

Reconciliation and Incident Management Joint Working
Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



Document Title: Reconciliation and Incident Management Joint Working Document

Document Type: Joint Working Document

Release: HNG-X

Abstract: Joint Working Document to support the Reconciliation Service provided to Post Office Ltd by Fujitsu Services

Document Status: APPROVED

Author & Dept: Sandie Bothick – MAC Team

Contributors: Jason Muir, Chris Stevens, Post Office Account Security Operations, Pete Jobson

Internal Distribution: MAC GRO Adam Woodley

External Distribution: As approvers and reviewers list

Security Risk Assessment Confirmed YES, security risks have been assessed, see section 0.9 for details.

Approval Authorities:

Name	Role	Signature	Date
Mark Nash	Post Office Ltd: Head of IT Service	See Dimensions for record	



0 Document Control

0.1 Table of Contents

0	<u>DOCUMENT CONTROL</u>	2
0.1	<u>Table of Contents</u>	2
0.2	<u>Document History</u>	4
0.3	<u>Review Details</u>	4
0.4	<u>Associated Documents (Internal & External)</u>	5
0.5	<u>Abbreviations</u>	5
0.6	<u>Glossary</u>	6
0.7	<u>Changes Expected</u>	7
0.8	<u>Accuracy</u>	7
0.9	<u>Security Risk Assessment</u>	7
1	<u>INTRODUCTION</u>	8
1.1	<u>What is Reconciliation?</u>	8
1.2	<u>What does Reconciliation look like?</u>	8
1.3	<u>How is Reconciliation used?</u>	8
2	<u>SCOPE</u>	10
3	<u>BANKING AND RELATED SERVICES (ONLINE SERVICES)</u>	11
3.1	<u>DRS Reports</u>	11
3.1.1	<u>POLSAP</u>	13
3.2	<u>Report Distribution</u>	13
3.2.1	<u>Contingency in the Event on Non delivery of reports to Post Office Ltd</u>	14
3.3	<u>Reconciliation & Incident Handling</u>	14
3.3.1	<u>Generation of Business Incidents</u>	14
3.3.1.1	<u>BUSINESS INCIDENT RAISED BY RECONCILIATION SERVICE</u>	14
3.3.1.2	<u>EBBT INCIDENTS RAISED BY POL FINANCE VIA MAC</u>	15
3.3.1.3	<u>DBTN INCIDENTS RAISED BY POL FINANCE VIA MAC</u>	15
3.4	<u>Business Incident Reporting</u>	15
3.4.1	<u>BIM Reports</u>	15
3.4.1.1	<u>BIM REPORT DISTRIBUTION</u>	16
3.4.1.2	<u>CLEARANCE CRITERIA</u>	16
3.4.2	<u>BIMS for Banking and Related Services - SLT conditions</u>	16
3.4.2.1	<u>SLT EXCLUSION / SUSPENSION CRITERIA</u>	17



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



3.5	System States & Exception Tables	19
3.5.1	Banking and Related Services Exceptions explained	20
3.5.2	Incomplete States	27
3.5.3	Exception States	28
4	AUTOMATED PAYMENT SERVICE (APS)	28
4.1	APS Reports	29
4.1.1	Report Distribution	29
4.1.2	aps_exceptionsyyyymmdd.txt report explained	30
4.2	APS Reconciliation & Incident Handling	31
4.2.1	APS Business Incidents	31
4.2.2	APS Business Incident Originators	32
4.2.3	Generation of Business Incidents	32
4.3	Incident Reporting	32
4.3.1	BIM Reports	32
4.3.1.1	BIM REPORT DISTRIBUTION	33
4.3.1.2	CLEARANCE CRITERIA	33
4.3.2	Reporting Timescales	33
4.4	Client File Delivery	34
4.4.1	Variable File Transfer	34
4.4.2	Reconciliation in the event of non-delivery of the CTS to Post Office Ltd	34
5	TPS RECONCILIATION	35
5.1	TPS Report Set	35
6	BIM REPORT	36
7	GUIDES FOR RECONCILIATION	37
7.1	Reconciliation Process	37
7.1.1	Start of Rec process	37
7.1.2	Updating Calls	39
7.1.3	How to raise a Peak call	39
7.1.4	How to update a Peak Call	40
7.1.5	How to close a Peak Call	40
7.1.6	Merged DCP Report	40
7.1.7	Creating BIMS	41
7.1.8	Creating new FAD code in BIMS	42
7.1.9	Suspending BIMS	42
7.1.10	Unsuspending BIMS	43
7.1.11	Closing BIMS	43



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



0.2 Document History

Version No.	Date	Summary of Changes and Reason for Issue	Associated Change - CP/PEAK/PPRR Reference
0.1	06/03/2007	First Draft for review	N/A
1.0	20/04/2007	Issued for approval	N/A
1.1	14/06/2011	Post HNG-X Migration and change of owner	
1.2	11-aug-2011	Issued for review and version number change	
2.0	14 Jun 11	Document Approved	
2.1	23 Nov 11	Release 5.5 Review	
3.0	30-Apr-2012	Approved version	n/a
3.1	18-Mar-2013	Annual Review	
3.2	14-Mar-2019	Review, removal of POLFS incomplete and adding instructions for Reconciliation	
3.3	27-Sep-2019	Updates to reflect the changes to the architectural landscape as a result of the back-office transformation program	CCN1655
3.4	22-Jun-2020	Updates to remove the Legacy APS and TPS system and resulting simplification of the reconciliation process	CWO0189a
3.5	15-Jun-2020	Updated following internal review cycle	
4.0	24-Jun-2020	For Approval	

0.3 Review Details

Review Comments by :	
Review Comments to :	
Pete.Jobson GRO MAC GRO	
POA DocumentManagement GRO	
Mandatory Review	
Post Office Ltd, Head of IT Contract Management	Dionne Harvey GRO
Post Office Ltd, Solution Architect	Steve Page GRO ; Bob Booth GRO
Post Office Ltd: Branch Reconciliation Team, Link Enquiry Team	Sarah Haywood GRO
Post Office Ltd: Branch Reconciliation Team, Operations Manager	Colette McAteer GRO
Post Office Ltd: Head of Branch Operations Engagement Team	Katrina Holmes GRO
Fujitsu: Senior Commercial Manager	Helen Venters
Fujitsu: POA Technical Design Authority	Pete Jobson
Fujitsu: POA SSC Manager	Adam Woodley; SSC Duty Manager
Fujitsu: Security Operations Manager	Farzin Denbali
Fujitsu: POA MAC Team Manager	Sandie Bothick
Fujitsu: POA Service Architect	Phil Boardman



