Branch Trading Reporting, Management and Control and Transaction Management

Conceptual Design

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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	
1.0	3/3/2004	Submitted for formal review	
1.1			
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	• None, First draft template.
0.2	• Second Draft, updated with output from requirements workshops of Jan 04
1.0	• Final review with Design Authority
	•
	•

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

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1.6 Review Details

Review Comments to:	Dave Parnell GRO	
Mandatory Review Authority	**Name**	
Post Office Ltd: Design Authority Programme Manager Technical Design Authority Business Design Authority Product Deployment Business Change Release Manager	Clive Read Sue Harding David Parnell, Chris Allen Ben Gildersleve, Ann Clarke, Julie Pope 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 .	
CS/OLA/038	4.0	17/02/03	Operational Level Agreement for LFS.	
			Service Level Agreement for LFS.	
			PO Ltd IS Security approach	

Table 6: Associated Documents

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

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1.8 Abbreviations/Definitions

Abbreviation	Definition
AIS	Application Interface Specification
CLS	Cash Logistics (formerly CH&D - Cash Handling & Distribution)
EPOSS	Electronic Point of Sale Service
FAD	Financial Accounts Division (FAD Code)
LFS	Logistics Feeder Service
OLA	Operational Level Agreement
ONCH	Overnight Cash Holding
SAPADS	SAP Advanced Distribution System
SLA	Service Level Agreement
TIS	Technical Interface Specification
TPS	Transaction Processing Service

Table 7: Abbreviations/Definitions

Other generic IT terms can be looked up at: http://www.whatis.com/

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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

The Requirement Analysis Stage for Release 3 of the IMPACT Programme has been partitioned to 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 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 are 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 eg. 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: -

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

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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 copied as 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

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- 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.
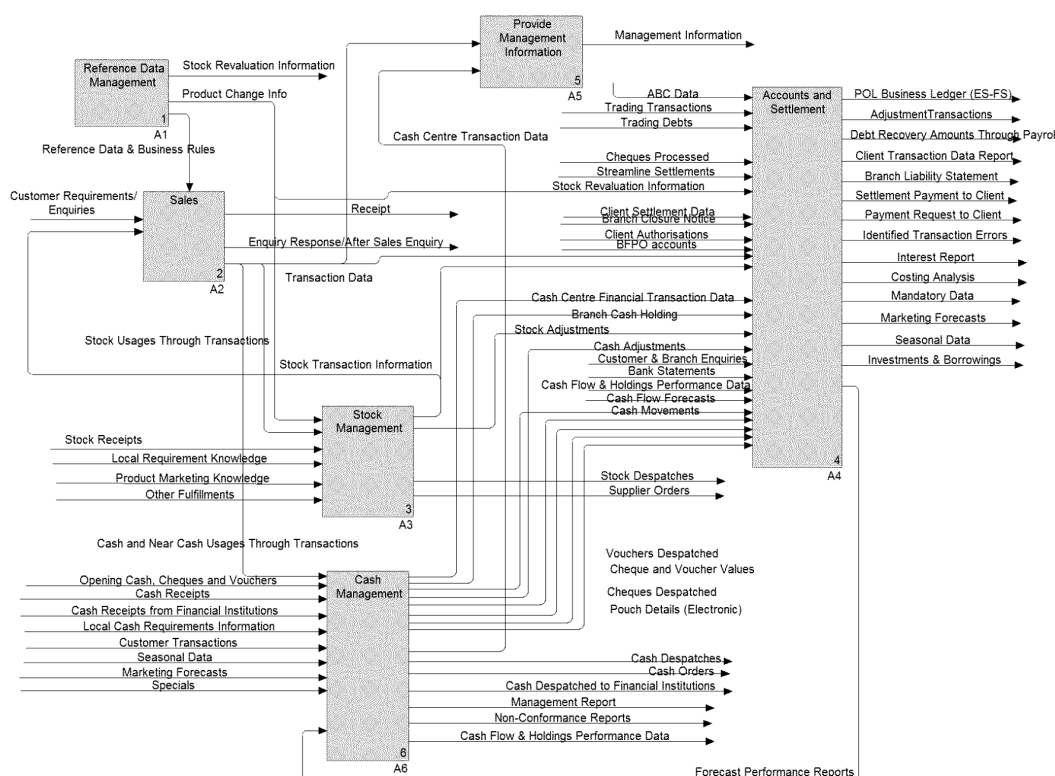
3.2.1 Overview

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 4 weeks. 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.

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 mid-month (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

   ❑ 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 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 remmed 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

    ❑ A stock declaration

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❑ 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.

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

❑ Cash 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 subpostmaster to pay via salary or credit card (handled via Transaction Corrections)

❑ DMB reverse suspense item to clear value 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-imbursement 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 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:
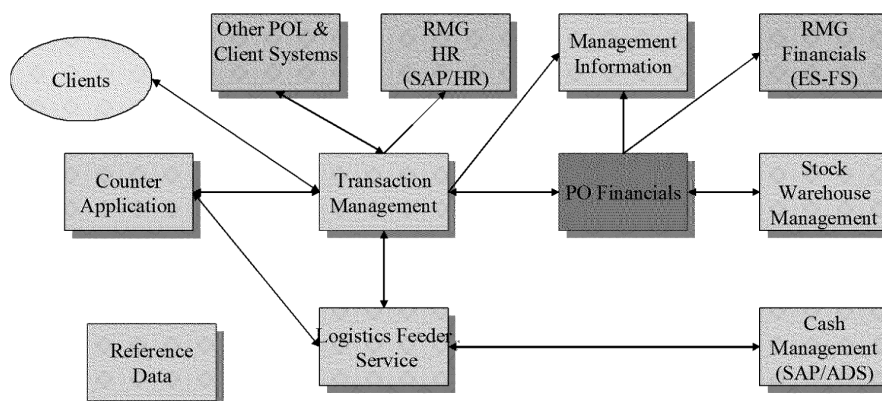
3.4 Potential for Change

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.

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4 Constraints

The requirements throughout this document are generic to all suppliers unless stated otherwise.

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

4.1 Business & Functional

BT - 001	Fujitsu Services	Production of a balance report for a stock unit must be possible to be produced within 4 times the current production time for a stock unit with a busy transaction profile, long trading statement period	1
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.	1
BT - 003	POL, Fujitsu Services, PRISM	Migration to POL-FS must occur at the end of a financial period.	4

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.	2

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

4.5 Prism Alliance

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BT - 005	POL	{DN: PRISM defined requirements regarding migration to POL-FS to be defined here.}	

4.6 Other Constraints

No Specific Requirements

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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 3.3.1 of this document.

6 Functional Requirements

In order to analyse and assess the functional requirements across the scope of this project the following areas were identified and analysed separately, initially, and then as a whole. The findings of the overall study are summarised here by these area groupings for ease of reading.

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 that the data is as accurate as possible
- 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.

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.

MacDonaldD2 Sounds as though this requirement will be met by tightening existing capability and is not really within the scope of Impact. If this is so, suggest it is removed from the CD for clarity.

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.

MacDonaldD2 Again out of scope so suggest removing.

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.

MacDonaldD2 Needs to be confined to whatever is deemed in scope for Impact

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, mid-month, 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 (rem 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.

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 branch managers 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.

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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: -

	Item	Comment
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.		
4.		
5.		

8   High Level Process Models

8.1   A4 Accounts and Settlement

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8.1.1 A4.1 Create / Verify Branch Trading Statement
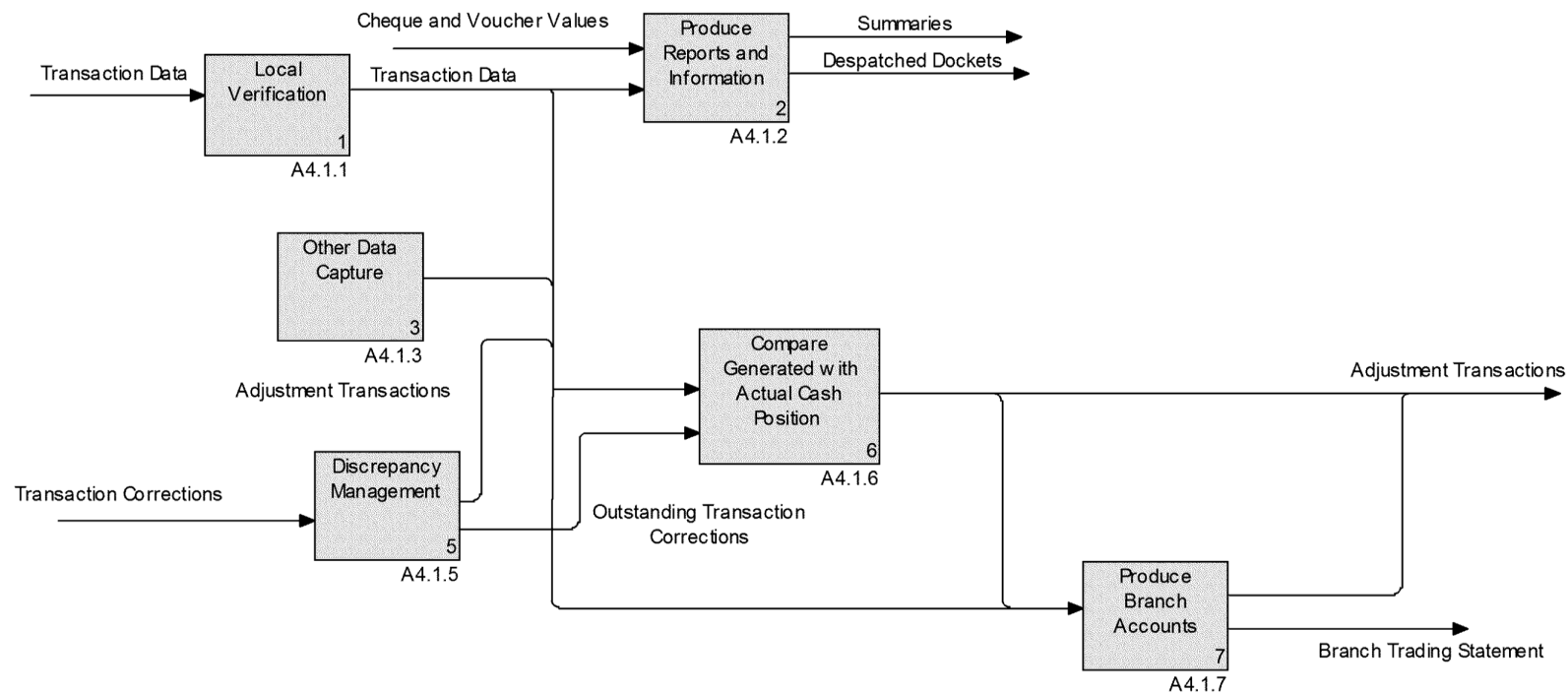
8.1.2   A4.1.1 Local Verification
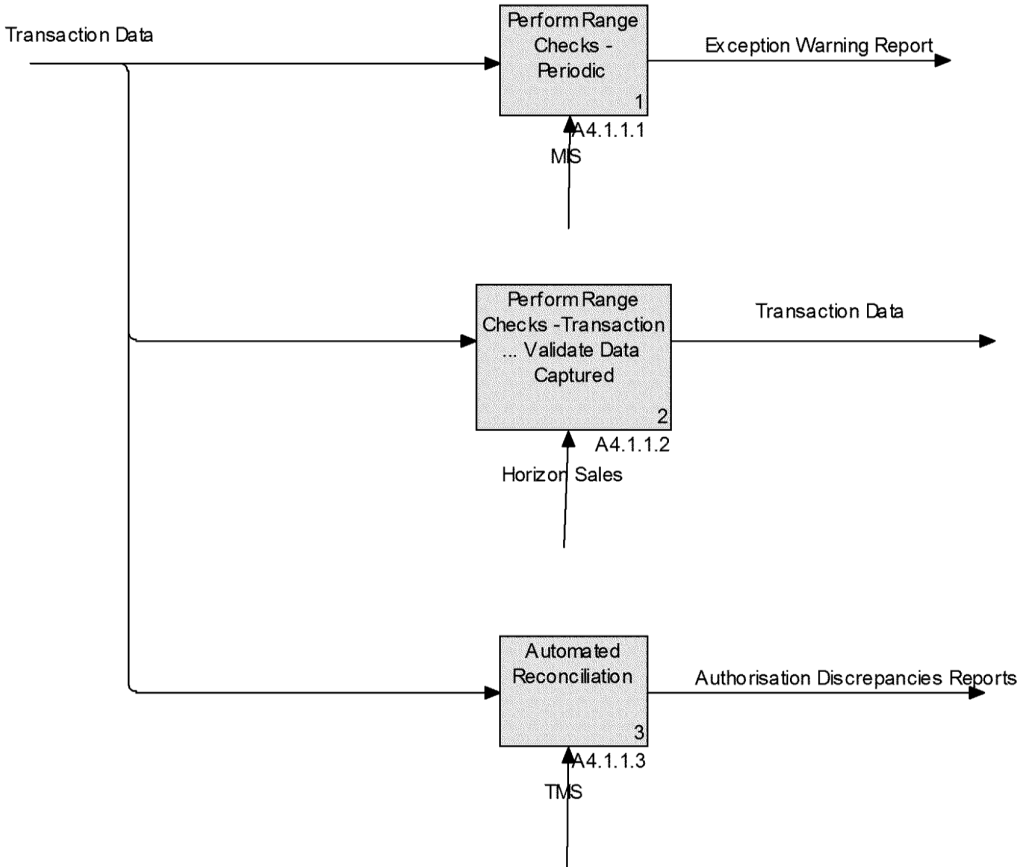
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8.1.3 A4.1.2 Produce Reports and Information

8.1.4 A4.1.2.3 Produce Sales Report to Assist Remuneration Check

User

Decide to Review Remuneration

Want to revise data range?

Yes   No

Horizon System

Display Error Message

No

Sales Report Button

Display Sales Review Screen

Is report generation possible for date range requested?

