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Branch Outreach Issue (Initial Findings)

10th December 2015

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Branch Outreach Issue - Description

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There are actually 2 potential separate issues here, and it is the combination of the two issues that may lead to the scenario described above:

- The Forced Log Out

  - Doesn't correctly close down the Post Log On script. This leaves the script on the "stack" of incomplete processes
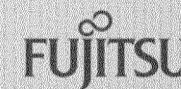
- The Pouch Delivery script thinks it has completed doesn't explicitly finish

  - When the Remittance is complete and all the receipts have been printed, the last screen asks the user to press Enter to complete the Remittance process

  - It relies on a mechanism which checks the stack of incomplete processes to see if it is complete. Due to the fact that the stack is not empty (following the first problem) it thinks it has not finished and as a result attempts to repeat the last part of the script, which in this case is to record the remittance transactions and print the receipts

Initial Results of Audit of BLE files

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- Audit found 112 occurrences of Duplicate Pouch Id's over the past 5 years
- The audit highlighted 3 issues with Duplicate Pouch Id's
    - 47 Outreach Cases identified equivalent to the current item
    - 19 using 'Prev' Button after pouch scan - fixed Mar 2010
    - 46 Pouch remitted at multiple Counters - fixed Jan 2011
- 108 items corrected at the time either by:
    - Transaction Correction by Post Office
    - Sub Post Master reversal completed at the time
- 4 items still to be confirmed
    - No correction records obvious in database Post Office to advise if any corrections etc. raised
- No items relate to Mediation Periods

Data Analysis Method

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- Historical Checking of Data

The following is a breakdown of the initial analysis completed to date (9th December 2015).

- Fujitsu have retrieved and analysed the BLE files (branch data transfer files to POLSAP) in archive audit storage
- We then Correlated any outputs against Mediation cases post 2010 when HNGX was introduced
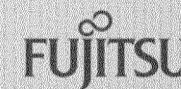
Branch Outreach Issue – Overview

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- **This code was produced for HNGX which went live in 2010**

  - However this particular problem would not have been present on the old Riposte-based Horizon system that was running until 2010

- **Receipts were generated for all the remittance transactions plus**

  - They are all clearly visible as individual transactions in the Transaction Log (which is viewable locally) and

  - Also in the Audit Trail (which is used as the basis for any evidence of the system's behaviour)

- **FSC and NBSC now have knowledge base for this issue**

- **Proposed Change**

  - The proposal is to issue a hotfix to ensure that a Forced Log Out correctly clears down the stack of incomplete processes

The Core Audit Process - Reminder

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- The Horizon Application has been designed to ensure that accurate and auditable records are kept of all sub-postmaster transactions

- When a transaction is conducted at a counter, an auditable mechanism has been built in to ensure these transactions are taken from the counter, stored in the Horizon main branch database and then copied to an audit database

- This mechanism can be considered a 'closed loop' where information is securely exchanged from the counter to the Horizon branch database and then on to the audit database

- Whilst copies of transaction data are provided to numerous external systems from the main Horizon database, once an audit record is created, it becomes security sealed and time stamped. Audit records cannot then be accessed or altered without detection and the creation of further auditable events

- The Core Audit Process is designed to provide a definitive log of all transactions. As such it is the "base" upon which any assessment as to "what was entered at the counter" should be derived from to the exclusion of all other systems that may take a feed of data from the Branch Database

- A number of 'assertions' can be independently examined to test the robustness of the Core Audit Process

Detailed Preliminary Findings

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2010/11 – 65 Incidents

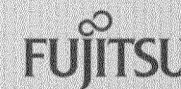- ### 19 PREV Button – February to March 2010
  - Using the PREV key during / just after the pouch barcode scans
  - 19 Transaction Corrections (TC) reviewed and applied by Post Office Limited
  - April 2010 Fix applied
  - No more occurrences found post fix

- ### 46 Remittances at 2 counters – July 2010 to January 2011
  - The same pouch could be "remitted" into the same branch at more than one counter
  - 46 Transaction Corrections (TC) reviewed and applied by Post Office Limited
  - January 2011 Fix applied
  - No more occurrences found post fix

  - ### Post Office P&BA (FSC) fully aware at the time of both Incidents

Detailed Preliminary Findings

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- **2011 – 6 Incidents**
  - 1 Transaction Correction completed by POL
  - 5 Corresponding Remittance transactions completed by PMs
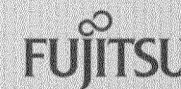 - 0 Calls raised with Fujitsu

- **2012 – 9 Incidents**
  - 5 Transaction Correction completed by POL
  - 3 Corresponding Remittance transactions completed by PMs
  - 1 Unknown outcome FAD 120004 – value £1.00
  - 0 Calls raised with Fujitsu

