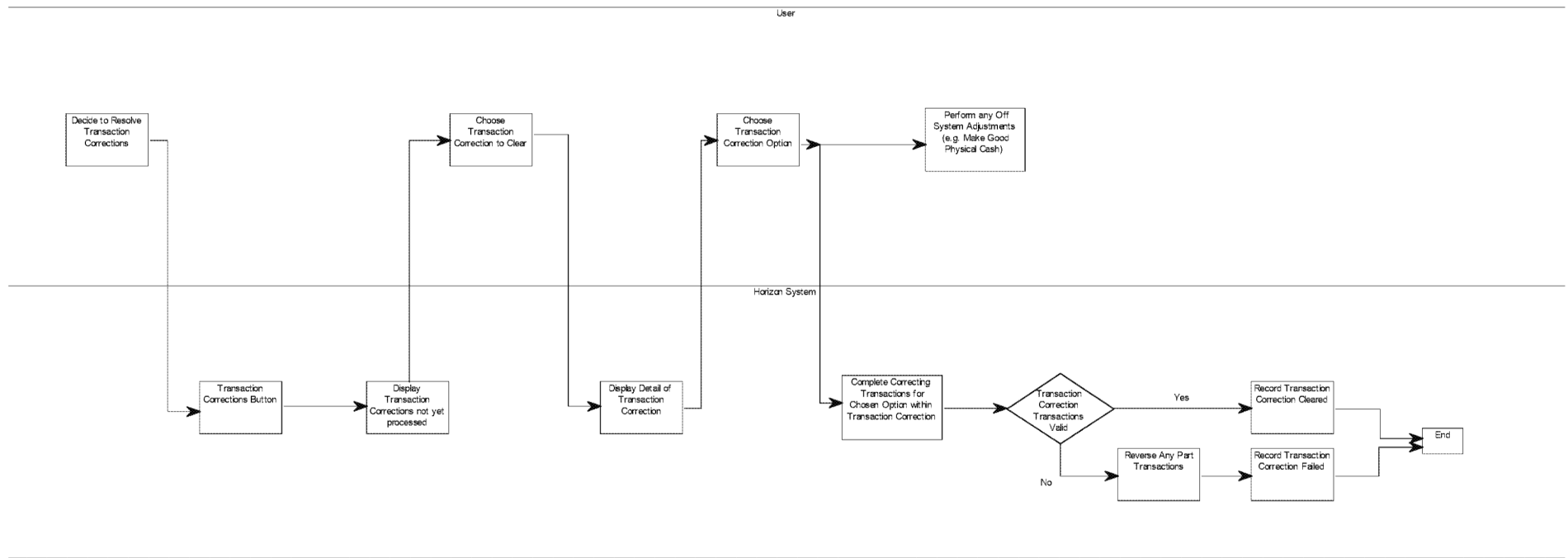


Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.8 A4.1.5.2 Handle Transaction Correction

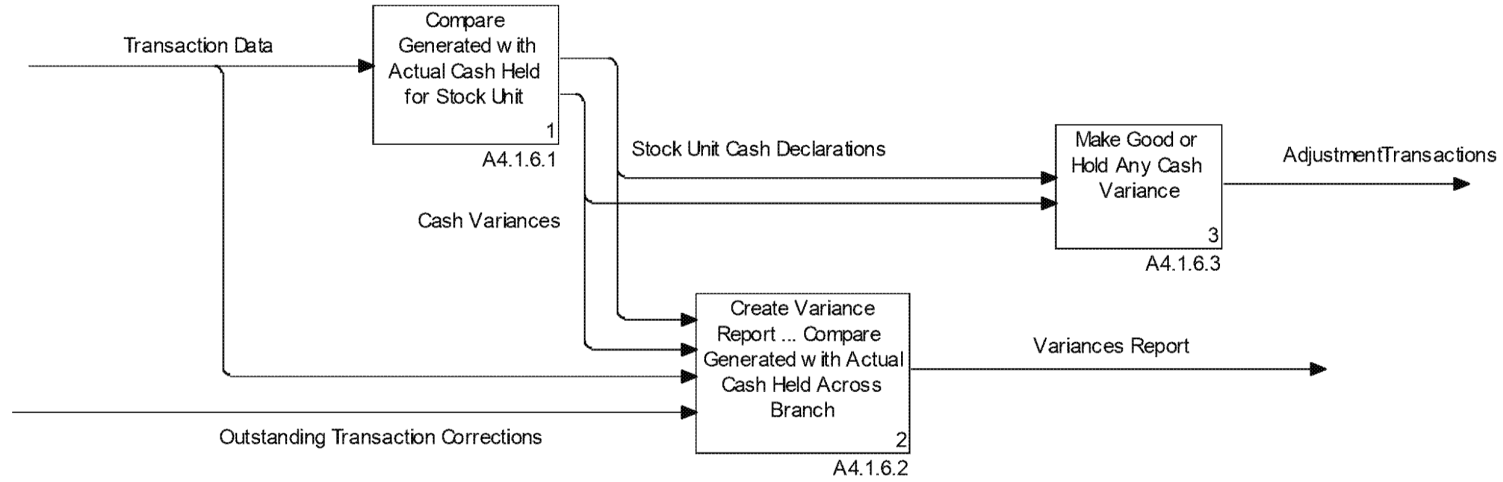


Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.9 A4.1.6 Compare Generated with Actual Cash Position

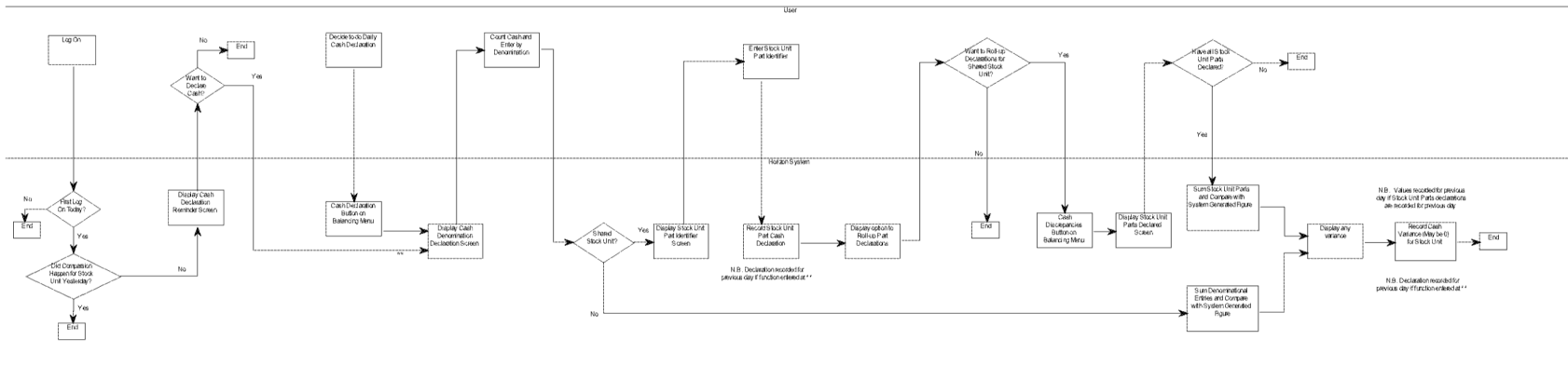


Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.10 A4.1.6.1 Compare Generated with Actual Cash Held for Stock Unit

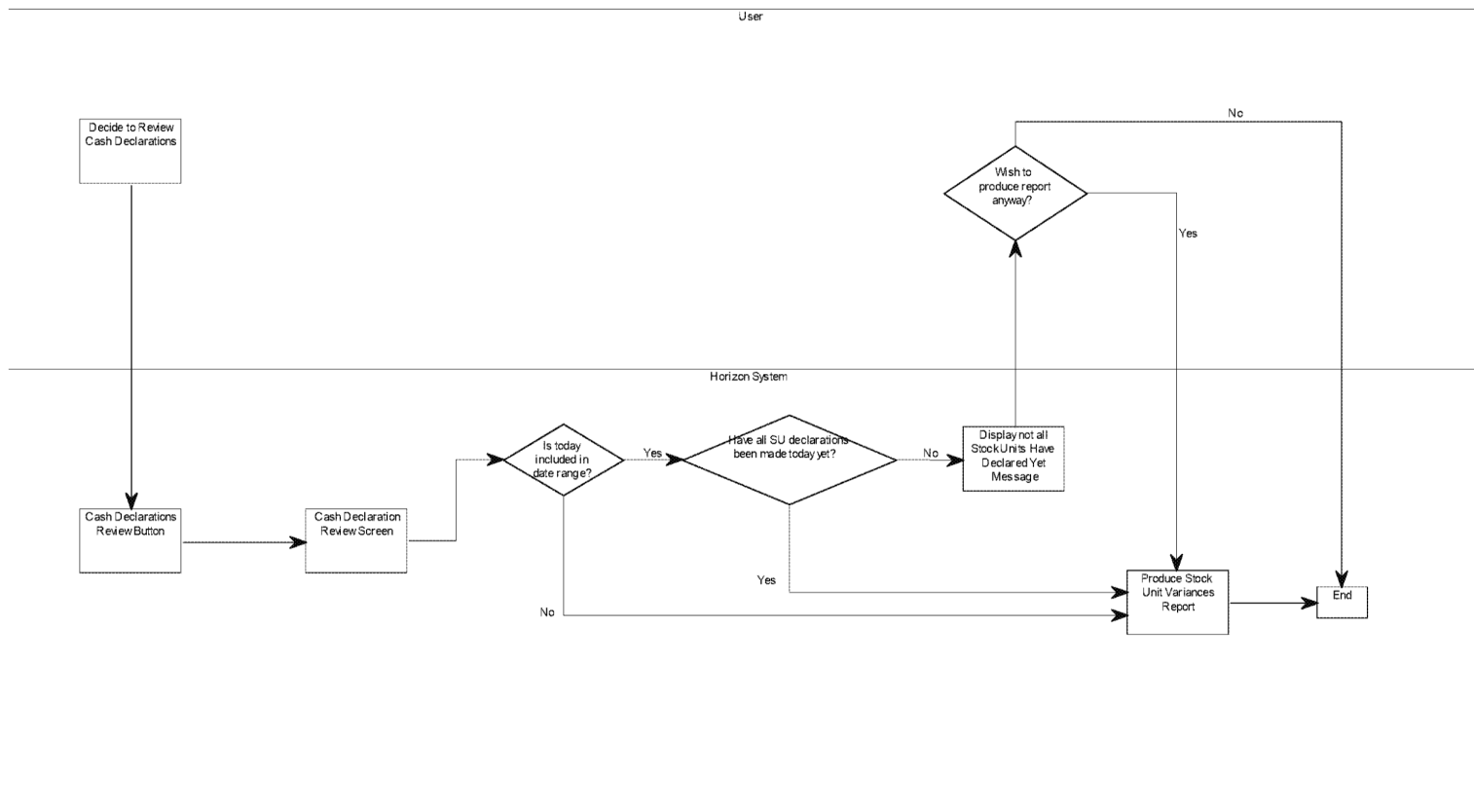


Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.11 A4.1.6.2 Create Variance Report ... Compare Generated with Actual Cash Held Across Branch

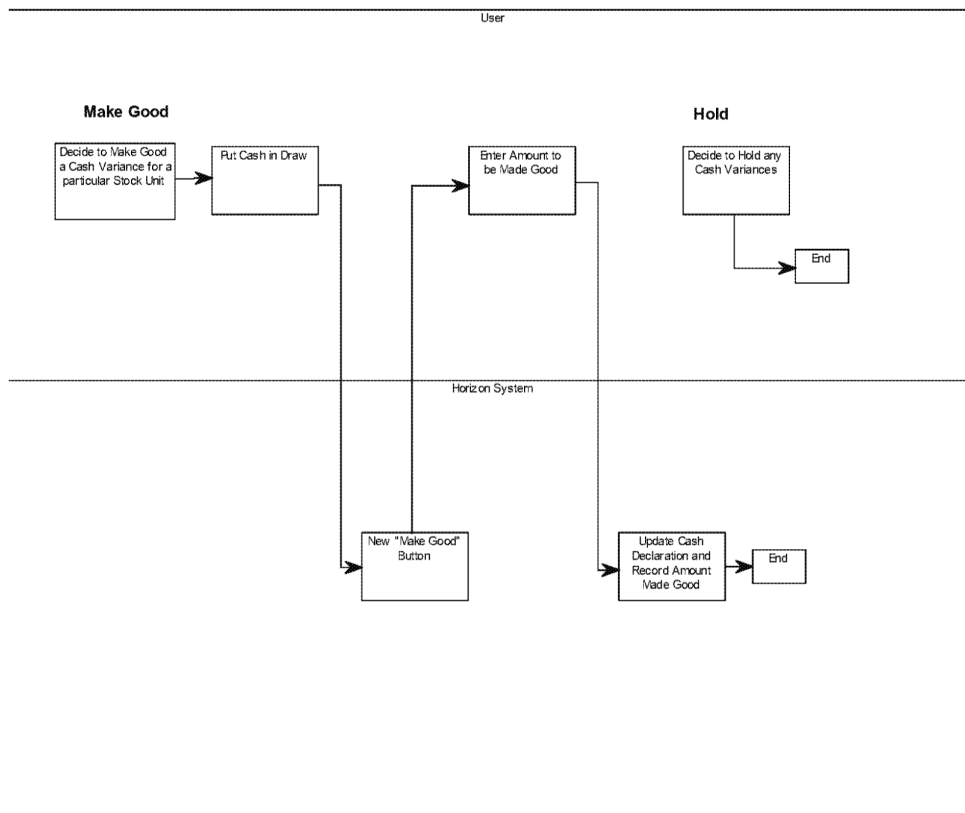


Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.12 A4.1.6.3 Make Good or Hold Any Cash Variance

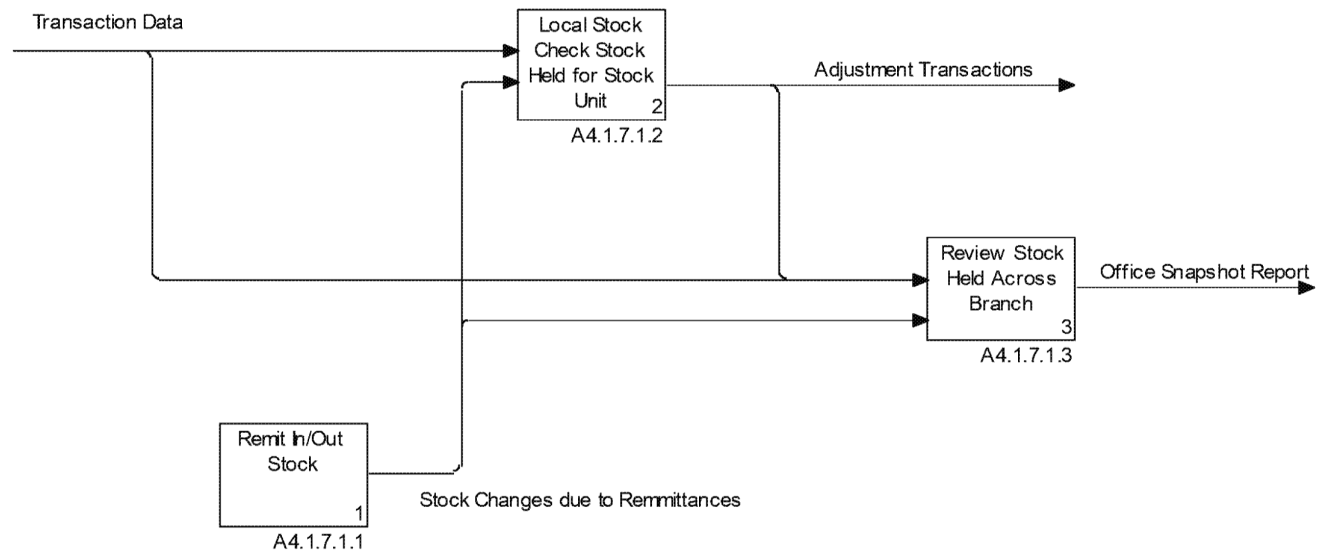


Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.14 A4.1.7.1 Stock Checking

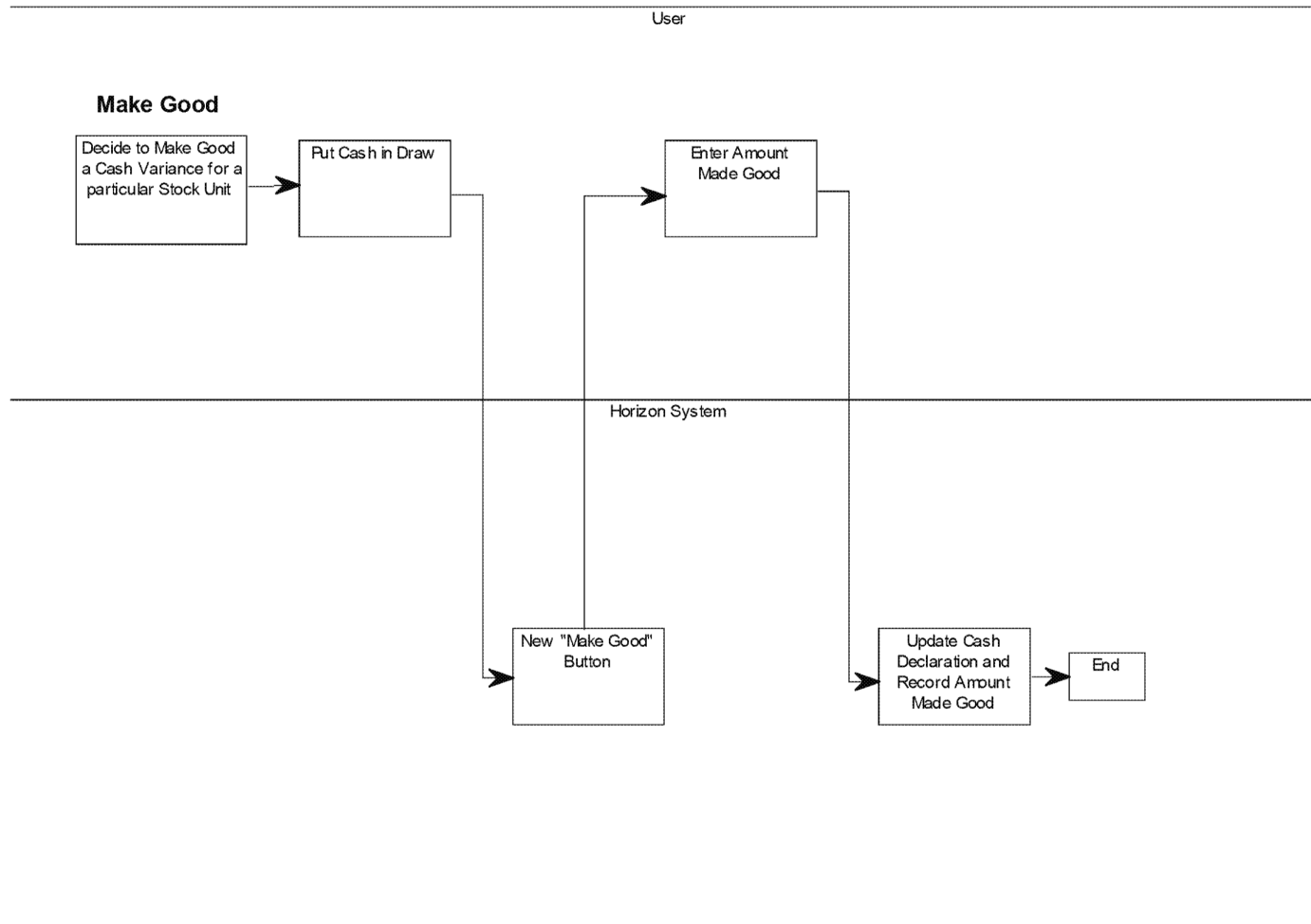


Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.15 A4.1.7.4 Make Good any Outstanding Variances

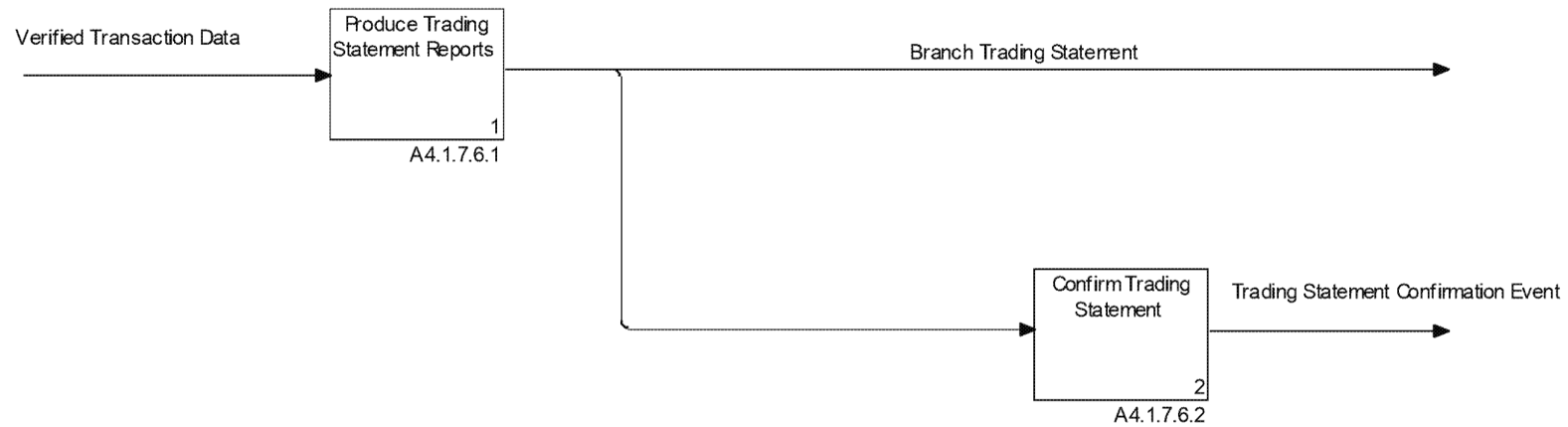


Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.16 A4.1.7.5 Produce and Confirm Trading Statement

