



TPS Reconciliation & Incident Management

**COMMERCIAL IN CONFIDENCE**

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**Document Status:** APPROVED

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## 0.0 Document Control

### 0.1 Document History

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4.2	10/07/05	Updated for comments on 4.1	
5.0	17/10/05	Updated with comments from version 4.2	



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## 0.2 Review Details

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## 0.3 Associated Documents

Reference	Version	Date	Title	Source
TI/IFS/001	7.0	31/07/02	Pathway – TIP Application Interface Specification	Joint POA / Post Office Ltd
CS/PRO/128	4.0	17/10/05	APS Reconciliation & Incident Management	PVCS
NB/PRO/002	6.0	17/10/05	On Line Services Reconciliation & Incident Management	PVCS
CS/OLA/056	0.5	22/07/05	Operational Level Agreement for FTMS Files	PVCS

			Delivered Across the POL Gateway	
CS/PRO/168	0.1	17/10/05	Horizon Reconciliation Exceptions – Working Document	PVCS
CS/PRD/019			CS Operational Change Control Process	PVCS

#### 0.4 Abbreviations/Definitions

Abbreviation	Definition
APS	Automated Payment Service
BIMS	Business Incident Management System - (Fujitsu Services Post Office Account)
BTS	Branch Trading Statement
CCD	Contract Controlled Document
EPOSS	Electronic Point of Sale Service
Fujitsu MSU	Fujitsu Management Support Unit
HSD	Horizon Service Desk
MER	Manual Error Report
NBSC	Post Office Ltd Network Business Support Centre
POL OPTIP	Post Office Ltd Operations Transaction Information Processing
PEAK	Fujitsu POA Incident logging system
POL Finance	Post Office Ltd Financial Department
POLFS	Post Office Ltd Financial Systems
POLMIS	Post Office Ltd Management Information Service
POLPBA	Post Office Ltd Product and Branch Accounting
SLT	Service Level Target
SSC	Fujitsu Third Line Support System Support Centre
TPS	Transaction Processing Service
TPS Report Set	TPS Reports produced by Fujitsu



## 0.5 Changes in this Version

Version	Changes
5.0	Updated with comments received through Fujitsu & Post Office Ltd and internal Fujitsu updating

## 0.6 Changes Expected

Changes



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## 1.0 Introduction

The Transaction Processing System (TPS) Report Set has been designed to enable reconciliation of the transactions carried out in Post Office branches using the Electronic Point of Sale Service (EPOSS) which are sent to Post Office Ltd Financial Systems (POLFS), and Post Office Ltd Management Information Systems (POLMIS). The TPS report set identifies errors that occur within counter transactions or during the harvesting process. In addition to errors highlighted by Fujitsu Services within the TPS Report Set, errors may also be discovered by Post Office Ltd Finance (POL Finance) when reconciling data within its central systems or which relate to enquiries from Post Office Clients. To initiate the Business Incident Management (BIM) reconciliation procedure, Fujitsu Services Management Support Unit (MSU) and POL Finance generate Business Incidents for one or more errors discovered.

NB: For the avoidance of doubt, there is no formal reconciliation produced between the POLFS and POLMIS transaction stream. The POLMIS stream should therefore not be used to verify financial integrity and Post Office Ltd should ensure the TPS Report Set and POLFS transaction stream are used for this purpose.

*NB: Acceptance of this document will not indicate acceptance of a specific Fujitsu / POLFS or POLMIS Interface solution. Those solutions should be identified within the relevant AIS or contractual document.*

## 2.0 Scope

This document sets out the reconciliation and incident management procedures to be adopted by the Fujitsu MSU for dealing with Business Incidents relating to the TPS Report Set errors and POL Finance generated Business Incidents. This includes reconciling the data contained in the TPS Report Set and raising Horizon Service Desk (HSD) BIM reports and Manual Error Reports (MER) where necessary.

