



APS Reconciliation & Incident Management

COMMERCIAL IN CONFIDENCE

Ref: CS/PRO/128  
Version: 4.0  
Date: 17/10/2005

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**Document Title:** APS Reconciliation & Incident Management

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**Abstract:** This document outlines the end-to-end reconciliation and incident management procedures required to investigate, report and resolve, APS reconciliation and business incidents.

**Document Status:** APPROVED

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## 0.0 Document Control

### 0.1 Document History

| Version No. | Date     | Reason for Issue   | Associated CP/PEAK/PPRR Reference |
|-------------|----------|--|-----------------------------------|
| 0.1         | 07/02/01 | Initial Draft  | N/A                               |
| 0.2         | 01/05/01 | Second draft incorporating comments  | N/A                               |
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| 3.2         | 03/07/05 | Updated For internal and external comments   |                                   |
| 4.0         | 17/10/05 | Updated for internal & external comments following on-line review with Post Office Ltd |                                   |

### 0.2 Review Details

|                      |  |
|----------------------|--|
| Review Comments by : | 24/10/05   |
| Review Comments to : | Richard Brunskill: Fujitsu POA Service Delivery Management |

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### 0.3 Associated Documents

| Reference     | Version | Date     | Title  | Source |
|---------------|---------|----------|--|--------|
| 1. CS/PRO/111 | 4.3     | 23/09/05 | TPS Reconciliation & Incident Management             | PVCS   |
| 2. AP/IFS/048 | 4.0     | 10/04/00 | APS Host Operational Reconciliation Reports for CSR+ | PVCS   |
| 3. CS/PRO/168 | 0.1     | 17/10/05 | Horizon Reconciliation Exceptions – Working Document | PVCS   |

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

**N.B. Printed versions of this document are not under change control.**

### 0.4 Abbreviations/Definitions

| Abbreviation   | Definition  |
|----------------|---|
| APS            | Automated Payment Service   |
| APS Report Set | APS Reports produced by Fujitsu and distributed to Post Office Ltd      |
| BIMS           | Business Incident Management Service                                    |
| CCD            | Contract Controlled Document  |
| CTS            | Client Transmission Summary   |
| EPOSS          | Electronic Point of Sale Service  |
| HAPS           | Host Automated Payment System   |
| HSD            | Horizon Service Desk  |
| MER            | Manual Error Report   |
| MSU            | Fujitsu Services Management Support Unit                                |
| OBCRDST        | Post Office Ltd Operational Business Change Reference Data Service Team |
| OPTIP          | Post Office Ltd Operational Transaction Information Processing          |
| POLPBA         | Post Office Ltd Product & Branch Accounting                             |
| POL Finance    | Post Office Ltd Financial Department                                    |
| POLFS          | Post Office Ltd Financial Systems                                       |
| POLMIS         | Post Office Ltd Management Information Systems                          |
| PVCS           | Fujitsu Services Pathway document management system                     |



## APS Reconciliation &amp; Incident Management

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|     |  |
|-----|--|
| SSC | System Support Centre (Fujitsu 3rd Line Support) |
| TP  | Transaction Processing Post Office™              |
| TPS | Transaction Processing Service                   |

## 0.5 Changes in this Version

| Version | Changes   |
|---------|---|
| 2.0     | References to the Codified Agreement Schedule G01 Section 3.6, now deleted and replaced with the CCD entitled: <i>CS/SER/017 'Data Error / Not Data Error – Definitions</i> ; which has been issued to preserve the definitions quoted in Schedule G01 section 3.6. |
| 3.0     | Updated for Contract Amendment – references to Schedule G01 have been removed and minor typos corrected   |
| 3.1     | Various changes relating to the S80 release.  |
| 3.2     | Changes to internal comments. Also other changes to clarify the Fujitsu opinion of the changes in the S80 release that may affect the reconciliation aspects with respect to the Automated Payment Service.   |
| 4.0     | Updated following comments received internally within Fujitsu and from Post Office Ltd and real time review with Post Office Ltd  |