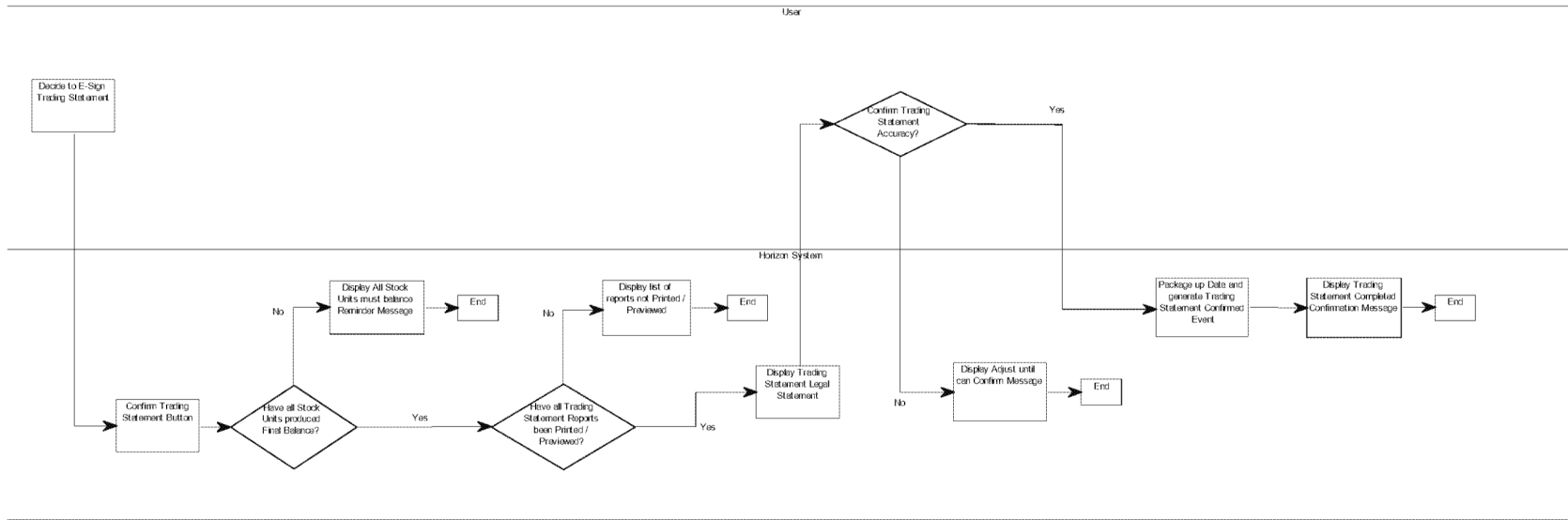


Doc Ref: BTRMC&TM-001

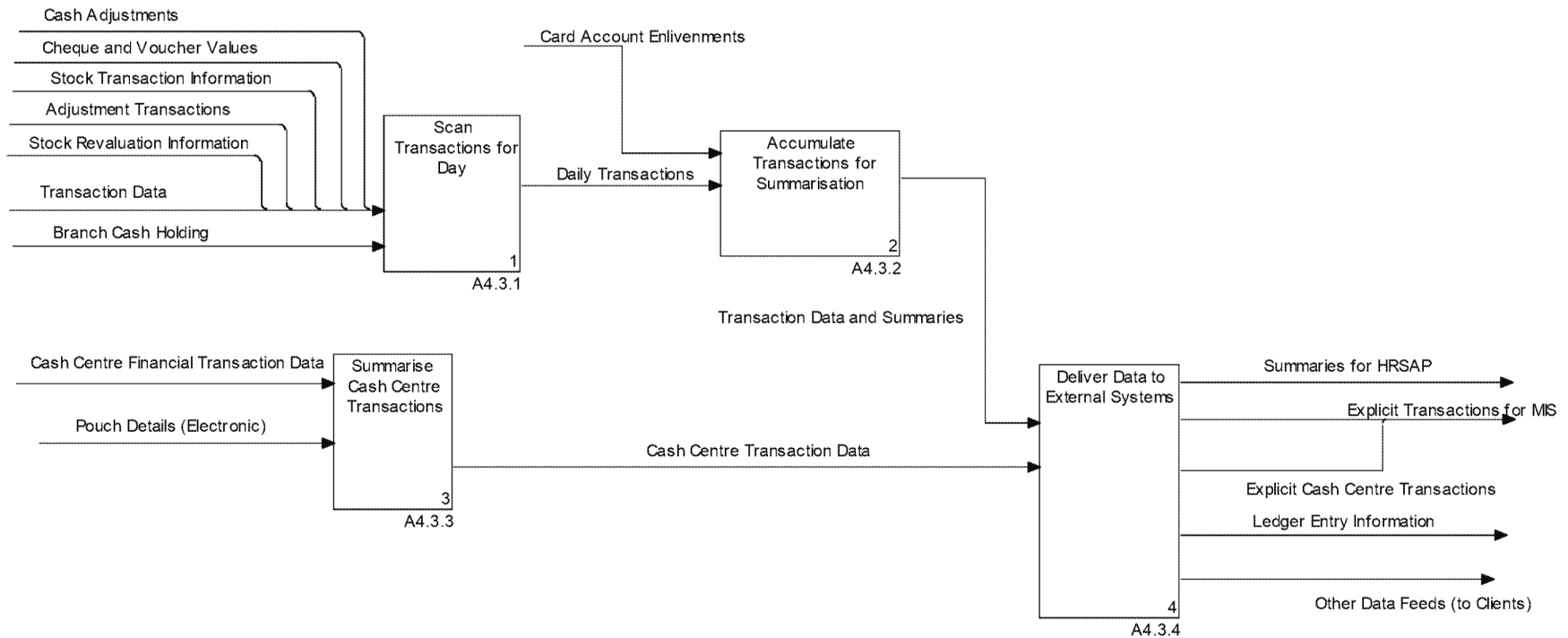
Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

8.1.17 A4.1.7.5.2 Confirm Trading Statement



8.2 A4.3 Summarise Transaction Data



9 Information Flows

9.1.1 Transaction Data

Attribute	Description
Description	This is the data stored as a result of conducting a transaction at a branch – both customer facing and non-customer facing (e.g. bulk input or Remittances) which have an impact on the position at the branch
Logical data items	<ul style="list-style-type: none">▪ Session ID▪ Transaction ID▪ User ID▪ Stock Unit▪ Trading Date▪ Date and Time▪ Product ID▪ Sale value▪ Sale quantity▪ Additional data items (where relevant)▪ Remittances Information (where relevant)▪ Transfer Information (where relevant)
Special requirements	None
Time constraint	All transactions conducted at the branch must be recorded at the end of a Session
Type of Object	Electronic records
Source	Horizon
Destination	TMS, Clients (where relevant) & MI

9.1.2 Cheque and Voucher Values

Attribute	Description
Description	This is a representation of those transactions associated with Cheques and Vouchers.
Logical data items	See Transaction Data (Section 9.1.1)
Special requirements	None
Time constraint	See Transaction Data (Section 9.1.1)
Type of Object	Electronic records
Source	Horizon
Destination	TMS & MI

9.1.3 Adjustment Transactions

Attribute	Description
Description	This is a representation of those transactions associated with Adjustments, either as a result of Transaction Corrections or as a result of resolution of variances in cash or stock levels.
Logical data items	See Transaction Data (Section 9.1.1)
Special requirements	None
Time constraint	See Transaction Data (Section 9.1.1)
Type of Object	Electronic records
Source	Horizon
Destination	TMS, POL-FS & MI

9.1.4 Summaries

Attribute	Description
Description	These are the printed outputs required to meet client and onward processing needs where an electronic data feed is not used, or when the branch wishes to retain locally.
Logical data items	<p>The logical data items vary from summary to summary but will follow the general pattern of:</p> <ul style="list-style-type: none"> ▪ Header ▪ Product/client name ▪ FAD code/name ▪ For each transaction: <ul style="list-style-type: none"> ▪ Transaction number ▪ Transaction additional data (e.g. reference number) ▪ Value ▪ Total value of transactions <p>Note there is no change proposed in this area.</p>
Special requirements	None
Time constraint	To be produce in accordance with Branch Processes
Type of Object	Printed output or manual forms
Source	Horizon or the Branch
Destination	Clients, Other Processing Agents, Branch or TP

9.1.5 Despatched Dockets

Attribute	Description
Description	<p>These are the physical dockets and the details of their contents which are sent out of the branch.</p> <p>There are two flows here:</p> <ul style="list-style-type: none"> ▪ The Physical Dockets and any control report sent with them. ▪ The electronic record sent indicating that the dockets have been sent out

Doc Ref: BTRMC&TM-001

Conceptual Design

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

Attribute	Description
Logical data items	<ul style="list-style-type: none">▪ Header▪ Product/client name▪ FAD code/name For each transaction: <ul style="list-style-type: none">▪ Transaction number▪ Transaction additional data (e.g. reference number)▪ Value Total value of transactions including physical dockets/vouchers. As current information flow, no change required.
Special requirements	None
Time constraint	Dependant on business procedures for clearing dockets from the branch, which may be based on client requirements.
Type of Object	Physical vouchers and either electronic file or printed output
Source	Horizon
Destination	TMS & MI

9.1.6 Transaction Corrections

Attribute	Description
Description	These are the Transaction Corrections which have been generated by POL-FS for the automatic correcting of a branch accounts
Logical data items	The TC will define the number of buttons to be displayed and the set of Transactions to be processed for each button and the text to be displayed to the Branch Manager (and similar roles defined in the process description for "Receive Automated Message (A4.1.5.1)"). For further information see document, POL Finance Systems to TMS / Horizon Transactional Corrections Interface Specification.
Special requirements	None
Time constraint	Should be delivered overnight from POL-FS
Type of Object	Electronic records
Source	POL-FS
Destination	Horizon (multiple flows – initially one to TMS and subsequently a second flow from TMS to the Branch.

9.1.7 Trial Balance Report

Attribute	Description
Description	This is the report produced whenever a user decides to balance a stock unit for the end of a balance period or trading period. The report identifies trading position, cash and stock holding and any discrepancies, which must be investigated and corrected before the Stock Unit can be balanced.
Logical data items	See Section 20.8 in Appendix B
Special requirements	None
Time constraint	None
Type of Object	printed output
Source	Horizon
Destination	For retention in the Branch

BT - 006	Fujitsu Services	A new trial balance report will be produced, the content and format of which will be as specified in Appendix B of this document
----------	------------------	----------------------------------------------------------------------------------------------------------------------------------

9.1.8 Final Balance Report

Attribute	Description
Description	This is the report produced whenever a user rolls over the balance of a Stock Unit for the end of a balance period or trading period. The report identifies trading position, cash and stock holding and adjustments.
Logical data items	See Section 20.8 in Appendix B
Special requirements	None
Time constraint	None
Type of Object	printed output
Source	Horizon
Destination	For retention in the Branch

BT - 007	Fujitsu Services	The content and format of trial and final balance reports will be altered as specified in Appendix B of this document
----------	------------------	-----------------------------------------------------------------------------------------------------------------------

9.1.9 Branch Trading Statement

Attribute	Description
Description	This is the report produced at the end of each monthly accounting period to reflect the branch's trading position for that period.
Logical data items	See Appendix B (20.1 & 0)
Special requirements	None
Time constraint	Monthly
Type of Object	printed output
Source	Horizon
Destination	For retention in the Branch

BT - 008	Fujitsu Services	A new trading statement report will be produced, the content and format of which will be as specified in Appendix B of this document
----------	------------------	--------------------------------------------------------------------------------------------------------------------------------------

9.1.10 Trading Statement Confirmation Event

Attribute	Description
Description	This is the event notification from the branch that a branch trading statement has been produced.
Logical data items	<ul style="list-style-type: none">• FAD Code• Date• Time• User• Trading Statement Completed Indicator For further information see document, Horizon to POL Data Warehouse AIS
Special requirements	None
Time constraint	Monthly
Type of Object	Electronic record
Source	Horizon
Destination	MI

9.1.11 Sales Report to Assist Remuneration Check

Attribute	Description
Description	This report will provide the outlet manager with sales information, which can be used for various reasons including to calculate/check remuneration. Excludes current day and any period for which Horizon does not have transaction data.
Logical data items	Current sales report should remain with additional functionality to allow date range request for information (see Section 20.4)
Special requirements	None
Time constraint	On user request, likely to be at least monthly
Type of Object	Printed output
Source	Horizon
Destination	Branch

9.1.12 Non Accounting Data

Attribute	Description
Description	<p>This is information about transactions which are not captured at the point of sale and is used to generate non-accounting Transactions so that the information is available for Post Master Remuneration etc.</p> <p>This information may not affect the branch accounts but may affect settlement or remuneration processes.</p> <p>There are no changes proposed in this area with respect to the data captured and the controls around capturing this data at trading period end. However, it is anticipated that business procedures will be written for this data to be entered more frequently than trading period end processing.</p>
Logical data items	Manual records used to update Horizon.

Doc Ref: BTRMC&TM-001

Conceptual Design

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

Attribute	Description
Special requirements	None
Time constraint	As described by business procedures, at least monthly before Trading Statement processing can be completed.
Type of Object	Manual records
Source	User entered
Destination	Horizon

9.1.13 Bulk Data

Attribute	Description
Description	<p>These are summary transaction details relating to transactions that are captured at the point of sale using third party equipment. Information required for accounting, settlement and remuneration purposes.</p> <p>There are no changes proposed in this area with respect to the data captured and the controls around capturing this data at trading period end. However, it is anticipated that business procedures will be written for this data to be entered more frequently than trading period end processing.</p>
Logical data items	Manual records used to update Horizon
Special requirements	None
Time constraint	As described by business procedures, at least monthly before Trading Statement processing can be completed.
Type of Object	Manual records
Source	User entered
Destination	Horizon

9.1.14 Additional Client Data

Attribute	Description
Description	<p>This is additional data that is to be associated with a Transaction for passing on to a Client using the AP ADC functionality or by some manual process.</p> <p>There are no changes proposed in this area with respect to the data captured and the controls around capturing this data at trading period end. However, it is anticipated that business procedures will be written for this data to be entered more frequently than trading period end processing.</p>
Logical data items	Various – Client specific
Special requirements	None
Time constraint	As described by business procedures, may be based on client requirements.
Type of Object	Paper supporting documents or application forms
Source	Paper documents
Destination	Clients

9.1.15 Stock Unit Cash Declarations

Attribute	Description
Description	This is the result of the actual cash figures entered into the system by: denomination and calculated total
Logical data items	For each declaration: <ul style="list-style-type: none"> • User ID • Stock Unit • Declaration Date • Date / Time • Till ID (if in a Shared Stock Unit) • Variance Adjustments (if applicable) For each denomination: <ul style="list-style-type: none"> • Value Total (calculated from denominations)
Special requirements	None
Time constraint	Daily at end of day
Type of Object	Electronic record
Source	Horizon
Destination	Horizon

9.1.16 Cash Variances

Attribute	Description
Description	These are the differences between the system generated total figure and the cumulative total of the actual cash figures entered by the user within a Stock Unit.
Logical data items	For each Stock Unit: <ul style="list-style-type: none"> • User ID • Stock Unit • Date / Time • Variance value • Declared Value
Special requirements	None
Time constraint	If invoked to be completed by End of Day or first thing the next morning as part of the log-on process.
Type of Object	Electronic record
Source	Horizon
Destination	Reported locally in Branch

9.1.17 Stock Revaluation Information

Attribute	Description
Description	Information about stock which is to be revalued.
Logical data items	<ul style="list-style-type: none"> ▪ Product Id ▪ Changes to Value ▪ Effective date of change
Special requirements	None

Attribute	Description
Time constraint	Must be available on the day of revaluation, is usually provided to give reminders of revaluation for 4 days before revaluation.
Type of Object	Electronic Record
Source	Reference Data
Destination	Horizon

9.1.18 Cash Centre Financial Transaction Data

Attribute	Description
Description	<p>Daily feed of Cash Centre summary and transaction details. The S80 SAPADS – POLFS interface will be based on the S60 interface. Client transactions (e.g. giro change) need to be captured at the individual level. The detailed records will have a Client Id and Transaction Time added, but will otherwise be the same as the S60 AIS.</p> <p>The file will contain all activity in cash centres that have a financial effect on PO Ltd.</p> <p>For further information see document, SAPADS to POL FS Application Interface Specification.</p>
Logical data items	<ul style="list-style-type: none">▪ Cash (£ and Foreign exchange) & Bank balances▪ Transactions initiated in cash centre & completed in liquidity team managed bank accounts▪ Cash (£ and Foreign exchange) Remittance in/out data.▪ NI Cheques remittances▪ Write offs and adjustments
Special requirements	None
Time constraint	Target delivery time to TMS = 4.00am, daily.
Type of Object	Electronic Records
Source	SAP ADS
Destination	TMS & POL FS.

9.1.19 Ledger Entry Information (Horizon Outlets)

Attribute	Description
Description	The files will contain all Horizon outlet activity that has an impact on the financial ledgers or the stock quantities.
Logical data items	<ul style="list-style-type: none">▪ Movements in Cash/near cash in hand▪ Sales of stock items quantity and value▪ Client transactions number and value▪ Remittance in and out of cash/near cash and stock▪ Adjustment/suspense item values

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Attribute	Description
Special requirements	The link between the Horizon definitions of client products and the POL FS definitions of materials, clients will be controlled using Type A reference data.
Time constraint	File must be received & processed by 07:30 on day B where day A = Trading day
Type of Object	Electronic records
Source	TMS
Destination	POLFS

9.1.20 Ledger Entry Information (Cash Centres)

Attribute	Description
Description	Daily feed of Cash Centre summary and transaction details, as provided by SAPADS to the TMS (no further summarisation is applied).
Logical data items	It is assumed that the flow defined within Section 9.1.18 is passed on to POL-FS, unchanged. For further information see that definition.
Special requirements	None
Time constraint	File must be received & processed by 07:30 on day B where day A = Trading day
Type of Object	Electronic files
Source	TMS
Destination	POLFS

9.1.21 Explicit Transactions

Attribute	Description
Description	The TMS will provide the MIS with explicit Horizon transaction details on a daily basis.
Logical data items	<ul style="list-style-type: none"> ▪ Horizon transactions <p>The data items/file structure will be detailed in the TMS-MIS AIS [being produced by PRISM]. The data is as provided by the existing OpTIP interface, with additional data related to Banking, ETU, Debit Card and Bureau de Change transactions.</p> <p>All events, currently passed to OpTIP, to be passed plus the following:</p> <ul style="list-style-type: none"> ▪ Variance Report Produced ▪ Cash Made Good (or excess cash withdrawn) ▪ User Prompted about Outstanding Transaction Corrections ▪ Trading Report Produced
Special requirements	None
Time constraint	Must be available to the MIS by 3:00am, daily.
Type of Object	Electronic records
Source	TMS
Destination	MIS

9.1.22 Explicit Cash Centre Transactions

Attribute	Description
Description	Cash Centre transactions for external clients reported from the SAPADS to TMS interface.
Logical data items	Transaction details to include: <ul style="list-style-type: none">▪ Transaction Date▪ Transaction Time?▪ Cash Centre (FAD)▪ Client▪ Product/Service▪ Amount▪ Quantity
Special requirements	None
Time constraint	Must be available to the MIS by 5:00 am, daily
Type of Object	Electronic records
Source	TMS
Destination	MIS

9.1.23 Summaries for HRSAP

Attribute	Description
Description	Remuneration data for HRSAP, based on sales transactions carried out at Horizon outlets.
Logical data items	For the period being processed (previous month) <ul style="list-style-type: none">▪ Outlet▪ CTT▪ Total Value▪ Total Volume Products to be included, and associated Product/CTT mappings, will be defined in Reference Data. Details to be provided by PRISM in the TMS – HRSAP AIS.
Special requirements	None
Time constraint	There are two calendars <ul style="list-style-type: none">▪ The periods for which data is summarised▪ The date on which such summaries should be sent to HRSAP. Both will be defined in Ref Data
Type of Object	Electronic records, CSV file
Source	TMS
Destination	HRSAP

9.1.24 Card Account Enlivenments

Attribute	Description
Description	Details of Card Accounts activated in a Calendar Month (by the customer making an initial transaction).
Logical data items	<ul style="list-style-type: none">Calendar MonthOutletVolume
Special requirements	None
Time constraint	File received from EDS by the 3rd of the month.
Type of Object	Electronic records, CSV file
Source	EDS (via POL currently)
Destination	TMS

9.1.25 Client Transaction Summary (CTS)

Attribute	Description
Description	<p>The client summary report is currently a daily interface into OpTIP which reports the value and volume of the AP client data.</p> <p>In order for Client Settlements and the client to have a consistent view of the settlement required each day the information which is currently sent to OpTIP must be sent to the client settlements team daily.</p>
Logical data items	<p>Transaction details (as per current file)</p> <ul style="list-style-type: none">Record Type IdentifierClient Identifier CodeVersion Number of Client IdentifierItem IdVersion Number of ItemClient Trading DateTotal Number of TransactionsTotal Value of Transactions
Special requirements	None
Time constraint	Daily, to be available by 07.30
Type of Object	Electronic records
Source	TMS
Destination	POL (Client Settlement Team)

9.1.26 User Events Log

Attribute	Description
Description	A report of User events that have happened within the Horizon System
Logical data items	As current but additionally; make good adjustments, doing the branch trading statement, viewing/producing cash variance report and displaying reminders that there are outstanding transaction corrections.
Special requirements	None
Time constraint	None
Type of Object	Physical Report
Source	Horizon
Destination	Branch

9.1.27 Variances Report

Attribute	Description
Description	A report of cash holdings, by Stock Unit, identifying any variances between the system derived cash position and the physical cash position.
Logical data items	System derived cash holding Declared cash holding Variance between the two above Values in suspense accounts Number of Outstanding Transaction Corrections Branch Totals
Special requirements	None
Time constraint	None
Type of Object	Physical Report
Source	Horizon
Destination	For retention in the Branch

BT - 009	Fujitsu Services	A new variances report will be produced, the content and format of which will be as specified in Section 20.2 in Appendix B of this document
----------	------------------	----------------------------------------------------------------------------------------------------------------------------------------------

9.1.28 Authorisation Discrepancies Reports

Attribute	Description
Description	Reports currently produced to identify potential reconciliation errors across the Network Banking service.
Logical data items	As currently defined for reports N101 and N102 It is assumed that the report N103 will no longer be required.
Special requirements	None
Time constraint	None
Type of Object	Physical Reports
Source	Horizon
Destination	Finance

BT - 062	Fujitsu Services	The NB103 DRS reconciliation reports will be eliminated.
----------	------------------	----------------------------------------------------------

9.1.29 Transaction Corrections Report

Attribute	Description
Description	Reports providing details of Transaction Corrections Process and Outstanding Transaction Corrections.
Logical data items	Transaction Correction Reference Transaction Correction Status Affected Product Settlement Product Amounts Allowed Options Description Date Issued For further information see Section 20.3 in Appendix B
Special requirements	None
Time constraint	None
Type of Object	Physical Report
Source	Horizon
Destination	To be retained in branch

BT - 065	Fujitsu Services	A new Transaction Corrections report will be produced, the content and format of which will be as specified in Section 20.3 in Appendix B of this document
----------	------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------

10 Business Processes

10.1 Main Business Processes

10.1.1 Local Verification

1. Perform Transaction Checks – Periodic
2. Perform Range Checks – Transaction ... Validate Data Captured
3. Automated Reconciliation

10.1.1.1 Perform Transaction Checks – Periodic (A4.1.1.1)

Attribute	Description
Description	Compare transactions on a periodic basis (driven by the data warehouse parameters) with set ranges (to be specified at product level) to give warnings of unusual transaction activity. This is a central function (probably performed within MI systems) not operated at the Branch
Trigger	Reports will be produced within Management Information systems on an ad-hoc or predefined periodic basis.
Automation	The Management Information systems will check against parameter levels and produce reports to show when an expected limit is exceeded.
Frequency	On an ad-hoc or predefined periodic basis.
Constraints	Data available within MI
Start up Conditions	Product level analysis undertaken and limits defined at transaction level.
Completion Conditions	Reports produced.

BT - 010	POL	A review of which periodic checks are to be made, with which parameters, on data within Management Information systems must be made.
----------	-----	--------------------------------------------------------------------------------------------------------------------------------------

10.1.1.2 Perform Range Checks – Transaction ... Validate Data Captured (A4.1.1.2)

Attribute	Description
Description	<p>Uses reference data definitions to verify that data entered at the time of the transaction is within pre-set tolerance. The majority of these tolerances are defined by the client and are mandatory business rules (i.e. it should not be possible to override)</p> <p>The types of mandatory business rules to be driven by parameters defined within NRDS include:</p> <p>Dates for open/closure of products</p> <p>Definition of core or non core products and associated branches</p> <p>Minimum and maximum transaction quantity</p> <p>Minimum and maximum transaction value</p> <p>Multiple transaction value allowed (total value must be divisible by this amount)</p> <p>Retail price (unit price)</p> <p>Override price allowed flag (e.g. Girobank fee)</p> <p>Transaction must record both volume and value information</p> <p>If a clerk attempts to enter a value at the point of transaction that is outside the permitted range defined within reference data, it should not be possible for the transaction to continue and the system should enforce conformance to the mandatory business rules</p>
Trigger	An error message will be displayed when a mandatory business limit is exceeded/not adhered to
Automation	<p>The Horizon system will check against parameter levels recorded within NRDS and display an error message when a defined mandatory business rule is exceeded/not adhered to.</p> <p>As provided by current functionality within the Horizon system, though the ranges specified within Reference Data may be tightened.</p> <p>As current functionality, no change proposed within this process.</p>
Frequency	At a transaction level as frequently as the defined mandatory business rule parameters are exceeded/not adhered to
Constraints	None
Start up Conditions	Product level analysis undertaken and limits defined at transaction level and applied within NRDS
Completion Conditions	Correct data entered or transaction abandoned.