- **2013 – 7 Incidents**
  - 4 Transaction Correction completed by POL
  - 1 Corresponding Remittance transaction completed by PMs
  - 2 Unknown outcomes FAD 157242 – value £25,000 and FAD 209311 – value £2,500
  - 0 Calls raised with Fujitsu

Detailed Preliminary Findings

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- **2014 – 9 Incidents**
  - 3 Transaction Correction completed by POL
  - 5 Corresponding Remittance transaction complete by Post Master
  - 1 Unknown outcome FAD 214420 – value £0.01
  - 0 Calls raised with Fujitsu

- **2015 – 16 Incidents**
  - 8 Transaction Correction completed by POL
  - 8 Corresponding Remittance transaction complete by Post Master
  - 0 Unknown outcome
  - 1 Call raised with Fujitsu

  - Jan 2016 Fix to be applied (Subject to POL approval)

Detailed Preliminary Findings – Branch View

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- 88 different Branches had duplicate pouches over the past 5 years
  - 2 branches have had 5 occurrences
  - 1 branch has had 4 occurrences
  - 2 branches have had 3 occurrences
  - 9 branches have had 2 occurrences
  - 74 branches have had 1 occurrence

Detailed Results – Branch FAD Codes

Branch	Date	Branch	Date	Branch	Date	Branch	Date
3937	26-Mar-2010	106444	22-Jun-2015	154205	18-Dec-2010	223238	01-Sep-2010
4230	20-Dec-2010	106444	09-Sep-2015	155116	17-Mar-2010	223238	01-Sep-2010
4552	11-Oct-2010	107444	02-Jun-2015	157242	18-Feb-2013	223238	01-Sep-2010
5207	15-Apr-2010	107444	02-Jun-2015	158033	02-Apr-2014	224843	08-Oct-2015
5320	22-Mar-2010	109013	17-Mar-2010	159242	04-Aug-2010	225207	15-Apr-2010
7002	15-Nov-2010	110444	14-Sep-2015	159713	12-Apr-2010	233939	16-Sep-2010
7329	19-Jan-2011	112444	04-Aug-2014	165849	27-Oct-2014	234555	29-Jul-2011
7546	12-Aug-2010	115004	22-Aug-2013	167323	18-Jan-2011	236207	30-Jan-2013
7859	14-Oct-2010	115444	04-Jul-2014	183323	22-Apr-2010	240329	08-Feb-2014
10320	31-Dec-2010	118444	19-Aug-2011	187246	16-Apr-2010	240548	19-Nov-2010
11309	10-Dec-2010	118444	25-Nov-2011	188420	28-Jul-2010	260222	19-Jan-2012
11704	17-Sep-2010	118444	04-Jun-2014	192026	24-Dec-2010	276508	23-Mar-2010
13201	06-Sep-2010	120004	10-Jan-2012	202948	12-Aug-2010	294306	16-Apr-2010
20005	06-Sep-2010	121012	26-Oct-2010	202948	12-Aug-2010	294704	24-Mar-2010
22641	13-Aug-2010	125444	07-Jan-2015	202948	12-Aug-2010	302801	26-Apr-2012
22641	13-Aug-2010	125444	13-Aug-2015	205311	21-Jan-2015	334340	29-Oct-2010
57003	09-Aug-2010	126109	16-Aug-2010	206824	05-Aug-2010	337427	29-Nov-2010
60925	14-Apr-2010	126444	19-Nov-2012	207242	16-Dec-2010	367349	16-Jul-2015
66005	05-Oct-2010	126820	02-Apr-2010	207242	16-Dec-2010	383201	05-Mar-2012
69002	24-Feb-2010	128026	20-Aug-2010	207828	12-Oct-2015	390309	31-May-2012
70007	17-Aug-2010	128444	13-Dec-2013	209311	01-Mar-2013	390309	13-Jun-2014
70007	17-Aug-2010	128444	23-Apr-2014	210230	18-Sep-2013	409632	27-Jan-2012
70007	17-Aug-2010	133444	29-Jun-2015	214405	30-Mar-2010	422555	28-Apr-2015
70007	27-Aug-2010	133444	29-Jun-2015	214420	22-Aug-2014	428611	24-Nov-2010
91939	25-Nov-2010	138444	05-May-2015	214869	15-Sep-2015	436217	15-Apr-2010
106444	16-Sep-2011	142444	19-Nov-2012	221217	09-Mar-2011	506246	23-Feb-2010
106444	25-Oct-2011	144939	04-Nov-2010	223238	01-Sep-2010	506246	16-Mar-2010
106444	16-Sep-2013	154205	18-Dec-2010	223238	01-Sep-2010	530136	26-Nov-2012

# Detailed Preliminary Results – Mediation

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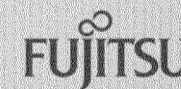
- **7 Branches match mediation branches**
  - All have known corrections
  - All instances occurred outside of data request periods
  - 6 occurred after the period