## 0.6 Changes Expected

| Changes |
|---------|
| None    |

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## 1.0 Introduction

The Automated Payment Service (APS) Report Set produced by Fujitsu central systems and the End-to-End APS reconciliation prepared by Fujitsu Management Support Unit (MSU), 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 Financial Systems (POLFS) to enable settlement to be made with Post Office Clients. This also applies to transactions of ZERO value, while these transactions do not effect financial reconciliation they will be reported in cases where they were not properly transferred to the Automated Payment (AP) Clients or POLFS.

Fujitsu central systems will produce a daily suite of reports,, the APS Report Set, which reconciles those values harvested by both the Transaction Processing Service (TPS) and APS harvesters. End-to-End APS reconciliation will be completed by Fujitsu MSU to provide a view from harvesting, through to POLFS processing and the Post Office Clients through the AP transaction stream.

In addition to any errors discovered by Fujitsu MSU within either the APS Report Set or the End-to-End APS reconciliation, others may be discovered by Post Office Ltd Finance (POL Finance) when reconciling data within POLFS or relating to queries from Post Office Clients. To initiate the Business Incident Management Service (BIMS) process, Fujitsu MSU or POL Finance will generate APS Business Incidents for one or more errors discovered.

The incident management process is generic for both Electronic Point of Sale Service (EPOSS) and APS incidents in the way that APS Business Incidents are raised, documented and progressed. It should be noted however, that an APS incident does not provide reconciliation within Post Office Ltd Management Information Systems (POLMIS) and financial integrity is therefore only being reconciled within POLFS.

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## 2.0 Scope

This document sets out the reconciliation and incident management procedures to be adopted by Fujitsu MSU for dealing with APS reconciliation report distribution to POL Finance, End-to-End APS reconciliation and with any associated APS Business Incidents which may arise, including:

- APS reconciliation report differences
- End-to-End APS reconciliation differences
- Delayed transactions
- Software faults affecting reconciliation and settlement
- Post Office Client enquiries
- Transaction Processing Service (TPS) Output file delivery failures

This documents main purpose is to define the current APS reconciliation Report Set and process followed when dealing with reported reconciliations incidents as show on the APS Report Set. For the S80 release there is no difference in how the reconciliation process or the way the APS reconciliation reports will work.

The main difference in the S80 release is that instead of delivering transaction information to the Post Office Ltd Operational Transaction Information Processing (OPTIP) gateway, this same information will be delivered to the POLFS gateway. However there will still be a separate AP transaction stream (unchanged in S80) that will deliver relevant transaction data to the various AP Clients.

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

As with previous releases the reconciliation reports will be produced during S80 by comparing the transaction details harvested, and delivered to POLFS and those harvested and delivered to AP Clients through the AP transaction stream.

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## 3.0 APS Reconciliation Reports

### 3.1 Reports Available to Post Office Ltd from Fujitsu Central Systems

#### 3.1.1 APSS2133 – APS Daily Account Balancing Report

1. **Opening Balance** – This figure identifies the APS delayed transactions that were not cleared from the previous day. This figure should be identical to the closing balance from the previous day's APSS2133 report.
2. **Pathway Harvested Transactions** – This figure should be identical for both TPS and APS harvesters and reflects the APS transactions harvested from the Post Office branches.
3. **Transactions Received from Post Office Ltd Host Automated Payment System (HAPS)** – This figure identifies all transactions received by Fujitsu **FROM** HAPS in relation to outlets who have not yet been migrated to the Horizon system, where transactions have been made using pre-Horizon system processes.

*NB: This section of the report is obsolete, and will always show zero values, however this section of the report has not been removed. There are no plans to remove this section, and as it is always for zero volumes and value it should be ignored.*

4. **Receipt Sub total** – This figure should equal the **Opening Balance + APS Pathway Harvested Transactions + Transactions Received from HAPS** and equates to all transactions available for delivery today.