BT - 011	POL	A review of parameters, defined through reference data, for control and management of data entry at the counter, is to be made. Any changes to reference data must be implemented prior to removal of current CBDB range check processes.
----------	-----	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

10.1.1.3 Automated Reconciliation (A4.1.1.3)

Attribute	Description
Description	This process entails automated reconciliation of data streams within the Fujitsu domain. Current examples of this are the Banking DRS reconciliation and APS to TPS reconciliation. It is suggested that the future process remain as current although the changes to the TMS domain may have implications on the current process.
Trigger	Receipts of electronic files as described below.
Automation	<p>There are a number of areas for potential reconciliation checks:</p> <ul style="list-style-type: none">• Between the Branch and TMS• Between APS Transactions sent to Clients and Transaction Summaries passed to POL FS• Between Financial Institutes views of on-line Transactions and the Branch / TMS's view• Integrity of individual data flows <p>Proposed reconciliation mechanisms in these areas are discussed below.</p> <p>Between the Branch and TMS</p> <p>There is a potential danger in that messages harvested from that Branch and the summaries might not match. This is currently addressed, by generating a "reconciliation total" at the branch and checking that all harvested transactions at the Data Centre match this total.</p> <p>In addition, the POL FS interface will check that all Summaries passed to it add up to zero, thus ensuring that no summaries are missing.</p> <p>It is proposed that such reconciliation checking is sufficient.</p> <p>Between APS Transactions and Summaries</p> <p>It is proposed that transactions are harvested once to TMS rather than separately for OpTIP and AP Clients. This means that the set of Transactions summarised for TMS and those passed to the AP Clients will be the same (The section above describes the checks that the transactions match the summaries passed to POL FS).</p> <p>Note that Transactions are not necessarily passed to the AP clients on the day that they are received by TMS, however the CTS file will account for any differences in this.</p> <p>It is proposed that the existing reconciliation between TPS and APS is removed thus simplifying the TMS processing.</p> <p>Between FI and TMS view of on-line Transactions</p> <p>It is proposed that the current 3 way reconciliation carried out by DRS between the FIs view, the real-time transaction flow from the Branch and the EOD flow (which in turn is matched to the summaries passed to POL FS) is retained as it is.</p> <p>Integrity of individual data flows</p> <p>All File interfaces will ensure that they include appropriate Trailer records which contain totals of financial data within the file, thus ensuring that any corruption within the file is detected. Any failures of such control total checks will result in the entire file being rejected.</p>

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

	Currently, reconciliation checks are performed between DRS transactions and the associated cash account entries (NB103). This reconciliation function is to be discontinued when the Cash Account flow to OpTIP/CBDB is terminated and no replacement is required.
Frequency	To match frequency of transfer of data files. Mostly nightly
Constraints	None
Start up Conditions	Data transferred
Completion Conditions	Reconciliation reports produced

BT - 062	Fujitsu Services	The NB103 DRS reconciliation reports will be eliminated.
----------	------------------	----------------------------------------------------------

10.1.2 Produce Reports and Information

1. Produce Daily Summaries
2. Produce Periodic Summaries
3. Produce Remuneration Checks
4. Verify Summaries
5. Despatch Redeemed Dockets
6. Produce Other Horizon Reports

10.1.2.1 Produce Daily Summaries (A4.1.2.1)

Attribute	Description
Description	<p>Produce daily summaries for those products which are time critical and for which not all information is supplied on the electronic transaction stream to a client and/or for which documentation must be passed on to subsequent processes.</p> <p>This process must take account of those process changes being developed as part of Other Data Capture which reduces the need for manual transcription and production of summaries as the data is available via electronic stream – thus only summaries which lie outside of that capability should be included in this process.</p> <p>As is current process and functionality for production of such summaries. Simplification is dependent on product re-engineering</p>
Trigger	User Initiated
Automation	The user will initiate production of the relevant summaries
Frequency	Daily
Constraints	Based on client requirements.
Start up Conditions	Transactions completed
Completion Conditions	Summaries completed and despatched

BT - 012	POL	A revised end of day procedure will be defined, identifying which summaries must be produced at end of day. The buttons on the "Counter Daily" menu will be reviewed accordingly. The revised list of items will be defined in reference data for display when the "End of Day" button is pressed on Horizon.
----------	-----	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

10.1.2.2 Produce Periodic Summaries (A.4.1.2.2)

Attribute	Description
Description	<p>Produce summaries for those products which are not time critical and for which not all information is supplied on the electronic. Reports will either be mandatory or non-mandatory. Mandatory reports, will be produced to conform to client reporting needs, which will be informed to the branch by business procedures, currently this is weekly and is likely to remain so. Mandatory reports will require a system controlled cut-off such that items/transactions only ever appear on one instance of the report, and there will need to be a check that the reports are produced before the branch trading statement can be produced. The following reports are identified as mandatory:</p> <ul style="list-style-type: none"> ▪ Counter Weekly Green/Violet Giros ▪ Counter Weekly Inland Revenue Tax Credits ▪ Counter Weekly P&A ▪ Counter Weekly Pos Paid ▪ Office Weekly Green/Violet Giros ▪ Office Weekly POs Encashed ▪ Counter Weekly Miscellaneous Transactions ▪ Counter Weekly Travel Schemes <p>A new Counter Weekly Redeemed Savings Stamps mandatory report is required with similar content to the Office Weekly Redeemed Savings Stamps Summary.</p> <p>There are reports which summarise mandatory reports which must be produced on the same cycle. All of these reports need to change such that a cut-off is taken and the next report will only look at the Stock Unit reports (ie Counter Weekly) produced since the last time the summary report was cut-off. This is a new type of cut-off functionality. It should be noted that an implicit cut-off will occur when the branch is moved to a new Trading Period. These are :</p> <ul style="list-style-type: none"> ▪ Office Weekly Inland Revenue Tax Credits ▪ Office Weekly Inland Revenue Tax Credits P5589 ▪ Office Weekly P&A P2311MA ▪ Office Weekly Pensions and Allowances ▪ Office Weekly Redeemed Savings Stamps Summary <p>The Office Weekly P2311MA (B) report is a mandatory report with no data on it requiring a cut-off and so this report can remain unchanged.</p> <p>Non-mandatory reports are produced to support local investigations/verifications, it is not required that they be produced as part of the branch trading statement. Some of the reports identified as non-mandatory already have cut-off functionality, it is not required that this be changed. When produced these reports should be produced back to the last cut-off, or if longer than the branch data retention period since the last cut-off, the report is to be produced with all retained data. Those non-mandatory reports that have no cut-off should be produced, whenever they are produced, with all data back to the start of the trading period. The following periodic reports are identified as non-mandatory:</p> <ul style="list-style-type: none"> ▪ Counter Weekly Remittances In ▪ Counter Weekly Remittances Out ▪ Counter Weekly Remittances Summary ▪ Counter Weekly Stock on Hand ▪ Counter Weekly Transfers In ▪ Counter Weekly Transfers Out

Doc Ref: BTRMC&TM-001

Conceptual Design

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

	<ul style="list-style-type: none"> ▪ Office Weekly Remittances In (P) ▪ Office Weekly Remittances Out (P) ▪ Office Weekly Sales Report ▪ Office Weekly Postage Labels ▪ Office Weekly Transfer Reconciliation ▪ Office Weekly Unreconciled Transfers ▪ Foreign Currency Holdings ▪ Office Weekly Suspense Account ▪ Counter Weekly Transfer Summary <p>This process must take account of those process changes being developed as part of Other Data Capture which reduces the need for manual transcription and production of summaries as the data is available via electronic stream – thus only summaries which lie outside of that capability should be included in this process.</p> <p>The following reports, currently produced on a weekly basis, have been identified as no longer needed and they are now required to be removed:</p> <ul style="list-style-type: none"> ▪ Counter Weekly DVLA V10 ▪ Counter Weekly DVLA V11 ▪ Office Weekly Cash Flow ▪ Office Weekly Counters Revenue Schedule
Trigger	User Initiated
Automation	The user will initiate production of these relevant summaries
Frequency	minimum weekly
Constraints	Based on client requirements.
Start up Conditions	Transactions completed
Completion Conditions	Summaries completed and despatched

BT - 014	POL	A revised end of period (probably weekly) procedure will be defined, identifying which summaries must be produced at end of period.
----------	-----	-------------------------------------------------------------------------------------------------------------------------------------

BT - 015	POL	<p>The list of summaries will be reviewed and classified as mandatory and optional. Business rules for content on optional summaries will be defined. As either:</p> <ul style="list-style-type: none"> • Summary of transactions of type since last cut off, whether cut-off is in this trading period or last. • Summary of transactions of type since last cut off, if cut off in this trading period, but only summary of transactions of type since start of trading period if last cut-off was in previous trading period
----------	-----	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

10.1.2.3 Produce Sales Report to Assist Remuneration Check (A4.1.2.3)

Attribute	Description
Description	The Sales Report is produced to review sales or to support the postmaster in assessing whether his pay invoice received from HRSAP is going to be substantially correct – and allows the postmaster some advance warning of his likely pay for the period. This is an estimating tool and not a re-creation in Horizon of the HRSAP calculation
Trigger	User driven process
Automation	Selection of appropriate function to produce a report This is the Sales report with a specified Date Range based on Trading date (which then aligns with periods used for HRSAP summarisation). NB will not align with Branch Trading Statement periods, unless requested by the user. Should the user enter a date range outside of the Horizon range of retained data (as defined within data retention periods), or including the current day, then a warning message should be given, advising the user that the report cannot be produced for the range entered.
Frequency	Monthly
Constraints	Only applies to periods for which Branch holds Trading data
Start up Conditions	User wants to produce report.
Completion Conditions	Report produced

BT - 016	Fujitsu Services	Functionality to allow entry of date range on the of Sales Report to be produced will be implemented within Horizon, the system will verify that a valid date range has been entered, If invalid it will allow re-entry, if valid it will produce the existing sales report but with data covering the specified date range.
----------	------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

10.1.2.4 Verify Summaries (A4.1.2.4)

Attribute	Description
Description	This process provides the branch manager with the ability to check off his summaries against other information (e.g. individual dockets) to ensure completeness. Provides an opportunity to verify the summaries that have been produced correctly reconcile with the information on the manual supporting documents
Trigger	Production of the summaries
Automation	Verification of the summaries is a manual process, though there must be the ability to amend and re-run the process if errors are found. After verification copies of some summaries, defined by business procedures, may need to be retained at the branch. As is current process and functionality for such verification.
Frequency	Daily/ Periodic following production of summary.
Constraints	Based on client requirements
Start up Conditions	Summaries produced which require verification
Completion Conditions	Summaries Verified

10.1.2.5 Despatch Redeemed Dockets (A4.1.2.5)

Attribute	Description
Description	<p>This process ensures that any docket which is sent from the branch is done in a way which provides sufficient information to control and audit the movement of the dockets.</p> <p>This may happen on a periodic basis but should all be cleared out as part of the monthly trading process as defined and managed by business procedures.</p> <p>The benefit of this process is to keep an audit trail on all items despatched from the branch</p> <p>It is assumed that this process is performed separately for each Stock Unit.</p>
Trigger	During a trading month this is a user driven process whenever despatches are required. However, at the end of the trading period the system should remind the user that despatches are required
Automation	<p>This process is automated using the existing functionality for cut-offs for dockets to be sent from the branch.</p> <p>No change is required to this functionality.</p>
Frequency	As required – likely to be some on a weekly basis but definitely monthly
Constraints	None
Start up Conditions	Dockets to remit.
Completion Conditions	All dockets remitted

--	--	--	--

10.1.2.6 Produce Other Horizon Reports (A4.1.2.6)

Attribute	Description
Description	This allows the user to produce a number of reports based on Horizon information.
Trigger	<p>User initiated process.</p> <p>Current process same as is. Report may be defined differently as documented within Information flows.</p>
Automation	<p>The user will select the appropriate function and produce a report against which he/she can check his/her transactions.</p> <p>As current process and functionality for producing reports.</p>
Frequency	According to user requirements and business procedures
Constraints	Information is available with Horizon system
Start up Conditions	User chooses to produce report
Completion Conditions	Report is produced.

10.1.3 Other Data Capture

1. Input Non Accounting Data
2. Input Bulk Data
3. Input Additional Client Data

10.1.3.1 Input Non Accounting Data (A4.1.3.1)

Attribute	Description
Description	<p>Input data, into the electronic transaction data stream, not collected at the point of sale related to non-financial transaction and/or supplement information about transaction activity, which do not affect accounts but do affect remuneration.</p> <p>Examples of these transactions are Royal Mail, Parcel Force, and Girobank.</p> <p>Uses for this data include:</p> <ul style="list-style-type: none">▪ Management information▪ Settlement information▪ Remuneration
Trigger	User initiated, business process rules to be defined and communicated to branches
Automation	<p>When the user enters the relevant summary information into Horizon, the system will validate against verification rules defined within NRDS for mandatory business rules where applicable</p> <p>As is current process and functionality for such data entry.</p>
Frequency	Weekly, specific day to be defined (unless the current list of items can be reduced significantly and then the frequency could be daily)
Constraints	<p>In order to simplify current processes and reduce requirements for capture of data using this method:</p> <ul style="list-style-type: none">▪ There is a dependency on sales and marketing to drive forward product re-engineering and contract re-negotiations on client contracts▪ There is a dependency on Agent Remuneration to re-negotiate current remuneration formulas and rates
Start up Conditions	Non accounting data items to be defined and business process to be defined and communicated
Completion Conditions	Data entered.

BT - 019	POL	Business procedures for entering non-accounting data, identifying what data and when, will be produced.
----------	-----	---------------------------------------------------------------------------------------------------------

10.1.3.2 Input Bulk Data (A4.1.3.2)

Attribute	Description
Description	<p>Input bulk transaction data, into the electronic transaction data stream, that is captured at the point of sale using third party equipment.</p> <p>Examples of these types of transactions are ATMs and Lottery.</p> <p>The data needs to be input into the transaction stream for various reasons:</p> <p>To be reflected within the branch trading position and feed into the business accounts</p> <p>Settlement – used for invoicing of management fees and also used to validate against client settlement figures</p> <p>Remuneration – paid monthly usually around the middle of the calendar month – agents paid on either volume or value of transactions undertaken</p> <p>The current process for using this functionality following system failure will remain.</p>
Trigger	User initiated, business process rules to be defined and communicated to branches
Automation	<p>When the user enters the relevant summary information into Horizon, the system will validate against verification rules defined within NRDS for range checks and mandatory business rules where applicable</p> <p>A review of the min/max limits defined within NRDS will tighten the allowed range for input.</p> <p>As is current process and functionality for such data entry.</p>
Frequency	Daily where possible, weekly for any remaining items (specific day to be defined)
Constraints	Dependency on Sales and Marketing to undertake product re-negotiation with clients (e.g. A&L Girobank regarding frequency of data capture)
Start up Conditions	Bulk Input data items to be defined and business process to be defined and communicated
Completion Conditions	Data entered.

BT - 021	POL	Business procedures for entering bulk data, identifying what data and when, will be produced.
----------	-----	-----------------------------------------------------------------------------------------------

10.1.3.3 *Input Additional Client Data (A4.1.3.3)*

Attribute	Description
Description	<p>Enhance the transaction data stream with data required within the transaction data for particular clients/products.</p> <p>Additional client data in this context refers to the current process whereby additional data fields relating to transactions, that are not captured within Horizon, are captured using the manual summaries within the branch.</p> <p>Process drivers for capture of additional data items are:</p> <ul style="list-style-type: none">▪ Contractual requirements with clients▪ Validation of settlement figures (specific evidence)▪ Responding to customer and client enquiries▪ Investigating exceptions/discrepancies <p>Product re-engineering has been defined as out of scope, but ADC and PAF functionality could be utilised by applying NRDS functionality.</p> <p>It is therefore suggested that for transactions where evidence is provided, details are then recorded and the evidence is returned to the customer – these details could be captured using Horizon ADC and PAF functionality at the point of transaction capture driven by NRDS. This would result in no additional work for the branch as they will effectively replace the manual recording of information on paper summaries for these products and enter the details directly into Horizon.</p> <p>This process would result in the following benefits:</p> <ul style="list-style-type: none">▪ Removal of some of the current manual processes within the branch▪ Allow validation rules to be applied to the additional data capture fields▪ Allow data to be sent electronically direct to the client▪ Remove the need for some additional work and legacy systems within the centre <p>Where we are keeping supporting documents, currently various activities may be undertaken within the centre for these. For example they may be keyed into a legacy system and then matched against client transaction data. As matching will not take place in the future, the supporting documents could be despatched direct to the client. The client would then be responsible for customer enquiries and would also need to provide evidence when raising queries. There would be a dependency on Sales and marketing to agree the relevant changes with the affected Clients to enable us to do this.</p>
Trigger	Transaction will be user initiated, trigger for additional data capture items will be driven by parameters defined within NRDS

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Automation	<p>Relevant data items for additional data capture will be prompted by the system and verification rules applied as defined within NRDS (mandatory business rules)</p> <p>Changes to be designed and implemented by the Product Re-engineering Programme. No changes are required within this project.</p> <p>Current process and functionality for such data entry are to be retained as a result of this project.</p>
Frequency	At a transaction level as frequently as the need arises for the capture of additional data items
Constraints	Dependency on Sales and Marketing to drive through product re-engineering and undertake contractual negotiations with clients
Start up Conditions	<ul style="list-style-type: none"> ▪ Relevant NRDS parameters will need to be defined and implemented. ▪ May be requirements for the additional production of Horizon summaries – need to undertake product level analysis ▪ Design and implement additional electronic interfaces where required
Completion Conditions	Transaction completed data entered

BT - 022	POL	The existing products will be reviewed for opportunities to capture additional data at the point of sale, removing needs to manually record transaction data. The review will analyse, and if necessary, renegotiate client reporting requirements.
----------	-----	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

BT - 023	POL	New and replacement products will be implemented using existing system capabilities.
----------	-----	--------------------------------------------------------------------------------------

10.1.4 Discrepancy Management

1. Receive Automated Message
2. Handle Transaction Corrections

10.1.4.1 Receive Automated Message (A4.1.5.1)

Attribute	Description
Description	This process is the receipt of the Identified Transaction Error (Transaction Correction) into the branch for action by the branch. This has resulted from investigations centrally and a correction being generated from POL-FS.
Trigger	Automated advice arriving within the branch.
Automation	Advice of a Transaction Correction will be electronically generated by POL-FS and appear in the branch. On receipt the Horizon system will display a reminder to specified users (defined by role) that there are Outstanding Transaction Corrections at each subsequent login until there are no more Outstanding Transaction Corrections. A single prompt is provided indicating that there are Outstanding Transaction Corrections. The number of Outstanding Transaction Corrections will also appear on the Variance Report whenever it is produced. An event should be recorded of who was shown the message.

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Frequency	Ad Hoc
Constraints	Prompt (wording implemented through Type C Ref Data) to Manager and Supervisor roles only (but all users with those roles)
Start up Conditions	Next Logon following receipt of TC (and all subsequent logons until there are no more Outstanding Transaction Corrections)
Completion Conditions	When all Outstanding Transaction Corrections processed.

BT - 024	Fujitsu Services	A user with the appropriate role will be informed, at log on, that there are outstanding Transaction Corrections awaiting processing, whenever there are any.
----------	------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------

10.1.4.2 Handle Transaction Corrections (A4.1.5.2)

Attribute	Description
Description	This is the mechanism for Processing the Transaction Correction by the branch
Trigger	User Initiated
Automation	<p>There will be a button for Transaction Correction Management within the menu hierarchy which is only accessible by users with the appropriate role. This will provide the user with a list of the unprocessed Transaction Corrections, displayed in date/time order.</p> <p>Having selected the Transaction Correction to process, the system will display text making clear what will happen when they select any of the options presented.</p> <p>For each Transaction Correction the user will have up to three options – Each option, when selected, will perform an identified set of transactions, defined within the Transaction Correction. (which may include an option to Do Nothing - requesting further investigation).</p> <p>Should the Transaction Corrections fail validation, then an error is displayed to the user with a request to contact the NBSC. The Transaction Correction will be marked as complete, but no change will have been made to the local system.</p>
Frequency	Potentially daily – in reality probably could occur weekly but most likely on a monthly basis
Constraints	No more than one person must be able to work on a Transaction Correction at the same time.
Start up Conditions	Message must have been received from POL-FS
Completion Conditions	Branch can't balance until all Transaction Corrections have been processed.

BT - 025	Fujitsu Services	<p>There will be a button for Transaction Correction Management within the menu hierarchy which is only accessible by users with the appropriate role. This will provide the user with a list of the unprocessed Transaction Corrections, displayed in date/time order. Having selected the Transaction Correction to process, the system will display text making clear what will happen when they select any of the options presented, the user should be able to print the details of the transaction correction at this point in order to consider its implications before invoking it.</p> <p>For each Transaction Correction the user will have up to three options – Each option, when selected, will perform an identified set of transactions, defined within the Transaction Correction. (this may include an option to Do Nothing (requesting further investigation)).</p>
----------	------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

10.1.5 Compare Generated with Actual Cash Position

- Compare Generated with Actual Cash Held for Stock Unit

Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCEProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

- Create Variance Report ... Compare Generated with Actual Cash Held Across Branch
- Make Good, Hold or Declare Any Cash Variance

10.1.5.1 Compare Generated with Actual Cash Held for Stock Unit (A4.1.6.1)

Attribute	Description
Description	<p>This process allows for each stock unit to make a comparison of their actual cash with the system held position on a daily basis. It is a tool to allow the manager to maintain control over whether any potential variances are emerging and allow them to action this if they wish to. In essence it serves as an indicator to allow corrective action on the basis that correcting the cash position is the first place the branch will investigate if variances are emerging.</p> <p>Each Stock Unit will be expected to make a daily declaration of cash held to compare the system generated value of cash held by the stock unit with the actual value of cash held within the stock unit and declare any variance.</p> <p>Local tool</p>
Trigger	This is a user driven process in the first instance but at first log on the following day the system will prompt for yesterday's figures. This can be declined
Automation	<p>Get rid of Current ONCH functionality. The current ONCH button should access the common declare cash functionality. Have current weekly cash balance functionality on a daily basis (the declared figure will go to SAPADS). The function identifies variances between the declared cash figure and the system generated cash figure for the Stock Unit.</p> <p>For shared stock units the system should give the option to roll-up the stock unit part declarations, after a part declaration is completed, where only the declared lds used on that day are carried forward into the summation – not any declarations for any previous day.</p>
Frequency	Daily – at the end of the day
Constraints	None
Start up Conditions	Each stock unit to make an actual cash declaration
Completion Conditions	Declaration of physical cash held made for the Stock Unit

BT - 026	Fujitsu Services	At the end of performing a cash declaration, in a shared stock unit, the system will enter, if the user chooses to, the cash discrepancies function to support the identification of any variance.
----------	------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

BT - 028	Fujitsu Services	Reminders for ONCH function to be performed at log on if not performed previous day will be removed and, instead, the system will remind users to perform cash declaration function if it has not been performed on the previous day, but this may be declined.
----------	------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

BT - 029	Fujitsu Services	When the cash declaration has been made the figures for denominational split will be passed to SAP-ADS as if an ONCH declaration had been performed.
	POL	

Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCEProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**10.1.5.2 Create Variance Report ... Compare Generated with Actual Cash Held Across Branch (A4.1.6.2)**

Attribute	Description
Description	This report allows the manager to review variances within his branch as a result of cash comparisons which have taken place at stock unit level. This will highlight for him where variances exist and is a tool to assist him in deciding what action to take.
Trigger	User driven process
Automation	System will produce a report which displays the data as defined in the flow definition in Section 9.1.27.
Frequency	User initiated, anticipated daily
Constraints	At least one stock unit declaration for cash must have been made to get variances identified from it. Though, user may wish to produce it to simply see cash derived position.
Start up Conditions	User requests Variance Report.
Completion Conditions	Variance Report produced.