Yes

Produce Sales Report

End

8.1.5   A4.1.3 Other Data Capture

8.1.6   A4.1.5 Discrepancy Management

Transaction Corrections

Receive Automated Message
1
A4.1.5.1

Handle Transaction Correction
2
A4.1.5.2

Outstanding Transaction Corrections

Adjustment Transactions

8.1.7 A4.1.5.1 Receive Automated Message

8.1.8 A4.1.5.2 Handle Transaction Correction

User

Decide to Resolve Transaction Corrections

Choose Transaction Correction to Clear

Choose Transaction Correction Option

Perform any Off System Adjustments (e.g. Make Good Physical Cash)

Horizon System

Transaction Corrections Button

Display Transaction Corrections not yet processed

Display Detail of Transaction Correction

Complete Correcting Transactions for Chosen Option within Transaction Correction

Record Transaction Correction Cleared

End

8.1.9 A4.1.6 Compare Generated with Actual Cash Position

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

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

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	COMMERCIAL IN CONFIDENCE		
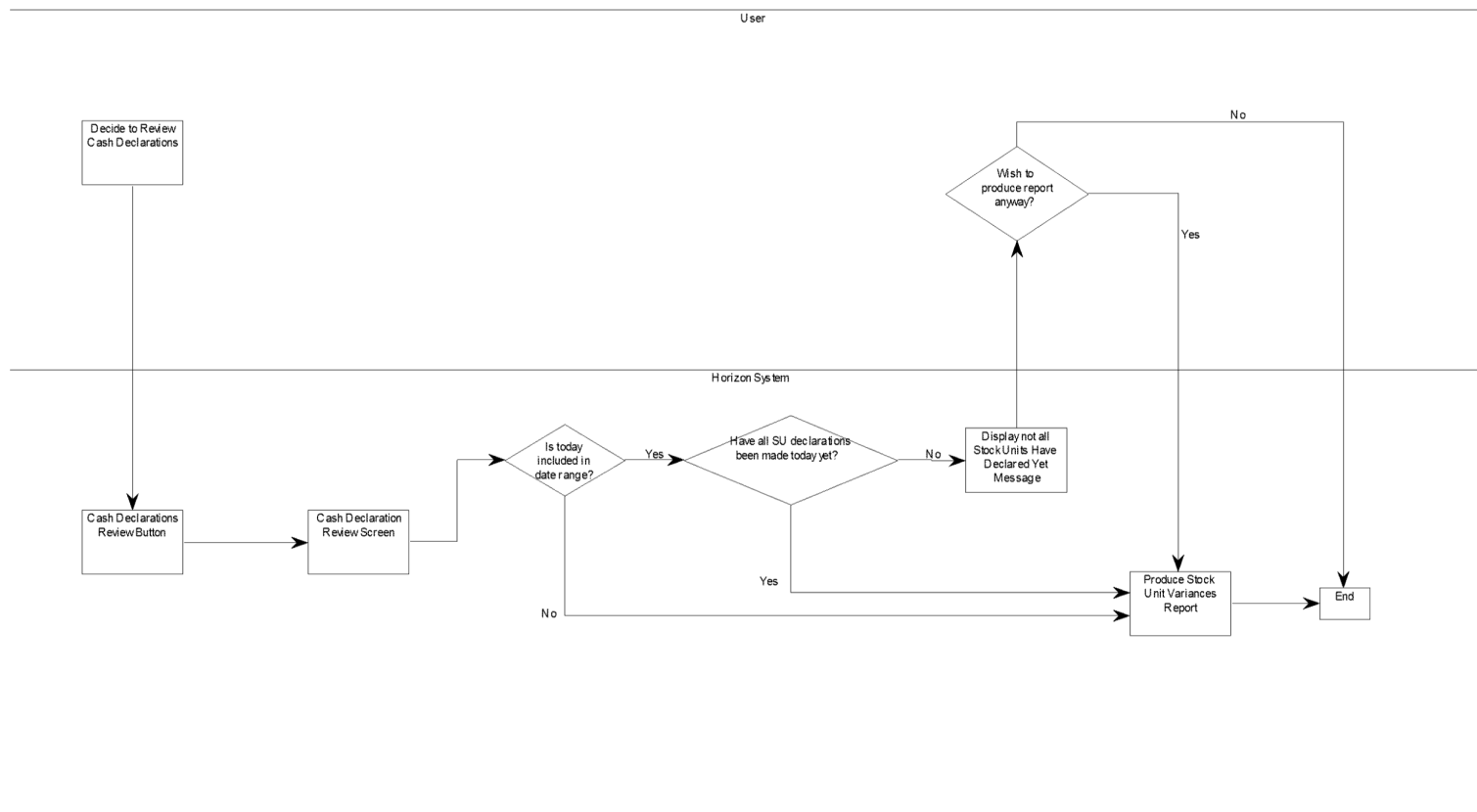
8.1.12 A4.1.6.3 Make Good or Hold Any Cash Variance

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8.1.13 A4.1.7 Produce Branch Accounts

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8.1.14 A4.1.7.1 Make Good any Outstanding Variances

User

Make Good

| Decide to Make Good a Cash Variance for a particular Stock Unit | Put Cash in Draw | | Enter Amount to be Made Good |

Horizon System

| New "Make Good" Button | | Update Cash Declaration and Record Amount Made Good | End |

8.1.15 A4.1.7.2 Stock Checking

Transaction Data

Local Stock
Check Stock
Held for Stock
Unit   2
A4.1.7.2.2

Adjustment Transactions

Review Stock
Held Across
Branch   3
A4.1.7.2.3

Office Snapshot Report

Rem In/Out
Stock   1
A4.1.7.2.1

Stock Changes due to Remmittances

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8.1.16 A4.1.7.5 Produce and Confirm Trading Statement
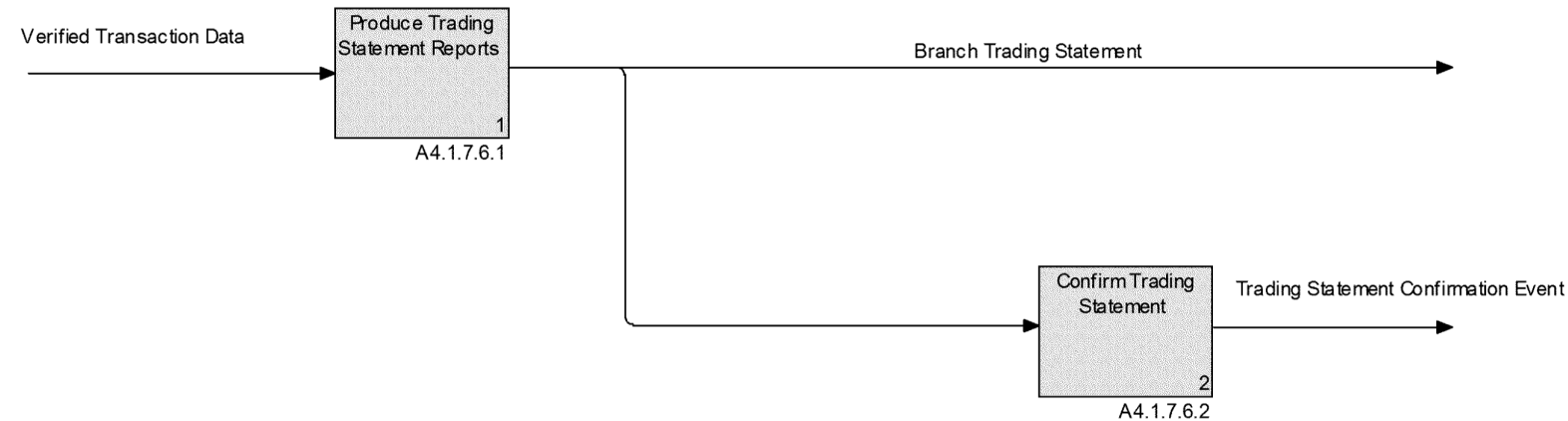
Doc Ref: BTRMC&TM-001 **Conceptual Design** **Project:** IMPACT - Branch Trading Reporting, Management and Control and Transaction Management

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8.1.17 A4.1.7.5.2 Confirm Trading Statement

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8.2 A4.3 Summarise Transaction Data

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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 (eg. bulk input or Remittances) which have an impact on the position at the branch
Logical data items	- Session ID - Transaction ID - User ID - Stock Unit - Trading Date - Trading Period - Date and Time - Product ID - Sale value - Sale quantity - Additional data items - Remittances Information - Transfer Information
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	POL-FS, HR-SAP, Clients & 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	POL-FS & MI

9.1.3 Adjustment Transactions

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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	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	The logical data items vary from summary to summary but will follow the general pattern of:
	
	▪ Header
	▪ Product/client name
	▪ FAD code/name
	▪ For each transaction:
	    ▪ Transaction number
	    ▪ Transaction additional data (eg. reference number)
	    ▪ Value
	▪ Total value of transactions
	
	Note there is no change proposed in this area.

