ICL Pathway **TPS Reconciliation & Incident Management**	Ref:CS/PRO/111
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Abstract: This document outlines the reconciliation and incident management procedures required to investigate, report and resolve TPS reconciliation and business incidents.

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0   Document Control

0.1   Document History

Version	Date	Reason
0.1	22/11/99	First draft for review.
0.2	03/12/99	Second issue for review following TIP workshop 01/12/99

0.2   Associated/ Documents

Reference	Version	Date	Title	Source

0.3   Abbreviations

APS	Automated Payment Service
BIMS	Business Incident Management System
CA	Cash Account
CAP	Cash Account Period
EPOSS	Electronic Point of Sale Service
HSH	Horizon System Help Desk
CS/MSU	Customer Service / Management Support Unit – (ICL Pathway)
OPS	Outlet Processing System
POCL	Post Office Counters Limited
RED	Reconciliation Exception Database
SIL	System Incident Log
SSC	System Support Centre
TIP	Transaction Information Processing
TPS	Transaction Processing Service

0.4   Standard Terms

0.5   Changes to this Version

Document re-titled and expanded to cover procedures discussed at the POCL TIP / ICL Pathway workshop held at POCL Chesterfield on 01/12/99

0.6   Changes Forecast

0.7   Approval authorities

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0.8   Table of content

1   Introduction

The TPS report set has been designed to enable the Electronic Point of Sale Service (EPOSS) system on the Outlet Processing System (OPS), to be reconciled with the transaction data which is returned to POCL Transaction Information Processing (TIP), and also to reconcile the daily transaction data with the Cash Account (CA) data at the end of the Cash Account Period (CAP). The reports also identify any exceptions, which occur with Counter transactions, or during the Harvesting process. In addition to exceptions highlighted within the EPOSS report set, exceptions may also be discovered by POCL for non reported errors or client enquiries.

2   Scope

This document sets out the reconciliation and incident management procedures to be adopted by the Management Support Unit (CS / MSU), for dealing with the Transaction Processing System (TPS) reconciliation report exceptions and POCL raised incidents.   This includes reconciling the data contained in the reports and raising Horizon System Help Desk (HSH) incidents and Business Incident Management System (BIMS) reports where necessary.

NB: 'BIMS' replaces the current Reconciliation Exception Database (RED) from January 2000 subject to agreement between ICL Pathway and POCL re. the content and format of the incident management reports. If further work is required and BIMS cannot be delivered by January 2000, it must be assumed, within this document that where references are made to BIMS reports, the existing RED reports will continue.

3   TPS Reconciliation Reports

ICL Pathway will generate five daily TPS exception reports:

1. Host Detected Transaction Control Errors

2. TPS Harvester Exceptions

3. Host Detected Cash Account Control Errors

4. Counter Deleted Reconciliation Errors

5. Counter Transaction Exceptions

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

All five reports will be routed to ICL Pathway Customer Service Management Support Unit (MSU), on a daily basis by 09.00hrs, 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, MSU will raise an 'A' priority system incident via the HSH.

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It is not intended that MSU will deliver any of the reports to POCL as a matter of course. An extract from a reconciliation report may however be delivered as 'evidence' as an attachment to the BIMS report if it is considered that this would aid in the reconciliation process.

4   Reconciliation and Incident Handling

4.1   Incident Classification

4.1.1   Business Incidents

Resolve the 'Symptom' of an underlying cause

All exceptions highlighted within the EPOSS report set, and all reconciliation or settlement issues highlighted by POCL TIP or TP are classified as 'Business Incidents'. The incident classification determines the resolution detail required to bring the incident to a satisfactory conclusion. In the case of Business Incidents, MSU will ensure sufficient data is supplied to POCL to:

- enable a complete and accurate reconciliation to occur within the POCL central systems

Or;

- enable a complete and accurate settlement to take place between POCL and their client(s).

4.1.2   System Incidents

Resolve the underlying 'Cause'

System incidents can be raised initially to cover file rejections or non delivery, where there is no associated Business Incident. However, following the creation of a Business Incident, it may be deemed necessary to raise an associated 'System Incident'. This can be routed to the appropriate area within ICL Pathway, i.e. Development or Reference Date, if it is felt that there is a fault within the Horizon System software or reference data that requires attention.

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

- one to one

Or;

- one to many

4.2   Incident Originators

It is envisaged that 'Business' incidents will only be generated by the following areas within ICL Pathway and POCL:

- CS / MSU for exceptions reported via the EPOSS report set and the Non Polled outlets report

- POCL TIP / TP for any other reconciliation or settlement issue that has not been reported by ICL Pathway.

