Problem Management	Process Overview	Created September 2023

Introduction

This is a high level introduction to how problems are managed today. The appendixes provide more in-depth details on the process

We recently rebranded the word 'Defects' to 'Problems'. Problem is the term used by ITIL and is industry best practise terminology for a production issue, and defect is the term used for issues found prior to going into production e.g. issues in testing or development etc.

What does the term 'problem' mean?

A problem is an issue live in a branch that is inconsistent with the agreed design or service specification and has the potential to affect branch or customer financial outcomes or has the potential to affect the way a Postmaster is required to use the system.

Recent History of the Problem Management process and ownership

- ➢ **Fujitsu Managed Process** - Prior to 2019 Fujitsu worked to resolve Horizon problems with input from Post Office

- ➢ **Joint Fujitsu and Post Office Process established** - In 2019 a joint Fujitsu and Post Office forum was instigated, prompted by certain problems that required Post Office design decisions from product owners

- ➢ **Post Office Managed Process** - In 2021 Post Office recruited a dedicated role and took over the management of the forum, Fujitsu remained an attendee but it became a Post Office chaired forum, terms of reference were amended to reflect this change

- ➢ **Creating an Audit Trail** - In 2021 all problems started to be managed as problem records via Service Now, ensuring central recording of all problems, maintaining a complete audit trail of evidence, decisions etc. for all open and closed problems

- ➢ **Independent audit** - In 2021 KPMG undertook an independent review of the new process and provided input to ensure it was a robust process

- ➢ **Protecting the Future** - Since 2021 there have been various updates to the process, these are as result of feedback from the GLO Horizon trial and Horizon Issues Judgment (HIJ) related directly to the lack of clarity, communication and controlled management of problems, and a desire to continually improve the process, and to include the management of all problems in all branch facing technology. Discussions are underway to ensure NBIT will also follow this process and Post Office will retain all problems as centrally recorded problem records in the future.

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Problem Management	Current Process

Identification – A new problem can be raised by anyone across the business, but most come from development teams including suppliers or data services who in the process of testing or developing new code identify an issue in existing code. The Branch support centre and IT service desk are aware of all open problems and will advise IT if they see any new issues that could be considered a problem. Other sources include new programs, changes, internal testing teams etc.

Raising a New Problem – if an issue is determined to be a problem, then a new problem record is raised in Service Now, an extraordinary meeting is held within 48 hours of identification and the relevant supplier, stakeholders and the NFSP representatives are invited to build understanding of the issue, the aim is to consider any initial workarounds or potential resolutions, and to gather enough information for investigation and communication to take place. Each problem is categorised as either having the potential to have a financial impact to a branch or that it could provide a poor experience for a branch.

Notification – A Branch Hub article is created informing all branches of a new problem. If this has potential for financial impact the legal team are advised. The various business reps including the NFSP are asked to provide a criticality score e.g. operational, branch, customer impact etc.
Branch Hub Link

Review – A weekly review of all open problems is chaired by Post Office with Fujitsu and internal teams from the business in attendance. Every open problem is reviewed for progress, including problems that have a resolution and are awaiting their scheduled release, problems under development and any problems where a solution is still being sought. We also review any problems that are now resolved and ready to be closed.

Auditable – All problems are recorded and updated in ServiceNow, every update is timestamped, all actions and minutes are captured against each Snow problem record, along with all evidence of any email exchange, closure notes, supplier updates, test validation sign off etc.

Resolution – All resolved problems have to go through a closure approval process.

Measuring success – we measure the success of the problem management process through a series of key performance indicators, how quickly we advise branches, how quickly we raise the new service now record etc.