This iteration of this Contract Controlled Documents (CCD) revises the current procedures with respect to the S80 release, i.e. ending of Cash Account reconciliation as well as to reflect the change of TPS data being delivered to POLFS and POLMIS as apposed to Post Office Ltd Operations Transaction Information Processing (OPTIP/TIP).

### 2.1 Transaction Corrections delivered to Fujitsu from Post Office Ltd

In addition, S80 introduces the process whereby Post Office Ltd forward transaction corrections from POLFS to Fujitsu for onward transmission to individual Post Office branches. A daily transaction corrections file is received from POLFS and a log file is created which shows how many transaction corrections have actually been successfully loaded into the TPS. Should there be any transaction corrections which cannot be delivered to the individual branch, Fujitsu MSU will raise a BIM report and inform POL Finance of this exception in line with the Day J Service Level Target for processing transaction corrections.



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Fujitsu (for S80) will generate four daily TPS exception reports (TPS Report Set) (from the Host and counter reconciliation software), and one Non Polled Outlet report from the host, which are described briefly below for information purposes:

NB: These reports are not delivered to Post Office Ltd, however they can be provided for audit requirements if required.

1. Host Detected Transaction Control Errors:

This report shows detail for any Post Office branch where the control totals for the transactions output by the host to POLFS and POLMIS do not match the daily transaction totals calculated by the counters.

2. TPS Harvester Errors:

This report lists error conditions detected by the TPS Harvester when failing to process a transaction where one of the transaction message attributes is corrupted or incomplete within the Riposte message store.

3. Non Polled Branches:

This report identifies all Post Office branches, which have not been polled on a daily basis and have therefore not transmitted any transactions to POLFS or POLMIS. This report does not feature in the reconciliation process and it is used by Fujitsu to aid the resolution of communications outages / hardware faults which have prevented transactions being harvested from individual Post Office branches.

4. Incomplete POLFS Summaries

This report identifies all Post Office branches on a daily basis in which the net total of transactions (debits/credits) does NOT net to a value of zero. Fujitsu MSU will raise incidents on all such occurrences in cases. There may be cases where POL Finance will need to advise and agree on any adjustments to the Fujitsu central data store that may need to take place or order to make the transactions for a particular branch net to zero. (*As per agreed process document ref: CS/PRD/019; Customer Service Operational Change Control Process*)

*NB: It is not intended that this document describes the format or content of the individual reconciliation reports*

The TPS Report Set will be routed to Fujitsu MSU, on a daily basis by 08.00hrs, where they will be checked for completeness and accuracy of content. In the event that the reports do not arrive, or after checking appear to be incorrect, in the sense that the reporting process in itself has failed, Fujitsu MSU will raise an incident via Post Office Account Third line support (SSC). A BIM report will be issued to POL Finance where appropriate, i.e. where there has been a reporting error (the reconciliation reports are flawed but not the transaction stream), or in cases where 'delayed transactions' can be delivered later with out compromising the integrity of those transactions.

It is not intended that Fujitsu MSU will deliver any of the TPS Report Set to POL Finance as a matter of course, other than the Non Polled Branches report which will be forwarded to a

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specifically agreed Post Office Ltd distribution list. An extract from the TPS Report Set may however be delivered as 'evidence' as an attachment to the BIM report / MER if it is considered by Fujitsu MSU that this would aid the reconciliation or settlement process within POL Finance. However, the reports can be delivered to POL Finance upon request.

## 3.0 Reconciliation and Incident Handling

### 3.1.1 Business Incidents

*Relate to the 'Symptom' of an underlying cause – e.g. the effect of the system fault on the resulting reconciliation or settlement information sent to Post Office Ltd.*

- A Business Incident relates to one or more of the errors reported within the TPS Report Set, or one or more of the reconciliation or settlement errors raised in accordance with this document by POL Finance

### 3.1.2 System Incidents

*Relate to the underlying 'Cause'*

System incidents are raised to track the root cause of a Business Incident. Depending on the impact, nature and scope of the incident the Problem Management process may be used. However if the nature of the incident is seen as a low priority/a 'one off' the 'Business as usual' approach may be taken' i.e. the BIM process will suffice. What course is taken is a matter of discussion and agreement between POL Finance, and Fujitsu MSU.