It is not expected at this point that Outlet calls to the HSH will generate 'Business' incidents. However calls from Outlets will be monitored and if it is felt there is a need to route any incident to CS / MSU for action the procedure can be easily adapted to cater for this occurrence

4.3   Generation of Business Incidents.

In line with the generic incident management policy agreed between ICL Pathway and POCL, cross-domain incidents will only be recognised if routed via the HSH. This is the only way into BIMS and therefore the only way to ensure that corrective information can be supplied and any underlying system fault can be rectified.

It is important that enough information is supplied to the HSH when raising an incident to ensure that the incident is routed to the correct area within ICL Pathway and therefore guarantee a speedy resolution. The following information must **ALWAYS** be quoted when raising an incident via the HSH:

A valid 'PATH' code must be quoted, e.g. **'PATH040'** etc.

Prefix all narrative with **'THIS IS A BUSINESS INCIDENT FOR MSU'**

Where ever possible, always quote a valid incident type (from the Business Incident Matrix, see below) together with any other relevant detail, e.g. product id, CA lines etc.

4.4   Business Incident Matrix

The following table identifies Business incident classes provisionally agreed between ICL Pathway and POCL at the joint workshop held on 02/11/99 for EPOSS / TPS related exceptions. It is an initial attempt to identify as many of the incident classes as possible but is not meant to be exhaustive as new incident classes can be added at any time according to requirements.

Incident Class	Reported	Incident Raised By
Outlet paper CA does not agree with electronic CA	Y	CS / MSU
Signed re-printed paper CA does not agree with electronic CA	Y	CS / MSU
Transaction has null mode	Y	CS / MSU
Transaction posts to a null product	Y	CS / MSU
Transaction has no primary mapping	Y	CS / MSU
Transaction mode for new reversal – should be SC	Y	CS / MSU
Transaction start date is null	Y	CS / MSU
Transaction end date is null	Y	CS / MSU

Transaction for an unknown mode as per mode parameters	Y	CS / MSU
Transaction product has no CA mapping object	Y	CS / MSU
Incident Class	**Reported**	**Incident Raised By**
CA node does not exist for CA mapping node specified	Y	CS / MSU
Double negative in quantity field	Y	CS / MSU
Double negative in sale value field	Y	CS / MSU
Missing EPOSS transaction	Y	CS / MSU
Non polled office	Y	CS / MSU
Transaction reversed with incorrect details	N	POCL TIP / TP
Invalid reference data	N	POCL TIP / TP
Customer / Client enquiry	N	POCL TIP / TP
Receipts and Payments do not balance (migration)	Will not be specifically reported, however the underlying reconciliation errors causing the misbalance will be reported.	
Receipts and Payments do not balance (post migration)		
Transaction cannot be reversed following End of Day	N	POCL TIP / TP

4.5   Incident Reporting

4.5.1   BIMS reports

BIMS has been designed to report the progress to resolution of a 'Business' incident to allow POCL to complete an accurate reconciliation or settlement with their clients. For ease of identification and associating with the corresponding HSH call, BIMS report references will mimic the HSH reference however they will be prefixed with a letter 'B', e.g. HSH ref: E9912120011 = BIMS ref: BE9912120011.

A BIMS report will be issued for each individual exception raised via the HSH to generate a 'Business' incident. However it has been agreed between ICL Pathway and POCL that in certain circumstances, the reconciliation and settlement detail will not be supplied via the BIMS route, as POCL would wish to see corrected transaction detail supplied electronically across the ICL Pathway / TIP interface – the '50+' ruling. In this case, a BIMS report would merely advise the file details in which the corrected transactions have been supplied. The rules and assumptions used for the generation of electronic data are described in section 4.6.2   'Correction File Required'

BIMS reports are only designed to advise any detail required to assist in this reconciliation or settlement process within POCL. They communicate only the resolution of the 'Symptom' of any underlying cause.

BIMS reports 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 'System Incident Log', (SIL). Where an associated 'System' incident is raised to eradicate the cause of a particular problem, leading to one or a series of 'Business' incidents, cross references will be supplied on the 'Business' incident BIMS report to allow tracking of the 'System' incident.

4.5.2 System Incident Log

The SIL is intended to track the progress to resolution of a 'System' incident raised to eradicate an underlying system fault. In practice, one system fault could lead to a number of 'Symptoms' generating 'Business' incidents. The SIL has been developed to remove the need to annotate each BIMS report associated with a particular system fault, with the detail required to ensure POCL are fully advised as to the nature of this fault and how it is to be rectified.

An example of a completed SIL is shown in Appendix 1

4.5.3   Reporting Timescales

An initial BIMS report will be issued by CS / MSU on the same working day as the incident is raised via the HSH. This initial report may or may not have all the detail required to enable POCL to reconcile or settle with their client(s), however it will be followed up by subsequent versions as more information is acquired by CS / MSU.