*NB: As above the reports have not changed although HAPS is a legacy system. This section is still in the report definition although this section will never be populated in future.*

5. **APS Transactions Delivered to HAPS** – This figure identifies those transactions delivered to Post Office / HAPS.

*NB: As above the reports have not changed although HAPS is a legacy system. This section is still in the report definition although this section will never be populated in future.*

6. **APS Transactions Delivered to Clients** – This figure identifies those transactions delivered direct to Post Office / Clients

7. **APS Transactions Delivered To Manual** – This figure identifies those APS transactions which have been harvested by the APS harvester but have not been delivered to **HAPS / Clients** via the electronic stream and which Post Office Ltd will need to advise / adjust with the Client manually. Notification will be made to Post Office Ltd via the BIMS process. Refer to APSS2133c – The APS Delayed Transaction Report.

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*NB: As above, while HAPS no longer exists the reports, and the logic behind the reports has not changed, thus the have reference to HAPS remains.*

8. **APS Transactions delivered to POLFS** – This figure should be equal to **TPS Harvested Transactions**.

*NB: Report will continue to show TIP as the delivery point. For S80 this has been superseded by POLFS*

9. **Delivery Sub Total** – This figure should equal APS Transactions delivered to HAPS + APS Transactions Delivered To Clients + APS Transactions Delivered To Manual.

*NB: As above, while HAPS no longer exists the reports, and the logic behind the reports has not changed, thus the have reference to HAPS remains.*

10. **Delayed APS Transactions** – This figure identifies APS delayed transactions not yet cleared. This figure should be identical to the opening balance on the next day's APSS2133 report.
11. **Reconciliation Error** – This figure should always be zero. If this is not the case this will form the basis of an APS Business Incident and will be investigated via the Business Incident Management (BIM) process.

### 3.1.2 APSS2133b – The APS Client Summary Report

This report is a sub-set of line 5 and 6 on report APSS2133. It identifies by client ID, all APS transactions that are available to be delivered to clients.

*NB: This report identifies those transactions that have been harvested on this date irrespective of the delivery requirements of the specific client. It therefore does NOT equal the electronic Client Transaction Summary (CTS).*

### 3.1.3 APSS2133c – The APS Delayed Transaction Report

1. This report is a breakdown of all Delayed APS Transactions. The grand total is equal to the Delayed APS Transactions, line 10 on report APSS2133.
2. Delayed transactions may be carried over on the report until they are resent or manually advised via the BIM process – this involves an interaction by Fujitsu using the APS Workstation. Any transactions that have been resent will appear as part of the APS Transactions delivered to Clients, lines 5 or 6 of report APSS2133. Any transactions that have been manually advised will appear as part of the APS Transactions Delivered to Manual, line 7 of report APS2133.

### 3.1.4 APSS2136 – The Daily TPS / APS Transaction Summary Reconciliation Report

1. This is a 30-day rolling report, whereby if any transactions appear on this report they can remain for up to thirty days.

- 
2. There are two difference categories described within this report:

Difference '1':

This shows any difference between transactions input at the outlet counter system and those delivered to POLFS or Post Office Client. This difference can be accounted for with transactions which were not harvested by the TPS harvesters and not delivered to POLFS, or by the APS harvesters and not delivered to Post Office Clients.

Difference '2'

Shows any difference in what was delivered by Fujitsu POLFS and what was delivered by Fujitsu to Post Office Clients. This difference is always calculated as POLFS less Post Office Clients. If the POLFS figure is lower than the Post Office Client figure, (through harvester mismatches or harvester exceptions) the difference will be shown as a 'NEGATIVE'. If the Post Office Client figure is lower than the POLFS figure, the difference will be shown as 'POSTIVE'.

If there are no mis-balances on this report between difference '1' and difference '2' then no data will be shown for that transaction date.