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	These are the physical dockets and the details of their contents which are remitted out of the branch . There are two flows here: ▪ The Physical Dockets and any control report sent with them. ▪ The electronic record sent indicating that the dockets have been remmed out
Logical data items	▪ Header ▪ Product/client name ▪ FAD code/name For each transaction: ▪ Transaction number ▪ Transaction additional data (eg. reference number) ▪ Value Total value of transactions including physical dockets/vouchers.
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	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)").
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
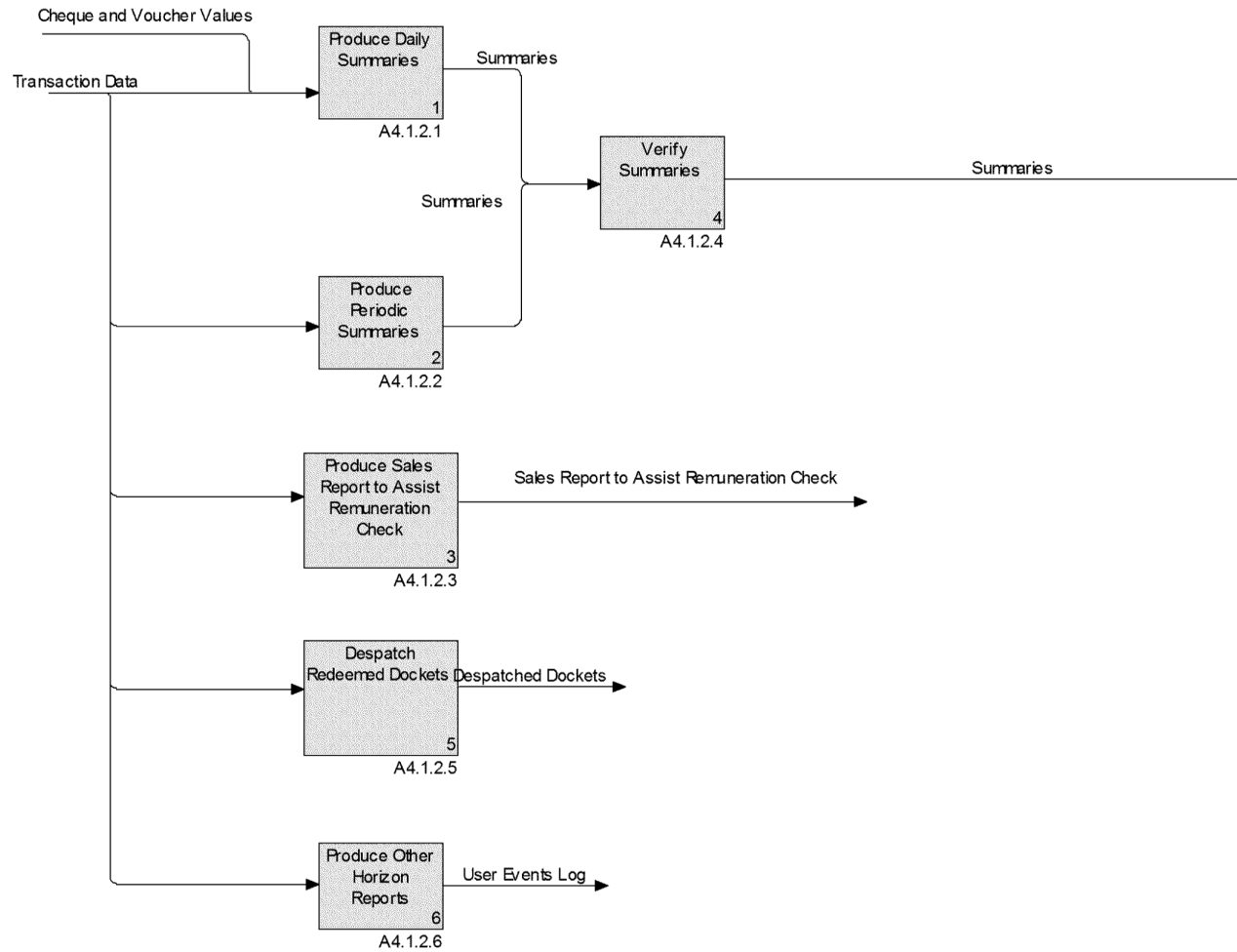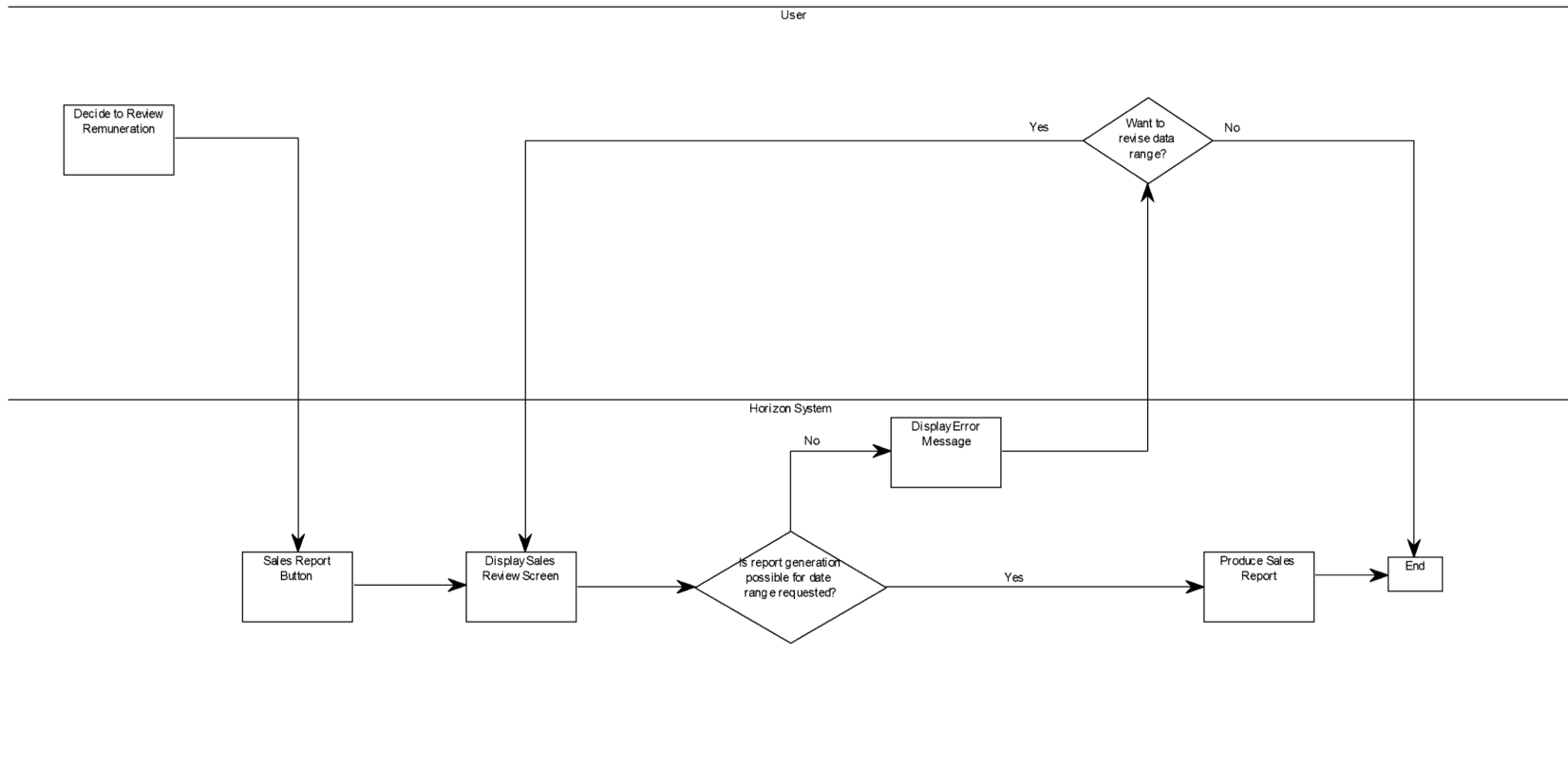
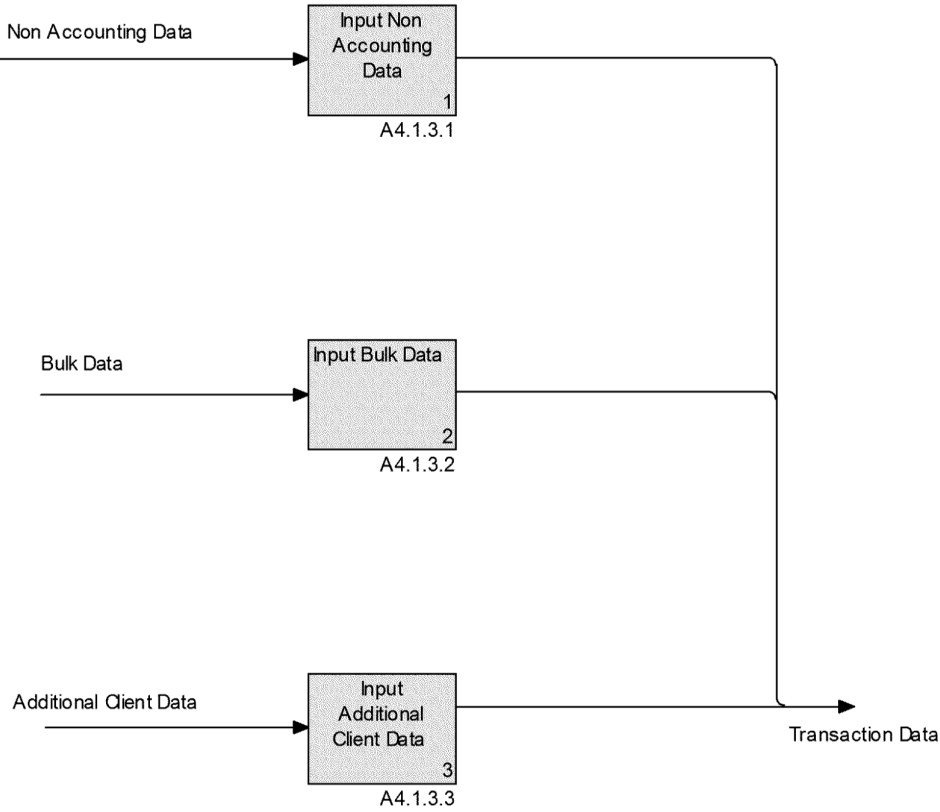Doc Ref: BTRMC&TM-001   **Conceptual Design**   Project: IMPACT - Branch Trading Reporting, Management and Control and Transaction Management
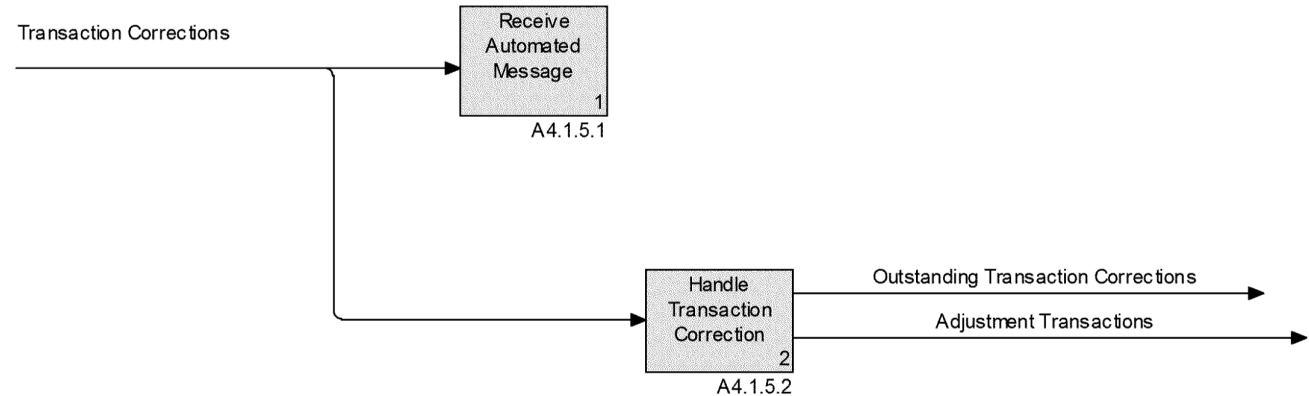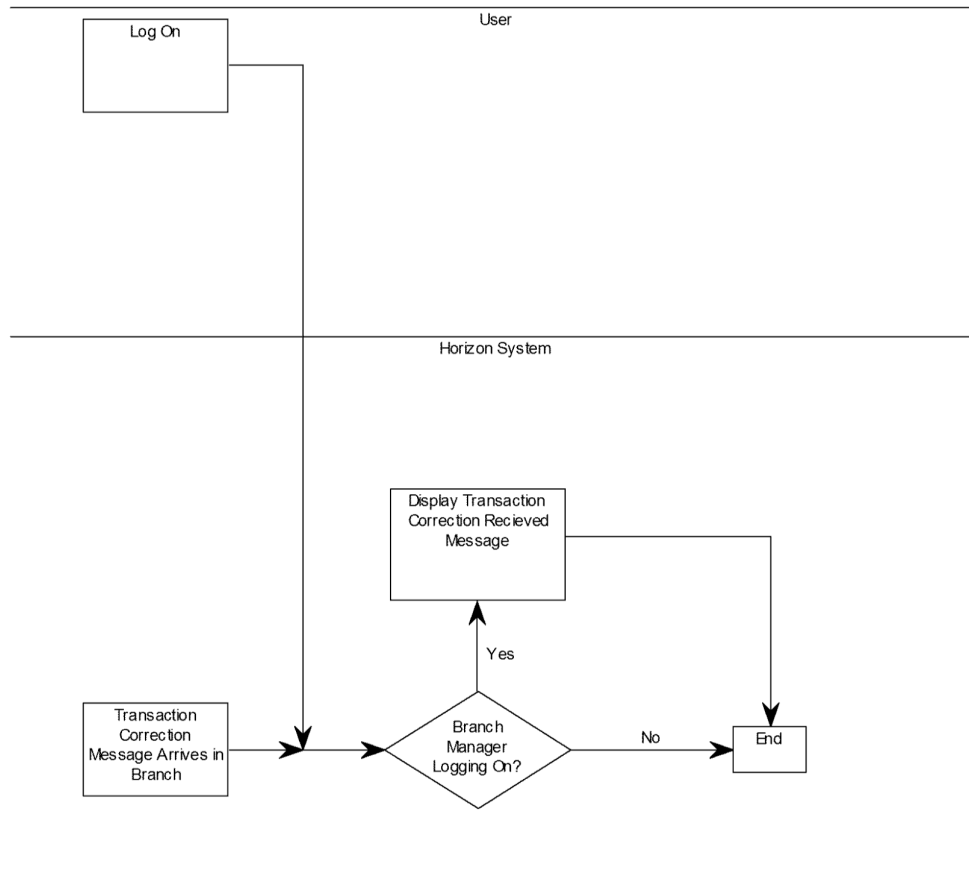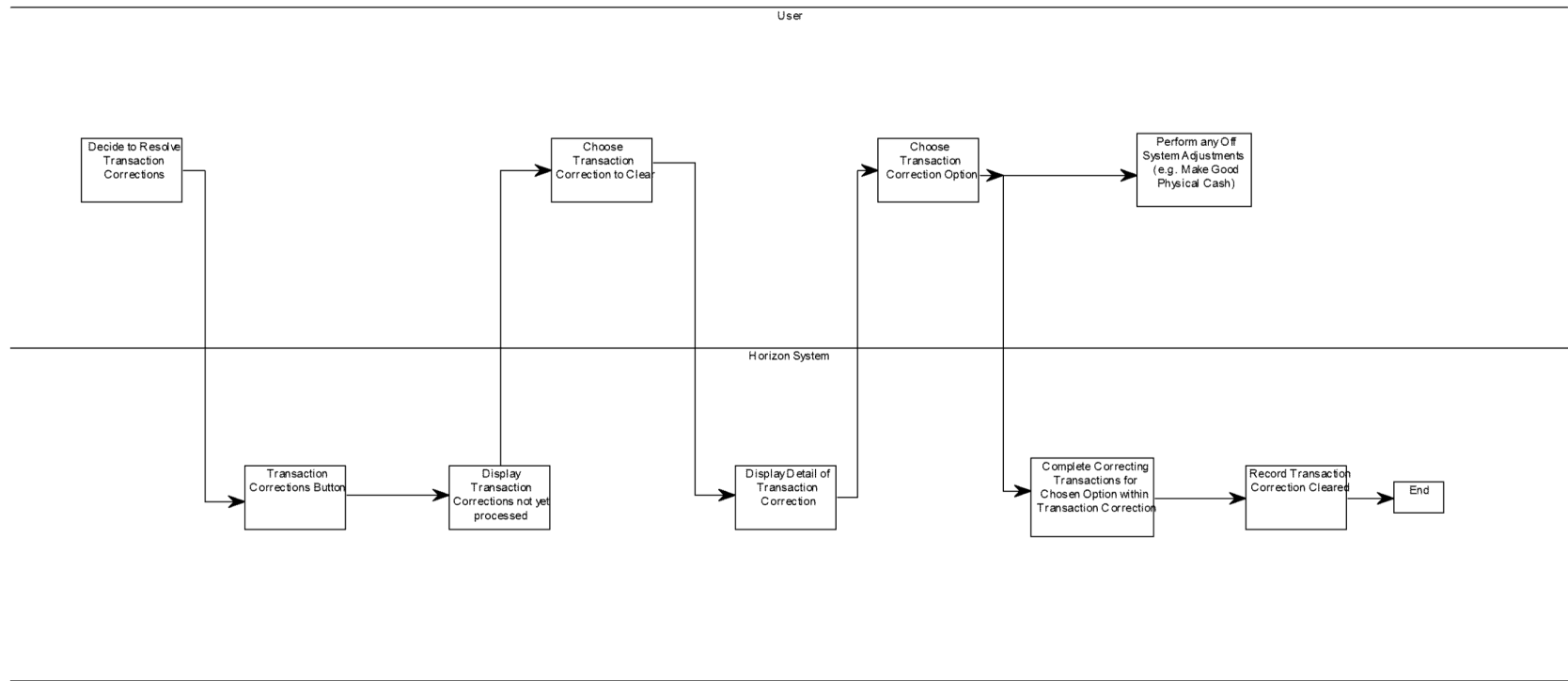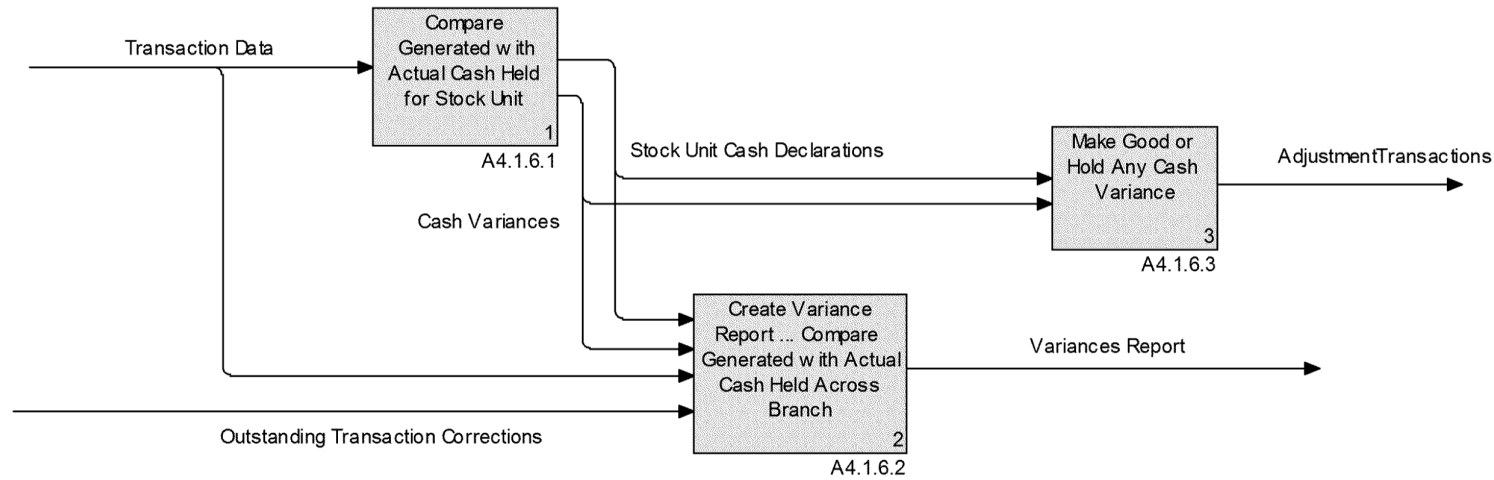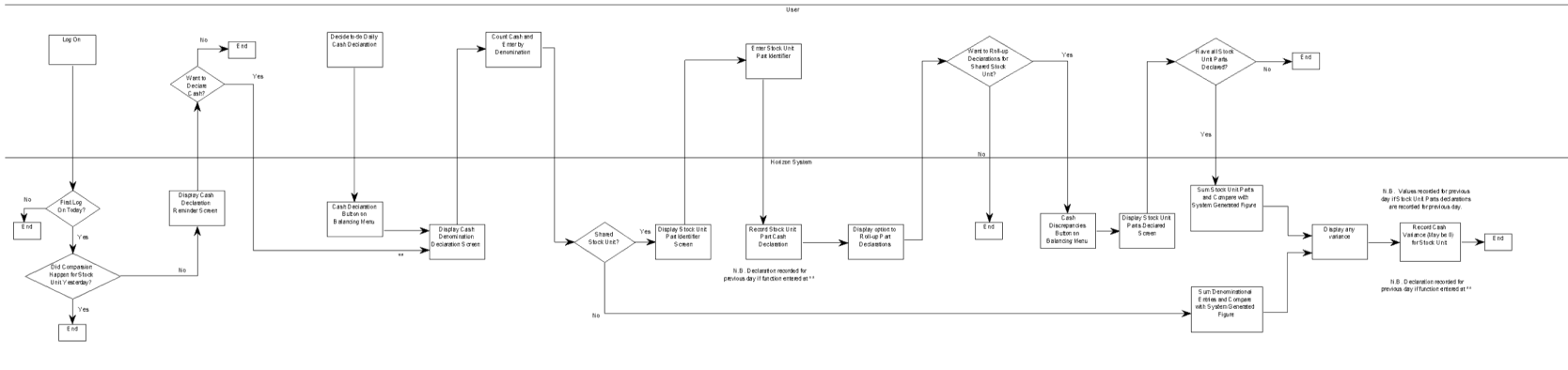
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Attribute	Description
Description	This is the report produced whenever a user decides to balance a stock unit for the end of a balance period or trading period. The report identifies trading position, cash and stock holding and any discrepancies , which must be investigated and corrected before the Stock Unit can be balanced.
Logical data items	See Section 20.9 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	1