BT - 030 Fujitsu Services A new function will be made available to provide the variance report to the defined content and format

10.1.5.3 Make Good or Hold Any Cash Variance (A4.1.6.3)

Attribute	Description
Description	This process allows for action to be taken on the cash variances highlighted at stock unit level For any cash variance, decide on the information available either <ul style="list-style-type: none"> to make good the variance by adjusting the physical cash in the stock unit. Taking this action is to be informed to the Horizon system which should record that this action has been taken. to hold the variance for some specified time to try to reconcile
Trigger	This is a user driven process following on from Compare Generated With Actual Cash Held for Stock Unit
Automation	The branch manager/postmaster will be able to review the identified Cash Variances across the branch using the Variance Report described above and take any of the following actions at stock unit level: <ul style="list-style-type: none"> Hold Variance - which allows local investigation and resolution within the current trading period Make Good - for more information see process definition for "Make Good any Outstanding Losses" process below.
Frequency	Potentially daily
Constraints	Business Accounting Procedures
Start up Conditions	Identified Variance within a Stock Unit
Completion Conditions	Variance "dealt" with.

10.1.6 Produce Branch Accounts

- Stock Checking

Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCEProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

10.1.6.1.1 Remit In/Out Stock (A4.1.7.1.1)

Attribute	Description
Description	This is the function to receive or despatch stock from the branch and is not automated in the way that cash remitting is automated.
Trigger	This is a user driven process triggered by the branch manager/postmaster whenever stock is required to be remitted in or out
Automation	<p>The user will be presented with a screen into which he keys, by product, the quantities he wants to remit out or the quantities he has received in the remittance to his branch The movement to be recorded for POL-FS.</p> <p>No change to current functionality other than to extend the set of products to which the process is to apply (i.e. current non-value stock).</p> <p>Foreign Currency may be altered to be automatically Remitted In & Out as for cash – any changes to this and Travellers Cheques to be implemented as part of a separate project.</p>
Frequency	Available at any time but likely to happen once a week
Constraints	None
Start up Conditions	Stock Remittance delivered to branch or there are Stock items to be returned to stock centre.
Completion Conditions	NB This impacts the volume of Stock on hand immediately (unlike cash).

10.1.6.1.2 Local Stock Check Stock Held for Stock Unit (A4.1.7.1.2)

Attribute	Description
Description	<p>This process allows for each stock unit to make a comparison of their actual stock with the system held position on a periodic basis. It is also the mechanism by which the branch declares its stock position at trading statement time</p> <p>Each Stock Unit will be expected to compare the system generated volume of stock held by the stock unit with the actual volume of stock held within the stock unit and declare any difference.</p> <p>Adjustments made to stock holdings through declarations and/or stock adjusting will be reported separately from stock adjustments due to stock item sales.</p>
Trigger	This is a user driven process and must be completed in full before the branch trading statement can be produced.
Automation	<p>For all stock items except Stamps the user will produce a report (existing stock report adjusted to show just volume information) and physically check his stock against the report. If there are any differences then the user will create an adjustment transaction for the amount of the difference – by volume. In shared stock units an alternative approach is for all parts of the stock unit to perform a blind declaration of stock, part declarations are summed up and the overall declaration investigated by reviewing discrepancies or producing a trial balance. Stock adjustments will result in corresponding changes to the system generated cash level. Declarations resulting in Discrepancies will result in an automated Cash Discrepancy being recorded rather than adjusting the system generated cash level.</p> <p>For “Other Stamps” (special stamps and 1st & 2nd class are currently handled as Stock) the user will be presented with a screen against which he can key in the quantities of stock items for each</p>

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

	<p>denomination of stamp that he has. On completion the system will compare this with the system calculated sales value for Stamps, any differences will then automatically, on request of a trial balance, create an adjustment transaction to reflect the difference as a cash discrepancy.</p> <p>Methods of Payment will continue to be adjusted by value.</p> <p>The following products should operate as for Other Postage (i.e. by value adjustment), as is currently the case, unless any specific product can be subdivided into individual items which can be volume controlled.</p> <ul style="list-style-type: none"> ▪ Philatelic Items Other ▪ Presentation Pack ▪ Prestige Stamp Books ▪ Mini Sheets ▪ Other Stamps Ordinary ▪ Other Postage Stationery ▪ Other Stamp Special ▪ Stamp Book Other ▪ Discd Whsle Stamp Books ▪ Migration Only Item-HCS <p>For Foreign Currency and Travellers Cheques a declaration will be entered into a screen by currency for the amount held, in the foreign currency. (i.e. as at present)</p> <p>All of the above is current process and functionality for stock checking on the Horizon system.</p> <p>Different prices may be defined for a stock item when adjusted (lost) compared to when sold (through a transaction). Adjustments will be reported separately to POL-FS from movements of stock due to sales.</p>
Frequency	Potentially weekly for some items and must be performed monthly for all items as part of Trading Statement process.
Constraints	Business procedures will define what should be done with Stock Remittances delivered but not Remitted in.
Start up Conditions	User initiated when required. E.g. Any stock variances to be identified and recorded must be performed as part of Trading Statement processing.
Completion Conditions	Stock report produced OR Stock declaration made.

BT - 036	Fujitsu Services	Adjustments in stock (whether identified via adjustments or stock declarations) should be adjusted at the adjustment price whenever defined in reference data.
----------	------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------

10.1.6.1.3 Review Stock Held Across Branch (A4.1.7.1.3)

Attribute	Description
Description	This process allows a branch to review the system held stock holding across the branch.
Trigger	This is a user driven process following on from Local Declare Stock Held in Stock Unit
Automation	<p>This process is provided by the existing Office Snapshot report.</p> <p>This report is for Managers / Supervisors only. Report will need to be amended to not reflect stock values.</p>

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Frequency	Potentially weekly and definitely monthly– usually after stock unit comparisons made.
Constraints	None
Start up Conditions	User initiated.
Completion Conditions	Office Snapshot Report produced.

BT - 037	Fujitsu Services	Report will be redefined without stock values as defined in Section 20.7 in Appendix B of this document
----------	------------------	---------------------------------------------------------------------------------------------------------

10.1.6.2 Produce Trial Balance (A4.1.7.2)

Attribute	Description
Description	This allows the user to produce a balance at stock unit level. This is a trial balance to assess whether he/she is on track for balancing. This balance is a trading balance which will not include stock values but will include stock volumes held figures. If this is to actually "balance", will therefore need to show Stock Sales as "receipts" (currently they are not shown since they have no impact on the "cash and stock on hand" figure).
Trigger	User initiated process. Current process same as is. Report is different in the way in which Stock is shown by volumes, without values
Automation	The user will select the appropriate function and produce a report against which he/she can check his/her transactions. All this is current process and functionality for balancing on the Horizon system, except for the summation of declarations in shared stock units where the requirement is that if a Stock Unit is not used then previous figures are carried forward. If a Stock Unit is used then only the declared lds used on that day are carried forward into the summation – not any declarations for any previous day. This requirement is for both cash and stock to work the same way.
Frequency	Potentially daily, more likely weekly but definitely monthly.
Constraints	Existing constraints: All relevant declarations (cash, stamps, bureau cash, bureau travellers cheques) made, all mandatory reports produced, if last SU to balance then Parcel Traffic Report produced. New constraints: all dockets and vouchers have been remitted out (i.e. no stock of dockets or vouchers); for last Stock Unit, no outstanding Transaction Corrections and no items held in "local suspense"
Start up Conditions	User initiated, must be performed as part of Trading Statement processing
Completion Conditions	Trial Balance Report produced

10.1.6.3 Investigate Balance Discrepancies (A4.1.7.3)

Attribute	Description
Description	This is the mechanism by which a user may track back through transactions to highlight where any discrepancies might exist.

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Trigger	After production of a trial balance or after production of cash variance report.
Automation	This mechanism will allow the user to investigate summary totals held on the balance report and allow for producing existing reports as required to get to the individual data items This is purely a manual process. The system provides support in allowing various reports to be produced and Transactions to be queried, but it provides no guidance / control of the process.
Frequency	Potentially daily, probably weekly and definitely monthly
Constraints	None
Start up Conditions	User initiated.
Completion Conditions	Discrepancies Investigated

10.1.6.4 Make Good any Outstanding Losses (A4.1.7.4)

Attribute	Description
Description	<p>This process allows for action to be taken on the cash or stock variances highlighted at stock unit level. Any variance identified for any reason other than the limited number of known error reasons (see below) must be made good before the stock unit can balance, though when the stock unit is not the last to balance discrepancies can be transferred to another stock unit as part of balancing.</p> <p>Taking this action to correct the stock of Physical Cash for the stock unit is to be informed to the Horizon system which should record that this action has been taken.</p> <p>A Branch Trading Statement can not be finalised for a trading period (although it will be possible to roll over a balance period) until all variances are made good. (Note that this is different from the current process where making good must take place in the next period.)</p>
Trigger	This is a user driven process
Automation	<p>It is proposed that two new "buttons" are introduced onto the Horizon system:</p> <ul style="list-style-type: none"> • Make good a loss • Remove excess cash <p>Detailed design will decide where these buttons will be added to the system. These buttons will be available for any clerk to record the "making good" event. Such "make good" events will be recorded in the audit trail. The last cash declaration for the Stock Unit would also be updated to record that the value of cash declared has now been corrected by the amount made good.</p> <p>Directly Managed Branches don't make good, instead they move cash variances to Profit & Loss, after they have performed sufficient investigations, to be defined within local business procedures. These transactions will be considered to be "Housekeeping" transactions and their use is to be restricted to DMB Managers/Supervisors.</p> <p>Multiples – Move to a new (debt recovery) suspense product where the funds will be recovered through POL-FS</p> <p>Transactions moving cash into suspense will generate a unique transaction id reference, as is current functionality.</p> <p>Of current 10 Suspense buttons, between 3 and 7 will be retained, mapped into individual POL FS account codes. Buttons for Migration Products and Loans to Post Offices will not be needed. The</p>

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Attribute	Description
	<p>removal of vouchers will have the following Front-end implications:</p> <ol style="list-style-type: none"> 1) New buttons for: <ol style="list-style-type: none"> a) Postage costs b) Minor expenses (both restricted to Branch Manager with a £100 transaction limit) c) Spoilt Postage Labels 2) Working assumption is that the following suspense products will be retained: Need to confirm requirements for: <ol style="list-style-type: none"> a) Client Issued Error Notices; b) Pre Purchase Products; c) Unpaid Cheques; d) POL cheques. e) MVL Car Hire companies (not thought to require additional front end functionality due to low values involved); and f) Robberies & Burglaries. <p>The function to make entries into these remaining suspense products should be altered so that it is only available to Managers or Supervisors in all branches.</p>
Frequency	Potentially daily – in reality probably could occur weekly but most likely on a monthly basis
Constraints	This activity has to take place in each Stock Unit.
Start up Conditions	Reference Data for suspense products will be provided by Post Office
Completion Conditions	No variances (i.e. discrepancies) in the SU when it is balanced.

BT - 031	POL	A review of vouchers remitted from the branch will identify which dockets will need to be treated via which adjustment products.
BT - 032	Fujitsu Services	A new function for recording a "make good" action will be made available this will allow the user to enter the amount made good. It will record the amount made good, making a new declaration for cash by altering the previous declaration by the amount made good. Amounts made good will be reported on variance reports, balance reports and trading statements.
BT - 034	POL	A process for applying for hardship will be defined to allow a branch manager to make alternative arrangements for when a variance cannot be made good immediately. Variances will be held whilst the application is processed, this may extend the Trading Period. Approved hardship amounts will appear as Transaction Corrections
BT - 035	POL	Reference Data will be edited to limit the suspense accounts available within branches to the limited "known errors" set.

10.1.6.5 Produce Final Balance (A4.1.7.5)

Attribute	Description
Description	This allows the user to produce a balance at stock unit level. This is a final balance to confirm the information which feeds into the trading statement. This balance is a trading balance which will not include stock values but will include stock volumes held figures.
Trigger	<p>The process should follow on directly from the Trial Balance process.</p> <p>Current process same as is. Report is different from now (but similar content and format as trial balance report, with different headers and footers.)</p>
Automation	The user will select the appropriate function, the system will rollover the stock unit into the next

	<p>balance period or trading statement period (chosen by the user) and produce a report which he/she can check, sign and store.</p> <p>As part of the Stock Unit Trial Balance process, any variances between Declared figures and Systems Generated figures will be recorded as Discrepancies (as at present). However a new check is to be introduced after producing the Trial Balance (i.e. when the "rollover" button is pressed prior to producing the Final Balance). This check will act as follows:</p> <ol style="list-style-type: none">1. If it isn't the last Stock Unit to rollover, the clerk will be advised that the Discrepancy is to be posted to a "local adjustments" account. They have the option of accepting or rejecting this action.<ol style="list-style-type: none">a. Should they accept it, then a pair of transactions will be generated resulting in the Discrepancy being reduced to zero and a corresponding amount being put into a "local adjustments product".b. Should they reject it, then the rollover is aborted and the clerk is free to do whatever they wish to balance the Stock Unit and will then need to balance the Stock Unit again at a later time.c. The "local adjustment" is not associated with any Stock Unit (as with a Suspense account). Items can be added to it by any clerk, but only as part of the Balancing Process. Managers / Supervisors will be able to move items from it into cash in their SU to be Made Good.2. If this is the last Stock Unit to Rollover an additional check will be performed to ensure that the net total of transactions, within the Trading Period, in the "local adjustment" account has a net value of zero.3. If this is the last Stock Unit to Rollover, then the user will be informed if the Stock Unit has a Discrepancy and that this must be resolved before the last Stock Unit can be rolled over. <p>Local Adjustment will behave in a similar way to existing Suspense Account items, namely the values will not be associated with any Stock Unit, but is considered as part of the overall Branch balance.</p> <p>There is an existing report that shows the state of all suspense accounts and all Transactions associated with the suspense accounts during the Trading Period, indicating which Stock Unit carried out the Transaction. It is proposed that Local Adjustment transactions are included in this report as with any other Suspense transactions – the only difference being that a Branch Rollover will not be permitted if the carried forward figure for the Local Adjustment Account is non-zero.</p> <p>Since this is a Local Adjustments item, it is assumed that there is no need for any movements into and out of it to be visible centrally (i.e. to POL FS) and any values held in it should be considered as part of the Branch's Cash Holding.</p> <p>Note it is understood that Horizon should be changed such that only Supervisors and Managers (etc) will be allowed to carry out Suspense Transactions. The only exception to this will be the automatic posting of Discrepancies to Local Adjustment.</p>
Frequency	Potentially daily, more likely weekly but definitely monthly.

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Constraints	Existing constraints: All relevant declarations (cash, stamps, bureau cash, bureau travellers cheques) made, all mandatory reports produced, if last SU to balance then Parcel Traffic Report produced. New constraints: all dockets have been sent (i.e. no stock of dockets); for last Stock Unit, no outstanding Transaction Corrections and no items held in "local suspense"
Start up Conditions	Dependant on whether this is the last Stock Unit to balance or not and whether there are any discrepancies. See Automation for details.
Completion Conditions	To produce the report and sign it for retention in the branch for two years.

BT - 038	Fujitsu Services	<p>A new check is to be introduced after producing the Trial Balance (i.e. when the "rollover" button is pressed prior to producing the Final Balance). This check will act as follows:</p> <ol style="list-style-type: none"> 1. If it isn't the last Stock Unit to rollover, and there is a Cash Discrepancy, the clerk will be advised that the Discrepancy is to be posted to a "local adjustments" account. They have the option of accepting or rejecting this action. <ol style="list-style-type: none"> a. Should they accept it, then a pair of transactions will be generated resulting in the Discrepancy being reduced to zero and a corresponding amount being put into a "local adjustments product". b. Should they reject it, then the rollover is aborted and the clerk is free to do whatever they wish to balance the Stock Unit and will then need to balance the Stock Unit again at a later time. c. The "local adjustment" is not associated with any Stock Unit (as with a Suspense account). Items can be added to it by any clerk, but only as part of the Balancing Process. Managers / Supervisors will be able to move items from it into cash in their SU to be Made Good. 2. If this is the last Stock Unit to Rollover an additional check will be performed to ensure that the net total of transactions, within the Trading Period, in the "local adjustment" account has a net value of zero. 3. If this is the last Stock Unit to Rollover, then the user will be informed if the Stock Unit has a Discrepancy and that this must be resolved before the last Stock Unit can be rolled over. <p>Local Adjustment will behave in a similar way to existing Suspense Account items, namely the values will not be associated with any Stock Unit, but is considered as part of the overall Branch balance.</p>
----------	------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

BT - 039	Fujitsu Services	There is an existing report that shows the state of all suspense accounts and all Transactions associated with the suspense accounts during the Trading Period, indicating which Stock Unit carried out the Transaction. It is proposed that Local Adjustment transactions are included in this report as with any other Suspense transactions
BT - 040	Fujitsu Services	Horizon should be changed such that only Supervisors and Managers (etc) will be allowed to carry out Suspense Transactions. The only exception to this will be the automatic posting of Discrepancies to Local Adjustment.

Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCEProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**10.1.6.6 Produce and Confirm Trading Statement (A4.1.7.6)**

Attribute	Description
Description	<p>This is the branch's mechanism for reviewing and confirming the trading position for the current period.</p> <p>The office will produce paper copy of the Trading Statement for local retention.</p>
Trigger	User driven process which can only be completed after other linked activities have been completed. E.g. checking that all Stock Units have rolled over and produced a Final Balance.
Automation	<p>The user will select the appropriate function which will display the summary trading position (as per outlined report) and this may be printed. When the user is content to confirm the position he will be presented with a textual message which describes the liability and responsibility which the postmaster is accepting. If the postmaster accepts this the system will record this action, committing an event which says postmaster has done trading statement and accepting liability for the trading position.</p> <p>{DN this relies on the work being done outside of IMPACT to align proper control of user name and password}</p> <p>The confirmation event will be made available to the data warehouse to enable monitoring of who has and who hasn't done a trading statement. The "confirmation transaction" will not contain the constituent parts that make up the trading position.</p>
Frequency	Monthly, on a Wednesday, (on a 4-4-5 week basis) controlled by a calendar (as with Cash Account). Separate calendars will be provided and each branch will "know" which one to use.
Constraints	<p>Can only be run after completion of other linked processes:</p> <p>If anything in Suspense Account, must print off Suspense Report (reports what's in Suspense Account and all movements within period). This is still required. Currently asked if want to produce Consolidated SU non-value stock report – this is no longer required.</p> <p>Must be done by a Manager or Supervisor.</p>
Start up Conditions	Can only be run after completion of other linked processes. All stock units must have completed a final balance for current period.
Completion Conditions	Signed copy of report to be retained locally.

BT - 041	Fujitsu Services	The user will select the appropriate function which will display the Trial Trading Statement (as per outlined report) and this may be printed. When the user is content to confirm the position he will be presented with a textual message which describes the liability and responsibility which the postmaster is accepting. If the postmaster accepts this the system will record this action, print the Final Trading Statement and commit an event which identifies that the agent has produced the Trading Statement and accepted liability for the trading position.
----------	------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

BT - 043	Fujitsu Services	The confirmation event will be made available to the data warehouse to enable monitoring of who has and who hasn't done a trading statement. The "confirmation transaction" will not contain the constituent parts that make up the trading position.
	POL	

BT - 044	Fujitsu Services	A facility for different branches to operate on a different (four weekly) branch trading calendar, will be
----------	------------------	------------------------------------------------------------------------------------------------------------

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

		implemented, which branch is operating to which calendar is to be defined by reference data.
BT - 045	Fujitsu Services	The current functionality for extending accounting periods should be removed. The Horizon system should continue to remind users to roll-over the accounting period if they logon to a SU in the wrong Trading Period according to the calendar.
BT - 063	Fujitsu Services	The consolidated stock unit non-value stock report is no longer required and can be removed. The check to ensure that the consolidated stock unit non-value stock report is produced as part of end of period processing will also be removed.

10.1.6.7 Rollover Inactive Stock Units (A4.1.7.7)

Attribute	Description
Description	This is the mechanism for rollover all previous figures for stock units which have been inactive within the current period.
Trigger	User driven process
Automation	The user will select the appropriate function which will then identify all Stock Units for which there have been no transactions within the period and roll-over those stock units with all figures retained as at the end of the last period. As is current process and functionality.
Frequency	On a user chosen period but likely to align with the Monthly Trading Statement periods.
Constraints	As now
Start up Conditions	There must be inactive Stock Units which need to be rolled over into the next Trading Statement period.
Completion Conditions	Inactive Stock Units rolled over into the next Trading Statement period

10.1.6.8 Stock Revaluation (A4.1.7.8)

Attribute	Description
Description	This process informs users of upcoming revaluation of stock items. No particular actions need be taken by the branch to perform revaluation, since the price is only applied to the stock item at point of sale or stock adjustment. Transactions before revaluation will occur at the price before revaluation (re-pricing) and transactions performed after the revaluation (re-pricing) will occur at the new price. In general, it will be in the branch manager's interest to ensure stock levels are checked before revaluation (re-pricing).
Trigger	User driven process on instruction of revaluation.
Automation	The user is reminded, for a series of days, at logon of an upcoming revaluation (defined by Reference Data). The reminder will suggest that the branch manager checks stock and makes any adjustments prior to the price change
Frequency	Dependent on revaluation frequency, estimated annually for stamps.
Constraints	None

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Start up Conditions	Based on calendar of revaluation.
Completion Conditions	Revaluation completed.

BT - 046	Fujitsu Services	Revaluation functionality to be redefined such that the user is reminded, for a series of days, at logon of an upcoming revaluation (defined by Reference Data). The reminder will suggest that the branch manager checks stock and makes any adjustments prior to the price change
----------	------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

BT - 047	POL	Any non-value indicated items held as part of the balance figure (e.g. as Other Stamps) must be re-classified before implementation of this function (otherwise current revaluation functionality will be required)
----------	-----	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

10.1.7 Summarise Transaction Data

1. Scan Transaction for Day
2. Accumulate Transactions for Summarisation
3. Summarise Cash Centre Transactions

BT - 059	Fujitsu Services	There is a requirement to continue ensuring reconciliation between data flows which remain within the Fujitsu domain and ensuring that control totals are applied to any external interface to allow detection of file corruption. All these reconciliations should take advantage of the simplified process described in Section 21, Appendix C, of this document.
----------	------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

10.1.7.1 Scan Transaction for Day (A4.3.1)

Attribute	Description
Description	Determine the transactions to be included as part of the summarisation processing for the trading day. All counter transactions and events are to be included, including any new events arising from Branch Trading requirements.
Trigger	Timed event, as part of end of day processing.
Automation	Fully automated process
Frequency	Daily
Constraints	None
Start up Conditions	Trading Day completed.
Completion Conditions	All transactions for the Trading Day have been scanned.

10.1.7.2 Accumulate Transactions for Summarisation (A4.3.2)

Attribute	Description
Description	The purpose of this process is to summarise transactions at the required level of detail for each external data feed provided by the TMS.
Trigger	The triggers will be timed events.
Automation	The process is fully automated.
Frequency	Daily for POLFS, MIS and CTS

Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCEProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

	Weekly for SAPADS Monthly for HRSAP
Constraints	None
Start up Conditions	Process triggered.
Completion Conditions	All transactions for the Trading Day for each summarisation have been processed.