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



Optional Review	
Post Office Ltd: Financial Services Centre	Maureen Corry < GRO >; Tracy Middleton < GRO >; Jacqueline Whitham < GRO >; Lesley Presley < GRO >
Post Office Ltd: IT Digital Services Operations Manager	Jane Smith < GRO >
Fujitsu: POA Information Security Manager	Jason Muir
Fujitsu: POA SSC (Third Line Support)	Mark Wright, John Simpkins
Fujitsu: Senior Service Delivery Manager	Steve Bansal
Fujitsu: SDM, Service Introduction	Sonia Hussain
Fujitsu: Commercial Manager	Post Office Account Commercial Mailbox
Issued for Information – Please restrict this distribution list to a minimum	
Fujitsu: Security Operations Team	Chris Stevens
Fujitsu: Security Operations Team	Andy Dunks

(*) = Reviewers that returned comments

0.4 Associated Documents (Internal & External)

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

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

0.5 Abbreviations

Abbreviation	Definition
APS	Automated Payments Service
A&L	Alliance and Leicester (now Santander)
BIMS	Business Incident Management Service
BRDB	Branch Database
CAPO	Card Account for the Post Office
CCD	Contract Controlled Document
CTS	Client Transaction Summaries



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



Abbreviation	Definition
D&CC	Debit & Credit Card
DBTN	Disputed Banking Transaction Notice
DCS	Debit & Credit Card Services
DRS	Data Reconciliation Service
EBBT	Enquiry Based Banking Transaction
EDSC	Third Line Support (SSC)
ETS	Electronic Top Up Services
ETU	Electronic Top Up
FI	Financial Institution
CFS	Core Finance System (Post Office Limited)
LINK	Link Interchange Network
MA	Merchant Acquirer
MAC	Major Account Controllers
MER	Manual Error Report
NBS	Network Banking Services (A&L, CAPO, LINK)
NBSC	Post Office Ltd Network Business Support Centre
POL RDT	Post Office Ltd Reference Data Team
POLSAP	Post Office Ltd Consolidated SAP System
Credence	Post Office Ltd Management Information Systems
POL Finance	Post Office Ltd Finance Department
POA	Fujitsu Post Office Account
SSC	Service Support Centre (Fujitsu Third Line Support - EDSC)
TES	Transaction Enquiry Service
TPS	Transaction Processing Service - decommissioned

0.6 Glossary

Term	Definition
Business Incident	Any exception (as defined below) reported via NB102 or via the MAC requiring investigation and the provision of corrective information to allow Post Office Ltd to settle or reconcile. A Business Incident relates to the 'Symptom' and not to the root cause of the exception.
Customer Exception	Critical A Priority Exception (see below for definition) where Fujitsu have received a DBTN, (see below for definition).
DBTN	Disputed Banking Transaction Notice: Where Fujitsu has received notification from Post Office Ltd via the Enquiry Service following a query by the 'End' customer relating to the state of his / her account.
EBBT	Enquiry Based Banking Transaction: Where Fujitsu has received notification from Post Office Ltd via the MAC wishing to query a particular transaction.
EMIS	Electronic Management Information Service
Exception Types	Within all reports the 'Exceptions' category will include: <ul style="list-style-type: none"> 'Incomplete States', i.e. those transactions where one or more transaction component is missing – a C4 without a C12 etc Genuine exceptions where transaction components belonging to the same high

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

Term	Definition
	level transaction have been exceptioned, e.g. C12 (amount) not = to C4 (amount) etc. <ul style="list-style-type: none">• DRS corruptions
Reconciliation Service Day	Between 08.00hrs and 17.30hrs Monday – Friday inclusive, excluding English bank holidays
On Line Services	Transactions completed via the Horizon system within the Post Office branch that require real time communication with Post Office Ltd Financial Institutions or Clients. Currently this includes: Banking transactions (Santander, Card Account for the Post Office (CAPO) & LINK), Debit & Credit Card transactions and Electronic Top Up (ETU) transactions.
Priority Exception	An exception reported within NB102 section 5 relating to system states 4 or 12 following confirmation of a corresponding C4 or D message
System Incident	Any exception (as defined above) reported via NB102 or via the MAC requiring the investigation and repair of the root cause of the exception.

0.7 Changes Expected

Changes
Possible changes following review and discussion.

0.8 Accuracy

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

0.9 Security Risk Assessment

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



1 Introduction

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

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

1.1 What is Reconciliation?

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

- a transaction is expected but does not arrive in the reconciliation system in a timely manner
- the same transaction delivered to the reconciliation system from two separate sources differ
- transactions performed at Branch are not successfully delivered to POL Clients

Each and every Reconciliation incident is the result of some system fault or discrepancy. That incident might, for example, be:

- a software fault (introduced through either design or coding)
- a system crash
- An internet or other communications failure
- Delivery of invalid reference data

Such incidents may affect transactions, thus it is the job of Reconciliation Service to detect when and how any transaction is affected by any system incident.

A reported Reconciliation incident provides:

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

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

1.2 What does Reconciliation look like?

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

1.3 How is Reconciliation used?

Reconciliation is used by Post Office Ltd:

- To provide Financial and Business Reconciliation at transaction level, i.e. to prove that each transaction is complete and correct and to report any transaction that is either not complete or not correct. Whilst zero value transactions might not affect settlement or accounts, excessive numbers can represent lost business. In addition, some APS transactions are zero value, but they must still be passed through to the end client, e.g. Card Account transactions, some DVLA transactions.



Reconciliation and Incident Management Joint Working
Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



- To prove the accounts are correct and to enable individual transactions to be identified that are causing discrepancies in or incompleteness of the accounts.
- For settlement with Clients either by providing information to contribute towards the invoice or payment generation.