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 20.9 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	1

9.1.9 Branch Trading Statement

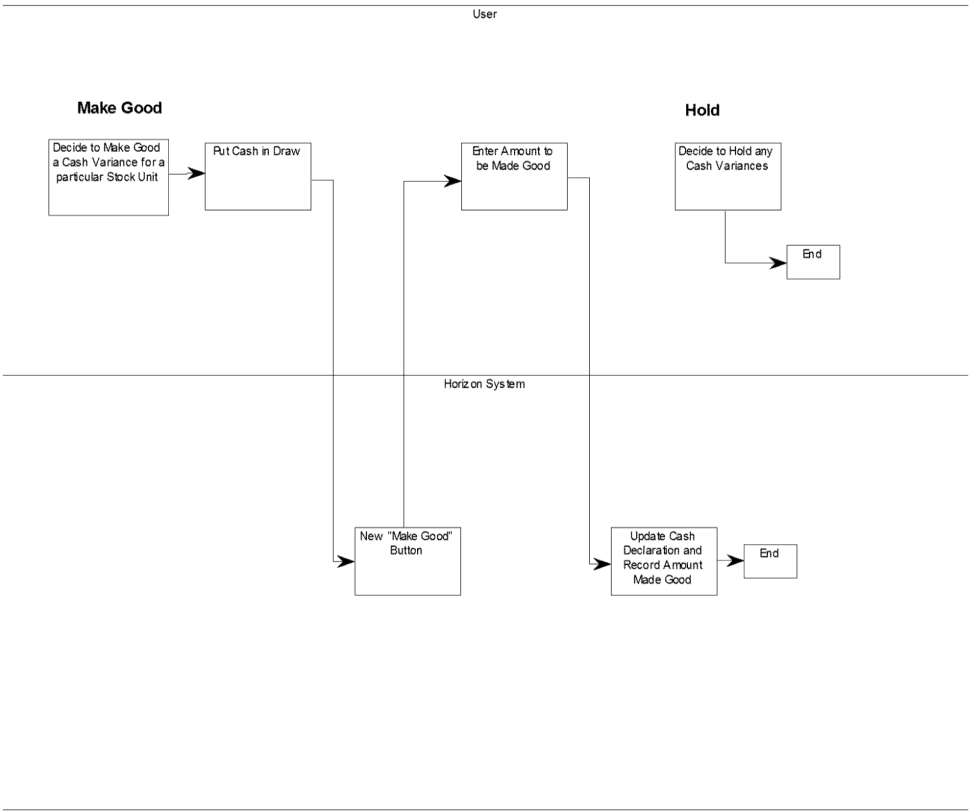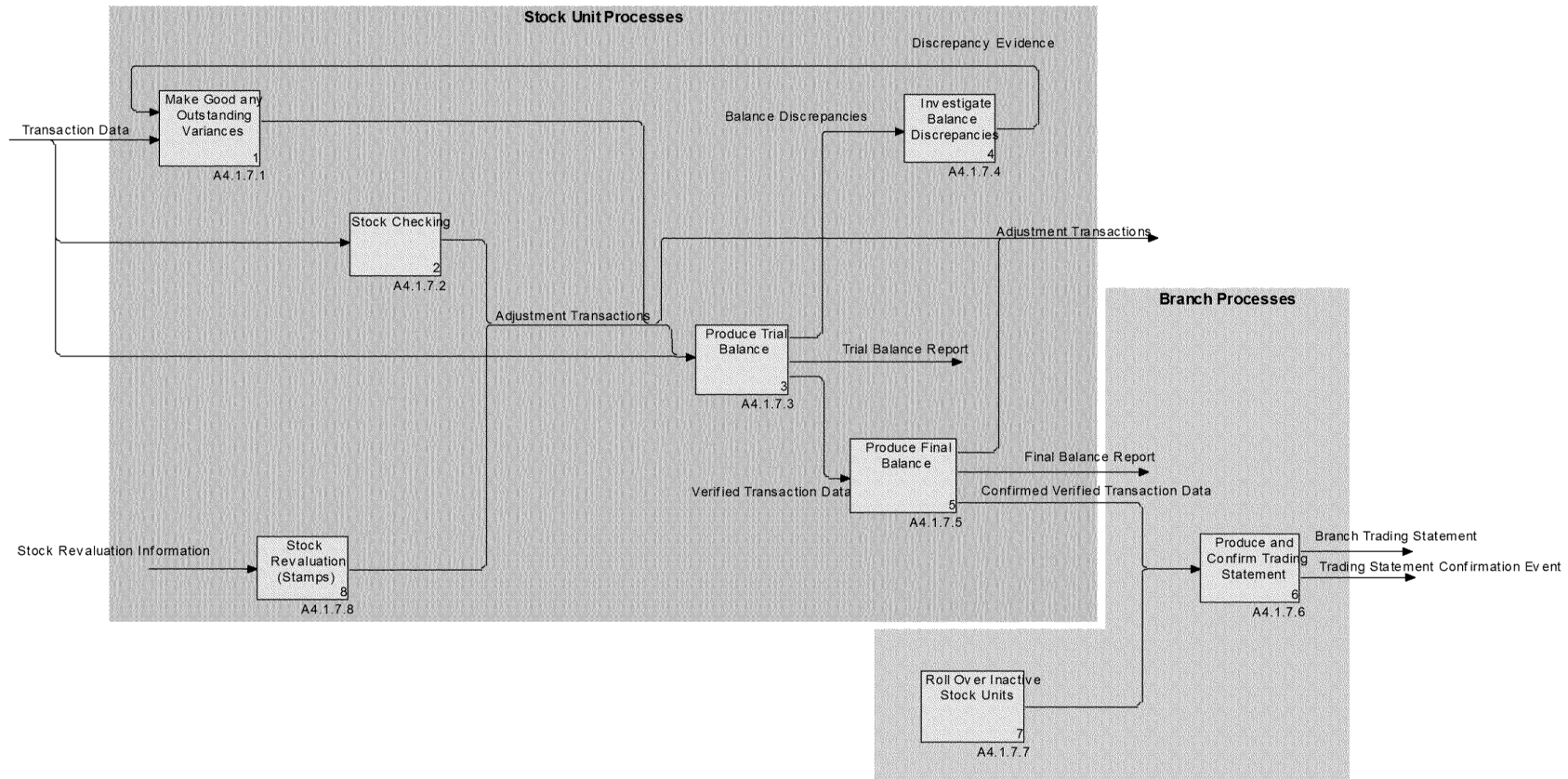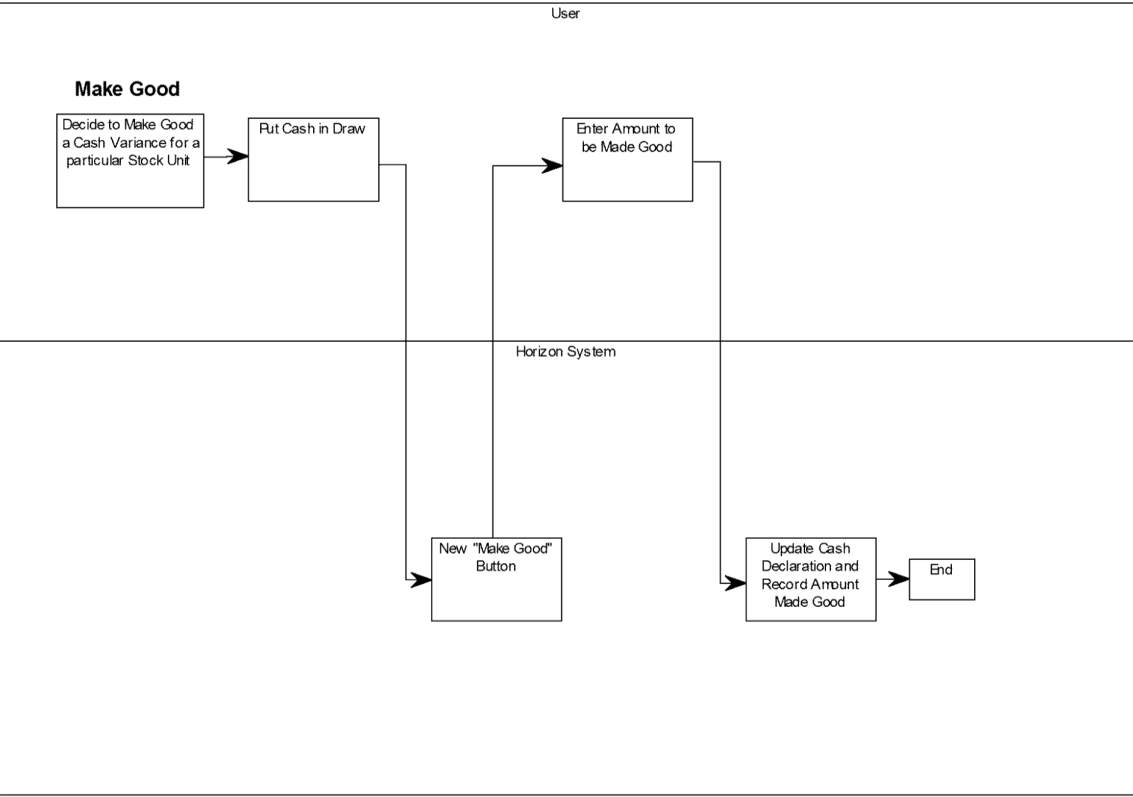Doc Ref: BTRMC&TM-001 | **Conceptual Design** | Project: | IMPACT - Branch Trading Reporting, Management and Control and Transaction Management
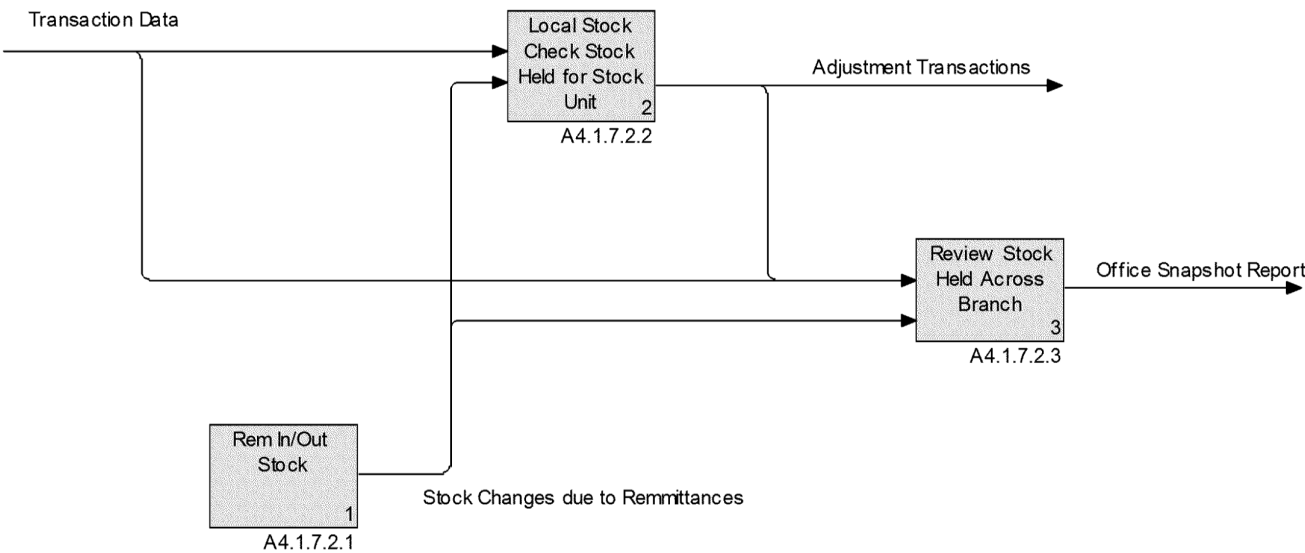
COMMERCIAL IN CONFIDENCE

| Attribute	Description
Description	This is the report produced at the end of each month accounting period to reflect the branch's trading position for that period.
Logical data items	See Appendix B (20.1 & 20.1.2)
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	1

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	• FAD Code • Date • Time • Trading Statement Completed Indicator
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 20.6)
Special requirements	None
Time constraint	On user request, likely to be at least monthly
Type of Object	Printed output
Source	Horizon
Destination	Branch