Where there are associated System Incidents and Business Incidents, their relationship can be either:

- one to one; or
- one to many, respectively.

Incidents escalated through the Problem Management route will be reported at regular intervals as **Problems**.

## 3.2 Incident Originators

It is envisaged that Business Incidents will only be generated by the following groups within Fujitsu MSU and POL Finance:

- Fujitsu MSU for errors reported via the TPS report set
- POL Finance for any other reconciliation or settlement error discovered by POL Finance that has not been reported by Fujitsu MSU

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- Fujitsu SSC, for any system fault, file or transaction rejection which cannot be repaired electronically or data base adjustment which is considered by Fujitsu Services 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 HSD will not generate Business Incidents. However calls from Post Office branches will be monitored and if it is considered necessary by Fujitsu Services, difficulties reported to the HSD, either directly or via the Post Office Ltd Network Business Support Centre (NBSC), will be elevated to Business Incident status.

### 3.3 Generation of Business Incidents

In line with the generic incident management policy agreed between Fujitsu and Post Office Ltd, Business Incidents will only be recognised as such if generated by POL Finance, as appropriate, via the HSD. This ensures that the Business Incident is properly logged, enabling Fujitsu MSU to ensure that corrective information can be supplied and any underlying system fault can be rectified.

In all cases Fujitsu MSU will raise a 'BIM' report to log incidents. All such BIM reports will have a unique identifier. This ID will mimic the Fujitsu PEAK reference however the BIM report will always contain any other relevant references as required.

It is important that POL Finance supply sufficient information to the HSD when generating a Business Incident to ensure the timescales for the resolution of Business Incidents referred to in section 4.5.3 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 HSD:

- A valid 'PATH' code must be quoted, e.g. 'PATH040' etc.
- Prefix all narrative with '**THIS IS A BUSINESS INCIDENT FOR MSU, PLEASE ROUTE THIS CALL TO EDSC**'
  - A full description of the issue, i.e. particular FAD(s), particular date(s), product(s), etc. The information should be of enough detail to allow Fujitsu MSU to progress the incident and escalate if needed to the correct support teams.

Where POL Finance raise a Business Incident which may require a large amount of supporting information, summary detail only may be given to the HSD and the additional information sent via e-mail to Fujitsu MSU. (A current contact list will be made available to POL Finance).

#### 3.3.1 Powerhelp vs. Peak Incident logging

Since the associated delivery to Post Office Ltd of the DRS and TES tools it has become apparent that not all incidents need to be reported to HSD (under PATH040) as outside support is not always needed from Fujitsu MSU to aid in reconciliation of incidents. While all such incidents are reported via the BIM process it has become apparent that it is not efficient to raise a Powerhelp incident for the sake of obtaining a unique identifier when the

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BIM and PEAK data bases provide the same uniqueness. A working agreement with Post Office Ltd has already been agreed on this; the main criteria being an auditable unique identifier via the BIM process.

If Fujitsu SSC involvement is needed the PEAK system allows attachment of evidence, whereas Powerhelp only allows description via text.

This in no way prevents POL Finance from raising 'PATH040' incidents (via Powerhelp) which will be reported in appropriate time scales using the unique reference.

All incidents will be reported using unique references, but will always be a PEAK however the Powerhelp reference will be quoted if available.

### **3.4 Incident Reporting**

#### **3.4.1 BIM Reports / MER**

The BIM system 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 with the corresponding HSD/ PEAK call, BIM report references the unique PEAK reference.