### 3.1.5 APSS2139 – The Daily APS Office Harvesting Report

This report shows the number of outlets harvested and any outlets not harvested. In principle it is very similar to the Non Polled offices Report. (*See CS/PRO/099 Reporting on Non Polled Post Offices*). However, where that report shows the number of days since the office last polled this report shows the number of working days since the office last harvested. It therefore does not include Sundays or any other day that the outlet was not trading. The most important check with this report is to establish that all the offices that appear are also on the Non-polled report.

*NB: This report also lists those outlets which have been closed. As such this report while it remains can be widely ignored, as in fact it has been for some time.*

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### 3.2 Delivery Timescale & Mechanism from Fujitsu to POLPBA

The following reports are sent daily to POL Finance:

1. APSS2133 – The APS Daily Account Balancing Report
2. APSS2133b – The APS Client Summary Report
3. APSS2133c – The APS Delayed Transaction Report
4. APSS2136 – The Daily TPS / APS Transaction Reconciliation Summary Report
5. APSS2139 – The Daily APS Office Harvesting Report
6. APSS2141 - The End to End APS Reconciliation Report ( *This report is under review as to its relevance and the value it delivers This report may be discontinued, or run at less frequent intervals.*)

As governed by E Mail availability, Fujitsu MSU will ensure all reports are made available to POL Finance by 08.00hrs daily, on a 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 account. If the Fujitsu mail is not available fall back measures will be made, i.e. floppy disk hand delivered to the Post Office Ltd member within POL OBCRDST located on the 7<sup>th</sup> floor at the Fujitsu site at Bracknell.

*NB: Due to the size of these reports, e.g. APSS2133b is often in excess of 100 pages, Fujitsu is unable to resort to facsimile transmission should the corporate e mail service of either organisation be unavailable except in situations where any failure is deemed to be long term. In such cases, the Fujitsu MSU will liase with POL Finance to agree a contingency distribution.*

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.

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## 4.0 End-to-End APS Reconciliation

### 4.1 Daily End-to-End APS Reconciliation Report

*The following report is under review as at this stage as its completion is reliant upon POL Finance being able to derive the value of POLFS processed transactions within Line 12.*

The End-to-End APS reconciliation has been developed to reconcile all areas within the APS transaction process. The system derived report set produced by Fujitsu, serves only to identify and reconcile the values harvested by the TPS and APS harvesters. There is no guarantee that those transactions, which were harvested, will be processed by POLFS or Post Office Clients within the reconciliation timescale identified within these reports. This is due to a variety of reasons, for example, POLFS rejections at transmission file level, delayed transactions, software errors causing transaction errors after harvesting. The APS stream sent directly to POLFS or the Post Office Clients is not expected to cause any problems with regard to file rejection.

The End-to-End APS reconciliation has been developed jointly between Fujitsu MSU and POL Finance to ensure that a reconciliation is provided from harvesting through to processing at POLFS and the eventual Post Office Client settlement. In other words:

- Harvested transactions for APS and TPS are reconciled
- TPS harvested transactions are reconciled against transactions processed by POLFS – taking into account file rejection and data repair / resends etc.
- APS harvested transactions are reconciled against transactions sent directly to Post Office Clients.

In order to maintain an effective and timely End-to-End APS reconciliation, Fujitsu MSU is required to provide, in addition to the system derived APS reconciliation report set, APS transaction detail in respect of transmission and sub files rejected by POLFS. A variety of queries have been developed within Fujitsu Third Line (SSC) to identify the APS content of any files subsequently rejected and to track the re-send and repair process completed to ensure that these transactions are correctly accounted for.