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Problem Management Process Overview	Example of current Problem Reporting (Provided internally monthly)

Current open Branch Impacting Problems
(with potential for financial impact)

Under investigation	2
Fix understood - being developed	1
Fix developed - waiting deployment in scheduled release	1
Going through closure process	*8*

Under Investigation: Worldline connectivity issue – funding of fix being sought; New identified problem - transactions recovered in reverse order to how they were added to the basket
Funding required – Seeking funding to resolve 3 of these open items – case raised
Criticality Score > 30 – 1 problem that is resolved and going through closure process

Update since last report

Changes to process
- We have ran a few sessions with Mel Park and Kirsty O'Connor to tackle the challenge from Ben Foat – of how we would know if the business reconciliation of any problem had concluded and what the cost of a problem was, this has created a series of actions now being undertaken, including an education program for both new starters into BSC but also an overview of each open problem record for BSC and investigation teams, so they can easier identify in the future if a branch is talking to them about an existing problem, and make that corelation better. Also the single list of all problem KA's will be broken into individual KA's so cases can be logged against them, we will track if this helps to identify impacted branches
- The rebrand from 'defects' to 'problems' is almost complete; we now have updated Terms of Reference with Fujitsu for sign off
- New KPI's have been introduced
- Review distribution group of legal and HMU notifications of new problems

New Branch Impacting Problems in period
- 0 new Branch Impacting Problems raised last month (1 so far this month)

Closed Branch Impacting Problems in period
- 1 item closed
- *(8 more items going through closure process)*

Branch Impacting Problem Process - Key Performance Indicators

All Problem Records (financial or poor experience)		6 Months Rolling Performance			
		Failed	Achieved	Total	%
Meeting held to review a new problem	Within 2 working days of identification	1	11	12	92%
Entry into Snow	within 2 working days of identification	1	11	12	92%
Branches notified via Branch Hub	within 5 working days of identification	5	7	12	58%
Knowledge Article Created	within 5 working days of identification	3	9	12	75%
Notification to legal	within 5 working days of identification	2	10	12	83%
Criticality Score	within 5 working days of initial investigation conclusion	12	0	12	0%
Impact statement	within 5 working days of initial investigation conclusion	2	10	12	83%

There has now been a change to the Key Performance Indicators. The previous KPI's were unrealistic and didn't account for having to complete certain tasks in a set order, e.g. finish initial investigation before being able to provide a criticality or impact score. We will now start measuring from the above 'New' KPI's going forwards
There were no new problems in the last month, so the KPI's have not had the opportunity to improve yet, but will improve over the next few months as new processes are in place to improve efficiency when new problems get raised

Release Dates (pending and deployed)

- R72.30 was deployed between 06/02/23 - 17/02/23
- R73.10 was deployed between 05/04/23 - 18/04/23
- R73.20 was deployed between 04/05/23 - 16/05/23
- R73.30 and R73.40 (one combined release) – 24/08/23 - 07/09/23
- R73.50 scheduled for 05/10/23 - 16/10/23 (LST testing on scheduled to complete by end of August)

Note: There are 2 types of Branch Impacting Problems:
1. *Potential to have a financial impact on a branch*
2. *No potential to have a financial impact, but could cause a poor experience*

This report focuses on the most important Branch Impacting Problems that have the potential to have a financial impact

Age Profile Open Items – by logged date

Legend: ■ Open - No Funding Required   ■ Open - Require Funding

Type	Open	Pending Closure	Closed
Potential for financial impact	4	8	21
Poor Experience	23	7	170

Appendixes

The following slides are:
- Details of all open problems and problems going through closure process that have the potential to impact a branch
- Examples of Branch Hub articles on open problems

Appendix – Latest Status of **Open Problems** (as at 01/08/2023)