The final BIMS report advising full reconciliation and settlement information must be completed within five working days from the date the 'Business' incident was raised via the HSH.

Where a correction file is required, this must also be delivered to TIP within five working days from the date the 'Business' incident was raised via the HSH.

There is no strict timescale for the resolution of an associated 'System' incident as the time taken to develop a fix or correct erroneous reference data cannot be determined. Obviously however, ICL Pathway will give every incident the priority it deserves in conjunction with POCL's requirement. The SIL, advising the current status of this 'System' incident will be delivered to POCL TIP / TP at the end of each week. POCL may telephone CS / MSU at any time to receive an update as to the status of any incident documented on the SIL.

4.6   Incident Management Procedures

The following flowcharts have been prepared to describe the processes required to bring each 'Business' and 'System' incident to a successful conclusion within ICL Pathway and POCL.

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4.6.1   MSU Raised Business Incident – No Correction File Required

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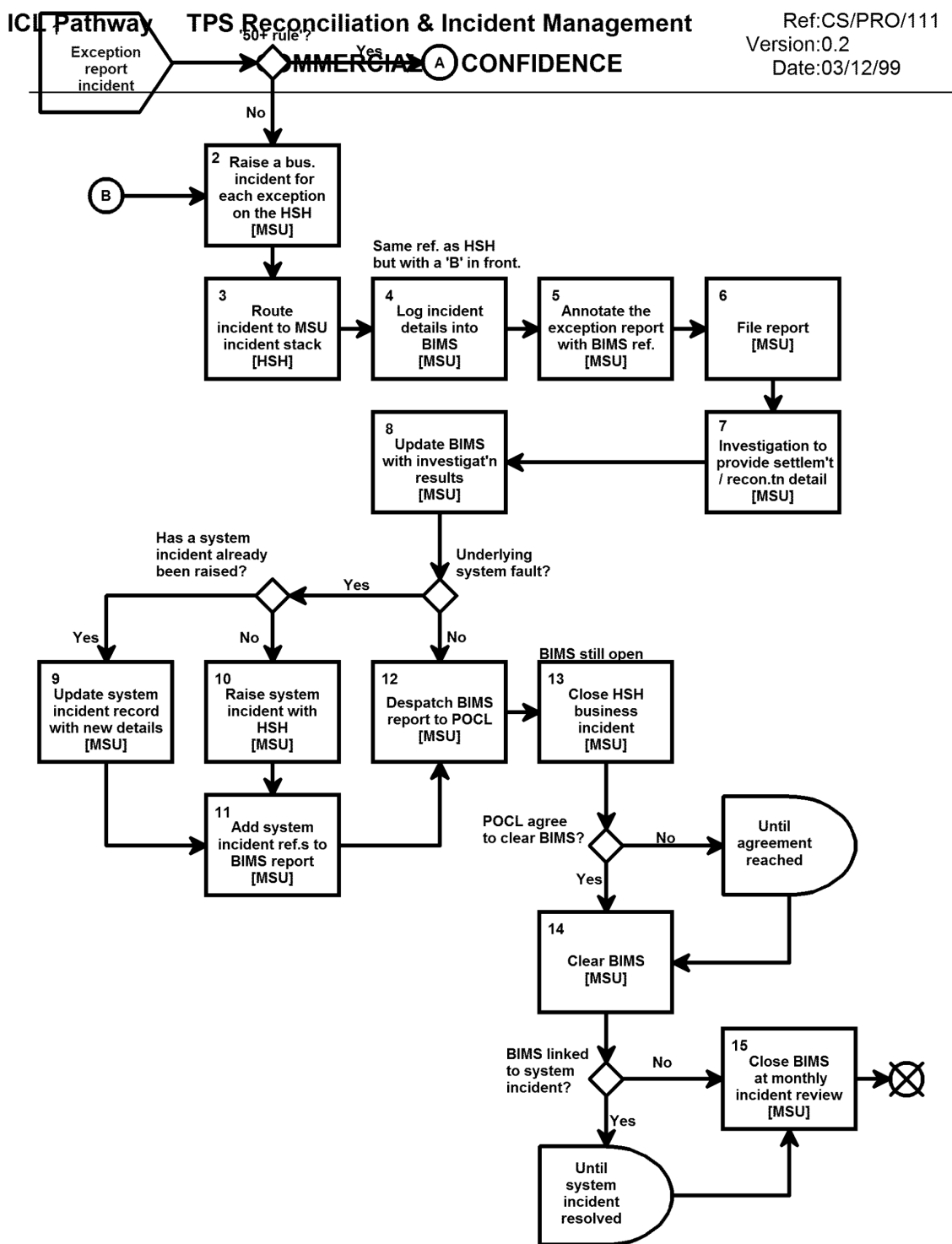
4.6.2   MSU Raised Business Incident – Correction File Required

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Do POCL want a correction file?