- **No branches correlated directly to Mediation dates**
  - FAD 005207, ARQ request 1st to 27th March 2010, remittance transaction 15th April 2010 - Different period
  - FAD 060925, 10 ARQ requests – 21st to 27th April 2010, remittance transaction 14th April 2010 - Different period - PSB
  - FAD 187246, ARQ request 19th January 2010, remittance   transaction 16th April 2010 - Different period
  - FAD 020005, 30 ARQ requests for 2006, 2008 2009, remittance transaction 6th Sept 2010 - Different period
  - FAD 214405, 6 ARQ requests for 2008 and 2009, remittance transaction 30th March 2010 - Different period
  - FAD 057003, ARQ request 2008, remittance transaction 9th August 2010 - Different period
  - FAD 011704, ARQ requests 2009, remittance transaction 6th Sept 2010 - Different period

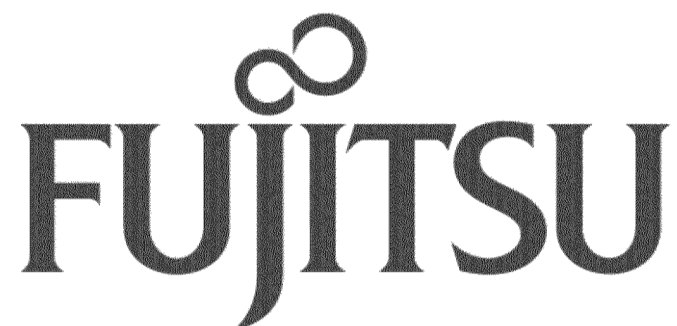# Detailed Preliminary Results – Branch detail

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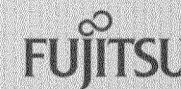
- Branch item occurred 1 week before mediation period
- FAD 060925, Remittance transaction 14th April 2010
    - ARQ request – 21st to 27th April 2010
- Use of the Prev key during the remittance process has caused a duplicate rem. The pouch contents were added to the basket twice.
- The two identical transactions have different transaction id's and each comprises of:
    - Prod ID = 6287 (Rem In Cash from AD); Qty = 1; Amount = £120
    - The Post office Counter log shows this being made up of:
        - 10p coin £100
        - 2p coin £20
- They branch received a Transaction Correction 600000744212542010 for £120 and processed it on 21st April 2010

Data Analysis - Appendix

List of all BLE files reviewed

From	To	No of days	AE Client Ref	No of files returned	Total size of files (GB)	Batch Complete?	Batch Run Ref	Restore Files
	31-Mar-10	90	POO676B	5755	4.75	Yes	BLE1	Complete
	30-Jun-10	91	POO477W	5819	4.71	Yes	BLE2	Complete
	30-Sep-10	92	POO677B	5909	4.57	Yes	BLE3	Complete
	31-Dec-10	92	POO478W	5885	4.42	Yes	BLE4	Complete
	31-Mar-11	90	POO678B	5763	4.28	Yes	BLE5	Complete
	30-Jun-11	91	POO479W	5825	4.24	Yes	BLE6	Complete
	30-Sep-11	92	POO679B	5890	5.00	Yes	BLE7	Complete
	31-Dec-11	92	POO480W	5886	4.50	Yes	BLE8	Complete
	31-Mar-12	91	POO680B	5892	4.62	Yes	BLE9	Complete
	30-Jun-12	91	POO481W	5824	4.67	Yes	BLE10	Complete
	30-Sep-12	92	POO489W	5889	5.00	Yes	BLE11	Complete
	31-Dec-12	92	POO482W	5889	4.88	Yes	BLE12	Complete
	31-Mar-13	90	POO685B	5761	4.69	Yes	BLE13	Complete
	30-Jun-13	91	POO483W	5824	4.73	Yes	BLE14	Complete
	30-Sep-13	92	POO490W	5888	4.86	Yes	BLE15	Complete
	31-Dec-13	92	POO484W	5888	5.25	Yes	BLE16	Complete
	31-Mar-14	90	POO485W	5764	5.06	Yes	BLE17	Complete
	30-Jun-14	91	POO486W	5827	4.98	Yes	BLE18	Complete
	30-Sep-14	92	POO686B	5890	5.17	Yes	BLE19	Complete
	31-Dec-14	92	POO487W	5892	5.26	Yes	BLE20	Complete
	31-Mar-15	90	POO687B	5761	4.96	Yes	BLE21	Complete
	30-Jun-15	91	POO488W	5824	4.93	Yes	BLE22	Complete
	30-Sep-15	92	POO681B	6285	6.00	Yes	BLE23	Complete
	30-Nov-15	61	POO491W	3905	3.48	Yes	BLE24	Complete

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