Reconciliation is used by Reconciliation Service:

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

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



2 Scope

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



3 Banking and Related Services (Online Services)

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

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

Network Banking transactions for Clients:

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

3.1 DRS Reports

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

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

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

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

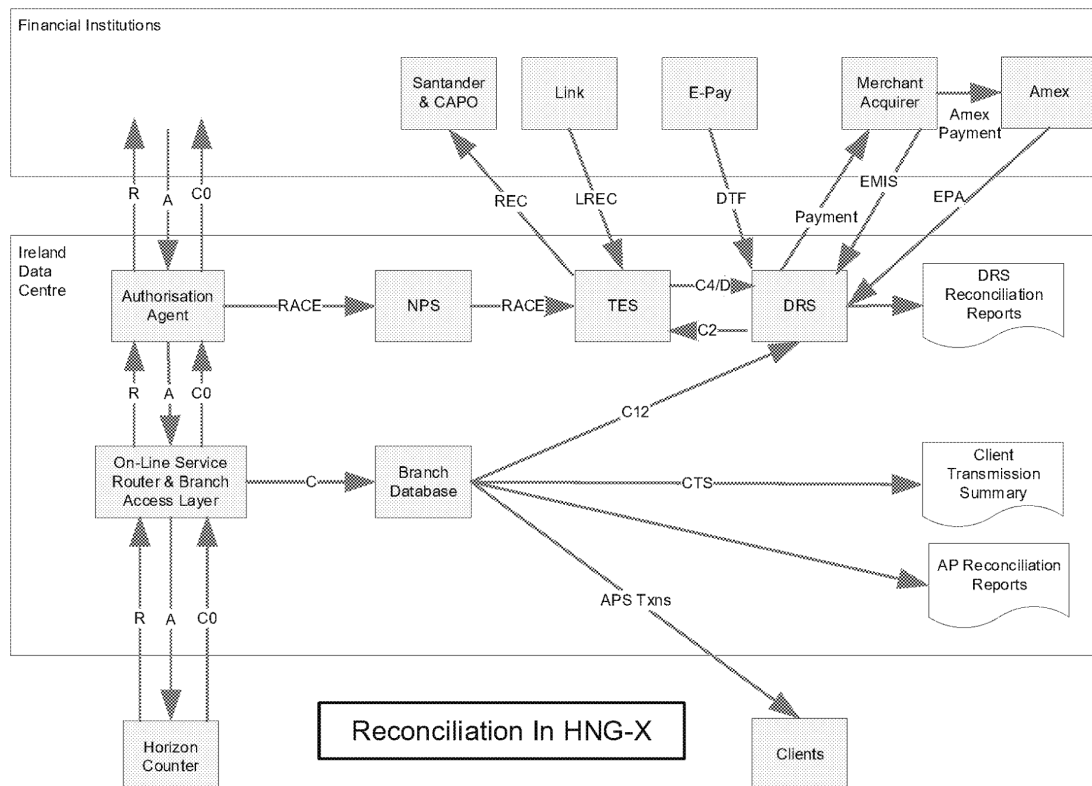


Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



- CTS Client Transmission Summary used by POL to settle with AP Clients



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

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

The reports produced are:

- NB000 DRS Summary Report. This is a single daily report covering NBS, DCS, and ETS. It lists all reports produced and identifies those not produced as there is no data with which to populate them.
- NB101 Network Banking Settlement Statement. This is a separate daily report for each Client. It is the baseline used for Client settlement subject to corrections based on the error reports. Essentially, it reports the [C4] position.
- NB102 section 1 All Uncleared Confirmed, Unconfirmed & POLSAP exceptions. This is a separate daily report for each Client. It is an error report used to correct the settlement figure.
- NB102 section 2 Uncleared Exception Client Transactions. This is a separate daily report for each Client. It is an error report used to correct the settlement figure.

Reconciliation and Incident Management Joint Working
Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



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

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

3.1.1 POLSAP

The DRS Reports refer to the POLSAP system that was decommissioned on the 27th January 2019. The POLSAP system used to receive its transaction feed from the legacy TPS system and it was the feed of C112 messages from TPS that gave assurance that there was reconciliation with POLSAP.

POLSAP no longer exists and neither does the TPS system that fed summarised transactions to it.

3.2 Report Distribution

Reconciliation reports will be delivered to Post Office Ltd via the PODG delivery service. Files will be presented to PODG in accordance with the Service Level Targets as stipulated in the Data Centre Operations Service – Service Description document SVM/SDM/SD/0003.



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

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

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

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

3.3 Reconciliation & Incident Handling

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

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

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

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

3.3.1 Generation of Business Incidents

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

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

3.3.1.1 Business Incident raised by Reconciliation Service

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



3.3.1.2 EBBT incidents raised by POL Finance via MAC

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

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

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

3.3.1.3 DBTN incidents raised by POL Finance via MAC

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

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

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

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

3.4 Business Incident Reporting

3.4.1 BIM Reports

- The Business Incident Management System (BIMS) has been designed to report the progress to resolution of a Business Incident to allow Post Office Ltd. to complete an accurate reconciliation or settlement with their clients. For ease of identification and association, BIM report references will take the Fujitsu internal Incident and Problem Management System (PEAK) reference number. In all cases each BIM report will have a unique identifier.



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



- A BIM report will be issued for each Business Incident generated. BIM reports are designed to notify POL Finance of the detail required to assist in the reconciliation or settlement process within Post Office Ltd. domain. BIM reports communicate information concerning the resolution of the symptom of an underlying cause, not the cause itself; this information would be supplied via the Problem Management route, if escalated to this level.
- Where a System Incident is generated to eradicate the cause of a particular problem and there is one or more associated Business and Related Services Business Incidents, cross-references will be supplied on the Business and Related Services Business Incident BIM report and via the Problem Management process to allow tracking of the System Incident.

3.4.1.1 BIM Report Distribution

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

3.4.1.2 Clearance Criteria

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

3.4.2 BIMS for Banking and Related Services - SLT conditions

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

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

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

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

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



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



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

The following conditions apply to DBTN enquiries:

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

2. For any DBTN enquiries where the **transaction date is in excess of 90 days of the date the transaction is disputed by the end customer** and raised by POL via the MAC in accordance with section 3.3.1.3:
 - ***All attempts will be made to resolve this within 5 Reconciliation Service days of notification, but if there is a delay in obtaining evidence from the Audit Archive, the SLA will be suspended after agreement with POL.***
3. For any 'Priority' exception relating to incomplete states 4 or 12 reported within NB102 section 5 and raised by Fujitsu Reconciliation Service in accordance with section 3.3.1.1:

95% must be resolved within <= 8 hours commencing at 08.00hrs on the SECOND Reconciliation Service day following receipt by the DRS of the exception, based upon all Priority exceptions received within the quarterly reporting period.
4. For all non 'Customer Critical' exceptions reported within NB102 sections 2 – 5 and raised via the MAC by Fujitsu Reconciliation Service in accordance with section 3.3.1.1:
 - ***They must be resolved within 5 Reconciliation Service days of notification via NB102 sections 2 -5.***
5. For EBBT Business and Related Services reconciliation errors raised by POL via the MAC in accordance with section 3.3.1.2 :
 - ***All attempts will be made to resolve this within 5 Reconciliation Service days from the date they were reported to the MAC, but if there is a delay in obtaining evidence from the Audit Archive, the SLA will be suspended after agreement with POL.***

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

3.4.2.1 SLT Exclusion / Suspension Criteria

- Where an exception has been generated due to factors outside of Fujitsu control, e.g. where a Post Office branch has failed to communicate due to fire, flooding or other agreed 'Enforced Closure' conditions, the exception will be removed from the BIM SLT calculation in agreement with Post Office Ltd and resolved using 'Reasonable Endeavours'.
- Where an exception necessitates the retrieval of information from, or access to, a Post Office branch to enable successful resolution and this is not available, the period whilst Fujitsu



Reconciliation and Incident Management Joint Working
Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



waits, having requested information or access to be provided, shall not count towards the time for resolution of that exception.