##### **3.4.1.1 Format and Content of BIM report / MER**

A BIM Report will be issued for each Business Incident generated via the HSD or the PEAK incident tracking system (depending on the route that the incident was raised). As part of that BIM report, Fujitsu MSU will issue a MER for each error associated with the relevant Business Incident where it is necessary.

BIM Reports / MER are designed to notify POL Finance of the detail required to assist in the reconciliation or settlement process within POL Finance. They communicate information concerning the resolution of the symptom of an underlying cause, not the cause itself. Business Incident reporting to POL Finance will fall into one of the following categories:

1. BIM Report (Standard)

This will be the standard BIM report as shown in Appendix 1 without the 'Transaction Details' section completed. It will provide POL Finance with a brief description of each error to the extent that each error can be identified.

2. BIM Report for a repaired error

This will be the standard BIM Report as shown in Appendix 1. However, the 'Transaction Details' section may be completed if considered necessary by Fujitsu MSU. Full details of the repaired transaction 'File' will be documented providing an explanation of each correction made.

3. BIM Report and MER

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This will be the standard BIM report as shown in Appendix 1. However, the 'Transaction Details' section will be completed as a MER to describe each error associated with the Business Incident, and specifying in a format suitable for POL Finance to complete a manual reconciliation and settlement if required.

NB: A BIM report may contain more than one MER.

BIM reports / MER will not advise any detail as to the underlying 'Cause' of the problem if this is a result of a software error etc. This information is supplied via the Problem Management process.

#### **3.4.1.2 Clearance Criteria & Charges Applicable to MER**

Fujitsu MSU anticipates that it will provide information concerning Business Incidents to POL Finance on a 'drip feed' basis, by issuing updated versions of the initial BIM Report / MER. On a monthly basis, the MER spreadsheet is populated by Fujitsu MSU with details of chargeable and non chargeable errors together with the appropriate supporting information. This is then forwarded to Post Office Ltd, Operations Control for approval. For the avoidance of doubt, transactions or transaction corrections which are delivered by Fujitsu MSU to POLFS via file transfer are **NOT** chargeable. Transactions or transaction repairs which are delivered manually to POL Finance via a BIM report are chargeable as defined in section 3.4.1.3

A BIM Report is 'Cleared' when Fujitsu MSU has provided the information required to enable full reconciliation to take place, i.e. provide transaction detail, provide actions for POL Finance to undertake to correct a customer's bank account, etc.

Post Office Ltd Operations Control will agree with Fujitsu MSU on a monthly basis any payments it considers are payable to Post Office Ltd (as compensation for Post Office Ltd costs in dealing with MER).

#### **3.4.1.3 MER Charges**

To clarify, S80 brings about much simplification with chargeable errors. As the Cash Account no longer exists, having been replaced by the Branch Trading Statement, the only remaining chargeable aspect is in respect to individual transactions. These are only chargeable to Fujitsu if they have been corrupted in some way when delivered through a fault in the Horizon system or the related Fujitsu processes, i.e. an OBC issue where transactions are stranded when an outlet is not closed correctly, with charges based upon the following criteria and applicable to POLFS only and not POLMIS:

- £100 per transaction which can not be delivered to POLFS by electronic means and this has been discovered before it was due to be sent to POLFS (i.e. it has not been rejected by POLFS)
- £150 per transaction which can not be delivered to POLFS by electronic means and this has been discovered after it has been sent to POLFS (i.e. it has been rejected by POLFS)

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In cases where transactions are lost due to fire, flood, or Post Master interference Fujitsu will not accept liability.

MER are delivered to Post Office Ltd Operations Control on a monthly basis for agreement by 10<sup>th</sup> working day of the following month. It is expected that in these exceptional cases that all issues will be addressed on a case by case basis.

#### **3.4.1.4 Report Distribution**

Fujitsu MSU will distribute BIM reports / MER using the Fujitsu corporate mail network. In the event that Fujitsu corporate mail system is unavailable, Fujitsu MSU will discuss with POL Finance the appropriate means of information transfer.