Problem Reference	Opened	Description	Proposed Resolution	Target/Release	Resolution Understood
PRB0041161	11/07/2022	67 Banking transactions declined at the counter were actually processed by Vocalink and not reversed. This means that the customer is either out of pocket (withdrawal) or up by the transaction amount (deposit) until manually corrected via the BIMS process under a unique BIMS reference. No effect on branch accounts.	Needs Funding Fix required to prevent reoccurrence	TBC	Under investigation
PRB0041738	18/09/2023	AP-ADC transactions recovered in the opposite order to the order in which they were added to the basket	Needs Funding	TBC	Under investigation
PRB0041303	18/11/2022	MoneyGram and Western Union Recovered Debit Card Transactions settle to Cash not card	Needs Funding Fix Required - The solution is seen as the delivery of the Bureau Refund to Card CP which is currently under review.	TBC	Fix Understood
PRB0041211	23/08/2022	Payment and Banking transactions are declined when a travel money card transaction fails at the exact same as another transaction is processed. When this occurs the Horizon system will receive a decline and the transaction will be cancelled, or a request for a different method of payment will be requested. However, the transaction isn't cancelled with the end financial institution, and it is still authorised and settled. Branch accounts are not affected but the customers bank account will be incorrect.	Worldline Change Fix Developed – to fix issue where PAN's are blank for Travel Money Card transactions, because card being removed too quickly from contactless reader Pending Worldline release – currently planned for their release SI-36	Worldline Pending Release (Possibly SI-36)	Awaiting deployment

Appendix – Latest Status of problems in **Closure Process** (as at 01/08/2023)

Problem Reference	Opened	Description	Proposed Resolution	Target/Release	Fix Deployed
PRB0041109	20/06/2022 08:49:28	Contactless payment rejected by bank, customer inserts card into chip & pin at same time clerk logs into 2nd counter, causes basket & recovery to fail	Fujitsu Change Fix Developed - Implement defensive code so the system handles this error condition Deployed – Going through closure process	73.10 – Deployed - Pending Closure	✓
PRB0041104	14/06/2022 14:20:55	Transaction Reversed Twice - By Existing Reversals and by Recovery action	Fujitsu Change Fix developed - Root cause has been established and fixes planned as part of releases 72.30 / 36.10 Deployed – Going through closure process	72.30 - Deployed - Pending Closure	✓
PRB0041099	13/06/2022 10:41:50	Branch Trading Statement reports showing non-zero Trading Positions after a failed stock unit Balancing Period (BP) rollover attempt from BP99 to BP100 72.30	Fujitsu Change Fix Developed - Deployed – Going through closure process	72.30 - Deployed - Pending Closure	✓
PRB0040622	02/09/2021 14:42:56	Recovery Scripts within APADC have been found to contain errors in scripting that in some cases cause detrimental impact on transactions and branches	Data Services Change Fix Developed Deployed – Going through closure process	APADC - Deployed - Pending Closure	✓
PRB0040527	21/05/2021	Communications loss both short and longer term caused issues with Pre Order Bureau transactions within branch	Data Services Change Requires Development – APADC scripting to allow transactions to handle correctly errors during communication including recovery process.	APADC - Deployed - Pending Closure	✓
PRB0041160	11/07/2022	E-Top-Up issue – When doing a reversal to cancel an item, items can remain selected and get processed	Fujitsu Change Fix being developed - Counter code change to clear the selection when the user cancels at the selection confirmation message MSG00147 - Being fixed with CP2863	73.40	Deployment underway
PRB0041480	06/02/2023	Recovery may fail if multiple payment transactions are present in a session undergoing recovery. Potential to affect payments, not banking transactions	Fujitsu Change Fix Developed- This is a problem that has not been seen in live or test environments. Observed as part of a code review. Being deployed in 73.30	73.40	Deployment underway
PRB0041552	24/04/2023	Branch unable to rollover into another Balancing Period as stock unit is stuck at BP99. MSG40086 error displayed until all of the branch rolled over into Trading Period	Data Services Change Fix developed Currently being tested	Data Services Change	✓

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Appendix – Examples of Branch Hub Articles

PRB0041303	PRB0041480	PRB0041518	PRB0041552	PRB0041553	PRB0040527	

PRB0041109	PRB0041104	PRB0041160	PRB0041161	PRB0041211	PRB0040948	PRB0041099

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