### 4.1.1 End-to-End APS Reconciliation Report – APSS2141

Once all transaction rejections have been accounted for, Fujitsu MSU will prepare the daily End-to-End APS reconciliation report and forward this to POL Finance. This reconciliation is completed in accordance with the following rules:

|  | No                             | Value                                  | No                                     | Value |
|--|--------------------------------|--|--|-------|
| <b>Section 1: APS Harvested / TPS Harvested</b>                                |                                |  |  |       |
| 1. Transactions harvested by APS   | From APSS2133                  |  |  |       |
| 2. Transactions harvested by TPS   |                                |  | From APSS2133                          |       |
| 3. APS transactions not harvested by TPS harvester (*)                         |                                |  | Line 1 – Line 2                        |       |
| 4. APS transactions not harvested by APS harvester (*)                         | Line 2 – Line 1                |  |  |       |
| 5. APS transactions harvested by TPS today but harvested by APS on: dd/mm/yyyy |                                | Previous days report(s) Line 3 entries |  |       |
| 6. APS transactions harvested by APS today but harvested by TPS on: dd/mm/yyyy |                                |  | Previous days report(s) Line 4 entries |       |
| 7. TOTAL   | No                             | Value                                  | No                                     | Value |
| 8. Difference  |                                |  |  |       |
| <b>Section 2: POLFS Processed / TPS Harvested</b>                              |                                |  |  |       |
| 9. Transactions harvested by TPS   |                                |  | From APSS2133                          |       |
| 10. POLFS rejections received today  | Calculated by Fujitsu Services |  |  |       |
| 11. POLFS rejections returned today  |                                |  | Calculated by Fujitsu Services         |       |
| 12. Transactions processed by POLFS  | Calculated by POLFS            |  |  |       |
| 13. Transactions disregarded by POLFS (*)                                      | Calculated by Fujitsu Services |  |  |       |
| 14. Transactions processed by POLFS with incorrect accounting sense (*)        | Calculated by Fujitsu Services |  |  |       |
| 15. Transactions processed by POLFS delivered on: dd/mm/yyyy                   |                                |  | Calculated by Fujitsu Services – POLFS |       |
| 16. TOTAL  | No                             | Value                                  | No                                     | Value |
| 17. Difference   |                                |  |  |       |
| <b>Section 3: APS Harvested / APS Processed</b>                                |                                |  |  |       |
| 18. B/Fwd: Delayed transactions not processed                                  | From APSS2133                  |  |  |       |
| 19. Transactions harvested by APS  | From APSS2133                  |  |  |       |
| 20. Transactions delivered to HAPS (S/b NIL)                                   |                                |  | From APSS2133                          |       |
| 21. Transactions delivered to Clients  |                                |  | From APSS2133                          |       |
| 22. Delayed transactions delivered to manual                                   |                                |  | From APSS2133                          |       |
| 23. C/Fwd: Delayed transactions not processed                                  |                                |  | From APSS2133                          |       |
| 24. TOTAL  | No                             | Value                                  | No                                     | Value |
| 25. Difference   |                                |  |  |       |

Note:

(\*) Entries on these lines will generate a BIM report.

## 4.1.2 End-to-End APS Reconciliation Summary

In addition to the End-to-End APS reconciliation report, Fujitsu MSU will provide an ongoing daily summary showing the reconciliation status for each day, i.e. whether or not the day reconciles in respect of POLFS processing.

| Date     | Difference in Transaction Count | Difference in Transaction Value | Reconciliation State<br>Y/ N | Explanation of Difference |
|----------|---------------------------------|---------------------------------|------------------------------|---------------------------|
| 01/02/01 | 0                               | £0.00                           | Y                            | N/A                       |
| 02/02/01 | 50                              | £500.00                         | N                            | Transactions not rejected |

## 4.1.3 Data Delivery Timescale & Mechanism

In order to reconcile the TPS harvested transactions to those transactions processed by POLFS, POL Finance will provide the volume and value of transactions processed for each day. This figure will relate to those transactions received and processed and will ignore any specific transaction dates. If the POL Finance derived figures are unavailable within the timescale defined below, Fujitsu MSU will delay the completion of APS2141 until the final POLFS processed figures are available.