#### **3.4.2 Reporting Timescales**

Fujitsu MSU will use reasonable endeavours to raise an initial BIM report relating to a new Business Incident. This will be made available to POL Finance, on the same working day as the Business Incident is generated via the HSD, or on the PEAK system where applicable. In the event of the TPS Report Set not being available to Fujitsu Services in time to enable any errors to be notified within this timescale, Fujitsu MSU will contact POL Finance to agree a temporary extension to the timescale. 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.

Fujitsu MSU will use reasonable endeavours to ensure the final completed BIM report / MER is cleared within five working days Service Level Target (SLT) from the date the Business Incident was generated via the HSD, or the PEAK system.

If the BIM report / MER is not cleared, or Fujitsu MSU think it is unlikely to be cleared within five working days, Fujitsu MSU shall immediately notify POL Finance and shall procure that Fujitsu MSU Manager (or in his absence, his deputy) is made available to discuss with POL Finance to discuss the delay within two working days of such notification.

There is no strict timescale for the resolution of a System Incident as the time taken to develop a fix or correct erroneous reference data cannot be determined. Obviously however, Fujitsu will give every System Incident the priority it deserves taking into account Post Office Ltd requirement and would 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. It is clear that at all times the relationship between Incident Management and Problem Management is clearly understood, and if need be escalations through Problem Management will happen to hasten the rectification of the system incident.

#### **3.4.3 Repairing Data**

Where Fujitsu MSU corrects errors, ONE Business Incident will be raised to cover each error, which has been corrected, or group of errors if they are related to each other. A BIM report containing appropriate information will be issued relating to that error or group of errors.

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Where there is a need to correct errors, Fujitsu MSU may make corrective assumptions, based upon the format and content of previous valid records of the same type, if no other detail is available. For example, where a transaction mode is unknown, the mode used may be obtained from a previous transaction of the same type. In such cases, Fujitsu MSU will promptly inform POL Finance of the assumption within the working day that the assumption has been made. POL Finance may wish to review and validate these assumptions on a case-by-case basis and it should be noted that any assumptions made would not necessarily set a precedent.

### **3.5 Links to Problem Management**

The processes highlighted within this document are not intended to replace the current agreed Problem Management procedures, which will run side by side with the incident management process, as has always been the case.

By way of example, “problems” may be raised by Fujitsu or Post Office Ltd in the following scenarios:

- Where there is a trend of similar Business Incidents where there is no identifiable cause.
- Where a System Incident has been raised and the cause is unknown.

Problem management expands the scope of the incident management process described in this document to include any wider issues, which must be dealt with in order to rectify problems and to ensure that the associated Business and / or System Incidents are not repeated.

A System Incident is generated by Fujitsu MSU to ensure the relevant code or fix etc. is developed, tested and delivered to the live estate. However, resolution of problems which arise as a result of that System Incident will cover any additional requirements of both parties e.g. Operational Focus updates; briefings etc. and in many case the authority from Post Office Ltd to proceed with a relevant fix.



## 4.0 BIM Report Example

<b>BIMS Reference: BE</b>	
Service:	Version: Last Updated:
Service Sub Type:	
Exception Type:	
Originator:	Transaction Date: BTS: FAD:
Status:	Exception Value:
<b>Other References</b>	<b>Transaction Liability</b>
	Provisional: Final:
POL Reference:	<b>Settlement Details</b>
	<u>Exception Settlement</u>
HSD Reference:	Settled Amount:
	Invoice Number:
	Invoice Date:
	<u>Manual Error Report</u>
<b>Incident History</b>	Chargeable Errors:
Date Received:	MER Set Amt:
Date Cleared:	MER Inv No:
Date Closed:	MER Inv Date:

Actions			
Actions: Date & Time	Action Type	(Describe Incident)	Analyst
Actions: Date & Time	Action Type	(Clear Incident)	Analyst



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