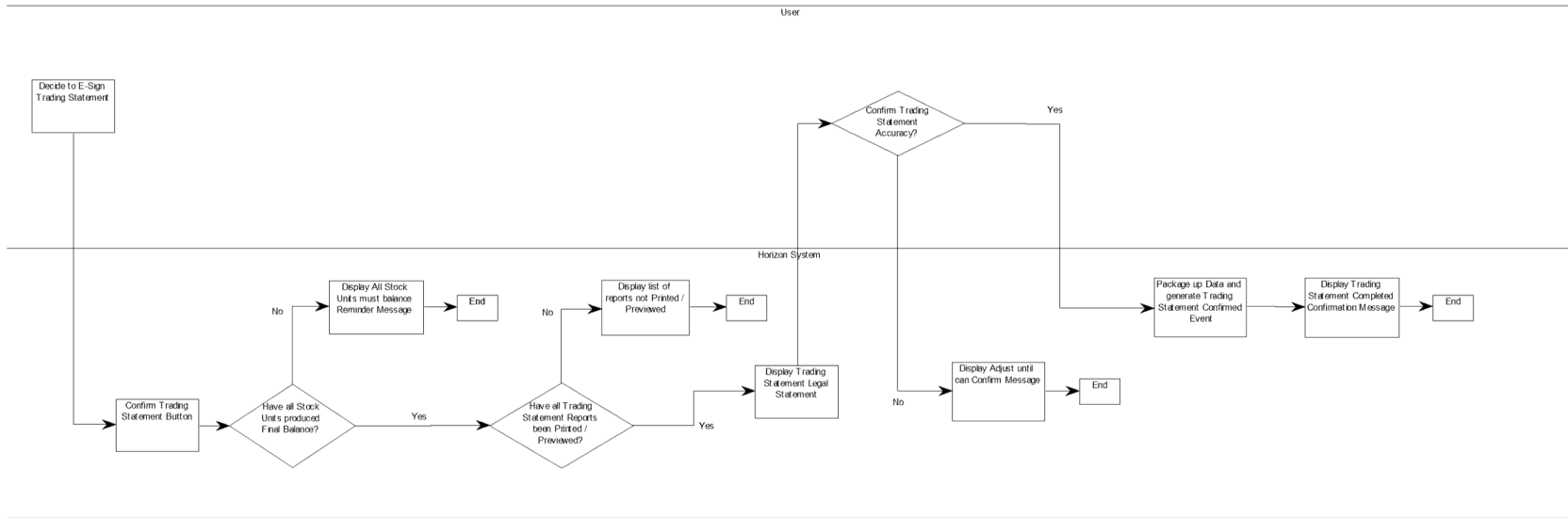### 9.1.12 Non Accounting Data
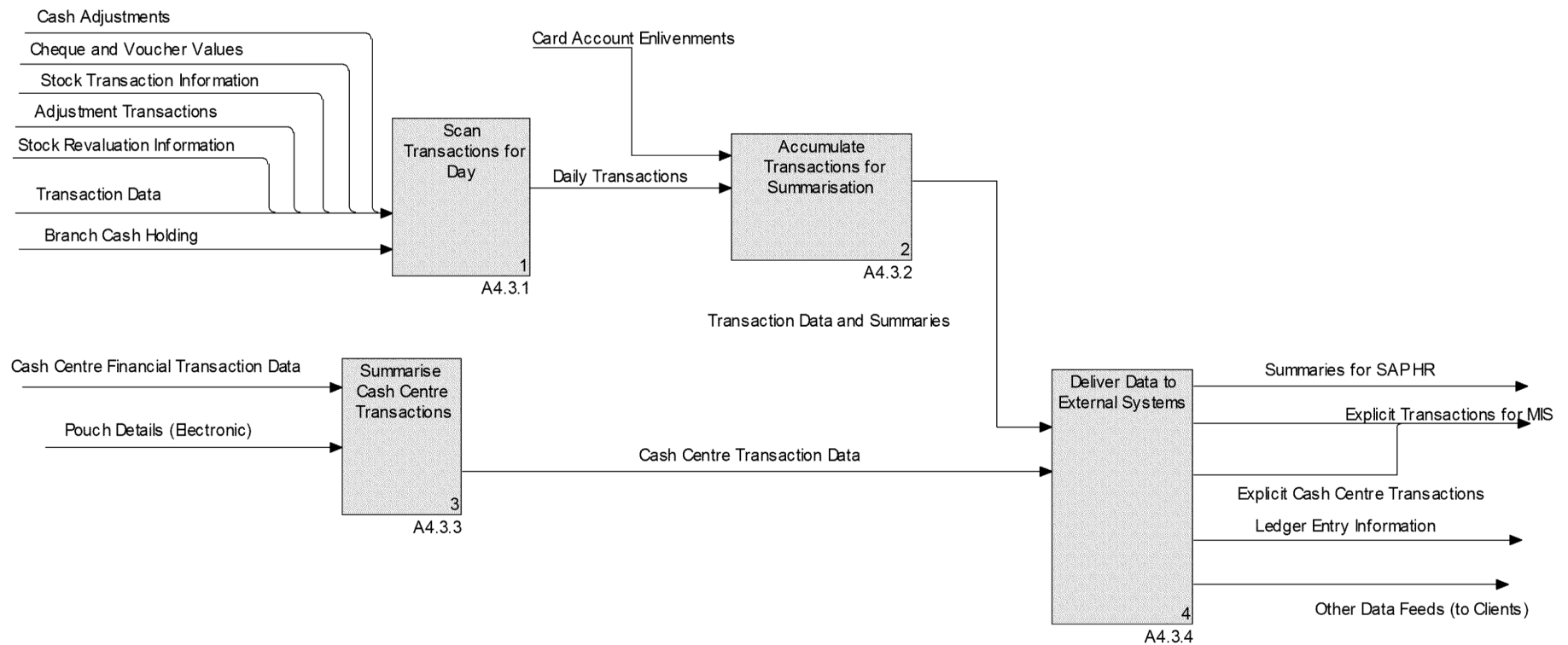
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Attribute	Description
Description	This is information about transactions which are not captured at the point of sale and is used to generate non-accounting Transactions so that the information is available for Post Master Remuneration etc. This information may not affect the branch accounts but may affect settlement or remuneration processes.
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

9.1.13 Bulk Data

Attribute	Description
Description	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.
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

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Attribute	Description
Description	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.
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 user: • User ID • Stock Unit • Trading Date • Trading Period • Date / Time • Till ID (if in a Shared Stock Unit) For each denomination: • 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

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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: • User ID • Stock Unit • Date / Time • Variance value • Declared Value
Special requirements	None
Time constraint	If invoked to be completed by End of Day
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	▪ Product Id ▪ Changes to Value ▪ Effective date of change
Special requirements	None
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	Daily feed of Cash Centre summary and transaction details. The interface already exists as a direct SAPADS to POLFS feed at Release 1 – Release 3 adds client related transaction data, and routes the interface via the TMS. The file will contain all activity in cash centres that have a financial effect on PO Ltd. See SAPADS – POLFS AIS [Ref?] {DN: Need reference} MacDonaldD2 A data feed from SAPADS to TMS is not shown in the main flow diagrams !!
Logical data items	▪ Cash (£ and Foreign exchange) & Bank balances ▪ Transactions initiated in cash centre & completed in liquidity team managed bank accounts ▪ Cash (£ and Foreign exchange) Rem in/out data. ▪ NI Cheques remittances Write offs and adjustments.
Special requirements	None
Time constraint	Target delivery time to TMS = 3.00am, daily. {DN: Not sure about the arrival time. Currently Fujitsu pass data to MIS by 03:00, so if they only get this from SAP ADS at 03:00 will miss that day's MIS feed. Is this acceptable?}
Type of Object	Electronic Records
Source	SAP ADS
Destination	TMS then passed on to 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	▪ Movements in Cash/near cash in hand ▪ Sales of stock items quantity and value ▪ Client transactions number and value ▪ REM in and out of cash/near cash and stock ▪ Adjustment/suspense item values
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. MacDonaldD2 Will this product / material conversion be within POL FS or within TMS ?
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 MIS, unchanged. For further information see that definition.
Special requirements	None

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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	▪ Horizon transactions 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.
Special requirements	None
Time constraint	Must be available to the MIS by ??.?? {DN: Currently available by 03:00 (SLA) and usually before midnight (in practice)}
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 extracted from the SAPADS to POLFS interface.
Logical data items	Transaction details (no summarisation – attributes to be determined).
Special requirements	None
Time constraint	Must be available to the MIS by ??.?? {DN: Fujitsu pass data to MIS by 03:00, so if they only get this from SAP ADS at 03:00 will miss that day's MIS feed. Is this acceptable?}
Type of Object	Electronic records
Source	TMS
Destination	MIS

9.1.23 Summaries for SAPHR

Attribute	Description
Description	Remuneration data for SAPHR, based on sales transactions carried out at Horizon outlets.
Logical data items	For the period being processed (previous month) ▪ Outlet ▪ CTT ▪ Product Grouping ▪ 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 – SAPHR AIS. MacDonaldD2 Does this mean that the required Reference Data will be defined in this AIS ?
Special requirements	None
Time constraint	A single monthly interface. To be provided to SAPHR to an agreed timetable (held in reference data (Fridays))
Type of Object	Electronic records, CSV file?
Source	TMS
Destination	SAPHR

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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	▪ Calendar Month ▪ Outlet ▪ Volume
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	The client summary report is currently a daily interface into OpTip which reports the value and volume of the AP client data. 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.
Logical data items	Transaction details (as per current file) ▪ Record Type Identifier ▪ Client Identifier Code ▪ Version Number of Client Identifier ▪ Item Id ▪ Version Number of Item ▪ Client Trading Date ▪ Total Number of Transactions ▪ Total 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)

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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 Transaction Corrections
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	1

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 Report

Source	Horizon
Destination	Finance

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.	2

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

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Attribute	Description
Description	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) The types of mandatory business rules to be driven by parameters defined within NRDS include: Dates for open/closure of products Definition of core or non core products and associated branches Minimum and maximum transaction quantity Minimum and maximum transaction value Multiple transaction value allowed (total value must be divisible by this amount) Retail price (unit price) Override price allowed flag (e.g. Girobank fee) Transaction must record both volume and value information If a clerk attempts to enter a range 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 MacDonaldD2 All the above checks are already done as part of the transaction processing so where is the hole ? What other knowledge does CBDB have to enable it to do tighter checks ?
Trigger	An error message will be displayed when a mandatory business limit is exceeded/not adhered to
Automation	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. As provided by current functionality within the Horizon system, though the ranges specified within Reference Data may be tightened.
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.	2&3

10.1.1.3 Automated Reconciliation (A4.1.1.3)

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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	There are a number of areas for potential reconciliation checks:

    • 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

Proposed reconciliation mechanisms in these areas are discussed below.

Between the Branch and TMS

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.

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.

It is proposed that such reconciliation checking is sufficient.

Between APS Transactions and Summaries

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 (section 0 describes the checks that the transactions match the summaries passed to POL FS).

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.

It is proposed that the existing reconciliation between TPS and APS is removed thus simplifying the TMS processing.

Between FI and TMS view of on-line Transactions

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.

Integrity of individual data flows

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.
Frequency	To match frequency of transfer of data files. Mostly nightly
Constraints	None
Start up Conditions	Data transferred
Completion Conditions	Reconciliation reports produced

10.1.2 Produce Reports and Information

1. Produce Daily Summaries
2. Produce Periodic Summaries
3. Produce Remuneration Checks
4. Verify Summaries
5. REM out and Despatch Redeemed Dockets/Vouchers

10.1.2.1 Produce Daily Summaries (A4.1.2.1)

Attribute	Description
Description	Produce daily summaries for those products for 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.

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 more available via electronic stream – thus only summaries which lie outside of that capability should be included in this process.

As is current process and functionality for production of such summaries. Simplification is dependent on product re-engineering |
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.	2
BT - 013	Fujitsu Services	The methods for producing summaries (daily and periodic) will allow production of summaries, to be printed and/or previewed on screen and allow a cut-off. This is existing functionality which will remain as is.	1

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10.1.2.2 Produce Periodic Summaries (A.4.1.2.2)

Attribute	Description
Description	Produce summaries for those products which are not 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, on some basis other than daily. 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 more available via electronic stream – thus only summaries which lie outside of that capability should be included in this process. As is current process and functionality for production of such summaries. Simplification is dependent on product re-engineering
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. The revised list of items will be defined in reference data for display when the "End of Week" button is pressed on Horizon.	2
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: • 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 transaction transactions of type since start of trading period if last cut-off was in previous trading period	2

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

Attribute	Description
Description	The Sales Report is produced to support the postmaster in assessing whether his pay invoice received from SAPHR 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

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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 HR SAP 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 (or summaries)
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 data range.	1

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 (eg. 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	This process ensures that any docket which is sent from the branch in a way which provides sufficient information to control and audit the movement of the dockets. 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. The benefit of this process is to keep an audit trail on all items despatched from the branch It is assumed that this process is performed separately for each Stock Unit.
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	This process is automated using the existing functionality for cut-offs for dockets to be sent form the branch. No change is required to this functionality.
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	User initiated process. Current process same as is. Report may be defined differently as documented within Information flows.
Automation	The user will select the appropriate function and produce a report against which he/she can check his/her transactions. As current process and functionality for producing reports.
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.

| BT - 017 | Fujitsu Services | The methods for producing reports will allow the reports to be printed and/or previewed on screen. This is existing functionality which will remain as is. | 1 |

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	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. Examples of these transactions are Royal Mail, Parcel Force, and Girobank. Uses for this data include: ▪ Management information ▪ Settlement information ▪ Remuneration
Trigger	User initiated, business process rules to be defined and communicated to branches
Automation	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 As is current process and functionality for such data entry.
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	In order to simplify current processes and reduce requirements for capture of data using this method: ▪ 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 - 018 | Fujitsu Services | The functionality for entering non-accounting data will remain as is. | 1 |
| BT - 019 | POL | Business procedures for entering non-accounting data, identifying what data and when, will be produced. | 2 |

10.1.3.2 *Input Bulk Data (A4.1.3.2)*

Attribute	Description
Description	Input bulk transaction data, into the electronic transaction data stream, that is captured at the point of sale using third party equipment. Examples of these types of transactions are ATMs and Lottery. The data needs to be input into the transaction stream for various reasons: To be reflected within the branch trading position and feed into the business accounts Settlement – used for invoicing of management fees and also used to validate against client settlement figures Remuneration – paid monthly usually around the middle of the calendar month – agents paid on either volume of value of transactions undertaken The current process for using this functionality following system failure will remain.
Trigger	User initiated, business process rules to be defined and communicated to branches
Automation	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 A review of the min/max limits defined within NRDS will tighten the allowed range for input. As is current process and functionality for such data entry.
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 - 020	Fujitsu Services	The functionality for entering bulk data will remain as is.	1
BT - 021	POL	Business procedures for entering bulk data, identifying what data and when, will be produced.	2

10.1.3.3 Input Additional Client Data (A4.1.3.3)

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Attribute	Description

Description	Enhance the transaction data stream with data required within the transaction data for particular clients/products.
	
	Additional client data in this context refers to the current process whereby additional data fields relating to transactions, that re not captured within Horizon, are captured using the manual summaries within the branch.
	
	Process drivers for capture of additional data items are:
	  ▪ Contractual requirements with clients
	  ▪ Validation of settlement figures (specific evidence)
	  ▪ Responding to customer and client enquiries
	  ▪ Investigating exceptions/discrepancies
	
	Product re-engineering has been defined as out of scope, but ADC and PAF functionality could be utilised by applying NRDS functionality.
	
	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.
	
	This process would result in the following benefits:
	  • 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
	
	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.