10.1.7.3 Summarise Cash Centre Transactions (A4.3.3)

Attribute	Description
Description	<p>This process takes a daily feed of transaction details and summaries from SAPADS for passing to POLFS and the MIS. It is based on the SAPADS to POLFS interface to be implemented at S60, with additional data relating to Cash Centre transactions with external clients.</p> <p>At S80, this interface will be routed via the TMS to allow details of cash centre transactions to be extracted and passed to the MIS.</p> <p>For further information regarding the data passed by this process see documents POL FS AIS & Horizon to POL Data Warehouse AIS.</p>
Trigger	Timed event – part of EOD processing
Automation	All aspects of this process are automated.
Frequency	Daily
Constraints	None
Start up Conditions	Daily SAPADS interface received.
Completion Conditions	SAPADS interface fully processed.

10.1.7.4 Deliver Data to External Systems

Attribute	Description
Description	<p>The data feeds provided by the TMS have differing timings and destinations. This process ensures that the data is delivered at the correct time to the required destination.</p> <p>POLFS Txn Summary – Daily, to be delivered to POL-FS.</p> <p>MIS – Daily, to be available on the FTMS .</p> <p>HRSAP –Monthly, to be FTPd to HRSAP</p> <p>SAPADS – Weekly, to be FTPd to SAP-ADS.CTS – Daily, to be available on the POL Gateway.</p>
Trigger	Timed events for each interface.
Automation	The process is completely automated.
Frequency	As defined above
Constraints	As defined within the appropriate AISs [Refs: ???]
Start up Conditions	System generated time based trigger
Completion Conditions	Interface files generated and transmitted

10.2 Business Data

10.2.1 Business Data Model

The Conceptual Design Product Description requires that a Business Data Model is included in this section. The model will be created in System Architect and is to show the logical model for the data that will be used in the physical design. The model will be a subset of the POL Corporate Data Model and be integrated with the POL master model repository. The model will be generated from a function/ activity to entity matrix captured in System Architect, which is to reference the Process Models developed during the Branch Trading workshops. The 'first cut' data model should be verified with the business representatives to ensure that the business rules and logic embodied within it are appropriate to the solution.

10.2.2 Reference Data Sources

NRDS to be the only source of Types A and B reference data to Horizon domain. Type A reference data is transmitted via the direct interface and implemented unchanged. Type B may be transmitted via the direct interface, or by other means, but must be "adjusted" before it can be implemented.

Type C reference data is managed wholly within the Horizon domain.

10.2.2.1 *Post Office™ Provided*

No Specific Requirements

10.2.2.2 *Supplier Provided*

No Specific Requirements

10.2.2.3 *Client Provided*

N/A

10.2.3 On-line Transaction Data (Authorisation/Messages etc)

None

10.2.4 Transaction Data

The following data should be output;

- Cash Centre Cash Holding Information
- Branch Cash Holding for Cash Planning
- Branch Cash Holding for POL FS

{DN :Further work in this area needs to be completed (define data flows)}

10.3 User Interfaces

Requirements for changes in user interactions are defined within the process flow diagrams within Section 8.

10.4 Reconciliation

Reconciliation is expected to change as defined within Section 10.1.1.3.

10.5 Audit

The audit requirement for TMS will remain unchanged with 7 years of data being archived and the same number of audit enquiries being available to POL.

10.6 Accounting Requirements

Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

10.6.1 Settlement

N/A

10.6.2 Invoicing

N/A

10.7 MI

10.7.1 Post Office™

N/A

10.7.2 Supplier

N/A

10.7.3 Client

N/A

11 Non-Functional Requirements

This section describes the non-functional characteristics that the Impact Programme and its supporting infrastructure must support. These include volumes, service and support management and failure recover and training.

11.1 Volumetrics

The volumes to be supported are specified in the Application Interface Specifications.

11.2 Sizing Assumptions

The following assumptions are to be made when assessing the impact of the Branch Trading facilities:-

- There will be no significant changes to the numbers of Transactions taking place within the branch
- The data retention period will be increased such that all trading data is available within the Branch for a minimum of 42 days. Note that this will have implications on the central data storage requirements.
- Summaries of all Transactions that take place in a branch need to be passed to POL FS on a daily basis.
- Summaries of all Transactions that take place in a branch need to be passed to HR SAP on a monthly basis.
- The size of each file is defined in the respective interface documentation (AIS)

BT - 049	Fujitsu Services	The data retention period will be increased such that all trading data is available within the Branch for a minimum of 42 days.
BT - 050	Fujitsu Services	The data retention period will be increased such that all trading data is available at the data centre for a minimum of 42 days.
BT - 051	POL	Process for recovery situations when the Branch is nearing, or has exceeded, 42 days since it produced the last Branch Trading Statement will be defined.

11.3 Service Levels

Service Levels to be based on current service levels with Counter and TMS being unchanged.

Help Desk service levels are also to be consistent with those being developed for S60 and will be developed as part of the Service Architecture being developed by Torstein Godeseth.

Data delivery service levels will be as follows:

- LFS – remains unchanged
- TMS - POL-FS – to be consistent with that being developed for S60
- Transaction Correction – to be like Planned Orders – 95% by 08.00 and 100% by 24.00 – both Day A
- TMS – MIS (SAPADS data) – by 05.00
- TMS – MIS (Horizon data) – by 03.00
- TMS – HRSAP 100% by 21.30 on Friday preceding weekend of pay run
- TMS (CTS file) – no SLA

11.3.1 Post Office™

No Specific requirements

11.4 Problem Management & Tracking

11.4.1 Incident Management

No specific requirements.

11.4.2 Branch Support

No specific requirements.

11.4.3 Client Support

No specific requirements.

11.4.4 Failure Recovery

No specific requirements.

11.4.5 Backup & Recovery

No specific requirements.

11.5 Business Continuity

No specific requirements.

11.6 Training

BT - 052	POL	Training will be required at the Branches in support of the new business processes, it is currently assumed that this will be provided by POL.
----------	-----	------------------------------------------------------------------------------------------------------------------------------------------------

11.7 Change Specific Non-Functional Requirements Required

Change Area	Non-Functional Considerations
A4.1.1.1 Perform Transaction Checks –Periodic. Change: Production of new reports and exception reports	Changes implemented in MIS systems no change at front end. Non-Functional and Migration requirements to be considered under the MI part of the Impact program.
A4.1.2.3 Produce Sales Report to Assist Remuneration Check. Change: Different sales report over different periods.	Performance - Current production not a problem in terms of performance. No perceived problems with increased times likely. Accessibility/Security – no change Usability – no change Data Retention- to match period of data held by Horizon Mitigation of failure – no change Auditability – no special requirements Legal & Regulatory - none
A4.1.5.1 Receive Automated Message Change: Reminders on Receipt/Delivery of Transaction Corrections	Performance – As for other logon reminders Accessibility/Security – no change Usability – no change Data Retention - to match period of data held by Horizon Mitigation of failure – no change Auditability – no change Legal & Regulatory – no change
A4.1.5.2 Handle Transaction Correction. Change: Management of Transaction Corrections, Implementation of corrective actions, etc.	Performance – no specific requirements over other Horizon functions Accessibility/Security – no change Usability – no change Data Retention - to match period of data held by Horizon Mitigation of failure – no change Auditability – no change Legal & Regulatory – no change

Doc Ref: BTRMC&TM-001

Conceptual Design

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

Change Area	Non-Functional Considerations
A4.1.6.1 Compare Generated with Actual Cash Held for Stock Unit. Change: Removal of ONCH declarations functionality, reminders on cash declarations.	Performance – no change Accessibility/Security – no change Usability – no change Data Retention - to match period of data held by Horizon Mitigation of failure – no change Auditability – no change Legal & Regulatory – no change
A4.1.6.2 Create Variance Report. Change: Implementation of new report – format to be defined, complexity may affect usability of report produced – may need to re-format to simplify.	Performance – no change Accessibility/Security – no change Usability – no change Data Retention - to match period of data held by Horizon Mitigation of failure – no change Auditability – no change Legal & Regulatory – no change
A4.1.7.1 Make Good any Outstanding Variances. Change: Changes to Suspense Account products.	Performance – no change Accessibility/Security – some / all of these postings should be restricted to the Manager roles (i.e. manager/ supervisor/ auditor/ emergency manager). Which particular functions have such restrictions as defined in process descriptions in Section 10. Usability – no change Data Retention - to match period of data held by Horizon Mitigation of failure – no change Auditability – no change Legal & Regulatory – no change
A4.1.7.2 Stock Checking. Change: Removal of value information on Stock reports	Performance – no change Accessibility/Security – no change Usability – no change Data Retention - to match period of data held by Horizon Mitigation of failure – no change Auditability – no change Legal & Regulatory – no change
A4.1.7.3 Produce Trial Balance. Change: Change in reports to exclude stock in balance.	Performance – needs to be reviewed not perceived to be a problem at the moment Accessibility/Security – no change Usability – no change Data Retention - to match period of data held by Horizon Mitigation of failure – no change Auditability – no change Legal & Regulatory – no change
A4.1.7.4 Investigate Balance Discrepancies. Change: No change.	Performance – needs to be reviewed not perceived to be a problem at the moment Accessibility/Security – no change Usability – no change Data Retention - to match period of data held by Horizon Mitigation of failure – no change Auditability – no change Legal & Regulatory – no change
A4.1.7.5 Produce Final Balance. Change: Functionality to control not being able to complete Trading Statement with variances.	Performance – needs to be reviewed not perceived to be a problem at the moment Accessibility/Security – no change Usability – no change Data Retention - to match period of data held by Horizon Mitigation of failure – no change Auditability – no change Legal & Regulatory – no change
A4.1.7.6 Produce and Confirm Trading Statement. Change: New Report, change in electronic confirmation functionality	Performance – needs to be reviewed not perceived to be a problem at the moment Accessibility/Security – only accessible by manager/supervisor/auditor/emergency manager as current cash account function. Usability – no change Data Retention - to match period of data held by Horizon Mitigation of failure – no change Auditability – no change

Doc Ref: BTRMC&TM-001

Conceptual Design

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

Change Area	Non-Functional Considerations
	Legal & Regulatory – no change

12 Technical Requirements

12.1 Architecture Principles

12.1.1 Application

No specific requirements.

12.1.2 Resilience

No specific requirements.

12.1.3 Performance

No specific requirements.

12.1.4 Communications

No specific requirements.

12.2 Architecture Building Blocks

12.3 Architecture Components

12.4 Integration & Interfaces

13 Security Requirements

Role based access required to system functionality as specified within Section 10.1.

13.1 Security Policy

The security requirements are as outlined in the PO Ltd IS Security approach. This assesses each component and produces a security classification.

13.2 Physical Security

No specific requirements.

13.3 Technical Security

No specific requirements.

13.4 Implementation & Development Security

No specific requirements.

13.5 Security Management

No specific requirements.

13.6 Security Testing

No specific requirements.

14 Deliverables / Work Packages

14.1 Post Office™

The conceptual design document.

Associated work packages.

Updated AIS / TIS for those items identified in Section 14.4 below

14.2 Fujitsu Services

14.2.1 Development

Fujitsu services should develop a design proposal to meet the requirements set out in this document and provide the post office with a commercial proposal which will specify the costs, time-scales and resource implications for progressing to the solution build and test stage, and the implementation and rollout stage. It is understood that a single design proposal should be produced for all requirements except those identified within Section 21, Appendix C.

A commercial proposal for the requirements identified within Section 21, Appendix C should be produced as agreed in the Schedule 12 proposition letter signed by Fujitsu Services and Post Office Ltd. 26/3/2004. Fujitsu Services will develop separate Design Proposals to meet these requirements.

14.2.2 End to End Integration, Testing and Acceptance

Fujitsu services will assist with End to End integration, testing and acceptance.

Post Office will determine how this task is carried out and the requirement for supplier support will be specified in a separate document.

14.2.3 Managed Service

Fujitsu Services shall provide service support for the branch trading application.

14.2.4 Documentation

Fujitsu Services shall update relevant current and produce any new contract controlled documents in support of the branch trading application.

14.2.5 Internal Processes & Procedures

Fujitsu Services shall update where necessary, any internal processes & procedures, in order to support the branch trading project.

14.3 Prism

14.3.1 High Level Solutions Design

- Assuming that processes associated with the central correction of Non-Accounting Data will be supported by central systems (to be defined) but that any correction required in Horizon will be effected by the same Transaction Correction mechanism as is to be used for Accounting Data.
- Assuming that processes required to support central reporting and investigation of branch anomalies is being addressed via the Management Information Work Stream and that no support from Horizon systems is required.

14.3.2 Internal Processes & Procedures

14.4 AISs

The following AISs will be produced to support the IMPACT R3 Branch Trading Requirement defined in the CD:

- SAP ADS to Horizon

Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCEProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

- POL FS to Horizon
- Horizon to POL FS
- Horizon to HR SAP
- Horizon to Sales MI
- Reference Data to Horizon
- External Sources to Horizon TMS (just CAPO)
- Horizon TMS to External Sources (many)

14.5 Reference Data Changes

BT - 053	POL	<p>New data structures and data items are required to support the overall Branch Trading objectives. These are:</p> <p>To control the trading statement</p> <ul style="list-style-type: none"> • Trading calendar and periods • Trading Statement Indicator <p>To ensure correct summarisation for SAPHR</p> <ul style="list-style-type: none"> • Agent Contract Types • Remuneration Summarisation Timetable • Remuneration calendar • Remuneration groupings <p>To ensure correct allocation to suspense</p> <ul style="list-style-type: none"> • Suspense products • Suspense products to branch • Suspense products minimum values <p>To ensure correct accounting in POLFS</p> <ul style="list-style-type: none"> • POLFS materials and clients mapped to Horizon products <p>To enable monitoring of transaction corrections</p> <ul style="list-style-type: none"> • Automated Message Receipt Prompt (Type C) <p>To ensure distinction between a sale value and a loss value for stock items</p> <ul style="list-style-type: none"> • Stock Loss Value <p>To monitor the revaluation process</p> <ul style="list-style-type: none"> • Revaluation date
BT - 055	POL	<p>There is a requirement to control all items of stock. This will be achieved through reference data by defining as controlled products those products which are currently non-value products</p>

15 Planning

15.1 Timescales

15.2 Dependencies

The business change plan needs to include activities to introduce the following capabilities by the time that the IMPACT R3 Branch Trading functionality is introduced to the businesses:

- to introduce functionality to support POL requirements for rota check processes designed to identify unexpected branch trading patterns together with the support for the required processes to support investigations into detected instances of these unexpected trading patterns. This activity is required to be completed prior to the introduction of IMPACT R3 functionality at S80
- review of Horizon products targeted for support at S80 to identify and introduce:
 - an appropriate set of product specific range checks to cover client and POL requirements. It is envisaged that this activity will involve definition and introduction of the reference data required to implement the required range checks and can be achieved using existing Horizon functionality. This activity is required to be completed prior to S80 introduction
 - price to be used when accounting for stock adjustments. This activity requires an extension to the product reference data definition to accommodate this additional information. This activity is required to be completed prior to the introduction of the associated IMPACT R3 functionality at S80
 - stock that is to be controlled by Horizon (i.e. Horizon non-value stock that needs to be made Horizon value stock). Changes introduced will need to be accompanied with changes to the accounting hierarchies to reflect the required accounting action for each product/controlled stock item. This activity is required to be completed prior to the introduction of the associated IMPACT R3 functionality at S80
- confirm requirements and establish IMPACT R3 feeds to Post Office Financial Risk Model to replace existing feeds from Intellect and other legacy systems

16 Acceptance

Refer to Acceptance Process CCD PA/PRD/013

Acceptance takes place upon determining that the solution is fit for purpose. Acceptance for each Requirement will be conducted by one or more of the following methods: -

1. Document Review (DR)
Requirements that cannot be objectively verified by a test of the Work Package solution may be satisfied by PO undertaking a Document Review. The outcome of any such review will be documented by PO in the Document Review report.
2. Design Walkthrough (DW)
Requirements may be satisfied by PO evidencing a Design Walkthrough of the Fujitsu Services Design as specified in the Design Proposal. The outcome of any such design walkthrough will be documented by PO in the Design Walkthrough report.
3. Fujitsu Services Test (FST)
Tests that are run and managed by Fujitsu Services for the purpose of verifying that a Fujitsu Services Work Package satisfies the Work Package Acceptance Criteria. Fujitsu Services shall produce a test report presenting the results of the tests. The assessment of the results of these tests will be by inspection carried out by Fujitsu Services or jointly with PO, in conjunction with the Acceptance Criteria.
4. PO (E2E) Test (POT)
Tests that are run and managed by PO (which in terms of the scope of this document), are for the purpose of verifying in terms of the E2E solution, Acceptance Criteria have been met. PO shall provide appropriate evidence to FS, if any non-compliances are identified.
5. Monitoring (M)
PO shall specify any requirement beyond the level of support that Fujitsu Services are required to provide under normal operational practice (such as a report etc). Typically the duration of this requirement may be of the order of one month and no greater than 3 months, but in any event to be agreed in advance between PO and FS.
6. Statement of Fact (SOF)
Where the solution to a Requirement is self-evident and does not lend itself to formal proving.
7. Statement of Obligation (SOO)
Relates to requirements that represent either:
 - An existing Fujitsu Services obligation or
 - Agreed additional Fujitsu Services obligation (to be recorded subsequently as an amendment to the contract clauses, schedules, or contract controlled documents)
8. Other
 - Used by exception, to be agreed between the parties

The Acceptance Method for each Requirement is indicated against it in **Appendix A**

17 Testing

Refer to Testing CCD VI/STR/064

NB: E2E references within this section refer to end-to-end (E2E) testing and not the E2E Programme (former name for IMPACT).

17.1.1 Testing Statement

The testing plan will be based around the following PO Ltd testing statement

Testing will be able to confirm the acceptance criteria for some requirements have been met during the various test phases. The criteria and the targeted test phase for the requirements statements (as detailed in this section) will be added at a subsequent release of this document. The testability of the acceptance criteria should be assessed by the testing team during the Requirements reviews.

An appropriate Test Strategy will be developed to reflect the release contents.

This will include some or all of the following testing phases.

17.1.2 Internal Functional Testing

Gaining assurance of main suppliers internal functional testing via :-

COMMERCIAL IN CONFIDENCE

- Review suppliers internal test plans/ scripts for completeness
- Review suppliers internal test results / progress reports
- Review suppliers internal testing fault logs for impact

17.1.3 Non Functional Testing

Due to the nature of this type of testing the aim would be to achieve this via engagement with the supplier in:-

- Supplier document reviews
- Review of supplier test plans / scripts for completeness
- Witness specific key tests during a supplier testing cycle
- Review supplier test results
- Review supplier test fault logs for impact

17.1.4 Interface Testing

Lead or Support Suppliers through the execution of Direct Interface testing between two suppliers e.g. Lead Horizon to SAP/ADS

- Review or develop and agree Interface scripts between two supplier domains
- Support or co-ordinate set – up of test environments
- Support or co-ordinate the provision of Required Ref. Data
- Support or execute where appropriate the tests
- Review the test results including any faults

17.1.5 E2E Integration Testing

This phase is where POL would lead, supported by suppliers, in demonstrating the successful connection of all the appropriate systems (test versions) in the releases E2E solution including carrying out some E2E test transactions to confirm the readiness to enter the POL E2E functional testing cycles.

17.1.6 E2E Functional Testing

This phase is where POL would lead, supported by suppliers, in demonstrating through short “days in the life of the POL business” cycles that the revised systems interact correctly in an E2E manner and with the revised business process and procedures.

This is also to assure POL that the changes to current systems and the introduction of new systems has not impacted upon the businesses operation including E2E financial aspects (accounting, reconciliation, settlement, remuneration) have been and can maintained during live operation. E2E Management Information is maintained or new information reflects the requirements and business needs.

Successful completion of this phase would lead to the introduction into the live environment via one or more of the following:-

- a pre-pilot (transactions carried out in the passive Post Office)
- pilot (small number of outlets)
- go-live.(rolled out to the full estate)

17.1.7 Pre-Pilot

This final testing phase is whereby a “live” Post Office is used to test that the connectivity of the live E2E systems has been achieved and that a small number of transactions representing the changes can be carried out and report correctly in accounting and management information terms.

Completion of this final phase should be the point of hand-over to the Implementation team / phase.

18 Implementation & Migration

This section documents an initial analysis of implementation and migration requirements. The detailed requirements will be developed as part of a separate work stream.

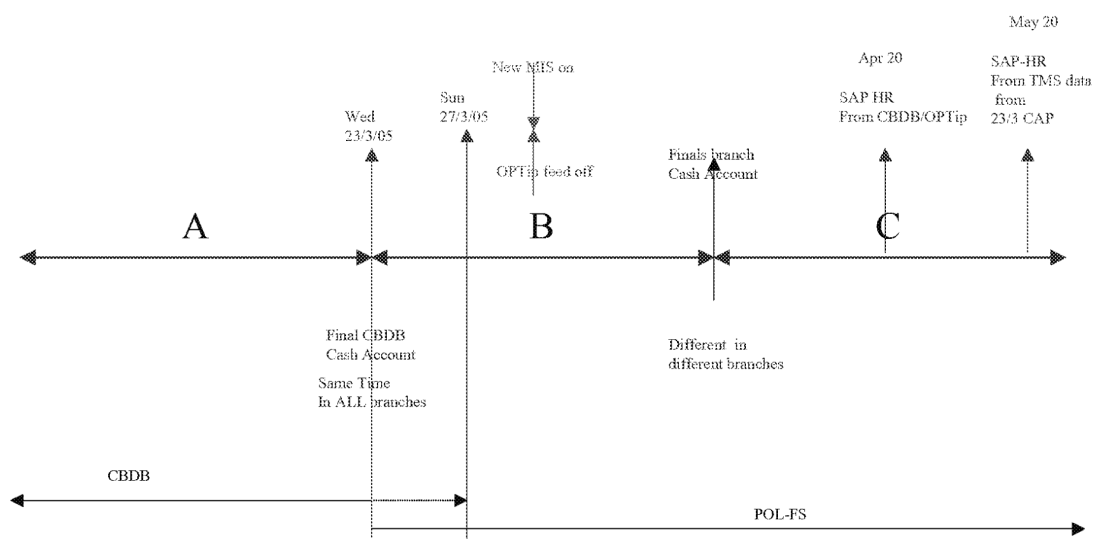
18.1 Migration Principles

The following principles define the overall migration approach:

- Final Accounting CAP on Wednesday before end of final accounting period on CBDB
- All branches start to feed POL-FS on same trading day (i.e. the next day)
- Stock in hand and Suspense in hand migrates at day following final accounting CAP
- CBDB balances migrate to POL-FS completely as at the period end

18.1.1 Migration Timeline

The diagram below shows the major events within the migration.



This shows three separate phases during the migration process:

- A: This is the time from when the branch migrates to include support for the functionality described in this CD until the final Cash Account that is to be processed by CBDB. The diagram shows that as being 23/3/05, however the exact date will be decided nearer the time. It is required to be a Wednesday (since Cash Accounts change on a Wednesday) and it should also be the Wednesday immediately prior to a Post Office Ltd Month End.
- B: This is the period when POL FS will be providing the central support for the Financial systems, however the branches will still be operating most of the current processes
- C: This is when the branches switch to using Branch Trading statements rather than the current Cash Accounts.

Other points to note from the diagram:

- During period B, the first time that the Summarisation process operates to pass data to POL FS, it is necessary to ensure that the Opening Position is correctly passed across to POL FS. This Opening Position should be based on the closing levels reported in the Final Cash Account sent to CBDB. All transactions from the point at which the Final cash account was taken must be identified and their effect passed to POL FS even if they took place in earlier Trading Days so that there are no Transactions not accounted for in either CBDB or POL FS
During period B there will still be cash account information coming from some branches (following non-polling) which will need to be sent to CBDB. In order to support this, the existing interface to OPTIP will need to be maintained during this period. Once all Final Cash Accounts have been sent through, it is then possible to switch off the feed to OPTIP and to replace it with an enhanced data feed to MIS. The completion of final cash accounts will be monitored from OptIP data.
- The switch from phase B to phase C need not take place at the same time in all branches. This will allow the new processes to be piloted. A "soft launch" mechanism is required to enable the rolling over of a Cash Account to result in the migration of Stock Units and the branch into the new way of working (i.e. moving from phase B to phase C).
- CBDB will pass data to HR SAP covering the period up until the final Cash Account (i.e. the end of phase A). This means that the first run of data from TMS to HR SAP will probably be nearly 2 months after the move from Phase A to Phase B.