- Post Office Ltd. will be informed via the BIM report relating to the exception under investigation that SLT suspension is being invoked.



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



3.5 System States & Exception Tables

					When								
Pre-validation					C112	C12	C4	D	S				
On Incomplete/Corrupt error go to:					E27	E28	E29	E30	E31	Validate on entry into State (# means 'not equal to')			MSU Action
State	No C112 =N/A	Conf Agent	NBE/Pymnt		When valid, go to state					Amount:Action	Amount:Action	Settlement Date:Action	Set State to
Start	0				E01	1	4	12	8	-	-	-	-
	1				E01	E02	3	15	10	-	-	-	F99
Final	3		C12	C4	E01	E11	E12	E13	E14	C12#C4:E23	-	C4 Settle Dt#Rec Dt:E39	-
	4			C4	E01	3	E04	E09	E06	-	-	-	F99
	5	N/A			E01	6	7	14	9	-	-	-	-
	6	N/A			E01	E02	3	15	11	-	-	-	-
	7	N/A			E01	3	E04	E09	E06	-	-	-	-
	8			S	E01	10	16	20	E05	-	-	-	F99
	9	N/A			E01	11	17	21	E05	-	-	-	-
	10			S	E01	E02	19	23	E05	C12#S&C12#0:E24	-	C4 Settle Dt#Rec Dt:E39	F99
	11	N/A			E01	E02	19	23	E05	-	-	-	-
	12			D	E01	15	E08	E09	E07	-	-	-	F99
	14	N/A			E01	15	E08	E09	E07	-	-	-	-
	15			D	E01	E02	E08	E09	E07	C12#D:E26	-	C4 Settle Dt#Rec Dt:E39	F99
	16			S/C4	E01	19	E04	E09	E05	-	-	C4 Settle Dt#Rec Dt:E39	F99
	17	N/A			E01	19	E04	E09	E05	-	-	-	-
Final	19			S/C4	E01	E11	E12	E13	E14	C12#C4:E23	C4#S&C4#0:E32	C4 Settle Dt#Rec Dt:E39	F99
	20			S/D	E01	23	E08	E03	E05	D#S:E33	-	C4 Settle Dt#Rec Dt:E39	F99
	21	N/A			E01	23	E08	E03	E05	-	-	-	-
	23	N/A			E01	E02	E08	E03	E05	-	-	-	-

Exception States

E01	Unexpected C112	-	-	-	-	-	-	-	-	-	-	-	-	F99
E02	Additional C12	-	-	-	-	-	-	-	-	-	-	-	-	F99
E03	Additional D	-	-	-	-	-	-	-	-	-	-	-	-	F99
E04	Additional C4	-	-	-	-	-	-	-	-	-	-	-	-	F99
E05	Additional S	-	-	-	-	-	-	-	-	-	-	-	-	F99
E06	S after C4	-	-	-	-	-	-	-	-	-	-	-	-	F99
E07	S after D	-	-	-	-	-	-	-	-	-	-	-	-	F99
E08	C4 after D	-	-	-	-	-	-	-	-	-	-	-	-	F99
E09	D after C4	-	-	-	-	-	-	-	-	-	-	-	-	F99
E10	Not used	-	-	-	-	-	-	-	-	-	-	-	-	-
E11	C12 after final state	-	-	-	-	-	-	-	-	-	-	-	-	F99
E12	C4 after final state	-	-	-	-	-	-	-	-	-	-	-	-	F99
E13	D after final state	-	-	-	-	-	-	-	-	-	-	-	-	F99
E14	S after final state	-	-	-	-	-	-	-	-	-	-	-	-	F99
E15	Not used	-	-	-	-	-	-	-	-	-	-	-	-	-
E16	Not used	-	-	-	-	-	-	-	-	-	-	-	-	-
E17	Not used	-	-	-	-	-	-	-	-	-	-	-	-	-
E18	Not used	-	-	-	-	-	-	-	-	-	-	-	-	-
E19	Not used	-	-	-	-	-	-	-	-	-	-	-	-	-
E20	Not used	-	-	-	-	-	-	-	-	-	-	-	-	-
E21	Not used	-	-	-	-	-	-	-	-	-	-	-	-	-
E22	Not used	-	-	-	-	-	-	-	-	-	-	-	-	-
E23	Amount of C12#C4	-	-	-	-	-	-	-	-	-	-	-	-	F99
E24	Amount of C12#S & C12#0	-	-	-	-	-	-	-	-	-	-	-	-	F99
E25	Not used	-	-	-	-	-	-	-	-	-	-	-	-	-
E26	Amount of C12#D	-	-	-	-	-	-	-	-	-	-	-	-	F99
E27	Not used	-	-	-	-	-	-	-	-	-	-	-	-	-
E28	Incomplete/Corrupt C12	-	-	-	-	-	-	-	-	-	-	-	-	F99
E29	Incomplete/Corrupt C4	-	-	-	-	-	-	-	-	-	-	-	-	F99
E30	Incomplete/Corrupt D	-	-	-	-	-	-	-	-	-	-	-	-	F99
E31	Incomplete/Corrupt S	-	-	-	-	-	-	-	-	-	-	-	-	F99
E32	Amount of C4#S & C4#0	-	-	-	-	-	-	-	-	-	-	-	-	F99
E33	Amount of D#S	-	-	-	-	-	-	-	-	-	-	-	-	F99
E34	Not used	-	-	-	-	-	-	-	-	-	-	-	-	-
E35	C12 arrived after state F99	-	-	-	-	-	-	-	-	-	-	-	-	F99
E36	C4 arrived after state F99	-	-	-	-	-	-	-	-	-	-	-	-	F99
E37	D arrived after state F99	-	-	-	-	-	-	-	-	-	-	-	-	F99
E38	S arrived after state F99	-	-	-	-	-	-	-	-	-	-	-	-	F99
E39	Settlement Date # Reconciliation Date	-	-	-	-	-	-	-	-	-	-	-	-	F99
Final	F99 MSU Resolved	E01	E35	E36	E37	E38	-	-	-	-	-	-	-	-