To complete the End-to-End APS reconciliation, it is important that data is received and input into the spreadsheet in accordance with the following timescales:

| Deliverable   | Timescale              | Responsibility   |
|---|------------------------|------------------|
| APS system derived reports (base data)                            | Harvesting day + ONE   | Fujitsu Services |
| POLFS Processed figure for APS transactions                       | Harvesting day + THREE | POL Finance      |
| APS content of POLFS rejected files                               | Harvesting day + THREE | Fujitsu Services |
| APS content of resent rejections                                  | Harvesting day + THREE | Fujitsu Services |
| End-to-End APS reconciliation report available to Post Office Ltd | Harvesting day + FOUR  | Fujitsu Services |

In the event that reconciliation cannot be achieved by close of business on harvesting day + 4, the appropriate misbalance will be shown as a difference at line 19 of APS2141

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#### 4.1.3.1 Delivery Mechanism

Information flows between Fujitsu MSU and POL Finance will conform to the following:

- POLFS processing information will be delivered to Fujitsu Services via e-mail
- The End-to-End APS Reconciliation report and the End-to-End APS reconciliation summary will be delivered to POL Finance via Fujitsu corporate email. If this is not available a floppy disk will be hand delivered POL OBCRDST members located on the 7<sup>th</sup> floor of the Fujitsu building at Bracknell.

## 5.0 Reconciliation & Incident Handling

### 5.1 Incident Classification

#### 5.1.1 APS 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.*

An APS Business Incident relates to one or more of the errors reported within the APS Report Set, the End-to-End APS reconciliation (section 4.0) or one or more of the reconciliation or settlement errors raised in accordance with this document by POLPBA. Refer to section 5.4 for a list of those APS Business Incident categories currently known and for which appropriate APS Business Incident reporting processes are set out in this document.

#### 5.1.2 System Incidents

##### Relate to the underlying 'Cause'

System Incidents may be raised by Fujitsu MSU to cover file rejections, non-delivery of files, or failures in the delivery of the APS report set, where there is no associated APS Business Incident. In addition, following the creation of an APS Business Incident, Fujitsu MSU may raise an associated System Incident. System Incidents will be routed to the appropriate group within Fujitsu, for investigation and resolution.

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

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

It may transpire that a system incident is of such high impact that the Problem Management route will be followed, i.e. a formal problem will be raised.

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## 5.2 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 MSU for errors reported via the APS report set & End-to-End APS reconciliation
- POL Finance or POL OBCRDST 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 'surgery' 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 difficulties reported to the HSD will be elevated to APS Business Incident status.

## 5.3 Generation of Business Incidents

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

It is important that Post POL Finance or POL OBCRDST supply sufficient information to the HSD 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 HSD:

- A valid 'PATH' code must be quoted, e.g. '**PATH040**' etc.
- Prefix all narrative with '**THIS IS A BUSINESS INCIDENT FOR MSU**'
- The valid incident category (see section 5.4), if one is applicable, should be quoted together with any other relevant detail, e.g. product Id, etc.

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 HSD and the additional information sent via e-mail to Fujitsu MSU. (A current contact list will be made available to POL Finance).

## 5.4 APS Business Incidents

### 5.4.1 APS Reconciliation Report Errors

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Reconciliation errors within the APS reconciliation report set should be minimal and, if they do occur, will be applicable to:

- APS / TPS harvesters running out of sync
- Software errors causing transactions not be harvested
- Unidentified differences classed as 'Reconciliation Errors' within APSS2133.

Where such differences occur, a BIM report will be raised for each incident and referenced against the appropriate line within section 1 of APSS2141 (*if this report is still required*)

## 5.4.2 End-to-End APS Reconciliation Errors

Reconciliation errors may occur when reconciling the TPS harvested transactions against those transactions received and processed by POLFS.