18.2 Migration Requirements

Change Area	Migration Approach/Requirements
A4.1.1.1 Perform Transaction Checks –Periodic. Change: Production of new reports and exception reports.	Changes implemented in MIS systems no change at front end. Non-Functional and Migration requirements to be considered under the MI part of the Impact program.
A4.1.1.3 Automated Reconciliation. Change: Move from APS/TPS to TMS	Requirements to be defined as part of migration work stream.
A4.1.2.3 Produce Sales Report to Assist Remuneration Check. Change: Different sales report over different periods.	Could be implemented at any time, would be beneficial to be implemented in period A. No need for soft launch.
A4.1.5.1 Receive Automated Message. Change: Reminders on Receipt/Delivery of Transaction Corrections.	Needs to be implemented from the beginning of point B, can be implemented, but not used, from commencement of implementation. Need to consider mapping Transaction Corrections transactions to the cash account during Period B.
A4.1.5.2 Handle Transaction Correction. Change: Management of Transaction Corrections, Implementation of corrective actions, etc.	Needs to be implemented from the beginning of point B, can be implemented, but not used, from commencement of implementation. Need to consider mapping Transaction Corrections transactions to the cash account for during Period B. Although branches may still be doing cash accounts, the moment that CBDB is ceased no cash account errors should be brought to account and the facility to do this should be removed. Manual processes will be set up to deal with this in POL-FS. Error Notices buttons to be removed at switch over from Period A to Period B, after which process is for outstanding Error Notices to be converted to Transaction Corrections.
A4.1.6.1 Compare Generated with Actual Cash Held for Stock Unit. Change: Removal of ONCH declarations functionality, reminders on cash declarations.	During period A, implemented at implementation of S80. Day 1 Period A.
A4.1.6.2 Create Variance Report. Change: Implementation of new report – format to be defined, complexity may affect usability of report produced – may need to re-format to simplify.	During period A, implemented at implementation of S80. Day 1 Period A.
A4.1.7.1 Make Good any Outstanding Variances. Change: Changes to Suspense Account products.	Prior to going live with S80 there will be known and unknown values in Suspense. The known (or legitimate) items should be mapped across to the new suspense products so that they can appear in the new account. For the unknown suspense items, these should not be taken across, but we would like the values to be mapped onto the Cash variance Report so that they appear as shortages/surplus and will then be dealt with by the new processes. These shortages/surpluses should be identified as a result of this migration mapping. At commencement of Period C. Need to clear any values out of the discrepancy product. Need to consider what to, how and when (during the first balance of Period C)?
A4.1.7.2 Stock Checking. Change: Removal of value information on Stock reports	Implemented at commencement of Period C. Transfer of Non-value stock to be controlled stock, implemented during Period C. Need to consider how to obtain opening balances. Back end controls for process manual returns need to continue until this is completed.
A4.1.7.3 Produce Trial Balance. Change: Change in reports to exclude stock in balance.	Implemented at commencement of Period C. Must be able to correlate brought forward figure to carried forward items on old style reports.
A4.1.7.4 Investigate Balance Discrepancies. Change: No change.	
A4.1.7.5 Produce Final Balance. Change: Functionality to control not being able to complete Trading Statement with variances.	As for trial balance
A4.1.7.6 Produce and Confirm Trading Statement. Change: New Report, change in electronic confirmation functionality	Implemented at commencement of Period C. Must be able to correlate brought forward figure to carried forward items on old style reports.

Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

19 Appendix A – Requirements Catalogue

Gaps in the requirement numbers represent requirements that have been removed, and the numbering has been retained for clarity.

Req ID	Supplier	Description	Acceptance Criteria	Acceptance Method
BT - 001	Fujitsu Services	Production of a balance report for a stock unit must be possible to be produced within 5 times the current production time for a stock unit with a busy transaction profile, long trading statement period	The time taken to produce balance reports for a stock unit with an agreed transaction profile will be tested on the previously released system. The time taken for the new balance reports to be produced for a stock unit with the same agreed transaction profile for a 5 week trading period will be tested on the system developed for this release. This time will not be greater than 5 times the time taken in the previous test.	FST
BT - 002	Fujitsu Services	Functionality not specifically identified to be changed within this document must not be affected to degrade the existing service provided by the Horizon system.	The agreed set of regression tests will establish that there is no deviation of conformance to requirements, for the areas not affected by this development, from that provided by the previously released system.	FST
BT - 003	POL, Fujitsu Services, PRISM	Migration to POL-FS must occur at the end of a financial period.	None	SOF
BT - 004	POL	It will be verified that branch processes and reporting changes meet legal and regulatory financial reporting constraints (e.g. auditors) to ensure that there is sufficient information from the new system to support regulatory reporting, litigation and criminal prosecution.	POL will identify all legal and regulatory financial reporting constraints that the Branch Trading developments will comply with. POL will review this Conceptual Design document against any identified constraints.	DR
BT - 006	Fujitsu Services	A new trial balance report will be produced, the content and format of which will be as specified in Appendix B of this document	Tests will verify that the trial balance report is produced with the content and format as specified in Appendix B of this document.	FST
BT - 007	Fujitsu Services	The content and format of trial and final balance reports will be altered as specified in Appendix B of this document	Tests will verify that the trial and final balance reports are produced with the content and format as specified in Appendix B of this document.	FST
BT - 008	Fujitsu Services	A new trading statement report will be produced, the content and format of	Tests will verify that the trading statement report is produced with the content and format as specified in Appendix B of this	FST

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Req ID	Supplier	Description	Acceptance Criteria	Acceptance Method
		which will be as specified in Appendix B of this document	document.	
BT - 009	Fujitsu Services	A new variances report will be produced, the content and format of which will be as specified in Section 20.2 in Appendix B of this document	Tests will verify that the variances report is produced with the content and format as specified in Appendix B of this document.	FST
BT - 010	POL	A review of which periodic checks are to be made, with which parameters, on data within Management Information systems must be made.	POL will review the IMPACT-POL-FS Conceptual Design to verify that requirements for periodic checks are captured.	DR
BT - 011	POL	A review of parameters, defined through reference data, for control and management of data entry at the counter, is to be made. Any changes to reference data must be implemented prior to removal of current CBDB range check processes.	A document of the findings of the review of reference data parameters will be produced and reviewed to ensure that it puts in place controls to replace all CBDB range checks that can be replaced by this method. Existing processes for transferring, testing and implementing new reference data to the Horizon counter will be used to make any identified changes.	DR SOO (existing)
BT - 012	POL	A revised end of day procedure will be defined, identifying which summaries must be produced at end of day. The buttons on the "Counter Daily" menu will be reviewed accordingly. The revised list of items will be defined in reference data for display when the "End of Day" button is pressed on Horizon.	A document of the findings of the review of end of day procedures will be produced and reviewed to ensure that it all processes which must be performed on a daily basis within the branch. Existing processes for transferring, testing and implementing new reference data to the Horizon counter will be used to make any identified changes.	DR SOO (existing)
BT - 014	POL	A revised end of period (probably weekly) procedure will be defined, identifying which summaries must be produced at end of period.	POL will re-write the office procedures documentation to identify which reports and summaries must be produced with which periodicity. POL will review the office procedures documentation to ensure that sufficient guidance is given to counter staff.	DR
BT - 015	POL	The list of summaries will be reviewed and classified as mandatory and optional. Business rules for content on optional summaries will be defined. As either: <ul style="list-style-type: none"> Summary of transactions of type since last cut off, whether cut-off is in this trading period or last. Summary of transactions of type since last cut off, if cut off in this trading period, but only summary of transactions of type since start of trading period if last cut-off was in previous trading period 	POL will review the list of summaries to be produced on a periodicity other than daily and will document which types are to be produced on what periodicity. Those summaries which involve a cut off will also be reviewed to identify how the summaries should appear. POL will review the documentation of this review to identify if the summaries currently produced are required to change. (Note it is assumed that summaries will not be changed)	DR
BT - 016	Fujitsu Services	Functionality to allow entry of date range on the of Sales Report to be produced will be implemented within Horizon, the system will verify that a valid date range has been entered, If invalid it will allow re-entry, if valid it will produce the existing sales report but with data covering the specified date	It will be tested that a date range can be entered and a sales report matching the existing content and format of the sales report as defined within the "Horizon OPS Reports and Receipts" document (Ref SD/DES/005) is produced.	FST

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Req ID	Supplier	Description	Acceptance Criteria	Acceptance Method
BT - 019	POL	range. Business procedures for entering non-accounting data, identifying what data and when, will be produced.	POL will re-write the office procedures documentation to identify which non-accounting data must be entered with which periodicity. POL will review the office procedures documentation to ensure that sufficient guidance is given to counter staff.	DR
BT - 021	POL	Business procedures for entering bulk data, identifying what data and when, will be produced.	POL will re-write the office procedures documentation to identify which bulk data must be entered with which periodicity. POL will review the office procedures documentation to ensure that sufficient guidance is given to counter staff.	DR
BT - 022	POL	The existing products will be reviewed for opportunities to capture additional data at the point of sale, removing needs to manually record transaction data. The review will analyse, and if necessary, renegotiate client reporting requirements.	POL will review the existing products for which data is captured on non-system means (e.g. paper), identifying opportunities to remove non-system data capture and transfer. The review documentation will be reviewed to ensure that all opportunities that could be taken to eliminate non-system based data capture have been taken.	DR
BT - 023	POL	New and replacement products will be implemented using existing system capabilities.	POL will review documentation, produced by POL, Sales and Marketing, for all proposed new and replacement products to ensure that the proposals utilise existing functionality.	DR
BT - 024	Fujitsu Services	A user with the appropriate role will be informed, at log on, that there are outstanding Transaction Corrections awaiting processing, whenever there are any.	It will be tested that whenever a user with the role of Manager or Supervisor logs onto the system and there is an outstanding Transaction Correction to be processed within the branch that the message, to be defined within the Branch Trading Counter Dialogues documentation, is presented to the user.	FST
BT - 025	Fujitsu Services	There will be a button for Transaction Correction Management within the menu hierarchy which is only accessible by users with the appropriate role. This will provide the user with a list of the unprocessed Transaction Corrections, displayed in date/time order. Having selected the Transaction Correction to process, the system will display text making clear what will happen when they select any of the options presented, the user should be able to print the details of the transaction correction at this point in order to consider its implications before invoking it. For each Transaction Correction the user will have up to three options – Each option, when selected, will perform an identified set of transactions, defined within the Transaction Correction. (this may include an option to Do Nothing (requesting further investigation)).	It will be tested that the functionality for accessing and managing Transaction Corrections is carried out to conform to the definition within the Branch Trading Counter Dialogues documentation.	FST
BT - 026	Fujitsu Services	At the end of performing a cash declaration, in a shared stock unit, the system will enter, if the user chooses to, the cash discrepancies function to support	It will be tested that after making a cash declaration the user is given the option to enter the cash discrepancies function.	FST

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Req ID	Supplier	Description	Acceptance Criteria	Acceptance Method
		the identification of any variance.		
BT - 028	Fujitsu Services	Reminders for ONCH function to be performed at log on if not performed previous day will be removed and, instead, the system will remind users to perform cash declaration function if it has not been performed on the previous day, but this may be declined.	It will be tested that when the user does not perform a cash declaration on one day, at log on at the following day the user will be reminded and given the option to make the declaration at that time. It will be tested that that option can be declined is the user wishes not to make a declaration/	FST
BT - 029	Fujitsu Services POL	When the cash declaration has been made the figures for denominational split will be passed to SAP-ADS as if an ONCH declaration had been performed.	It will be tested that denomination cash holding data from cash declarations is used to populate the Horizon – SAP-ADS interface as defined within the Horizon – SAP-ADS AIS documentation. Tests will verify that denomination data can be read and used by SAP-ADS cash planning functions in place of the ONCH data it previously received, as defined within SAP-ADS testing documentation.	FST POT
BT - 030	Fujitsu Services	A new function will be made available to provide the variance report to the defined content and format	It will be tested that users can initiate the production of the Variance Report and that when produced the report has the content and format as defined in Appendix B of this document.	FST
BT - 031	POL	A review of vouchers remitted from the branch will identify which dockets will need to be treated via which adjustment products.	POL will review the vouchers remitted from branches to identify which mechanisms are to be used to account for the values those vouchers represent. POL will review the documentation produced by the review to ensure that all vouchers, where possible, are replaced by accounting mechanisms.	DR
BT - 032	Fujitsu Services	A new function for recording a "make good" action will be made available this will allow the user to enter the amount made good. It will record the amount made good, making a new declaration for cash by altering the previous declaration by the amount made good. Amounts made good will be reported on variance reports, balance reports and trading statements.	It will be tested that users can initiate a make good transaction and that when performed that the previous declaration will be adjusted to correct the previous declaration of cash by the amount made good. It will also be tested that when an amount is made good then this amount is displayed in variance reports, balance reports and trading statement reports subsequently produced.	FST
BT - 034	POL	A process for applying for hardship will be defined to allow a branch manager to make alternative arrangements for when a variance cannot be made good immediately. Variances will be held whilst the application is processed, this may extend the Trading Period. Approved hardship amounts will appear as Transaction Corrections	POL will produce a procedure definition for applying for hardship loans/treatments for when the branch manager wishes to make good losses in the branch accounts but is not readily able to do so. The documented definition will be reviewed to ensure that the process will quickly and effectively generate the Transaction Corrections needed to allow the branch to complete the Branch trading Statement.	DR
BT - 035	POL	Reference Data will be edited to limit the suspense accounts available within	A document of the findings of the review of suspense	DR

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Req ID	Supplier	Description	Acceptance Criteria	Acceptance Method
		branches to the limited "known errors" set.	accounts reference data parameters will be produced and reviewed to ensure that it limits the use to an acceptable set of suspense products. Existing processes for transferring, testing and implementing new reference data to the Horizon counter will be used to make any identified changes.	SOO (existing)
BT - 036	Fujitsu Services	Adjustments in stock (whether identified via adjustments or stock declarations) should be adjusted at the adjustment price whenever defined in reference data.	It will be tested that ,when an adjustment price is defined within the reference data for a product, that an adjustment of the stock holding by one unit of that item will make an alteration in the cash position equal to the adjustment price of that item.	FST
BT - 037	Fujitsu Services	Report will be redefined without stock values as defined in Section 20.7 in Appendix B of this document	Tests will verify that the Office Snapshot report is produced with the content and format as specified in Appendix B of this document.	FST
BT - 038	Fujitsu Services	A new check is to be introduced after producing the Trial Balance (i.e. when the "rollover" button is pressed prior to producing the Final Balance). This check will act as follows: 4. If it isn't the last Stock Unit to rollover, and there is a Cash Discrepancy, the clerk will be advised that the Discrepancy is to be posted to a "local adjustments" account. They have the option of accepting or rejecting this action. d. Should they accept it, then a pair of transactions will be generated resulting in the Discrepancy being reduced to zero and a corresponding amount being put into a "local adjustments product". e. Should they reject it, then the rollover is aborted and the clerk is free to do whatever they wish to balance the Stock Unit and will then need to balance the Stock Unit again at a later time. f. The "local adjustment" is not associated with any Stock Unit (as with a Suspense account). Items can be added	Tests will verify that stock units trying to balance will display the behaviour as documented within this requirement.	FST

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Req ID	Supplier	Description	Acceptance Criteria	Acceptance Method
		<p>to it by any clerk, but only as part of the Balancing Process. Managers / Supervisors will be able to move items from it into cash in their SU to be Made Good.</p> <p>5. If this is the last Stock Unit to Rollover an additional check will be performed to ensure that the net total of transactions, within the Trading Period, in the "local adjustment" account has a net value of zero.</p> <p>6. If this is the last Stock Unit to Rollover, then the user will be informed if the Stock Unit has a Discrepancy and that this must be resolved before the last Stock Unit can be rolled over.</p> <p>Local Adjustment will behave in a similar way to existing Suspense Account items, namely the values will not be associated with any Stock Unit, but is considered as part of the overall Branch balance.</p>		
BT - 039	Fujitsu Services	There is an existing report that shows the state of all suspense accounts and all Transactions associated with the suspense accounts during the Trading Period, indicating which Stock Unit carried out the Transaction. It is proposed that Local Adjustment transactions are included in this report as with any other Suspense transactions	It will be tested that when cash discrepancies are corrected via the local adjustment method, as described within requirement BT – 038, that transactions to and from this local adjustment account appear on the suspense account summary report.	FST
BT - 040	Fujitsu Services	Horizon should be changed such that only Supervisors and Managers (etc) will be allowed to carry out Suspense Transactions. The only exception to this will be the automatic posting of Discrepancies to Local Adjustment.	It will be tested that only users with Manager or Supervisor roles are able to perform transaction with suspense account products. All users will be able to make adjustments to Local Adjustment through rolling over a trial balance, as described within requirement BT – 038.	FST
BT - 041	Fujitsu Services	The user will select the appropriate function which will display the Trial Trading Statement (as per outlined report) and this may be printed. When the user is content to confirm the position he will be presented with a textual message which describes the liability and responsibility which the postmaster is accepting. If the postmaster accepts this the system will record this action, print the Final Trading Statement and commit an event which identifies that the agent has produced the Trading Statement and accepted liability for the trading position.	Tests will verify that when using the system to produce the Branch Trading statement the system display the behaviour as documented within this requirement.	FST
BT - 043	Fujitsu Services	The confirmation event will be made available to the data warehouse to enable monitoring of who has and who hasn't done a trading statement. The	Tests will verify that the action of producing the Branch Trading Statement produces an event within the Horizon	FST

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Req ID	Supplier	Description	Acceptance Criteria	Acceptance Method
	POL	"confirmation transaction" will not contain the constituent parts that make up the trading position.	system, which can be reported on the User Events Log, and the existence of which is used to populate the Horizon – MIS interface as defined within the Horizon – MIS AIS documentation. Tests will verify that events data used to populate the Horizon – MIS interface can be read by the MIS system and is reported in reports in which the data should be reported, as defined within MIS system testing documentation.	POT
BT - 044	Fujitsu Services	A facility for different branches to operate on a different (four weekly) branch trading calendar, will be implemented, which branch is operating to which calendar is to be defined by reference data.	It will be tested that a calendar of Branch Trading Statement production dates can be implemented such that the system will warn users when the production of the Branch Trading Statement is overdue.	FST
BT - 045	Fujitsu Services	The current functionality for extending accounting periods should be removed. The Horizon system should continue to remind users to roll-over the accounting period if they logon to a SU in the wrong Trading Period according to the calendar.	Tests will verify that the Horizon system continues to provide the warning to users at log on whenever the stock unit has not rolled into the correct Trading Statement period according to the calendar. The warning will be as defined within the agreed Counter Dialogues documentation.	FST
BT - 046	Fujitsu Services	Revaluation functionality to be redefined such that the user is reminded, for a series of days, at logon of an upcoming revaluation (defined by Reference Data). The reminder will suggest that the branch manager checks stock and makes any adjustments prior to the price change	Tests will verify that reminders are given to users at log on to remind users when a product is about to be revalued. The reminders are to be as defined within the agreed Counter Dialogues documentation.	FST
BT - 047	POL	Any non-value indicated items held as part of the balance figure (e.g. as Other Stamps) must be re-classified before implementation of this function (otherwise current revaluation functionality will be required)	POL will review the products currently classified as "Other Stamps" within the Horizon system to ensure that only value indicated items (e.g. 2p stamp) appear within this classification. Any non-value indicated items will be reclassified Existing processes for transferring, testing and implementing new reference data to the Horizon counter will be used to make any identified changes.	DR SOO (existing)
BT - 049	Fujitsu Services	The data retention period will be increased such that all trading data is available within the Branch for a minimum of 42 days.	Tests will verify that all trading data is retained by the Horizon counter system for a minimum of 42 days.	FST
BT - 050	Fujitsu Services	The data retention period will be increased such that all trading data is available at the data centre for a minimum of 42 days.	Tests will verify that all trading data is retained by the Horizon data centre systems for a minimum of 42 days.	FST
BT - 051	POL	Process for recovery situations when the Branch is nearing, or has exceeded,	POL will identify and document procedures for trying to	DR

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Req ID	Supplier	Description	Acceptance Criteria	Acceptance Method
		42 days since it produced the last Branch Trading Statement will be defined.	ensure that the Branch Trading Statement is produced within 42 days since the last, and if not, how to produce the Branch Trading Statement. POL will review this procedures document to ensure that the business can proceed through such events.	
BT - 052	POL	Training will be required at the Branches in support of the new business processes, it is currently assumed that this will be provided by POL.	POL will document the many changes arising from this project. POL will review this documentation to ensure that sufficient guidance is given to counter staff.	DR
BT - 053	POL	<p>New data structures and data items are required to support the overall Branch Trading objectives. These are:</p> <p>To control the trading statement</p> <ul style="list-style-type: none"> Trading calendar and periods Trading Statement Indicator <p>To ensure correct summarisation for SAPHR</p> <ul style="list-style-type: none"> Agent Contract Types Remuneration Summarisation Timetable Remuneration calendar Remuneration groupings <p>To ensure correct allocation to suspense</p> <ul style="list-style-type: none"> Suspense products Suspense products to branch Suspense products minimum values <p>To ensure correct accounting in POLFS</p> <ul style="list-style-type: none"> POLFS materials and clients mapped to Horizon products 	<p>POL will review the Reference Data to Horizon AIS to ensure that the updates required from these Branch Trading requirements are supported through the control of reference data.</p> <p>Tests will show that the reference data system is able to generate the data to the defined Reference Data to Horizon AIS.</p>	<p>DR</p> <p>POT</p>

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Req ID	Supplier	Description	Acceptance Criteria	Acceptance Method
		<p>To enable monitoring of transaction corrections</p> <ul style="list-style-type: none"> Automated Message Receipt Prompt (Type C) <p>To ensure distinction between a sale value and a loss value for stock items</p> <ul style="list-style-type: none"> Stock Loss Value <p>To monitor the revaluation process</p> <ul style="list-style-type: none"> Revaluation date 		
BT - 055	POL	There is a requirement to control all items of stock. This will be achieved through reference data by defining as controlled products those products which are currently non-value products	<p>POL will review all non-value items and identify requirements for redefining them as controlled stock items. SOO</p> <p>A document of the findings of the review of non-value stock items will be produced and reviewed to ensure that it identifies those which are to be reclassified as controlled items and that they will be controlled accurately by this redefinition.</p> <p>Existing processes for transferring, testing and implementing new reference data to the Horizon counter will be used to make any identified changes.</p>	<p>DR</p> <p>SOO (existing)</p>
BT - 056	Fujitsu Services	All stock items will be monitored throughout the Horizon system by volume and not by value.	<p>The Horizon Reports and Receipts documentation and the Counter Dialogues documentation will be reviewed to ensure that all reports and dialogues exclude mention of the value of stock items, other than Cash, Foreign Exchange and Other Stamps stock.</p> <p>Tests will verify that reports, receipts and dialogues used to present information about stock items match the definitions within the Reports and Receipts documentation and the Counter Dialogues documentation.</p>	<p>DR</p> <p>FST</p>
BT - 057	POL	<p>The following reports are no longer required and will be removed from the Horizon system:</p> <ul style="list-style-type: none"> Counter Weekly DVLA V10 Counter Weekly DVLA V11 	The Horizon menu hierarchy documentation will be re-written to remove the buttons for producing the identified reports. The Horizon reports and receipts document will also be re-written to remove these reports. POL will review these documents to ensure that these reports will no longer be	DR