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



3.5.1 Banking and Related Services Exceptions explained

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



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



Service	Exception Type	Post Office Ltd Implications	Fujitsu Reconciliation Service Action		Post Office Ltd Action
			To SSC?	Reconciliation Service / BIM	
All On Line Services	State 5	No longer applicable	N	No Action	No Action
All On Line Services	State 6	No longer applicable	N	No Action	No Action
All On Line Services	State 7	No longer applicable	N	No Action	No Action
Debit & Credit Card	State 8	Transient State – None envisaged	N	No Action	No Action
Debit & Credit Card	State 9	No longer applicable	N	No Action	No Action
Debit & Credit Card	State 10	Transient State – None envisaged	N	No Action	No Action
Debit & Credit Card	State 11	No longer applicable	N	No Action	No Action
All On Line Services	State 12 and 13	Potential for incorrect settlement with FI and /or incorrect adjustment of end customer account. “D” exception type signifies that the FI is aware of the error.	N	Issue final BIM report when State progresses to State 15 or exception remains at State 12 and 13. F99 to clear from reports	Adjust settlement with FI with instructions to FI to adjust end customer account if required
All On Line Services	State 14	No longer applicable	N	No Action	No Action



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



Service	Exception Type	Post Office Ltd Implications	Fujitsu Reconciliation Service Action		Post Office Ltd Action
			To SSC?	Reconciliation Service / BIM	
All On Line Services	State 15	Final State with a “D” signifying that the FI is aware of the error	N	Issue final BIM report. F99 to clear from reports	Adjust settlement with FI with instructions to FI to adjust end customer account if required
Debit & Credit Card	State 16	None envisaged	N	No Action.	No Action
Debit & Credit Card	State 17	No longer applicable	N	No Action	No Action
Debit & Credit Card	State 18	Transient State	N	No Action	No Action
Debit & Credit Card	State 19	Final State – not on exception report	N	No Action	No Action
Debit & Credit Card	State 20	None envisaged	N	No Action	No Action
Debit & Credit Card	State 21	No longer applicable	N	No Action	No Action
Debit & Credit Card	State 22	No longer applicable	N	No Action	No Action
Debit & Credit Card	State 23	No longer applicable	N	No Action	No Action
All On Line Services	E01	Received a C112 message. This should no longer be possible	Y	Issue BIM report detailing as far as possible how far the transaction progressed via the Horizon counter – confirm whether the Fujitsu Reconciliation Service believe payment was made or accepted by End Customer. F99 exception to clear from reports	Adjust settlement with FI with instructions to FI to adjust end customer account if required
All On Line Services	E02, E03 & E04	Possibility of a duplicate transaction having been created which may require settlement adjustment with FI and / or end customer	Y	Issue BIM report detailing as far as possible how far the transaction progressed via the Horizon counter –	Adjust settlement with FI with instructions to FI to adjust end



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



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



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



Service	Exception Type	Post Office Ltd Implications	Fujitsu Reconciliation Service Action		Post Office Ltd Action
			To SSC?	Reconciliation Service / BIM	
All On Line Services	E11	Assumed C112 and / or C12 exception has no reconciliation implication as they are derived from the same transaction component	Y	No Action	No Action
All On Line Services	E12 & E13	Possibility of a duplicate transaction having been created which may require settlement adjustment with FI and / or end customer account NB: ZERO value E12 exceptions can appear for EPAY which are automatically sent to F99 with no further action.	Y	Issue BIM report detailing as far as possible how far the transaction progressed via the Horizon counter – confirm whether Fujitsu Reconciliation Service believe payment or deposit was duplicated and whether or not End Customer Account has been affected. F99 to clear from reports	Adjust settlement with FI with instructions to FI to adjust End Customer Account if required
Debit & Credit Card	E14	Possibility of a duplicate transaction having been created which may require settlement adjustment with FI and / or end customer account	Y	Issue BIM report detailing as far as possible how far the transaction progressed via the Horizon counter – confirm whether Fujitsu Reconciliation Service believe payment or deposit was duplicated and whether or not end customer account has been affected. F99 n to clear from reports	Adjust settlement with FI with instructions to FI to adjust end customer account if required
NOT USED	E15, E16, E17, E18, E19				
All On Line Services	E20	No longer applicable	N	No Action	No Action
All On Line Services	E21	No longer applicable	N	No Action	No Action



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



Service	Exception Type	Post Office Ltd Implications	Fujitsu Reconciliation Service Action		Post Office Ltd Action
			To SSC?	Reconciliation Service / BIM	
Debit & Credit Card	E22	No longer applicable	N	No Action	No Action
All On Line Services	E23	Potential settlement error with FI: Possible failure to send reversal to either Santander, CAPO, Vocalink and Debit & Credit Card; or Where a reversal transaction has not reached the agent within 50 minutes in relation to EPAY, this is not forwarded to EPAY NB: If discrepancy type "3", no action.	Y if not resolved via DRS	Fujitsu Reconciliation Service issue interim BIM Report. If resolved via DRS, Final BIM Report issued. If not resolved via DRS, confirm via BIM what happened at the Horizon counter and whether Fujitsu Reconciliation Service believe there are settlement implications with the FI and / or end customer account	Adjust settlement with FI with instructions to FI to adjust end customer account if required
Debit & Credit Card	E24	Potential settlement error with FI	Y	Reconciliation Service issue interim BIM Report. If resolved via DRS, Final BIM Report issued. If not resolved via DRS, confirm via BIM what happened at the Horizon counter and whether Fujitsu Reconciliation Service believe there are settlement implications with the FI and / or end customer account	Adjust settlement with FI with instructions to FI to adjust end customer account if required
All On Line Services	E25	No longer applicable	N	No Action	No Action
All On Line Services	E26	Potential settlement error with FI: Possible failure to send reversal to either Santander, CAPO, Vocalink and Debit Card; or Transaction timeout after 10 minutes in relation to ETU	Y if not resolved via DRS	Fujitsu Reconciliation Service issue interim BIM Report. If resolved via DRS, Final BIM Report issued.	Adjust settlement with FI with instructions to FI to adjust end customer account if required