Trigger	Transaction will be user initiated, trigger for additional data capture items will be driven by parameters defined within NRDS
Automation	Relevant data items for additional data capture will be prompted by the system and verification rules applied as defined within NRDS (mandatory business rules) Changes to be designed and implemented by the Product Re-engineering Programme. No changes are required within this project. Current process and functionality for such data entry are to be retained as a result of this project.
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

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Start up Conditions	- 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.	2
BT - 023	POL	New and replacement products will be implemented using existing system capabilities.	2

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 logon 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.
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.	1

10.1.4.2 Handle Transaction Corrections (A4.1.5.2)

Attribute	Description
Description	This is the mechanism for Accepting or Rejecting the Transaction Correction by the branch
Trigger	User Initiated

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Automation	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. 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. 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). 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.
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	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. 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. 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).	1

10.1.5 Compare Generated with Actual Cash Position

- Compare Generated with Actual Cash Held for Stock Unit
- 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	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. 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. Local tool
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	Get rid of Current ONCH 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.. For shared stock units the system should give the option to roll-up the stock unit part declarations, after a part declaration is completed.
Frequency	Daily – at the end of the day

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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.	1
BT - 027	Fujitsu Services	For a non-shared stock unit the functionality of declaring cash will remain as is	1
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.	1
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.	1

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 9.1.31. There will be an option to print this report.
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	1

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 ▪ 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 ▪ for DMBs and Multiples can post to a central "Profit & Loss" account
Trigger	This is a user driven process following on from Compare Generated With Actual Cash Held for Stock Unit

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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:
	
	   • 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

- Make Good or Declare any Outstanding Losses
- Stock Checking
- Produce Trial Balance
- Investigate Balance Discrepancies
- Produce Final Balance
- Produce and Confirm Trading Statement
- Roll Over Inactive Stock Units
- Stock Revaluation (Stamps)

10.1.6.1 *Make Good any Outstanding Losses (A4.1.7.1)*

Attribute	Description
Description	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. 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. 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.)
Trigger	This is a user driven process

Automation	It is proposed that two new "buttons" are introduced onto the Horizon system:
	
	   • Make good a loss
	
	   • Remove excess cash
	
	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.
	
	Directly Managed branches don't make good, instead Button to move variances to Profit & Loss. (This is a new product /button and will operate like another Suspense product.) For Make Good –
	
	Multiples – Move to a new Suspense product where the funds will be recovered

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	through POL-FS
	
	Transactions moving cash into suspense will generate a unique transaction id reference, as is current functionality.
	
	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 removal of vouchers will have the following Front-end implications:
	    1) New buttons for:
	        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:
	        a) Client Issued Error Notices;
	        b) Pre Purchase Products;
	        c) Unpaid Cheques;
	        d) POL cheques.
	        e) Write offs (button needed ? … not expected to be);
	        f) MVL Car Hire companies (not thought to require additional front end functionality due to low values involved); and
	        g) Robberies & Burglaries.
	{DN: Above list of suspense product to be confirmed by 19 March 2004.}
	
	The function to make entries into these remaining suspense products should be altered so that it is only available to Managers in all branches. In Directly Managed branches all users will be able to enter variances into the "Profit & Loss" suspense product.	

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 (ie 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.	2
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.	1
BT -033	Fujitsu Services	Access to the functionality to enter amount into suspense products will be limited by user role	1
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 lead to an extended Trading Period. Approved hardship amounts will appear as Transaction Corrections	2
BT -035	POL	Reference Data will be edited to limit the suspense accounts available within branches to the limited "known errors" set.	2

10.1.6.2 Stock Checking
- Rem In/Out Stock

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- Local Stock Check Stock Held for Stock Unit
- Review Stock Held Across Branch

It should be noted that, there are consequences of the principles that "Stock will be held by volume/quantities only until sold or lost. Unit of measure for all transactions on Horizon will be the retail sales unit of measure." and that "All products will be remmed in and out and no product/stock will be excluded." , which have some far reaching implications. These are:

- The principles don't fit with the detailed requirements for the handling of stamps. It has been agreed that "Other Stamps" will need to be managed by Value rather than by Volume.
- There is a consequential requirement to convert all current non-value stock to Value Stock, in order to bring them under system reported control. Stocks of Motor Vehicle Licenses (MVLs) will be controlled in a way that movements (including remittances in, sales, stock adjustments and remittances out) of all MVLs of different types (months) will be reported to POL-FS as a summation of movements for all the different types (months).This means that the stock control system within POL-FS will have only a combined total of all MVLs within the branch. Requirements for any further information for other purposes (e.g. requirements planning) will be reviewed and implemented under another stock control programme if necessary, not as part of the IMPACT programme.

It is further noted that, since the development of the stock control systems is progressing outside of SAP-ADS then the existing Weekly Stock Holding feed to SAP-ADS is extremely unlikely to required for stock management and control purposes and this should be removed as part of this programme.

10.1.6.2.1 Rem In/Out Stock (A4.1.7.2.1)

Attribute	Description
Description	This is the function to received 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	The user will be presented with a screen into which he keys, by product, the quantities he wants to rem out or the quantities he has received in the remittance to his branch The movement to be recorded for POL-FS. All above is existing functionality. 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.
Frequency	Available at any time but likely to happen once a week
Constraints	None
Start up Conditions	Stock REM 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).

10.1.6.2.2 Local Stock Check Stock Held for Stock Unit (A4.1.7.2.2)

Attribute	Description
Description	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 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. Adjustments made to stock holdings through declarations and/or stock adjusting will be reported separately from stock adjustments due to stock item sales.
Trigger	This is a user driven process and must be completed in full before the branch trading statement can be produced.
Automation	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

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		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. 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 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. 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) All of the above is current process and functionality for stock checking on the Horizon system. 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.
	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 REMs delivered but not REMmed 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.	1

10.1.6.2.3 Review Stock Held Across Branch (A4.1.7.2.3)

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	This process is provided by the existing Office Snapshot report. This report is for Managers / Supervisors only (which is probably OK). Report will need to be amended to not reflect stock values.
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 20.6 in Appendix B	1

10.1.6.3 Produce Trial Balance (A4.1.7.3)

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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. As is current process and functionality for balancing on the Horizon system.
Frequency	Potentially daily, more likely weekly but definitely monthly.
Constraints	None
Start up Conditions	User initiated, must be performed as part of Trading Statement processing
Completion Conditions	Trial Balance Report produced

10.1.6.4 Investigate Balance Discrepancies (A4.1.7.4)

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

10.1.6.5 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	The process should follow on directly from the Trial Balance process. Current process same as is. Report is different from now (but similar content and format as trial balance report, with different headers and footers.)
Automation	The user will select the appropriate function, the system will rollover the stock unit into the next balance period or trading statement period (chosen by the user) and produce a report which he/she can check, sign and store. 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 (ie when the "rollover" button is pressed prior to producing the Final Balance). This check will act as follows:

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	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.
	
	   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.
	
	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.
	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.
	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 (ie to POL FS) and any values held in it should be considered as part of the Branch's Cash Holding.
	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.

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 remmed 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	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	A new check is to be introduced after producing the Trial Balance (ie when the "rollover" button is pressed prior to producing the Final Balance). This check will act as follows:
		
		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.
		
		   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.
		
		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.
			1	

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	1	
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.	1	

10.1.6.6 Produce and Confirm Trading Statement (A4.1.7.6)

Attribute	Description
Description	This is the branch's mechanism for reviewing and confirming the trading position for the current period. The office will produce paper copy of the Trading Statement for local retention.
Trigger	User driven process which can only be completed after other linked activities have been completed. Eg. checking that all Stock Units have rolled over and produced a Final Balance exist.
Automation	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. {DN this relies on the work being done outside of IMPACT to align proper control of user name and password} 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.
Frequency	Monthly, on a Wednesday, mid-month (on a 4-4-5 week basis) controlled by a calendar (as with Cash Account).
Constraints	Can only be run after completion of other linked processes: If anything in Suspense Account, must print off Suspense Report (reports what's in Suspense Account and all movements within period). Assume that this is still required. Currently asked if want to produce Consolidated SU non-value stock report – no longer relevant Must be done by a Manager or Supervisor.
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.	1
BT - 042	Fujitsu Services	A new trading statement report will be produced, the content and format of which will be as specified in Section 20.1 in Appendix B	1
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.	1
BT - 044	Fujitsu Services	A facility for different branches to operate on a different (monthly, on a Wednesday, mid-month (on a 4-4-5 week basis)) branch trading calendar, will be implemented, which branch is operating to which calendar is to be defined by reference data.	1
BT - 045	POL	Set of calendars and which branches are to operate to which calendars to be defined within reference data.	1
BT - 046	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.	1

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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 (Stamps) (A4.1.7.8)

Attribute	Description
Description	This process allows any stock items, still being reported/held by value at the branch, to be revalued. It is currently assumed that the one remaining stock item for which this process will be required is Non-Specific Value stamps.
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
Start up Conditions	Based on calendar of revaluation.
Completion Conditions	Revaluation completed.

BT -	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	1
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)	4

10.1.7 Summarise Transaction Data

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

10.1.7.1 Scan Transaction for Day (A4.3.1)

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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. The main summarisations required are as follows ▪ **POLFS** *TMS will provide POLFS with a daily feed of summarised and individual Horizon transaction data.* *The transactions to be summarised are:* o *Cash in Hand* o *Cheques in Hand* o *Rem out of Cheques* o *Payment by cards* o *Forex in Hand* o *Client product/service transactions with customers* o *Rems in/out of stock* o *Stock adjustments (from declaration process)* *Horizon transactions must be summarised by Outlet/Product Grouping (account) and by mode for the Trading Day. Horizon will use reference data (Horizon-POLFS Mappings) to determine the appropriate account.* *The transactions to be provided individually are:* o *Rems in/out of cash* o *Rems in/out of Forex* o *Rem Discrepancies in/out of suspense* o *Transaction corrections* o *Recoveries relating to Transaction Corrections* *Details of the interface are given in the Horizon to POLFS AIS [Ref?]* ▪ **SAPHR** *The TMS will provide SAPHR with details of Horizon transactions as an input to the agent remuneration process.* *Transactions must be summarised by Outlet/CTT for each period. A timetable for summarisation will be held in Reference Data for each relevant Agent Contract Type. Reference data will also specify which Products are to be included, and the Product/CTT mappings (see Horizon to SAPHR AIS for details – Ref?).* *Note: data will be provided one month in arrears rather than two as at present, and will consist of a single monthly feed, rather than the monthly and separate CFPO feed provided currently.* *Transactions will include Card Account Enlivenments received from EDS.* ▪ **MIS** *Transaction details (for fully harvested Outlets) for the trading day are to*

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	be passed unsummarised to the MIS. Horizon events are also to be included, as per the current OPTIP interface, and including any extra events introduced as part of S80 Branch Trading changes.
	
	The transaction data required will be as currently passed to OPTIP with additional attributes for Banking, ETU, Debit Card and Bureau de Change products and which events, and what information is to be transmitted about them, to be documented in the Horizon – MIS AIS).
	
	▪ **Other Data Feeds**
	
	These are existing data feeds provided by OPTIP or CBDB which need to be replicated by the TMS to support continuing requirements.
	    ○ CTS (Client Transmission Summary)
	       The existing CTS will continue to be produced for use by the Client Settlement Team. This will be unchanged.

Trigger	The triggers will be timed events.
Automation	The process is fully automated.
Frequency	Daily for POLFS, MIS, DPI, OBCS and CTS Weekly for SAPADS and Martins Monthly for SAPHR MacDonaldD2 Surprising to see entries here which are not mentioned in the description above
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)

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Attribute	Description

Description	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.
	
	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.
	
	▪ *POLFS*
	    TMS will provide POLFS with a daily feed of summarised and individual Cash Centre transaction data.
	
	    The transactions to be provided individually are:
	    o *Rems in/out of cash to branches*
	    o *Rems in/out of Forex to branches*
	    o *Rems in of discrepancies*
	    o *Coin Club & Customer bulk cash sale*
	    o *Coin Club & Customer bulk cash purchase*
	    o *Cash in/out of Bond*
	    o *Bank Machine ATM cassette rem out*
	    o *Bank Machine ATM cassette rem in*
	    o *Repatriation of Scottish Notes*
	
	    The transactions to be provided in summary form are:
	    o *Cash in Hand movements*
	    o *Receipt of Cheques from clients*
	    o *Girobank a/c movements*
	    o *Joint Stock Bank movements*
	    o *Rem out of Cheques to EDS*
	    o *Rem in of NI Cheques from Branch*
	    o *Girobank Change Sales and Purchases*
	    o *Sales of foreign coin to Coin Co – issue and invoice*
	    o *Loss on sale of foreign coin*
	    o *Sale of counterfeit/mutilated notes*
	    o *Cash Centre losses/gains*
	    o *Girobank deposits*
	    o *Girobank deposit shortages not settled*
	    o *Girobank deposit surpluses not settled*
	    o *Unidentified pouches*
	
	    Cash centre transactions will be summarised by SAPADS – no further summarisation is required in the TMS.
	
	▪ *MIS*
	    The TMS will extract transaction level data for passing to the MIS on the daily interface.: The required attributes and transaction types are defined.}ins the AIS [Ref: ???]

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

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Attribute	Description
Description	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. POLFS Txn Summary – Daily, to be delivered to POL-FS. MIS – Daily, to be available on the FTMS . SAPHR –Monthly, to be FTPd to SAPHR SAPADS – Weekly, to be FTPd to SAP-ADS.CTS – Daily, to be available on the POL Gateway.
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.
MacDonaldD2 Any chance of including this data model in the CD ?

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.
MacDonaldD2 Does this mean that any existing Type B is to be sourced from NRDS at S80 ?

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;
- o   Cash Centre Cash Holding Information
- o   Branch Cash Holding for Cash Planning
- o   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

BT - 048		{DN: Audit requirements particularly for TMS need to be defined and documented here.}	

10.6 Accounting Requirements

10.6.1 Settlement

N/A

10.6.2 Invoicing

10.7 MI

10.7.1 Post Office™

10.7.2 N/ASupplier

10.7.3 N/AClient

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

[DN: Need to list what they are and add them in to section 1.7]

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.

MacDonaldD2 The accounting period is increased from 7 to a maximum of 35 days so is increasing data retention to 42 realistic. Does it need to potentially be much higher ?

- 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.	1
BT - 050	Fujitsu Services	The data retention period at the data centre will remain at 42 days as at current.	1
BT - 051	POL	Process for disaster recovery situations when the Branch had more data than the data centre (i.e. it is more than 35 days since the last Branch Trading Statement produced) will be defined.	2

11.3 Service Levels

{DN :Further work in this area needs to be completed. As POL FS is part of this project a new SLA / OLA will be required to cover the altered interface}

Reviews of this service will be held at agreed intervals, typically monthly. The review will be attended by the service managers from POL and Fujitsu Services, together with appropriate operational and technical managers. The review will consider the service performance against the OLA and SLA; the impact of any forecast service changes; open problems and any service improvements.

Availability
The new solution should be consistent with the current service levels as set out in {REF SLA}.