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Req ID	Supplier	Description	Acceptance Criteria	Acceptance Method
		<ul style="list-style-type: none"> Office Weekly Counters Revenue Schedule Declaration and Confirmation – Non-Value Stock Counter Daily Cash on Hand (there is a separate report for Cash Declaration which is nearly identical, and it is just the cash Declaration report that we need to retain) Office Weekly Cash Flow (this is replaced by the Variance report) Cash Account Trial Cash Account Final 	<p>available to be produced.</p> <p>Existing processes for transferring, testing and implementing new reference data to the Horizon counter will be used to make any identified changes.</p>	SOO (existing)
BT - 058	Fujitsu Services	The existing Weekly Stock Holding feed to SAP-ADS will be removed	<p>The Horizon –SAP-ADS AIS will be reviewed to ensure that the weekly stock on hand data is no longer passed from Horizon to SAP ADS</p> <p>It will be tested that the Horizon system feed to SAP-ADS, matches the definition within the Horizon-SAP-ADS AIS documentation.</p> <p>It will be tested that SAP-ADS can accept the feed of data without the weekly stock holding data.</p>	<p>DR</p> <p>FST</p> <p>POT</p>
BT - 059	Fujitsu Services	There is a requirement to continue ensuring reconciliation between data flows which remain within the Fujitsu domain and ensuring that control totals are applied to any external interface to allow detection of file corruption. All these reconciliations should take advantage of the simplified process described in Section 21, Appendix C, of this document.	Fujitsu Services will review interface design documentation to ensure that all data flows are defined to include any necessary reconciliations.	DR
BT - 060	Fujitsu Services	<p>It is required that only reports that have previously been printed can be reprinted; and that the reprint reports are identified by date and time previously printed. The following particular requirements are identified for report re-prints:</p> <ul style="list-style-type: none"> For Stock Unit Balance Reports and Branch Trading Statements, the requirement is to be able to produce reprints for all reports for Period N up until the rollover from Period N+1 to Period N+2 There is no need to reprint the Office Weekly Counters Revenue Schedule, since the original report has been removed For the following reports: <ul style="list-style-type: none"> Office Weekly Inland Revenue Tax Credits P5589 Office Weekly P&A P2311MA Office Weekly Redeemed Savings Stamps Variance Report (new) The requirement is that each of these is a weekly report and it is sufficient to be able to reprint any of these for which the data is still available (ie the last 5 reports). In particular, this will ensure that all 	<p>Tests will verify that reports can be reprinted as documented within this requirement.</p>	FST

3 March 2004

Version 1.0

Page 110 of 133

Doc Ref: BTRMC&TM-001

Conceptual DesignProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management**COMMERCIAL IN CONFIDENCE**

Req ID	Supplier	Description	Acceptance Criteria	Acceptance Method
		<p>such reports for the current Branch Trading Period can be reprinted if required.</p> <ul style="list-style-type: none"> The Track and Trace Manifest, currently allows reprint of the last report produced. My understanding is that such a report is normally produced daily, so no special consideration is required in terms of long term storage of the data for this report. No other reports require reprints. 		
BT - 062	Fujitsu Services	The NB103 DRS reconciliation reports will be eliminated.	Horizon system design documentation will be changed to remove the NB103 DRS reconciliation reports functionality. This documentation will be reviewed to ensure that it no longer includes functionality to perform the NB103 DRS reconciliation.	DR
BT - 063	Fujitsu Services	The consolidated stock unit non-value stock report is no longer required and can be removed. The check to ensure that the consolidated stock unit non-value stock report is produced as part of end of period processing will also be removed.	<p>Horizon system design documentation will be changed to remove the consolidated stock unit non-value stock report functionality. This documentation will be reviewed to ensure that it no longer includes functionality to produce the consolidated stock unit non-value stock report.</p> <p>Tests will verify that a branch trading statement can be produced without the requirement to also produce the consolidated stock unit non-value stock report.</p>	<p>DR</p> <p>FST</p>
BT - 064	POL	Functionality to declare stock holdings of non-value products will be removed from the horizon system.	<p>The Horizon menu hierarchy documentation will be re-written to remove the buttons for declaring stock holdings of non-value products. POL will review this documentation to ensure that these changes remove the ability to make non-value stock declarations.</p> <p>Existing processes for transferring, testing and implementing new reference data to the Horizon counter will be used to make any identified changes.</p>	<p>DR</p> <p>SOO (existing)</p>
BT - 065	Fujitsu Services	A new Transaction Corrections report will be produced, the content and format of which will be as specified in Section 20.3 in Appendix B of this document	Tests will verify that the variances report is produced with the content and format as specified in Appendix B of this document.	FST

Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

20 Appendix B – Reports

20.1 Branch Trading Statement

20.1.1 Specification

Note where the branch is managed across many stock units the Trading Statement will be printed across multiple pages the first column to be repeated on each page. After this a set of pages made up of the information contained within the Counter Weekly Stock on Hand Report (see below) but summed up across all stock units for the whole branch, and formatted to A4 (portrait) will follow.

There is a requirement to be able to print Trading Statement document until the Branch has rolled over into the one after next period.

Feltham Post Office		FAD 123456					Page 1
09:56:32 09/03/2004		Branch Trading Report - Office Copy					TP: 12
	SU AA	SU BB	SU CC	SU DD	SU EE	Current Period Branch Total	
Cash on Hand B Fwd	£1,000.00	£2,000.00	£3,000.00	£4,000.00	£5,000.00	£15,000.00	
Other MOP B Fwd	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	
ForEx B Fwd	£600.00	£700.00	£800.00	£900.00	£1,000.00	£4,000.00	
Other Postage B Fwd	£100.00	£200.00	£300.00	£400.00	£500.00	£1,500.00	
Receipts value Total	£6,000.00	£7,000.00	£8,000.00	£9,000.00	£1,000.00	£31,000.00	
Remittance In (Cash) Total	£10,000.00	£0.00	£0.00	£0.00	£0.00	£10,000.00	
Remittance In (Other Stamps) Total	£500.00	£0.00	£0.00	£0.00	£0.00	£500.00	
Remittance In (ForEx) Total	£1,000.00	£0.00	£0.00	£0.00	£0.00	£1,000.00	
Gains from Suspense	£0.00	£0.00	£0.00	£0.00	£500.00	£500.00	
Transfers In from other SUs	£0.00	£1,500.00	£2,500.00	£3,000.00	£0.00	£7,000.00	
Payments value Total	£7,000.00	£8,000.00	£9,000.00	£10,000.00	£2,000.00	£36,000.00	
Remittances Out (Cash) Total	£1,000.00	£0.00	£0.00	£0.00	£0.00	£1,000.00	
Remittance Out (Other Stamps) Total	£100.00	£0.00	£0.00	£0.00	£0.00	£100.00	
Remittance Out (ForEx) Total	£100.00	£0.00	£0.00	£0.00	£0.00	£100.00	
Losses to Suspense	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	
Transfers Out to other SUs	£7,000.00	£0.00	£0.00	£0.00	£0.00	£7,000.00	
Cash on Hand C Fwd	£3,000.00	£2,500.00	£4,500.00	£6,800.00	£5,800.00	£22,600.00	
Other MOP C Fwd	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	
ForEx C Fwd	£700.00	£600.00	£500.00	£400.00	£300.00	£2,500.00	
Other Postage C Fwd	£200.00	£300.00	£400.00	£100.00	£200.00	£1,200.00	
Trading position (+/-)	£-100.00	£0.00	£-200.00	£0.00	£300.00	£0.00	
Transfers In from Local Suspense	£0.00	£0.00	£0.00	£0.00	£300.00	£300.00	
Transfers Out to Suspense	£100.00	£0.00	£200.00	£0.00	£0.00	£300.00	
Balance C Fwd	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	
Transaction Corrections Accepted	0	0	0	0	1		
Discrepancy adjustments	£0.00	£500.00	£0.00	£0.00	£800.00		

Stock Holdings at End of Period 12

Stock Name	Volume
Item 1	53
Item 2	65

I declare that this is a true representation of the position at my branch

Signed

*** End of Report ***

For readers with electronic copy of this document, the definition of the report, along with definitions of the contents of the fields within the



report, may be viewed more readily by viewing the attached file ...

Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE**Project:** IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

20.2 Variance Report

Feltham Post Office		FAD 123456				Page 1		
09:56:32 09/03/2004		Variance Report - Office Copy				TP: 12		
						Week: 2		
Days in Trading Period	7	8	9	10	11	12	13	14
Dates	03/04/2004	04/04/2004	05/04/2004	06/04/2004	07/04/2004	08/04/2004		
Cash Variances								
SJ AA	x	£0.00	x	£0.00	£0.00	£0.00		
SJ BB	£50.00	-£60.00	-£40.00	£0.00	£2.00	£0.00		
SJ CC	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00		
SJ DD	£0.00	£0.00	£0.00	-£40.00	£0.00	x		
Total	x	-£60.00	x	-£40.00	£2.00	x		
Derived figures								
SJ AA	x	£700.00	x	£700.00	£700.00	£300.00		
SJ BB	£150.00	£310.00	£190.00	£200.00	£98.00	£200.00		
SJ CC	£400.00	£350.00	£450.00	£500.00	£200.00	£250.00		
SJ DD	£100.00	£150.00	£200.00	£190.00	£200.00	x		
Total	x	£1,610.00	x	£1,590.00	£1,198.00	x		
Disallowed figures								
SJ AA (shared)	x	£700.00	x	£700.00	£700.00	£300.00		
SJ BB (unshared)	£200.00	£250.00	£150.00	£200.00	£100.00	£200.00		
SJ CC (shared)	£400.00	£350.00	£450.00	£500.00	£200.00	£250.00		
SJ DD (unshared)	£100.00	£150.00	£200.00	£150.00	£200.00	x		
Total	x	£1,450.00	x	£1,550.00	£1,200.00	x		
SJ Breakdowns								
SJ AA								
Dec 01	£100.00	£200.00	x	£250.00	£100.00	£100.00		
Dec 02	£150.00	£250.00	£300.00	£200.00	£150.00	x		
Dec 03	£200.00	£100.00	£350.00	£150.00	£200.00	£200.00		
Dec 04	£250.00	£150.00	£400.00	£100.00	£250.00	x		
SJ CC								
Dec 01	£400.00	£350.00	£450.00	£500.00	£200.00	£250.00		
Known Discrepancies								
Local Suspense	£0.00	£0.00	£40.00	£0.00	£0.00	£0.00		
Other Suspense	£100.00	£100.00	£0.00	£0.00	£0.00	£0.00		
Adjustments								
Total	£0.00	£60.00	£0.00	£0.00	£50.00	£0.00		
Transaction Corrections								
Number Processed	0	0	1	0	1	0		
Number Outstanding	0	1	0	0	0	0		
*** End of Report ***								

For readers with electronic copy of this document, the definition of the report, along with definitions of the contents of the fields within the report, may be viewed more readily by viewing the attached file ...



Doc Ref: BTRMC&TM-001

Conceptual Design

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

20.3 Transaction Corrections Report

Feltham Post Office
09:56 32 09/03/2004

Transaction Correction Report - Office Copy

Page 1
TP: 12

Trading Period
Would a Date range be better?

Page Number
If this spreadsheet is printed, then it won't increment, however we will ensure that it does "for real"

FAD Code

This is 500 chars of free text. We should try and "word wrap" it as appropriate and use as many lines as are needed

Only shown for Outstanding TCs

Report Title

Only applicable for Non Accounting Data Corrections

Amount of TC

Could spell these out in full if required

Product to be used for settlement in original TC
NB if a response other than MG was used, then it will not be the product actually settled against. This could be changed if required.
Again could be a name rather than a number

This represents a "Cash"

This is what the AIS currently says for non-accounting Data TCs, but I think it might change

This represents a Suspense product (not a real number)

Since this was resolved as Hardship, the actual settlement would have been to the Hardship product

None of these are "real" product numbers

Represents a different suspense product

This can be either "Outstanding" or the option selected when the TC was processed

Since this has requested more evidence, then no change will have been made to the Branch Accounts. The details recorded show what POL FS had requested

Office Name

TC Identifier generated by POL FS (with prefix of N or E)

Date TC received by Horizon at Data Centre

This Header info will be repeated on each page

Date / Time Report produced

Date Issued	Date Processed	Reference	Status	Affected Product	Settlement Product	Amount	Adjusted Quantity	Allowed Options	Description
18/03/2004	22/03/2004	N123456	Made Good	GiroBank	Cash	£35.76			text as passed by POL FS This may go to a number of lines Like this
19/03/2004	22/03/2004	E23456	Hardship	British Gas	Cash	£400.00			text as passed by POL FS This may go to a number of lines Like this
19/03/2004		N34567	Outstanding	Royal Mail	Unpaid Cheques	£56.50		MG HS EV	text as passed by POL FS This may go to a number of lines Like this
19/03/2004	20/03/2004	N45678	More Evidence	TV Licenses	POL Cheques	£100.00			text as passed by POL FS This may go to a number of lines Like this
20/03/2004		N23421	Outstanding	Swift Air	Cash		80 SW		text as passed by POL FS This may go to a number of lines Like this
21/03/2004	23/03/2004	E13456	Made Good	E111s	Cash		6		text as passed by POL FS This may go to a number of lines Like this

*** End of Report ***

For readers with electronic copy of this document, the definition of the report may be viewed more readily by viewing the attached file ...

Doc Ref: BTRMC&TM-001

Conceptual Design

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

20.4 Sales Report

The content within this report is unchanged by the IMPACT requirement though the period of reporting and thus the information provided at the head of the report will be changed. The order in which things are presented is also likely to change as a result of the changes to the accounting hierarchy resulting from the move to not holding stock by value. In particular Stamps will be split into different parts of the report.

	1	2	3	4	Notes
	123456789012345678901234567890123456789012				
01	Feltham Post Office		FAD: 123456X		CAP field should be replaced by the date range for which the report is produced.
02	11:42 17/01/1998	CAP:01	BP:01	SU:SH1	
03	Sales Report - Office Copy				
04					
05		VOLUME		VALUE	
06	Cash			293.11	
07	CASH			293.11	
08	Cheque			3432.79	
09	CHEQUES			3432.79	
10	Giro Txfer			47.97	
11	GIRO TRANSFERS			47.97	
12	Voucher			20.00	
13	VOUCHERS			20.00	
14	MOP			3793.87	
15	Game Green	5		20.00	
16	Game Blue	5		20.00	
17	GAME LICENCES			40.00	
18	Col TV Fee	1		86.50	
19	COLOUR			86.50	
20	Mono TV Fee	3		85.50	
21	MONO			85.50	
22	TV FEE			172.00	
23	SwftPkC3Euro	3		14.97	
24	1st Class	12		3.12	
25	2nd Class	11		2.20	
26	Post Stamp			30.00	
27	Env 1stClass			0.60	
28	IntRepCoupon	4		2.40	
29	Registrd RG1	2		7.28	
30	POSTAGE STAMPS ETC			60.49	
31	Stbkvnd £1	2		2.00	
32	STAMP BOOKS-VENDING			2.00	
33	Stpbk 1stx10	6		15.60	
34	STAMP BOOKS-OTHER			15.60	
35	POSTAGE			78.09	
36	Gas Stamp £1	20		20.00	
37	Active Life			12.00	
38	MVL Stamp	5		25.00	
39	TV Stamp	19		19.00	
40	Water Stamp			2.00	
41	BT Stamp £2	5		10.00	
42	MISCELLANEOUS			79.00	
43	Home Help A			16.50	
44	Home Help D			25.00	
45	HOME HELP/CARE STPS			41.50	
46	NON POSTAGE STAMPS			120.50	
47	OTHER PAYMENTS AA			2927.78	
48	PO FgnEx Out	1		150.00	
49	PO Foreign Exch Out			150.00	
50	BurChnge Pay	1		27.00	
51	BUREAU DE CHANGE OUT			27.00	
52	Lwood Prize	1		100.00	
53	NatLot Prize	1		10.00	
54	LOTTERY PAYMENTS			110.00	

Doc Ref: BTRMC&TM-001

Conceptual Design

Project:

IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

55	OTHER PAYMENTS	3354.78	
56			
57	*** END OF REPORT ***		
	1	2	3
	4		
	123456789012345678901234567890123456789012		

20.5 Declaration: Stock on Hand – Stock Report

	1	2	3	4	Notes
	123456789012345678901234567890123456789012				
01	Chelsea PO		FAD: 0040389		
02	23:42 23/01/1998	CAP:52	BP:01	SU:SH1	CAP field should be replaced by the trading period identifier of the trading period within which the report is produced.
03	Stock on Hand - Office Copy				
04					
05	-----				
06	USER : EPR001		DECLARATION ID : 11		
07	-----				
08	DESCRIPTION	VOLUME	AMOUNT		
09					
10	1st Class [£0.26]	427	111.02		
11	2nd Class [£0.19]	453	86.07		
12	BT £5 PC [£5.00]	50	250.00		
13	PO £5 [£5.00]	50	250.00		
14	PO Fee £5 [£5.00]		32.50		
15	PO £6 [£6.00]	10	60.00		
16	PO Fee £6 [£6.00]		6.50		
17	PO £7 [£7.00]	10	70.00		
18	PO Fee £7 [£7.00]		6.50		
19	PO £9 [£9.00]	20	180.00		
20	PO Fee £9 [£9.00]		16.00		
21			-----		
22	TOTAL	1020	1068.59		
23					
24	*** END OF REPORT ***				
	1	2	3	4	
	123456789012345678901234567890123456789012				

20.6 Counter Weekly Stock on Hand - Stock Report

	1	2	3	4	Notes
	123456789012345678901234567890123456789012				
01	Feltham Post Office		FAD: 123456X		
02	11:12 16/01/1998	CAP:01	BP:01	SU:SH1	CAP field should be replaced by the trading period identifier of the trading period within which the report is produced.
03	Stock On Hand - Office Copy				
04					
05	VALUE STOCK & MOP	VOLUME		VALUE	This report will only deal in stock and only in volume.
06					
07	Cash			4293.11	
08	CASH			4293.11	
09	Cheque			4032.79	Assume removal of MOP From this report.
10	CHEQUES			4032.79	
11	Giro Txfers			47.97	
12	GIRO TRANSFERS			47.97	
13	Voucher			320.00	
14	VOUCHERS			320.00	
15	MOP			8693.87	
16	Comcoin			200.00	
17	COIN SETS			200.00	
18	Game Red	2		12.00	
19	Game Occas	2		4.00	
20	Game Dealers	2		8.00	
21	GAME LICENCES			32.00	
22	Col TV Fee	1		86.50	
23	COLOUR			86.50	
24	TV FEE			86.50	
25	FDE	100		26.00	
26	Pres Pack			1500.00	
27	PHILATELIC ITEMS			1526.00	
28	1st Class	18488		4806.88	
29	2nd Class	18489		3697.88	
30	POSTAGE	36977		8504.76	
31	Reg Plus PL2	100		400.00	
32	SwftPkC3Euro	97		484.03	Any items without a volume will need to show volume, but not value.
33	SwiftpackLqe	100		400.00	
34	Env 2ndClass			38.00	
35	Env 1stClass			45.40	
36	IntRepCoupon			57.60	
37	Registrd RG1	98		352.80	
38	MISCELLANEOUS			1777.83	Doesn't make sense to have Misc. by volume will need to list all stock items
39				-----	
40	TOTAL STOCK & MOP			9999.99	
41					
42	*** END OF REPORT ***				
	1	2	3	4	
	123456789012345678901234567890123456789012				

20.7 Stock Unit Balance: Snapshot

	1	2	3	4	Notes
	123456789012345678901234567890123456789012				
01	Feltham Post Office		FAD: 123456X		CAP field should be replaced by the trading period identifier of the trading period within which the report is produced.
02	11:09 01/10/1998		CAP:01		
03	Office Snapshot - Office Copy				
04					
05	*****Discrepancies in this Account*****				
06	*Discrepancy OVER		57.50	*	
07	*Discrepancy SHORT		0.00	*	
08	*		-----*		
09	*Nett discrepancy		57.50	*	
10	*		-----*		
	*Excess Cash Removed		40.57	*	Note that these figures do not relate to transactions and so are not visible to POL FS
	*Cash Shortage Made Good		113.78	*	
	*		-----*		
	*Nett Cash Adjustment		73.21-	*	
	*		-----*		
11	*****				Value Stock will be removed from here
12					
13	VALUE STOCK & MOP	VOLUME	VALUE		
14					
15	Cash		4293.11		
16	CASH		4293.11		
17	Cheque		4032.79		
18	CHEQUE		4032.79		
19	Giro Txfer		47.97		
20	GIRO TRANSFERS		47.97		
21	MOP		8373.87		Also ForEx Stock
22	-Comeoin		200.00		
23	COIN SETS		200.00		
24	-Game Red	2	12.00		
25	-Game Occas	2	4.00		
26	-Game Dealers	2	8.00		
27	-Game Keeper	2	8.00		
28	GAME LICENCES		32.00		
29	-FDE	100	26.00		
30	-Pres Pack		1500.00		
31	PHILATELIC ITEMS		1526.00		NB Other Stamps will stay here (none in the example)
32	-Reg Plus PL2	100	490.00		
33	-SwiftPkC3Euro	97	484.00		
34	-1st Class	18488	4806.88		
35	-2nd Class	15489	3697.80		
36	-SwiftpackLge	100	400.00		
37	-Env 2ndClass		38.00		
38	-Env 1stClass		45.40		
39	-IntRepCoupon	96	57.60		
40	-D/Whsle Stmp		3.16		
41	-Gas Token	149	149.00		
42	-NatLotInstnt		495.00		
43	MISCELLANEOUS		10666.84		
44	VALUE STOCK OTHER		0.00		
45			-----		
46	TOTAL STOCK & MOP		20798.71		
47			-----		
48					

Doc Ref: BTRMC&TM-001

Conceptual Design

Project:

IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

49				
50				
51				
52	RECEIPTS	VOLUME	VALUE	
53				
54	Balance B/Fwd		21172.45	Need to add in at this point all Stock movement transactions
55				
56	Transcash	1	50.00	
57	GIRO DEPS/TRANSCASH		50.00	
58	D/post inland	1	25.00	
59	Parcels		25.00	
60	CARRS - PARCELS		25.00	
61	BT bill pymnt	1	86.32	
62	TELEPHONE RECEIPTS		86.32	
63	NS ord dep ac	1	200.00	
64	NS DEPOSITS		200.00	
65	MVL v10	1	155.00	
66	V10 Issued		155.00	
67	DVLA MVL V10		155.00	
68	Moneygram send	1	90.00	
69	Moneygram Send		90.00	
70	OTHER RECEIPTS		621.32	
71				
72	Rem In Supp Div		00.00	
73	Rem In Other Pos		00.00	
74	Rem In Client		100.00	
75	Rem In Auto Dist		883.04	
76	REMITTANCES IN		983.04	
77				
78	Reval Up		0.00	
79		-----		
80	TOTAL RECEIPTS		22761.81	
81		-----		
82				
83	PAYMENTS	VOLUME	VALUE	
84				
85	OB chq to DPC	1	99.00	
86	Cheque		99.00	
87	COB chque fee	1	5.00-	
88	Fee		5.00-	
89	OTHER BANKS CHEQUES		94.00	
90	Giro w/drwl	2	100.00	
91	GIRO WITHDRAWALS		100.00	
92	Debit Card	1	50.00	
93	DEBIT CARDS		50.00	
94	NS ord w/drwl ac	1	150.00	
95	NS Withdrawals		150.00	
96	NS WITHDRAWALS/PAYMENTS		150.00	
97	C/dian money ord	1	80.00	
98	International Money Orders		80.00	
99	Moneygram rec	1	300.00	
100	Moneygram Receive		300.00	
101	Co-op csh chque	2	200.00	
102	Co-op Cash Cheques		200.00	
103	OTHER PAYMENTS		580.00	
104	Rem Out Supp Div		0.00	
105	Rem Out Other Pos		0.00	
106	Rem Out Data Cen		50.00	
107	Rem Out Client		10.00	
108	Rem Out Auto Dist		871.60	
109	REMITTANCES OUT		931.60	
110				
111	Reval Down		0.00	

Doc Ref: BTRMC&TM-001

Conceptual Design

Project:

IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

112			
113	Total Stock & MoP	20798.71	
114			
115	Nett discrepancies	57.50	
116			
117		-----	
118	TOTAL PAYMENTS	22761.81	
119		-----	
120			
121	Transfers In	0.00	
122			
123	Transfers Out	0.00	
124			
125	Balance C/Fwd	20798.71	
126			
127	*** END OF REPORT ***		
	1	2	3
	123456789012345678901234567890123456789012		

20.8 Trial Balance Report & Final Balance Report (Stock Unit Balance: Report) & Office Balance Snapshot

These reports are the same apart from the headings and the values highlighted below. Any value in the Nett Discrepancies lines at the trial balance will, if nothing else is done, be adjusted to the Discrepancy Shortage Transferred or Discrepancy Excess Transferred lines as part of moving from the Trial Balance to the Final Balance. The Office Balance snapshot will differ, in the detail at the top and bottom of the report (for example it won't have the EXAMINATION bit at the bottom) and in the reporting of discrepancies and variances transferred, depending upon the state of the stock unit at the time of producing the report.