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



Service	Exception Type	Post Office Ltd Implications	Fujitsu Reconciliation Service Action		Post Office Ltd Action
			To SSC?	Reconciliation Service / BIM	
All On Line Services	E27	No longer applicable	N	No Action	No Action
All On Line Services	E28	Assumed C12 exception has no reconciliation implication as they are derived from the same transaction component	Y	No Action	No Action
All On Line Services	E29 & E30	Possibility of a duplicate transaction having been created which may require settlement adjustment with FI and / or end customer account	Y	Issue BIM report detailing as far as possible how far the transaction progressed via the Horizon counter – confirm whether Fujitsu Reconciliation Service believe payment or deposit was duplicated and whether or not end customer account has been affected. F99 exception to clear from reports	Adjust settlement with FI with instructions to FI to adjust end customer account if required
All On Line Services	E39	No action required	N	F99 from report, if all elements match	No Action
All On Line Services	F99	Will not appear on report.	N	This transaction state implies that the transaction had a Reconciliation error that has been cleared by manual procedures	No Action



3.5.2 Incomplete States

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

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

Grey shaded lines represent System States not expected to be reported within the Banking and Related Services report set.

Green shaded lines are not expected to be reported in the absence of C112 Messages



3.5.3 Exception States

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

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

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

4 Automated Payment Service (APS)

The APS Report Set produced by Fujitsu central systems and the End-to-End APS reconciliation have been designed to enable APS transactions completed in Post Office branches to be reconciled to the transaction stream received by Post Office Ltd, via Post Office Ltd Core Finance System (CFS) to enable settlement to be made with Post Office Clients. This also applies to transactions of zero value; while



these transactions do not affect financial reconciliation they will be reported in cases where they were not properly transferred to the Automated Payment (AP) Clients or CFS.

For the avoidance of doubt, there is no automated reconciliation between APS and CFS. Any reconciliation is manual and based on the comparison of the Client Transmission Summary with the CFS Vendor Accounts.

4.1 APS Reports

The following reports are sent daily to POL Finance:

- aps_reconciliationyyyymmdd.txt
- aps_exceptionsyyyymmdd.txt

These are further explained below but a full definition can be found in SVM/SDM/SD/0020.

4.1.1 Report Distribution

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

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

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



Reconciliation and Incident Management Joint Working Document

FUJISTU RESTRICTED – (COMMERCIAL IN CONFIDENCE)

**4.1.2 aps_exceptionsyyyyymmdd.txt report explained**

The following is an example of the Delayed Transactions report and is self-explanatory

Client Acc No	Client Account Name	Item Id	FAD Code	Txn Timestamp	Customer Reference	Receipt Ref	Receipt Serial No	Reversing Receipt Ref	Reversing Serial No	Value	Reason
3094	United Utilities Water	36398	4025113	01/11/2018 21:09	63314030041988800000	68001	5470			1500.00	No Delivery Agreement
3094	United Utilities Water	36398	4025113	01/11/2018 21:17	63314030041988900000	67001	8767			1500.00	No Delivery Agreement
3094	United Utilities Water	36398	4025113	01/11/2018 21:33	63314030041988600000	67001	8772			1500.00	No Delivery Agreement
3131	Parcelforce Contract Accept	39192	548324	07/11/2018 14:45	9826935101260	7016	1978			-1.00	Invalid Negative Value
3131	Parcelforce Contract Accept	39192	548324	07/11/2018 14:45	ED808529215GB	7019	1978			-1.00	Invalid Negative Value
3131	Parcelforce Contract Accept	39192	548324	07/11/2018 14:45	9826935101260	7020	1978			-1.00	Invalid Negative Value
3147	Royal Mail	45342	2307049	30/10/2018 10:23	01Label=1~QRC	2001	6671	2001	6673	0.00	No Delivery Agreement
3147	Royal Mail	41637	548324	07/11/2018 14:43	XC422747100GB	7004	1978			0.00	No Delivery Agreement
3147	Royal Mail	41637	548324	07/11/2018 14:44	LU422747100GB	7008	1978			0.00	No Delivery Agreement
3240	Welsh Water	43747	4025113	02/11/2018 10:11	6331428366843200000	78001	4316			-102.00	Unmatched Reversal



4.2 APS Reconciliation & Incident Handling

4.2.1 APS Business Incidents

4.2.1.1 Reconciliation Errors within APS reports

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

- Software errors
- Unidentified differences classed as 'Reconciliation Errors'
- Delayed Transactions.

There are two reports that deal with these errors:

aps_reconciliationyyyymmdd.txt

This reports the overall health of the delivery system by ensuring that all APS transactions are either delivered to AP Clients or by ensuring that any Delayed Transactions are dealt with appropriately. Any reconciliation imbalance in this report is due to Software errors or Unidentified 'Reconciliation Errors'

aps_exceptionsyyyymmdd.txt

This reports any outstanding Delayed Transactions.

4.2.1.2 Delayed Transactions on aps_exceptionsyyyymmdd Report

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

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

There are 4 reasons why transactions will be quarantined/delayed and reported on the aps_exceptionsYYYYMMDD report, these are as follows:

1. A duplicate transaction has been identified
2. An unmatched reversal has been found
3. A negative amount has been received where not expected
4. The Client Account number is not valid

Duplicate Transaction

These do not occur in practice

Unmatched Reversal



Can occur in rare instances involving the counter recovery procedure.

Invalid Negative Value

Can occur if the Client Delivery Agreement or APADC reference data has been set-up incorrectly

Invalid Client Account

Can occur if the Client Delivery Agreement or associated reference data has not been created correctly

4.2.2 APS Business Incident Originators

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

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

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

4.2.3 Generation of Business Incidents

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

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

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

NB: Where POL Finance raises an APS Business Incident which may require a large amount of supporting information, summary detail only may be given to the MAC and the additional information sent via e-mail to Fujitsu Reconciliation Service, at PostOfficeAccount.reconciliation@fujitsu.com

GRO

4.3 Incident Reporting

4.3.1 BIM Reports

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

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

4.3.1.1 BIM Report Distribution

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

4.3.1.2 Clearance Criteria

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

4.3.2 Reporting Timescales

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

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

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

Where there is a need to correct APS Data Errors Fujitsu will use reasonable endeavours to deliver the corrected data file to the AP Client(s) within five working days from the date the APS Business Incident was generated via the MAC. This may however, not always be practical due to the technicalities of creating a corrected data file if there is a high volume of data.

There is no agreed timescale for the resolution of a System Incident. Fujitsu will give every System Incident the priority it deserves (including the Problem Management escalation process) taking into account Post Office Ltd's requirement and will aim to deliver an initial analysis of the root cause within 5 working days and a final analysis and evidence of remedial action, within 10 working days.