Reliability
The new solution should be consistent with the current service levels as set out in {REF SLA}.

Data Delivery Times
It is envisaged that the data delivery times will align with current LFS delivery times, although needs to be confirmed.

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Help desks
Helpdesk support for issues between Horizon / SAPADS will be required as outlined in the current LFS OLA (appendix A)

Helpdesk support between Horizon / POL FS will need to be agreed.

Service level reports
Service Level reports should be produced in line with current LFS reports, and should be discussed as part of the current Logistics feeder service, operational review forum.

NB The resulting solution should not significantly impact the run times of the current batch process, and Current operational achievements should still be met

11.3.1 Post Office™

No Specific requirements

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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 done using work aids which will be produced by POL.	2

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
A.4.1.2.5 Despatch Redeemed Dockets. Change: No change	Performance. – performance requirements as for Rem of Cheques/Stock now. Accessibility/Security –no change Usability –no change Data Retention - to match period of data held by Horizon Mitigation of failure –no change, Adjustments as for now if system derived figures for Dockets/Voucher held does not match actual. Auditability –no change Legal & Regulatory –no change

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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
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 effect 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

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	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 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

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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 may be produced.

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
- 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	Fujitsu Services	New data structures and data items are required to support the overall Branch Trading objectives. These are: To control the trading statement • Trading calendar and periods • Trading Statement Indicator To ensure correct summarisation for SAPHR • Agent Contract Types • Remuneration Summarisation Timetable • Remuneration calendar • Remuneration groupings To ensure correct allocation to suspense • Suspense products • Suspense products to branch • Suspense products minimum values To ensure correct accounting in POLFS • POLFS materials and clients mapped to Horizon products To enable summarisation for Martins • Camelot stores and numbers • Martins outlet indicator To enable monitoring of transaction corrections • Automated Message Receipt Prompt (Type C) To ensure distinction between a sale value and a loss value for stock items • Stock Loss Value To monitor the revaluation process • Revaluation date	1

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BT - 054	POL	There is a requirement for the values of current reference data items to be reviewed to ensure more robust data capture. These are: • Min/max ranges for transactions inc bulk data entry and non accounting data	1
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	1

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:
  - o 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
  - o 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
  - o 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

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. Supplier Test

  o   This method will comprise tests that are run and managed by Suppliers. The method of testing will be specified in the IMPACT R3 test plans, and the mapping of each Requirement to one or more test cases will be managed by Suppliers. The assessment of these tests will be by inspection of test results carried out by Suppliers or jointly with Post Office.

- 2. Document review

  o   This method will comprise a document review by Post Office Ltd. of the relevant section of a document or documents. The classification and contractual status of any documents used for this purpose will remain unchanged.

- 3. Post Office Test

  o   This method will comprise tests that are run and managed by Post Office Ltd. The actual method of testing, which may utilise the Post Office Ltd. End-to-End test environment, will typically be used for those aspects of the solution that can only be verified as part of an overall Post Office End-to-End environment. The Post Office Test could also include document review.

- 4. Statement of fact or obligation

  o   This classification will be used for those Requirements that represent an existing Fujitsu Services obligation, or where the solution to a Requirement is self-evident and does not lend itself to formal proving.

- 5. Not part of Supplier Acceptance

  o   This classification will be used against Requirements that are not part of Post Office Ltd's acceptance activities.

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.

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Internal Functional Testing

Gaining assurance of main suppliers internal functional testing via :-
- o Review suppliers internal test plans/ scripts for completeness
- o Review suppliers internal test results / progress reports
- o Review suppliers internal testing fault logs for impact

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

Interface Testing

Lead or Support Suppliers through the execution of Direct Interface testing between two suppliers e.g. Lead Horizon to SAP/ADS
- o Review or develop and agree Interface scripts between two supplier domains
- o Support or co-ordinate set – up of test environments
- o Support or co-ordinate the provision of Required Ref. Data
- o Support or execute where appropriate the tests
- o Review the test results including any faults

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.

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

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

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.
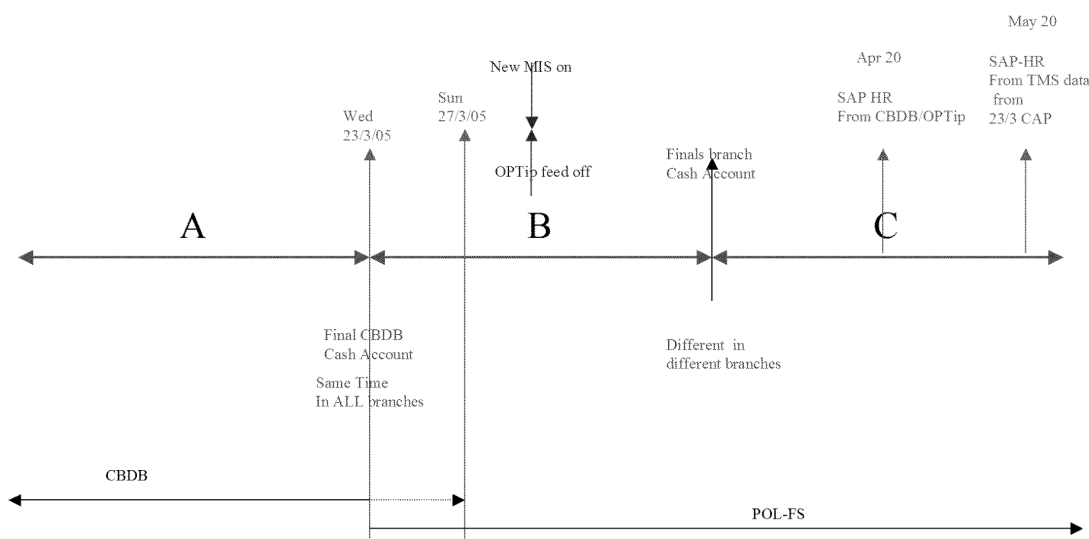
This shows three separate phases during the migration process:

- 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 braches 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 [DN: How do we detect this point? Is any special monitoring required? What about really late stragglers or Branches with extended CAPs?]
- 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

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of a Cash Account to result in the migration of Stock Units and the branch into the new way of working (ie moving from phase B to phase C).

- CBDB will pass data to HR SAP covering the period up until the final Cash Account (ie 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	{DN: 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.
A.4.1.2.5 Despatch Redeemed Dockets. Change: No change.	Need to happen within Period C. Number of Dockets and Vouchers to reduce. Controls, currently in CBDB to be within POL-FS, during period B need to be considered. Opening position must be manually input at point of implementation of new functionality.
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 for 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. Error Notices buttons to be removed by some time near the end of 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 effect 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.	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.

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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.

19 Appendix A – Requirements Catalogue

Req ID	Supplier	Description	Acceptance Method
BT - 001	Fujitsu Services	Production of a balance report for a stock unit must be possible to be produced within 4 times the current production time for a stock unit with a busy transaction profile, long trading statement period	1
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.	1
BT – 003	POL, Fujitsu Services, PRISM	Migration to POL-FS must occur at the end of a financial period.	4
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.	2
BT – 005	POL	{DN: PRISM defined requirements regarding migration to POL-FS to be defined here.}	
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	1&3
BT – 007	Fujitsu Services	The content and format of trial and final balance reports will be altered as specified in Appendix B	1&3
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	1&3
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	1&3
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.	2
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.	2&3
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.	2
BT – 013	Fujitsu Services	The methods for producing summaries (daily and periodic) will allow production of summaries, to be printed and/or previewed on screen and allow a cut-off. This is existing functionality which will remain as is.	1

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BT – 014	POL	A revised end of period (probably weekly) procedure will be defined, identifying which summaries must be produced at end of period. The revised list of items will be defined in reference data for display when the "End of Week" button is pressed on Horizon.	2
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: 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 transaction transactions of type since start of trading period if last cut-off was in previous trading period	2
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 data range.	1&3
BT – 017	Fujitsu Services	The methods for producing reports will allow the reports to be printed and/or previewed on screen. This is existing functionality which will remain as is.	1
BT – 018	Fujitsu Services	The functionality for entering non-accounting data will remain as is.	1
BT – 019	POL	Business procedures for entering non-accounting data, identifying what data and when, will be produced.	2
BT - 020	Fujitsu Services	The functionality for entering bulk data will remain as is.	1
BT – 021	POL	Business procedures for entering bulk data, identifying what data and when, will be produced.	2
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.	2
BT – 023	POL	New and replacement products will be implemented using existing system capabilities.	2
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.	1&3
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. 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. 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).	1&3
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.	1&3
BT – 027	Fujitsu Services	For a non-shared stock unit the functionality of declaring cash will remain as is	1
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.	1&3
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.	1&3

BT – 030	Fujitsu Services	A new function will be made available to provide the variance report to the defined content and format	1&3
BT – 031	POL	A review of vouchers remitted from the branch will identify which dockets will need to be treated via which adjustment products.	2
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.	1&3
BT – 033	Fujitsu Services	Access to the functionality to enter amount into suspense products will be limited by user role	1&3
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 lead to an extended Trading Period. Approved hardship amounts will appear as Transaction Corrections	2
BT – 035	POL	Reference Data will be edited to limit the suspense accounts available within branches to the limited "known errors" set.	2
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.	1&3
BT – 037	Fujitsu Services	Report will be redefined without stock values as defined in section 20.6 in Appendix B	1&3

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BT – 038	Fujitsu Services	A new check is to be introduced after producing the Trial Balance (ie 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, 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 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.
		
		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.
		
		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.
		
		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.
			1&3

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	1&3
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.	1&3

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.	1&3
BT – 042	Fujitsu Services	A new trading statement report will be produced, the content and format of which will be as specified in Section 20.1 in Appendix B	1&3
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.	1&3
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.	1&3
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.	1&3
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	1&3
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)	4
BT – 048		{DN: Audit requirements particularly for TMS need to be defined and documented here.}	
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.	1&3
BT – 050	Fujitsu Services	The data retention period at the data centre will remain at 42 days as at current.	1&3
BT – 051	POL	Process for disaster recovery situations when the Branch had more data than the data centre (i.e. it is more than 35 days since the last Branch Trading Statement produced) will be defined.	2
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 done using work aids which will be produced by POL.	2

BT – 053	Fujitsu Services	New data structures and data items are required to support the overall Branch Trading objectives. These are:	1&3
		To control the trading statement • Trading calendar and periods • Trading Statement Indicator To ensure correct summarisation for SAPHR • Agent Contract Types • Remuneration Summarisation Timetable • Remuneration calendar • Remuneration groupings To ensure correct allocation to suspense • Suspense products • Suspense products to branch • Suspense products minimum values To ensure correct accounting in POLFS • POLFS materials and clients mapped to Horizon products To enable summarisation for Martins • Camelot stores and numbers • Martins outlet indicator To enable monitoring of transaction corrections • Automated Message Receipt Prompt (Type C) To ensure distinction between a sale value and a loss value for stock items • Stock Loss Value To monitor the revaluation process • Revaluation date		
BT – 054	POL	There is a requirement for the values of current reference data items to be reviewed to ensure more robust data capture. These are: • Min/max ranges for transactions inc bulk data entry and non accounting data	1&3
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	1&3

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.

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	SU AA	SU BB	SU CC	SU DD	SU EE	SU FF	Curent Period Branch Total
Cash on Hand B Fwd	£10,000	£10,000	£10,000	£10,000	£10,000		£50,000
Other Postage B Fwd	£2,000	£2,000	£2,000	£2,000	£2,000		£10,000
Foreign Exchange B Fwd	£3,000	£3,000	£3,000	£3,000	£3,000	£0	£15,000
Receipts value Total	£10,000	£10,000	£10,000	£10,000	£10,000		£50,000
Remittance In (Cash) Total	£5,000	£5,000	£5,000	£5,000	£5,000		
Transfers In Total	£5,000	£5,000	£5,000	£5,000	£5,000		
Payments value Total	£20,000	£20,000	£20,000	£20,000	£20,000		£100,000
Remittances Out (Cash) Total	£0	£0	£0	£0	£0		£0
Remittances Out Vouchers	£0	£0	£0	£0	£0		£0
Transfers Out Total	£0	£0	£0	£0	£0		
Cash on Hand C Fwd	£10,000	£10,000	£10,000	£10,000	£10,000		£50,000
Other Postage C Fwd	£2,000	£2,000	£2,000	£2,000	£2,000		£10,000
Foreign Exchange C Fwd	£3,000	£3,000	£3,000	£3,000	£3,000	£0	£15,000
Trading position (+/-)	£0	£0	£0	£0	£0		£0
Transaction Corrections Accepted	£0	£0	£0	£0	£0		
Discrepancy adjustments	£0	£0	£0	£0	£0		
Local losses/gains account	£0	£0	£0	£0	£0		
Known Discrepancies							£0
Balance C Fwd	£0	£0	£0	£0	£0		

Cash on hand brought fwd figure at previous period end as on current balance reports. This applies to all B Fwd figures below.

Receipts totalled as they are on the current balance reports, except that remittances in and transfers in are separated out and totalled onto the lines below.

Payments totalled as they are on the current balance reports, except that remittances out (of cash and voucher) and transfers out are separated out and totalled onto the lines below.

Cash on hand declaration at period end as on current balance reports

Postage on hand declaration at period end as on current balance reports.

This should be a sum of the above lines of all the cash and stamps on hand, the receipts and payments, and the remittances into and out of the Stock Unit.
If there is a non-zero value here it should be compensated in the lines below (Trxn Corrections Accepted, Discrepancy adjustments, Local Losses/Gains Account, Authorised surpluses/shortages), before a zero balance c fwd figure is recorded at line 29.

This is the total value of the amounts in known discrepancies (remaining suspense) accounts

This is the actual cash being put in or taken out to balance the SU and Branch. This is a requirement for Ops and Security.

This should be the net effect of all the accepted trxn corrections in the period.

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20.1.2 Example 1

	SU AA	SU BB	SU CC	SU DD	SU EE	SU FF	Curent Period Branch Total
Cash on Hand B Fwd	£10,000	£10,000	£10,000	£10,000	£10,000		£50,000
Other Postage B Fwd	£2,000	£2,000	£2,000	£2,000	£2,000		£10,000
Foreign Exchange B Fwd	£3,000	£3,000	£3,000	£3,000	£3,000	£0	£15,000
Receipts value Total	£10,000	£10,000	£10,000	£10,000	£10,000		£50,000
Remittance In (Cash) Total	£5,000	£5,000	£5,000	£5,000	£5,000		
Transfers In Total	£5,000	£5,000	£5,000	£5,000	£5,000		
Payments value Total	£20,000	£20,000	£20,000	£20,000	£20,000		£100,000
Remittances Out (Cash) Total	£0	£0	£0	£0	£0		£0
Remittances Out Vouchers	£0	£0	£0	£0	£0		£0
Transfers Out Total	£0	£0	£0	£0	£0		
Cash on Hand C Fwd	£10,000	£10,000	£10,000	£15,000	£5,000		£50,000
Other Postage C Fwd	£2,000	£2,000	£2,000	£2,000	£2,000		£10,000
Foreign Exchange C Fwd	£3,000	£3,000	£3,000	£3,000	£3,000	£0	£15,000
Trading position (+/-)	£0	£0	£0	-£5,000	£5,000		£0
Transaction Corrections Accepted	£0	£0	£0	£0	£0		
Discrepancy adjustments	£0	£0	£0	£0	£0		
Local losses/gains account	£0	£0	£0	£0	£0		
Known Discrepancies							£0
Balance C Fwd	£0	£0	£0	-£5,000	£5,000		

> This example shows that potentially a SU to SU transfer of £5k has not taken place between SU DD and SU EE.
> It would not be possible to roll SU's DD and EE into the new Branch Trading period without going back to correct the transfer situation, if that were identified as the cause of the error.