If, after accounting for all rejected and resent transactions, section 2 of APSS2141 fails to provide a zero difference, the process of resolution should be as follows:

- Issue an initial BIM report for the difference requesting PO Finance verify the rejected, resent and processed figures supplied for the day in question.  
*NB: This may be difficult if the rejection rate is particularly high on a given day and where there is in excess of 10 affected transmission files, Fujitsu MSU and POL Finance will discuss how to resolve the difference.*
- If after verification, these figures prove to be correct, Fujitsu MSU will raise a System Incident to investigate any possible software errors or transaction discrepancies in the delivered total to POLFS
- If after verification, corrections are required to the report, version 2 of APS2141 will be issued by Fujitsu MSU.

## 5.4.3 Delayed Transactions

Where transactions have been harvested by the APS harvester and 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. 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 detail of the transaction is supplied via the BIM report / Manual Error Report (MER) route which is **NOT** chargeable. These transactions are highlighted within section 3 of the End-to-End APS reconciliation – APSS2141.

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## 5.5 Incident Reporting

### 5.5.1 BIM Reports / MER

BIMS has been designed to report the progress to resolution of an APS Business Incident to allow POL Finance to complete an accurate reconciliation (within POLFS) or settlement with their clients.

A BIM report will be issued for each APS Business Incident generated via the HSD. As part of that BIM report, Fujitsu MSU will issue a MER for each error associated with the relevant APS Business Incident where it is necessary to do so to advising POL Finance of the transaction detail required to enable reconciliation or settlement to take place.

BIM reports / MER are designed to notify POL Finance of the detail required to assist in the reconciliation or settlement process within POLFS. They communicate information concerning the resolution of the symptom of an underlying cause, not the cause itself. 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. Where a Problem incident is generated to eradicate the cause of a particular problem, and there is one or more associated APS Business Incidents, cross-references will be supplied on the APS Business Incident BIM report / MER to allow tracking of the System Incident.

MER which are raised for "lost" AP transactions which cannot be delivered to the AP Client will only be chargeable on the basis of the transaction face value if it can be proven that:

- the End Customer has settled for that transaction,
- Fujitsu cannot provide the transaction detail; and
- the Post Office Client confirms non receipt.

#### 5.5.1.1 Clearance Criteria

Fujitsu MSU anticipates that it will provide information concerning APS Business Incidents to POL Finance on a 'drip feed' basis, by issuing updated versions of the initial BIM report / MER.

A BIM report is 'Cleared' when Fujitsu MSU has provided the information required to be contained in the relevant BIM report.

Fujitsu MSU will advise Post Office Ltd Operations Control via spreadsheet on a monthly basis of any payments it considers are payable to Post Office Ltd (as compensation for cost incurred by Post Office Ltd in dealing with MER) and / or its

charges for dealing with widespread errors. For the avoidance of doubt, **NO** charges are payable in respect of MER issued for APS incidents affecting the Post Office Client transaction stream only.

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If Fujitsu and Post Office Ltd cannot come to a specific agreement on financial settlement in respect of costs incurred by Post Office Ltd, the specific incident(s) will then be escalated via a 'Case Law Referral' form, to the Commercial Forum for a final decision to be made.

#### 5.5.1.2 Report Distribution

Fujitsu MSU will distribute APS BIM reports / MER using the Fujitsu mail system.

BIM reports / MER distributed in accordance with this section will be deemed to have been issued to POL Finance, and / or POL Finance given notice of any errors described therein, at the time of transmission by mail.

An example of a BIM report / MER is shown in Appendix 1.

#### 5.5.2 Reporting Timescales

Fujitsu MSU will use reasonable endeavours to raise an initial BIM report (V1.0) relating to a new APS Business Incident within 24 hours of the notification of the incident. This will be made available in accordance with section 5.5.1.2, to POL Finance, on the same working day as the APS Business Incident is generated via the HSD, 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 MSU 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 made available in accordance with section 5.1 and is cleared within five working days from the date the APS Business Incident was generated via the HSD.