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

4.4 Client File Delivery

4.4.1 Variable File Transfer

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

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

The CTS accurately identifies the volume and value of the 'normal' transactions (not reversed / reversing transactions) that have been delivered to the Post Office Clients on a particular day, in accordance with their specific requirements.

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

POL Finance will use the CTS as the basis for settlement with Post Office Clients. In the unlikely event that Fujitsu fails to deliver the CTS file to POL or POL reject the file, it is also possible to send the CTS file to POL via email if the normal means of delivery is not available.

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



5 TPS Reconciliation

5.1 TPS Report Set

At Release 20.35 all remaining TPS functionality was subsumed into the Branch Database. At Release 20.55, the TPS system was decommissioned. There are no remaining TPS Reports and no possible TPS reconciliation errors as a result.



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



6 BIM Report

BIM Incident Report - COMMERCIALLY SENSITIVE

BIM Reference:		SE0210753		Final Update	
Service:	APS	Version:	3	Last Updated:	10/06/2011 10:30:08
Service Sub-type:	Priority: 8				
Exception Type:	APB021330-APS Reconciliation Error				
Originator:	MER	Transaction Date:	08/06/2011	Branch:	080023000000
Status:	0 - Open	Exception Value:		£0.00	
Other References:		Transaction Liability			
HNGA Branch:	No	Provisional:		Final:	
POL Reference:		Settlement Details		Transaction Settlement	
		Settled Amount:		Invoice Number:	
		Invoice Date:		Manual Error Report	
Incident History		Chargeable Errors:		0	
Date Received:	08/06/2011	MER Ref Amt:			
Date Cleared:	10/06/2011	MER Inv No:			
Date Closed:		MER Inv Date:			

Actions					
Action: Date & Time	09/06/2011 10:57:24	Action Type	Describe Incident	Analyst	Andy Dunks
<p>APB021330: Delayed Transaction Report produced on 08/06/2011. Branch shows 1 new delayed transaction for Transaction Date 08/06/2011. Client: TP08 Bureau. Total Value: £0.00. Error Message: UNMATCHED REVERSAL ROUND. This is currently under investigation.</p>					
Action: Date & Time	10/06/2011 12:31:44	Action Type	Clean Incident	Analyst	Andy Dunks
<p>Reconciliation will be required as follows:</p> <ol style="list-style-type: none"> 1) POL will need to check with the P/Molex what actually transpired, i.e. did the P/Molex hand over the £40 EURO currency and make £16.62 currency sell margin on the £201.51 total cash taken or not from the customer. Any currency adjustments that are required for the £40 EURO currency sell margin, currency sell margin made or not, will therefore have to be decided by POL. 2) The branch accounts will be used for the branch in BR08 in either case, since ZERO settlement lines for the original APS sell bn and the APS reversal bn were eventually inserted into the BR08. 3) Clearance has passed on both the APS TP08 EURO currency sell and APS TP08 EURO currency reversal positions from POL to RiskRate services. 4) POL will have to account for any reconciliation issues required from the original APS TP08 Bureau EURO currency sell date sent for the APS ED02 TP08 Bureau Client, since POL have not clarified as yet whether this APS client is one Clearance send details for or not. 					

Output BIM reference

Classification 1: Online Service
2: APS 3: POPS POLYS

Priority of task

Reconciliation Service
Exception Message

Transaction Value

Branch SCD code

Transaction amount

BIM Management System that has not been changed
Reconciliation Service

Auto generate BIM transaction

Auto generate Reconciliation details

Output BIM will only show the
action and transaction and brief
description of the incident


Final BIM will contain the
information and maintain the
reconciliation history



7 Guides for Reconciliation

7.1 Reconciliation Process

7.1.1 Start of Rec process

1. Open Outlook
2. Open Rec Errors Template sheet

REC Errors.xlsx
3. Run Batch file "Reportoutput.bat" from saved location which will open the reports
4. On Outlook (ensure this is only done once **previous steps** have been completed ****(Do not use when training)****)
 - Type date for previous day in date boxes
 - Run the macro
5. Open MergedNBS.txt in word
6. Open yesterday's report from SharePoint - **Reconciliation Daily Reports**
7. Compare yesterday's report against today's
 - Copy any old calls from old report to new ensuring these are highlighted green
 - Review new ones that are not Highlighted following the **Rec Errors template** from here either highlight Grey for EPAY (States E12 or 006 and yellow (to be progressed for others)
 - For state 004 if not mentioned on previous day mark as Day 1 as these do not need progressing till 2nd day off showing on report
 - Save the sheet as MergedNbs.docx
8. Open peak look at **outstanding calls** to find latest on all outstanding issues highlighted green
9. Confirm you have received the required emails
 - G03_Failed Recov Report for YYYYMMDD
 - BSU_Rec Report for YYYYMMDD
10. Save the first one as G03_Failed Recov Report.xlsx
11. Open previous day and check against previous day, add days till you get to day 3 unless this has appeared on NBS for 2 days which will then become a new call



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



12. **Raise call to Peak call** for any unraised calls you have highlighted on NBS / Failed Recovery, adding references to NBS for each.
13. Check aps_exceptionsyyyymmdd in word
Check there is nothing new
Save as aps_exceptionsyyyymmdd.docx
- 14.
15. Open aps_reconciliationyyyymmdd in word
Check that both the Discrepancy columns are both recording zero value
Save as aps_reconciliationyyyymmdd.docx
16. If any instances appear on aps_exceptionsyyyymmdd or there is a discrepancy reported on reconciliationyyyymmdd **Raise call to Peak call**, add reference next to each
17. Open Merged Section1 in word
Run Macro
Check over volumes
If anything big check by **Raising a call to Peak call** (please note Epay is regularly higher than others)
Save as word as MergedSection1.docx
18. Open mergedDCP.txt in word, on a Thursday you will need to send this to POL
Save as word MergedDCP.docx
19. Check you have the 8 files saved, on a Monday this increases to 21 due to weekend reports

Saved Report	Monday	Tuesday to Friday	Following 1 Bank Holiday
MergedNBS	1 Report with Name	1 Report with Name	1 Report with Name
MergedSection1	1 Report with Name	1 Report with Name	1 Report with Name
MergedDCP	1 Report with Name	1 Report with Name	1 Report with Name
G03_Failed Recov Report	3 Report with Name	1 Report with Name	4 Report with Name
aps_exceptionsyyyymmdd	3 Report with Name	1 Report with Name	4 Report with Name
aps_reconciliationyyyymmdd	3 Report with Name	1 Report with Name	4 Report with Name
Total	12 Reports	6 Reports	15 Reports