20.1.3 Example 2

	SU AA	SU BB	SU CC	SU DD	SU EE	SU MGR	Curent Period Branch Total
Cash on Hand B Fwd	£10,000	£10,000	£10,000	£10,000	£10,000	£0	£50,000
Other Postage B Fwd	£2,000	£2,000	£2,000	£2,000	£2,000	£0	£10,000
Foreign Exchange B Fwd	£3,000	£3,000	£3,000	£3,000	£3,000	£0	£15,000
Receipts value Total	£10,030	£10,010	£10,000	£10,000	£10,000	£0	£50,040
Remittance In (Cash) Total	£5,000	£5,000	£5,000	£5,000	£5,000	£0	
Transfers In Total	£5,000	£5,000	£5,000	£10,000	£5,000	£0	
Payments value Total	£20,050	£20,010	£20,000	£20,000	£20,000	£0	£100,060
Remittances Out (Cash) Total	£0	£0	£0	£0	£0	£0	£0
Remittances Out Vouchers	£0	£0	£0	£0	£0	£0	£0
Transfers Out Total	£0	£0	£0	£0	£5,000	£0	
Cash on Hand C Fwd	£10,000	£10,000	£10,000	£15,000	£5,000	£0	£50,000
Other Postage C Fwd	£2,000	£2,000	£2,000	£2,000	£2,000	£0	£10,000
Foreign Exchange C Fwd	£3,000	£3,000	£3,000	£3,000	£3,000	£0	£15,000
Trading position (+/-)	-£20	£0	£0	£0	£0	£0	-£20
Transaction Corrections Accepted	£0	£0	£0	£0	£0	£0	£0
Discrepancy adjustments	£0	£0	£0	£0	£0	£20	£20
Local losses/gains account	£20	£0	£0	£0	£0	-£20	£0
Known Discrepancies							£0
Balance C Fwd	£0	£0	£0	£0	£0	£0	£0

This example shows where a Branch Office may write small amounts to a local suspense account facility, and make good through a managers SU.

20.2 Variance Report

20.2.1 Specification

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20.2.2 Example wk 1

		Days in Trading Period						
Cash Variances	B Fwd from end of previous week	1	2	3	4	5	6	7
SU AA	N/A							
SU BB	N/A							
SU CC	N/A							
SU DD	N/A							
Branch	N/A							
Derived figures		1	2	3	4	5	6	7
SU AA	N/A							
SU BB	N/A							
SU CC	N/A							
SU DD	N/A							
Branch	N/A							
Declared figures		1	2	3	4	5	6	7
SU AA	N/A							
SU BB	N/A							
SU CC	N/A							
SU DD	N/A							
Branch	N/A							
SU Breakdowns								
SU AA		1	2	3	4	5	6	7
Dec 01								
Dec 02								
Dec 03								
Dec 04								
SU BB								
Dec 01								
SU CC								
Dec 01								
SU DD								
Dec 01								
Known Discrepencies		1	2	3	4	5	6	7
Amounts								
Adjustments		1	2	3	4	5	6	7
Amounts								
Outstanding Transaction Corrections		1	2	3	4	5	6	7
Number not processed								

20.2.3 Example wk 2

		Days in Trading Period						
Cash Variances	B Fwd from end of previous week	8	9	10	11	12	13	14
SU AA								
SU BB								
SU CC								
SU DD								
Branch								
Derived figures		8	9	10	11	12	13	14
SU AA								
SU BB								
SU CC								
SU DD								
Branch								
Declared figures		8	9	10	11	12	13	14
SU AA								
SU BB								
SU CC								
SU DD								
Branch								
SU Breakdowns								
SU AA		8	9	10	11	12	13	14
Dec 01								
Dec 02								
Dec 03								
Dec 04								
SU BB								
Dec 01								
SU CC								
Dec 01								
SU DD								
Dec 01								
Known Discrepencies		8	9	10	11	12	13	14
Amounts								
Adjustments		8	9	10	11	12	13	14
Amounts								
Outstanding Transaction Corrections		8	9	10	11	12	13	14
Number not processed								

20.3 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
             12345678901234567890123456789012345678901012
01 | Feltham Post Office              FAD: 123456X
02 | 11:42 17/01/1998      CAP:01  BP:01  SU:SH1     This should describe the
03 | Sales Report - Office Copy                      time period which the
04 |                                                 report represents.
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 |   Reqistrd 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
```

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```
54 │  LOTTERY PAYMENTS              110.00
55 │ OTHER PAYMENTS                3354.78
56 │
57 │          *** END OF REPORT ***
            1         2         3         4
    12345678901234567890123456789012345678901 2
```

20.4 Declaration: Stock on Hand – Stock Report

```
                    1         2         3         4     Notes
            12345678901234567890123456789012345678901 2
01 │Chelsea PO                      FAD: 0040389
02 │23:42 23/01/1998      CAP:52  BP:01  SU:SH1
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
    12345678901234567890123456789012345678901 2
```

Conceptual Design

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20.5 Counter Weekly Stock on Hand - Stock Report

```
                    1          2          3          4     Notes
        12345678901234567890123456789012345678901 2
01    | Feltham Post Office         FAD: 123456X  |
02    | 11:12 16/01/1998    CAP:01  BP:01  SU:SH1 |
03    | Stock On Hand - Office Copy               |
04    |                                           |  This report will only
05    | VALUE STOCK & MOP    VOLUME         VALUE |  deal in stock and only
06    |                                           |  in volume.
07    | Cash                             4293.11  |
08    | CASH                     4293.11          |  Assume removal of MOP
09    | Cheque                   4032.79          |  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
33    |  SwiftpackLqe     100              400.00 |  volume will need to
34    |  Env 2ndClass             38.00          |  show volume, but
35    |  Env 1stClass             45.40          |  not value.
36    |  IntRepCoupon             57.60          |
37    |  Registrd RG1    98       352.80         |
38    | MISCELLANEOUS                    1777.83  |  Doesn't make sense to.
39    |                         --------------    |  have Misc. by volume
40    | TOTAL STOCK & MOP                9999.99  |  will need to list all
41    |                                           |  stock items
42    |         *** END OF REPORT ***             |
        1          2          3          4
        12345678901234567890123456789012345678901 2
```

20.6 Stock Unit Balance: Snapshot

```
                        1          2          3          4      Notes
                   12345678901234567890123456789012345678901 2
01   Feltham Post Office              FAD: 123456X
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
     *Cash Shortage Made Good        113.78  *      figures do not relate
     *                          ------------*       to transactions and
     *Nett Cash Adjustment           73.21- *       so are not visible
     *                          ------------*       to POL FS
11   *****************************************
12
13    VALUE STOCK & MOP   VOLUME        VALUE
14                                              Value Stock will be
15     Cash                          4293.11    removed from here
16   CASH                            4293.11
17    Cheque                         4032.79    NB Other Stamps
18   CHEQUE                          4032.79    will stay here
19     Giro Txfer                      47.97    (none in the example)
20    GIRO TRANSFERS                   47.97
21   MOP                             8373.87    Also ForEx Stock
22    Comcoin                        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
32    Reg Plus PL2      100          490.00
33    SwftPkC3Euro       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
49
50
51
```

```
52  | RECEIPTS              VOLUME         VALUE
53  |
54  | Balance B/Fwd                      21172.45        Need to add in at
55  |                                                    this point all Stock
56  |   Transcash           1            50.00           movement transactions
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
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         4
       12345678901234567890123456789012345678901
```

20.7 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 Blance 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
     12345678901234567890123456789012345678901
01   Feltham Post Office          FAD: 123456X
02   11:42 17/01/1998     CAP:01  BP:01  SU:SH1
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
     *Cash Shortage Made Good      113.78   *    figures do not relate
     *                        ------------*    to transactions and
     *Nett Cash Adjustment          73.21- *    so are not visible
     *                        ------------*    to POL FS
11   *****************************************
12
13     VALUE STOCK & MOP   VOLUME         VALUE    Value Stock will be
14                                                 removed from here
15     Cash                            4293.11
16   CASH                              4293.11    NB Other Stamps
17     Cheque                          4032.79    will stay here
18   CHEQUES                           4032.79    (none in the example)
19     Giro Txfer                        47.97
20   GIRO TRANSFERS                      47.97    Also ForEx Stock
21     Voucher                          320.00
22   VOUCHERS                           320.00
23   MOP                               8693.87
```

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```
24    Comcoin                        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 Stock                    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 chque 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
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
```

Annotations (right column):

- (lines 41–44) This total is not adjusted here but will be the total of the value column.
- (lines 51–53) Need to add in at this point all Stock movement transactions
- (line 63) Only on Final Balance

```
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
88
89   Total Stock & MoP            14283.69
90
91   Nett discrepancies            4137.12-     Must be zero on Final
92                                              Balance
93                              --------------
94   TOTAL PAYMENTS               39954.13
95                              --------------
96
97 | Balance C/Fwd                14283.69

     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     Some of these do not
      D/Whsle Stmp                     3.16     have volumes here but
      Gas Token         149          149.00     should must in the
      NatLotInstnt                   495.50     new report.
     MISCELLANEOUS                   647.66
      Bus 1 Stock                   1225.00
     STOCK SHELL 2-085              1225.00
     VALUE STOCK OTHER              1872.66     All stock will be
98 |                                            reported, "Other"
99   EXAMINATION                                stock does not make
100  Drawer examined and cash and stock found   sense by volume
101  as shown in this summary
102                              Datestamp
103                              +-------+
104  Signature . . . . . . . . . .   .       .
105                                  .       .
106                                  .       .
107  Time . . . . . . . . . .AM/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  Time . . . . . . . . . .AM/PM  +-------+
119
120
121          *** END OF REPORT ***
                  1         2         3         4
          12345678901234567890123456789012345678012
```

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

```
                      1              2              3              4      Notes
          12345678901234567890123456789012345678901
      01  Feltham Post Office                FAD: 123456X
      02  11:42 17/01/1998      CAP:01  BP:01  SU:SH1
      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
      10  Euro TChq                 1         0.00          REMs will only deal
      11    250                                             in volume, even
      12  PO £20                   25       500.00          value indicated
      13  PO Fee 50p               25         6.25          Stamps.
      14  Col TV Fee               10       865.00          Forex will
      15  Home Help D              25       143.75          show value as well as
      16  BT Stamp £2            1000      2000.00          volume
      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
      26  Cash                      1       5000.00         volume
      27  Gas Stamp £1             30         30.00
      28  Comcoin                  10         20.00
      29  Game Red                  2         12.00
      30  -------------------------------------
      31  TOTAL                    43       5000.00
      32                                                    Any cheque and
                                                            dockets REMs will
                                                            also need to go onto
                                                            this report
      33
      34            *** END OF REPORT ***
                    1              2              3              4
          12345678901234567890123456789012345678901
```

20.9 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.

20.10 Docket Rem Out Report

Need to make it clear that this single report is proposed as a replacement for the following:

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- Counter Daily Cheques Listing
- Counter Weekly POs Paid
- Office Weekly POs Encashed
- Office Weekly Redeemed Savings Stamps Summary
- Office Weekly Redeemed Savings Stamps Summary: Reprint

{DN: Are the last 3 of these still required and if so what they should look like?}

This will be based on the Cheques Report. This is what is called "Voucher Docket Summary" in 8.6 (A4.1.2.5). Separately, there is also a Rem Receipt which should be as in Section 20.8.

```
             1         2         3         4
    1234567890123456789012345678901234567890 12
01  Feltham Post Office          FAD: 123456X
02  11:42 17/01/1998      CAP:01  BP:01  SU:SH1
03  Cheques Listing - Office Copy
04
05     TXN                      VALUE
06  1-59452-2                      5.00
07  1-59452-5                      6.00
08                            ---------
09       TOTAL:                   11.00
10
11          *** END OF REPORT ***
             1         2         3         4
    1234567890123456789012345678901234567890 12
```

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
    1234567890123456789012345678901234567890 12
01  Feltham Post Office          FAD: 123456X
02  11:42 17/01/1998      CAP:01  BP:01  SU:SH1
03  Transfer In Slip - Office Copy
04
05  SESSION:  1-21284-1
06  Source SU:AAA    Dest SU:SH1
07
08  PRODUCT              VOLUME      VALUE     Will need to report
09   2nd Class            599      100.00      stock solely by
10   1st Class            699      156.00      volume not value.
11   Cash                   1      600.00      Cash, ForEx and
12   Col TV Fee           125    10012.50      Other Stamps by
13   Mono TV Fee           22      627.00      volume and value
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)
```

```
20 |                                                      Note. Total may be
   |                                                      zero if transfer
   |                                                      only contains stock
   |                                                      items
21 |            *** END OF REPORT ***
             1         2         3         4
   12345678901234567890123456789012
```

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
   12345678901234567890123456789012
01 | Feltham Post Office          FAD: 123456X
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
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       VALUE
18 |  1-58551-1
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
   12345678901234567890123456789012
```

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
   12345678901234567890123456789012345678901234567890123456789012345678901234567890
01 Feltham Post Office              FAD 123456X                              Page 1
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
   12345678901234567890123456789012345678901234567890123456789012345678901234567890
```

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
    12345678901234567890123456789012345678901234 5
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
14
15
16         *** END OF REPORT ***
             1         2         3         4
```

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12345678901234567890123456789012345678901234 5

20.15 Event 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.

Event ID	EventTitle	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

#	Event										
27	Forced Logoff	Y								Y	Y
28	Report Confirmed	Y			Y	Y					
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							
60	Cash Variance Report Previewed	Y			Y		Y				
61	Cash Variance Report Printed	Y			Y		Y				
62	Outstanding Transaction Correction Reminder Displayed	Y			Y						

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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.

20.17 Return Advice Note

This will need changing since it includes stock values

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)

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, a review of which reports are required to be re-printed in this way must be made. It is assumed that there are no requirements for reports to be re-printed for periods outside of the period of data-retention periods previously defined.