	1	2	3	4	Notes
	123456789012345678901234567890123456789012				
01	Feltham Post Office		FAD: 123456X		
02	11:42 17/01/1998	CAP:01	BP:01	SU:SH1	CAP field should be replaced by the trading period identifier of the trading period for which the report is produced.
03	Trial Balance - Office Copy				
04					
05	*****Discrepancies in this Account*****				
06	*Discrepancy OVER		4643.96	*	
07	*Discrepancy SHORT		506.84	*	
08	*		-----	*	
09	*Nett discrepancy		4137.12	*	
10	*		-----	*	
	*Excess Cash Removed		40.57	*	Note that these figures do not relate to transactions and so are not visible to POL FS
	*Cash Shortage Made Good		113.78	*	
	*		-----	*	
	*Nett Cash Adjustment		73.21-	*	
	*		-----	*	
11	*****				
12					
13	VALUE STOCK & MOP	VOLUME		VALUE	Value Stock will be removed from here
14					
15	Cash			4293.11	
16	CASH			4293.11	NB Other Stamps will stay here (none in the example)
17	Cheque			4032.79	
18	CHEQUES			4032.79	
19	Giro Txfer			47.97	
20	GIRO TRANSFERS			47.97	Also Forex Stock

Doc Ref: BTRMC&TM-001

Conceptual Design

Project:

IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

21	Voucher		320.00
22	VOUCHERS		320.00
23	MOP		8693.87
24	Comecoin		200.00
25	COIN SETS		200.00
26	Game Red	2	12.00
27	Game Occas	2	4.00
28	Game Dealers	2	8.00
29	Game Keeper	2	8.00
30	GAME LICENCES	2	32.00
31	FDE	100	26.00
32	Pres Pack		1500.00
33	D/Whsle Stmp		3.16
34	Gas Token	149	149.00
35	NatLotInstnt		495.50
36	MISCELLANEOUS		647.66
37	Bus 1 Steek		1225.00
38	STOCK SHELL 2-085		1225.00
39	VALUE STOCK OTHER		1872.66
40			-----
41	TOTAL STOCK & MOP		14283.69
42			-----
43			
44			
45			
46			
47	RECEIPTS	VOLUME	VALUE
48			
49	Balance B/Fwd		0.00
50			
51	Transcash	1	50.00
52	PO Foreign Exch In		500.00
53	OTHER RECEIPTS		6441.30
54	Transfers In		0.00
55			
56			
57	Rem In Supp Div		0.00
58	Rem In Other Pos		0.00
59	Rem In Client		100.00
60	Rem In Auto Dist		41793.04
61	REMITTANCES IN		41893.04
62			
63	Reval Up		0.00
	Discrepancy Shortages Transferred		0.00
64			-----
65	TOTAL RECEIPTS		48884.34
66			-----
67			
68	PAYMENTS	VOLUME	VALUE
69			
70	OB chq to DPC	1	99.00
71	Cheque		99.00
72	COB cheque fee	1	5.00-
73	Fee		5.00-
74	OTHER BANKS CHEQUES		94.00
75	NatLot Prize	1	10.00
76	LOTTERY PAYMENTS		160.00
77	OTHER PAYMENTS		3484.78
78	Transfers Out		0.00
79			

This total is not
adjusted here but
will be the total of
the value column.

Need to add in at
this point all Stock
movement transactions

Only on Final
Balance, may also be
on Office Snapshots.

Doc Ref: BTRMC&TM-001

Conceptual Design

Project:

IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

80	Rem Out Supp Div	0.00
81	Rem Out Other Pos	0.00
82	Rem Out Data Cen	50.00
83	Rem Out Client	8530.16
84	Rem Out Auto Dist	13351.50
85	REMITTANCES OUT	21931.66
86		
87	Reval Down	0.00

	Discrepancy Excess Transferred	0.00
--	--------------------------------	------

Only on Final
Balance, may also be
on Office Snapshots.

88		
89	Total Stock & MoP	14283.69
90		
91	Nett discrepancies	4137.12-
92		
93		-----
94	TOTAL PAYMENTS	39954.13
95		-----
96		
97	Balance C/Fwd	14283.69

Must be zero on Final
Balance

STOCK Volumes	VOLUME	VALUE
Comcoin		200.00
COIN SETS		200.00
Game Red	2	12.00
Game Occas	2	4.00
Game Dealers	2	8.00
Game Keeper	2	8.00
GAME LICENCES	2	32.00
FDE	100	26.00
Pres Pack		1500.00
D/Whsle Stmp		3.16
Gas Token	149	149.00
NatLotInstnt		495.50
MISCELLANEOUS		647.66
Bus 1 Stock		1225.00
STOCK SHELL 2-085		1225.00
VALUE STOCK OTHER		1872.66

Some of these do not
have volumes here but
should must in the
new report.

98
99 EXAMINATION
100 Drawer examined and cash and stock found
101 as shown in this summary

All stock will be
reported, "Other"
stock does not make
sense by volume

102		Datestamp
103		+-----+
104	Signature
105	
106	
107	TimeAM/PM +-----+
108		
109		

110 TRANSFER
111 Cash and stock in this summary have been
112 transferred to me

113		Datestamp
114		+-----+
115	Signature
116	
117	
118	TimeAM/PM +-----+
119		

Doc Ref: BTRMC&TM-001

Conceptual Design

Project:

IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

120

121

*** END OF REPORT ***

1

2

3

4

123456789012345678901234567890123456789012

20.9 Remittance In Slip, Remittance Out Slip, Counter Weekly Remittances In, Counter Weekly Remittances Out and Counter Weekly Remittances Summary

	1	2	3	4	Notes
	123456789012345678901234567890123456789012				
01	Feltham Post Office		FAD: 123456X		
02	11:42 17/01/1998	CAP:01	BP:01	SU:SH1	CAP field should be replaced by the trading period identifier of the trading period within which the report is produced.
03	Weekly Remittances In - Office Copy				
04					
05	SESSION: 1-15578-1				
06	DATE:10:44 17/01/1998				
07	SOURCE:Rem In Auto Dist				
08					
09	PRODUCT	VOLUME	VALUE		Assume that all stock REMs will only deal in volume, even value indicated Stamps.
10	Euro TChq	1	0.00		Forex will show value as well as volume
11	250				
12	PO £20	25	500.00		
13	PO Fee 50p	25	6.25		
14	Col TV Fee	10	865.00		
15	Home Help D	25	143.75		
16	BT Stamp £2	1000	2000.00		
17	-----				
18	TOTAL	1086	3515.00		
19					
20					
21	SESSION: 1-15639-1				
22	DATE:11:18 17/01/1998				
23	SOURCE:Rem In Auto Dist				
24					
25	PRODUCT	VOLUME	VALUE		Cash REMs have no volume
26	Cash	1	5000.00		
27	Gas Stamp £1	30	30.00		
28	Comecoin	10	20.00		
29	Game Red	2	12.00		
30	-----				
31	TOTAL	43	5000.00		Any cheque and dockets REMs will also need to go onto this report
32					
33					
34	*** END OF REPORT ***				
	123456789012345678901234567890123456789012				

20.10 Office Daily Remittances In, Office Daily Remittances Out, Office Weekly Remittances In and Office Weekly Remittances Out

These reports summarise and reflect the various counter reports as described in the previous section. However the Office reports are A4 and are summaries of the totals, not detailed by product. As shown in the previous Section the totals will be totals of volume for stock remittances, volume and value for Foreign Exchange remittances and value for Cash remittances.

The CAP field, at the tops of these reports should be replaced by the trading period identifier of the trading period within which the report is produced.

Doc Ref: BTRMC&TM-001

Conceptual Design

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

20.11 Transfer In Slip, Transfer Out Slip, Counter Weekly Transfers In & Counter Weekly Transfers Out

Currently the transfer slips are different in that a Transfer Out contains a declaration that goods are received. This difference is to remain.

	1	2	3	4	Notes
	123456789012345678901234567890123456789012				
01	Feltham Post Office		FAD: 123456X		CAP field should be replaced by the trading period identifier of the trading period within which the report is produced.
02	11:42 17/01/1998	CAP:01	BP:01	SU:SH1	
03	Transfer In Slip - Office Copy				
04					Will need to report stock solely by volume not value. Cash, ForEx and Other Stamps by volume and value
05	SESSION: 1-21284-1				
06	Source SU:AAA Dest SU:SH1				
07					
08	PRODUCT	VOLUME	VALUE		
09	2nd Class	599	100.00		
10	1st Class	699	156.00		
11	Cash	1	600.00		
12	Col TV Fee	125	10012.50		
13	Mono TV Fee	22	627.00		
14	Euro	150	98.00		
15	BT PC 50	60	300.00		
16	BT PC 100	80	800.00		
17	Game Blue	112	448.00		
18	-----				
19	SESSION TOTAL		600.00		Total is now only the total of entries in the VALUE column above. (i.e. cash, FOREx and Other Stamps transfers) Note. Total may be zero if transfer only contains stock items
20					
21	*** END OF REPORT ***				
	1	2	3	4	
	123456789012345678901234567890123456789012				

20.12 Counter Weekly Transfer Summary

Content not changed but it should be noted that the VALUE column is now completed with Session Total value from the Transfer In/Out Slip above which for stock only transfers may be zero.

	1	2	3	4	Notes		
	123456789012345678901234567890123456789012						
01	Feltham Post Office		FAD: 123456X		CAP field should be replaced by the trading period identifier of the trading period for which the report is produced.		
02	11:52 17/01/2000	CAP:01	BP:01	SU:SH1			
03	Transfers Summary - Office Copy						
04							
05	TRANSFERS IN						
06	SESSION	SRC	DEST	DATE		TIME	VALUE
07	1-58498-1						
08		SH3	SH1	17-Jan		11:36	58.00

Doc Ref: BTRMC&TM-001

Conceptual Design

Project:

IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

09	1-58512-1				
10		SU1	SH1	17-Jan 11:37	9.00
11	1-58290-1				
12		SH2	SH1	17-Jan 11:55	16.95
13					-----
14	TOTAL:				83.95
15					
16	TRANSFERS OUT				
17	SESSION	SRC	DEST	DATE	TIME
18	1-58551-1				VALUE
19		SH1	SH4	17-Jan 11:38	48.00-
20	1-58565-1				
21		SH1	SU2	17-Jan 11:40	22.20-
22	1-58585-1				
23		SH1	SH3	17-Jan 11:45	4.11-
24	1-58599-1				
25		SH1	SH2	17-Jan 11:50	24.00-
26					-----
27	TOTAL:				98.31-
28					
29	*** END OF REPORT ***				

1	2	3	4
123456789012345678901234567890123456789012			

Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCEProject: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

20.13 Office Weekly Transfer Reconciliation & Office Weekly Unreconciled Transfers

Content not changed but it should be noted that the VALUE column is now completed with Session Total value from the Transfer In/Out Slip above which for stock only transfers may be zero.

	1	2	3	4	5	6	7	8	
	1234567890123456789012345678901234567890123456789012345678901234567890								
01	Feltham Post Office			FAD 123456X				Page 1	CAP 1 shoul repla tradir identi tradir for w/ repor produ
02	23:56 19/04/1997							CAP 02	
03	Transfer Reconciliation - Office Copy								
04									
05	SESSION ID	SRC DST BP	DATE	TIME	MODE	VALUE			
06	1-20364-1	CCC AAA 02	19-Apr	22:55	TO	34.35-			
07	UNRECONCILED Transfer Value:					34.35-			
08						-----			
09	UNRECONCILED Transfer Value CCC to AAA					34.35-			
10						-----			
11									
12	SESSION ID	SRC DST BP	DATE	TIME	MODE	VALUE			
13	1-19285-1	CCC BBE 01	08-Apr	20:38	TO	60.00-			
14	1-19296-1	CCC BBB 01	08-Apr	20:39	ER	60.00			
15	Transfer RECONCILED								
16						-----			
17	UNRECONCILED Transfer Value for CCC					34.35-			
18						-----			
19									
20	*** END OF REPORT ***								
	1	2	3	4	5	6	7	8	
	1234567890123456789012345678901234567890123456789012345678901234567890								

20.14 Office Daily Revalued Product List & Counter Daily Revaluation Session Slip

Since all stock items (which are subject to revaluation, other than Foreign Exchange which is subject to "continual" revaluation) are held by volume there is only requirement to report which products are to have their price changed imminently. Assume that the Counter Daily Revaluation Session Slip will be removed and that any functionality at the counter will allow the production of the Office Daily Revalued Product List.

	1	2	3	4
	1234567890123456789012345678901234567890123456789012345			
01	11:03:48 30/03/2000			
02	OFFICE CODE 123456X			
03				
04				
05	REVALUED PRODUCTS LIST - Office Copy			
06				
07				
08	Product	Old Price	New Price	From
09				
10	Air/crd pck	4.00	4.45	31/03/2000
11	Air/crd single	1.00	1.09	31/03/2000
12	Reg del env rg2		4.00	31/03/2000
13				

Doc Ref: BTRMC&TM-001

Conceptual Design
COMMERCIAL IN CONFIDENCE

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

14	
15	
16	*** END OF REPORT ***

1	2	3	4
123456789012345678901234567890123456789012345			

20.15Event Logs

This table shows which Event types are printed on each type of Event Log. The following events have been added:

- make good adjustments (including Excess Cash Removed and Cash Shortage Made Good),
- doing the branch trading statement (actually replaces 41: Office CAP rolled),
- viewing/producing cash variance report (though this may be implemented using the generic "reports printed / previewed" events (numbers 29 & 30))
- giving reminders that there are outstanding transaction corrections.

Key: Y= yes.

EventID	Event Title	All Events	Balancing	SU Balancing	Reports	Confirm Reports	Reports Produced	User/SU	Stock Unit	User	User to SU	Access Control
3	Inactive Rollover Failed	Y	Y									
4	Inactive SU Rollover	Y	Y									
5	Rollover Abandoned	Y	Y	Y								
6	Rollover Complete	Y	Y	Y								
7	User attached	Y						Y			Y	
9	SU Created	Y						Y	Y			
10	SU Deleted	Y						Y	Y			
12	Logon Completed	Y								Y		Y
13	Logoff Completed	Y								Y		Y
14	Office Balance Failed	Y	Y									
18	Delete SU failed	Y						Y				
19	Delete SU failed	Y						Y				
20	Delete SU failed	Y						Y				
21	Declaration Complete	Y	Y	Y								
22	Declaration Abandoned	Y	Y	Y								
23	Declaration Complete with Discrepancy	Y	Y	Y								
24	Position Locked	Y								Y		Y
25	Position Unlocked	Y								Y		Y
26	Unlock Failed	Y								Y		Y
27	Forced Logoff	Y								Y		Y
28	Report Confirmed	Y			Y	Y						

Doc Ref: BTRMC&TM-001

Conceptual Design

Project:

IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

EventID	EventTitle	All Events	Balancing	SU Balancing	Reports	Confirm Reports	Reports Produced	User/SU	Stock Unit	User	User to SU	Access Control
29	Report Printed	Y			Y		Y					
30	Report Previewed	Y			Y		Y					
31	Inactive Rollover Failed	Y	Y									
32	Discrep Committed	Y	Y	Y								
33	Balance Checks Failed	Y	Y	Y								
34	Balance Checks Failed	Y	Y	Y								
35	Deleted (was Revaluation abandoned)	Y	Y	Y								
40	Deleted (was Cash Acc Created)	Y	Y									
41	Deleted (was Office CAP rolled)	Y	Y									
42	Deleted (was Office CAP Roll Abandoned)	Y	Y									
44	Office Balance Failed	Y	Y									
45	SU Balancing	Y	Y	Y								
46	Delete SU failed	Y						Y				
52	Deleted (was 1 week CA)	Y	Y									
53	Deleted (was 2 week CA)	Y	Y									
54	Deleted (was 3 week CA)	Y	Y									
New events below here												
55	Trading Statement Created	Y	Y									
56	Trading Statement Period rolled	Y	Y									
57	Trading Statement Period Roll Abandoned	Y	Y									
58	Excess Cash Removed	Y	Y	Y								
59	Cash Shortage Made Good	Y	Y	Y								

Doc Ref: BTRMC&TM-001

Conceptual Design

Project: IMPACT - Branch Trading Reporting,
Management and Control and Transaction
Management

COMMERCIAL IN CONFIDENCE

EventID	EventTitle	All Events	Balancing	SU Balancing	Reports	Confirm Reports	Reports Produced	User/SU	Stock Unit	User	User to SU	Access Control
60	Cash Variance Report Previewed	Y			Y		Y					
61	Cash Variance Report Printed	Y			Y		Y					
62	Outstanding Transaction Correction Reminder Displayed	Y			Y							
63	Shared Stock Unit Variance Check Complete	Y	Y	Y								
64	Shared Stock Unit Variance Check Complete with Discrepancy	Y	Y	Y								

20.16 Office Weekly Suspense Account

This will need changing to handle the changes to suspense accounts and to include the Local "suspense" account used to transfer variance out o stock units to enable them to balance.

The CAP field, at the top of this report, should be replaced by the trading period identifier of the trading period for which the report is produced.

20.17 Return Advice Note

This will need changing since it includes stock values.

The CAP field, at the top of this report, should be replaced by the trading period identifier of the trading period for which the report is produced.

20.18 Reports proposed to be deleted.

The following reports are considered no longer necessary with these other changes and so are proposed to be deleted.

- Counter Weekly DVLA V10
- Counter Weekly DVLA V11
- Office Weekly Counters Revenue Schedule
- Declaration and Confirmation – Non-Value Stock
- Counter Daily Cash on Hand (there is a separate report for Cash Declaration which is nearly identical, and it is just the cash Declaration report that we need to retain)
- Office Weekly Cash Flow(this is replaced by the Variance report)

BT - 057	POL	<p>The following reports are no longer required and will be removed from the Horizon system:</p> <ul style="list-style-type: none"> • Counter Weekly DVLA V10 • Counter Weekly DVLA V11 • Office Weekly Counters Revenue Schedule • Declaration and Confirmation – Non-Value Stock • Counter Daily Cash on Hand (there is a separate report for Cash Declaration which is nearly identical, and it is just the cash Declaration report that we need to retain) • Office Weekly Cash Flow(this is replaced by the Variance report) • Cash Account Trial • Cash Account Final
----------	-----	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

20.19 Other reporting considerations

Though remaining unchanged in content and structure there are many more reports for which consideration must be made in the move from the weekly cash account to the monthly Trading Period accounting cycle.

Business procedures will be developed to identify which of these should be produced on what periodicity.

It is recognised that those which re-produce transactions that have happened during the period will increase in size, when produced for these longer periods. It is also recognised that the time taken to produce the reports, for these longer periods, will increase whether they reproduce transaction details or summarise them.

A number of reports can be re-printed at a later time. It is required; that only reports that have previously been printed can be reprinted; and that the reprint reports are identified by date and time previously printed. The following particular requirements are identified for report re-prints:

- For Stock Unit Balance Reports and Branch Trading Statements, the requirement is to be able to produce reprints for all reports for Period N up until the rollover from Period N+1 to Period N+2
- There is no need to reprint the Office Weekly Counters Revenue Schedule, since the original report has been removed
- For the following reports:
 - Office Weekly Inland Revenue Tax Credits P5589
 - Office Weekly P&A P2311MA
 - Office Weekly Redeemed Savings Stamps
 - Variance Report (new)
- The requirement is that each of these is a weekly report and it is sufficient to be able to reprint any of these for which the data is still available (ie the last 5 reports). In particular, this will ensure that all such reports for the current Branch Trading Period can be reprinted if required.
- The Track and Trace Manifest, currently allows reprint of the last report produced. My understanding is that such a report is normally produced daily, so no special consideration is required in terms of long term storage of the data for this report.
- No other reports require reprints.

BT - 060	Fujitsu Services	<p>It is required that only reports that have previously been printed can be reprinted; and that the reprint reports are identified by date and time previously printed. The following particular requirements are identified for report re-prints:</p> <ul style="list-style-type: none"> • For Stock Unit Balance Reports and Branch Trading Statements, the requirement is to be able to produce reprints for all reports for Period N up until the rollover from Period N+1 to Period N+2 • There is no need to reprint the Office Weekly Counters Revenue Schedule, since the original report has been removed • For the following reports: <ul style="list-style-type: none"> Office Weekly Inland Revenue Tax Credits P5589 Office Weekly P&A P2311MA Office Weekly Redeemed Savings Stamps Variance Report (new) • The requirement is that each of these is a weekly report and it is sufficient to be able to reprint any of these for which the data is still available (ie the last 5 reports). In particular, this will ensure that all such reports for the current Branch Trading Period can be reprinted if required. • The Track and Trace Manifest, currently allows reprint of the last report produced. My understanding is that such a report is normally produced daily, so no special consideration is required in terms of long term storage of the data for this report. • No other reports require reprints.
----------	------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Many reports, outside of those identified within this section, are headed with information regarding the CAP the report is printed for. Analysis and definition is required as to what information is to be displayed at the top of these reports in place of the CAP information. The working assumption is that the CAP field will be replaced with one of;

- A range of dates over which the report has been produced.
- A trading period identifier for which the report is produced.
- A trading period identifier within which the report is produced.

21 Appendix C – Simplification Work Requirements

This Appendix sets out the requirements for the Simplification Works, which will be implemented within Release(s) post Release S75.

Requirement Ref:	Description	Comment
[A]	Change APS to source transaction from TPS, by enhancing the TPS Harvester and the TPS Host Database. Transfer APS security (Digital Signatures) to TPS, and enhance TPS to generate Acknowledgements for Smart Card transactions. Eliminate APS Harvester and TPS/APS reconciliation.	Simplification of system boundaries & step towards establishment of single data source - consolidation of these systems will reduce number of data flows and amount of reconciliation, and reduce amount of maintained documentation.
[B]	Enhance APS file generation for clients to operate directly from transaction store rather than via intermediate files.	Reduction in file handling/processing and data storage.
[C]	Move SLA Reporting from Data Warehouse to OMDB.	Step towards elimination of Data Warehouse.
[D]	Move NBS reports from Data Warehouse to TES (Transaction Enquiry Service). (originally intended to DRS, but TES now the strategic destination, see below)	Step towards elimination of Data Warehouse.
[E]	Merge DRS into TES	Simplification of system boundaries & step towards establishment of single data source - consolidation of databases, reduction in managing data flows. Benefits in code evolution & maintenance.