20. Create next day's folder

21. File emails away



Reconciliation and Incident Management Joint Working Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



7.1.2 Updating Calls

1. Open **Peak call logging system**
2. Check outstanding calls logged from previous days reports
3. If response is received send latest BIMS

7.1.3 How to raise a Peak call

1. Open **Peak call logging system**
2. Log call as per **HNGX templates**
 - Complete as

Call Logger	Your Name (should be auto populated)	
Team	MSU-INDT MGT	
Reported in release	HNG-X Rel.Ind	
Top Ref	SSCKel	Type Kel "Ref" from template
Call Type	L-Live Incidents/Defects (should be auto populated)	
Priority	As required shown on template	
Summary	Top line of sheet (see below)	
Description	Top line of sheet (see below)	
Subject Product	General/Other/Misc	Reconciliation
Manual Routing	MSU-Indt-Mgt	"Your Name"

Branch *** - NB102 Section 5 LINK – State E10 (& State E11)	This line is the Subject line, Branch can be taken from transaction
NB102 Section 5 report for Client: Link Interchange produced on*/*/2015.	The rest goes into progress text, please take these details from word doc
Branch shows * new State E10 exception (and State E11 exception all) with the following details: Txn Id: 00- Receipt Date: xx/xx/2015 Amount: £*. **	<ol style="list-style-type: none"> 1. Produced on date shows as this in doc 2. Txn id: 00 shows as full transaction ID 3. Receipt Date Shows as Receipt 4. Amount this take from column with amount normally C112 / C4
KEL kiangl5121J or KEL DSeddon267L may be relevant. Relevant report attached.	
For charging purposes, please could SSC explain whether or not this issue is Fujitsu related (at fault) i.e. hardware or not?	
Sending to SSC for investigation.	



➤ Select **Route**

3. Add reference to Relevant Report i.e. MergedNBS.docx
4. Add Any additional **Kel References** from Template using the References Tab
5. Add Evidence as required on Evidence Tab (must include all relevant reports) giving appropriate name for each to be shown
6. Add Impact to Impact Tab as per template
7. If required add a new **change task** and add reference to **references** as **TFS Task CHG******* and also add **WI** from TFS to **references** following the template
8. Assign call to **EDSC** in Peak and select Route

7.1.4 How to update a Peak Call

- Open relevant peak call
- Check for the latest
Note if the SLA is nearing chase for update and if required suspend BIMS.

7.1.5 How to close a Peak Call

1. Click add response
2. Type text "Final BIMS issued to POL, closing call"
3. Select category as "90 Final reconciliation"
4. Select **close**

7.1.6 Merged DCP Report

1. Open Merged DCP from the mornings report
2. Open a previous weeks email found in the Rec MergedDCP folder
3. Edit email to show correct date and your name



4. Attach document
5. Send
6. Await response
7. Once response is received continue to F99 all approved transactions

7.1.7 Creating BIMS

1. Open BIMS
2. Select "Incident Maintenance"
3. Select "Pencil icon" for new call
4. Put Peak ref in HSH ref missing the PC i.e 01234567
Select 8hr SLA (A Reference) / 5 Days (B Reference)
5. Branch code = FAD code
6. Branch name should auto populate, if this fails to find FAD go to **How to create new FAD**
7. Service Type select as appropriate
NBS Sheet - "7" --online Services
APS Sheets -- "2" -- APS
8. Subtype Select as appropriate for NBS
Note - for APS leave blank
9. Exception type Select against the State on NBS
For Failed recovery sheet select 0113 Failed transaction correction
10. Originator = MSU
11. Exception Value = Value from Report
12. Date of transaction = Receipt Date
13. Select "action log"
14. Select describe incident under Action Type – Enter BIMS data as per Rec Errors templates



15. Select Save "Disk Icon"
16. Save to Word "MS Word Icon"
17. If ready to move on select next tab
18. Send via email to POL using previous emails for this type as a template
Note You can add multiple BIMS providing status of each are the same and they are all going to same dlist

7.1.8 Creating new FAD code in BIMS

1. Open TFS
2. In search box type Branch code and press search
3. Take note off branch name and location
4. If unsure of region search on web
5. From front of BIMS
6. Select Static Data Maintenance
7. Select FAD Code Maintenance
8. Under FAD code type in your 6 digit branch code
9. Under PO region select as appropriate
10. Select Close Form, you should now be able to use the FAD code

7.1.9 Suspending BIMS

1. Open BIMS > Select Incident Management
2. All active BIMS will show
3. Click "Ok"
4. Click in "Branch Code" field



5. Search for Incident using the Magnifying Glass icon
Type Reference i.e. 01234567 into the "find what" field and select find "next"
6. Select "action log"
7. Select Suspend SLA under Action Type – Paste reason why this is being suspended
8. Select Save "Disk Icon"
9. Save to Word "MS Word Icon"
10. If ready to move on select next tab
11. Send via email to POL using previous emails for this type as a template

7.1.10 Unsuspending BIMS

1. Open BIMS> Select Incident Management
2. All active BIMS will show
3. Click "Ok"
4. Click in "Branch Code" field
5. Search for Incident using the Magnifying Glass icon
Type Reference i.e. 01234567 into the "find what" field and select find "next"
6. Select "action log"
7. Select Unsuspend SLA under Action Type – Paste reason why this is being unsuspended
8. Select Save "Disk Icon"
9. Save to Word "MS Word Icon"
10. If ready to move on select next tab
11. Send via email to POL using previous emails for this type as a template
Note You can add multiple BIMS providing status of each are the same and they are all going to same dlist

7.1.11 Closing BIMS



Reconciliation and Incident Management Joint Working
Document

FUJITSU RESTRICTED – (COMMERCIAL IN CONFIDENCE)



1. Open BIMS
2. Select Incident Management
3. All active BIM's will show
4. Click "Ok"
5. Click in "Branch Code" field
6. Search for Incident using the Magnifying Glass icon
Type Reference i.e. 01234567 into the "find what" field and select find "next"
7. Select "action log"
8. Select Clear Incident under Action Type – provide resolving text, this needs to be edited as this is going to Post Office
9. Select Save "Disk Icon"
10. Save to Word "MS Word Icon"
11. Send via email to POL using previous emails for this type as a template
Note You can add multiple BIMS providing status of each are the same and they are all going to same dlist.