Where there is a need to correct APS / TPS Data Errors, (see *CS/PRO/111 TPS Reconciliation & Incident Management*, for a full description), Fujitsu will use reasonable endeavours to deliver the corrected data file to POLFS within five working days from the date the APS Business Incident was generated via the HSD. 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 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 (including the Problem Management escalation process) taking into account Post Office Ltd's

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

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agreement, usually after certain criteria are met such as a relevant fix has been developed and tested, or a correction to the relevant erroneous reference data has been authorised or approved for release through the appropriate agreed procedures between Fujitsu and Post Office Ltd.

### 5.5.3 Widespread Errors

Fujitsu will monitor 'trigger points', for example HSD calls and the APS report set, which can alert of any likely potential or actual 'widespread' errors which may occur. This is generally agreed to be the case where at least 100 outlets are affected with the same problem. In such a case, the incident type will be closely monitored by Fujitsu until volumes are such that the incident will then be raised as a problem and passed from Fujitsu into the Post Office Ltd Service Continuity Team (POLSCT). This is action will be taken when at least 1000 outlets are affected by the same incident type.

Should this scenario occur, Fujitsu Business Continuity Manager shall immediately notify Post Office Business Continuity Manager of the widespread error. Upon giving such notice the provisions of this document (other than this section) shall cease to apply to that particular widespread error. Instead, a recovery plan applicable to the specific nature of the error will be agreed by both parties.

### 5.5.4 Repairing Data

Data repair is not viable for Post Office Client stream transactions. Rejected transactions are not expected as neither have sophisticated file / transaction validation processes. Therefore the repair of Post Office Client transactions is not discussed within this document.

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## 6.0 Client File Delivery

### 6.1 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 for each Client – this document is not intended to describe each in detail.*

APS transactions are harvested from Post Office Ltd branches on a seven-day basis and all are available for onward transmission on each day to the 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 etc., per week basis. This has no impact upon the reconciliation between the actual Post Office Client transmission and the 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. It is important to note that the transactions actually delivered to Post Office Clients as recorded on the CTS will differ from the value shown on APSS2133 within the Delivery Sub Total (9). This figure represents the values harvested from the Post Office branches, which may, or may not yet have been delivered to Post Office Clients in accordance with their requirements.

### 6.2 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 POLFS or POLFS reject the file, POL Finance will need to use the APSS2133b to manually calculate settlement due. The CTS only reports normal transactions whereas the APSS2133b includes reversed / reversing transactions. Consequently POL Finance can only use the APSS2133b to calculate the value (not the volume) of the settlements due.

Settlement is time critical and Fujitsu MSU 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 MSU has elected to make all reconciliation reports available by 08.00hrs as stated in section 3.2, on a daily basis.

### **6.2.1 Clerical Reconciliation Example in the event of non delivery of CTS to Post Office**

When using the APSS2133b report to calculate settlements due, POL Finance will need to take account of the individual Post Office Clients file delivery pattern and settlement frequency, e.g. for Post Office Clients who have elected to take five day delivery – Monday to Friday the Monday delivery will include transactions harvested on the Friday / Saturday and Sunday. For Post Office Ltd Clients who have elected to take six day delivery – Monday to Saturday, the Monday delivery will include transactions harvested on the Saturday and Sunday.

## 7.0 BIM Report Example

**BIMS Reference: BE**

|                   |                   |                  |      |
|-------------------|-------------------|------------------|------|
| Service:          | Version:          | Last Updated:    |      |
| Service Sub Type: |                   |                  |      |
| Exception Type:   |                   |                  |      |
| Originator:       | Transaction Date: | BTS:             | FAD: |
| Status:           |                   | Exception Value: |      |

**Other References**

POL Reference:

**Transaction Liability**

Provisional:

Final:

**Settlement Details**Exception Settlement

HSD Reference:

Settled Amount:

Invoice Number:

Invoice Date:

Manual Error Report**Incident History**

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**