A → ◇ — Yes → **16** Raise one bus. incident on the HSH [MSU] → **17** Route incident to MSU incident stack [HSH] → **18** Log incident details into BIMS [MSU]

No → B

18 → **19** Annotate exception report with BIMS ref. [MSU]

19 → **20** File report [MSU]

Has a system incident already been raised? ◇

◇ — Yes → **26** Update system incident record with new details [MSU]

◇ — No → **27** Raise system incident with HSH [MSU]

20 → **21** Forward Bus. Incident to SSC with instructions to create a correction file & send to TIP [MSU]

21 → **22** Create correction file and send to TIP [SSC] → **23** Update incident with correction file details [SSC]

23 → **24** Return incident to MSU [SSC]

24 → **25** Update BIMS with correction file details [MSU]

26 → **28** Add system incident ref.s to BIMS report [MSU]

27 → **28**

28 → **29** Despatch BIMS report to POCL [MSU]

25 → **29**

29 → **30** Close HSH business incident [MSU]

POCL agree to clear BIMS? ◇

30 → ◇ — No → Until agreement reached → **31** Clear BIMS [MSU]

◇ — Yes → **31** Clear BIMS [MSU]

31 → Until system incident resolved → **32** Close BIMS at monthly incident review [MSU] → ⊗

Rules and Assumptions

1. Where there are >=50 exceptions of the same type highlighted on one exception report, MSU will request a decision from POCL as to whether they require the corrected transactions to be forwarded electronically to TIP. If this is the prefered option, one 'Business' incident will be raised to cover all applicable exceptions which will generate one BIMS report.

2. Where there is an accumulation of 50 or more exceptions of the same type within a single CAP, designated Thursday to the following

Wednesday, MSU will request a decision from POCL as to whether they required the corrected transactions to be forwarded electronically to TIP. If this is the preferred option, one new 'Business' incident will be raised to cover all applicable exceptions, which will generate a new BIMS report. Any existing BIMS reports raised throughout the period for the individual exceptions, which have now accumulated to 50+ will be cleared and then closed at the following monthly reconciliation review.

4.6.3   POCL TIP Raised Business Incident

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[33] TIP/HAPS business incident  →  [34] Raise business incident on the HSH [TIP/OSG]  →  [35] Route incident to MSU incident stack [HSH]
```

◇ new incident? → No → [36] Attach details to existing incident [MSU] → [37] Update BIMS report and send to POCL [MSU]

Yes ↓

◇ Should it have been seen by ICL Pathway? — No → [41] Log incident details into BIMS [MSU]

Yes ↓

[40] Investigate & ensure incident is picked up in future [MSU]

[38] Seek closure of duplicate incident from POCL [MSU] ↓ [39] Close duplicate incident on POCL's behalf [MSU] → ⊗

[41] → [42] Investigation to provide settlement or recon.tn detail [MSU] → [43] Update BIMS with investigat'n results [MSU]

Has a system incident already been raised?

[44] Update system incident record with new details [MSU] ← Yes ◇ ← Yes ◇ **Underlying system fault?** → No → [47] Despatch BIMS report to POCL [MSU]

No ↓ (from Has a system incident diamond)

[45] Raise system incident with HSH [MSU] → [46] Add system incident ref.s to BIMS report [MSU]

POCL agree to clear BIMS? ◇ — No → (Until agreement reached)

Yes ↓

[48] Clear BIMS [MSU] → [49] Close HSH business incident [MSU]

BIMS linked to system incident? ◇ — Yes → (Until system incident resolved)

No ↓

[50] Close BIMS at monthly incident review [MSU] → ⊗

4.6.4   MSU Raised Non Polled Outlet Incident

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Flowchart swim-lane headers: ICL Pathway | TPS | [...]ion CIA | [...]an ER

Matrix Categories

- 51 ICL Pathway — Non-polled outlet
- 52 Raise a system incident on the HSH [MSU]
- 53 Route incident through to 3rd line support [HSH]
- 54 Investigate why non-polling occurred [3rd line]
- 58 Log incident details into BIMS [MSU]
- 55 Update incident with results of investigation [3rd line] ← Info.
- 59 Despatch BIMS report to POCL [MSU]
- 56 Ensure corrective action is taken [3rd line]
- Until office disappears from non-polled report
- 57 Send incident back to the MSU [3rd line]
- 60 Close HSH incident [MSU]
- 61 Clear BIMS [MSU]
- 62 Close BIMS at monthly incident review [MSU]

- **THIS IS THE ONLY TIME A BIMS REPORT IS ISSUED FOR A SYSTEM INCIDENT**

4.7 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.

Problems will be raised according to the following criteria:

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- Where there is a trend of similar 'Business' incidents where there is no identifiable cause

- Where a 'System' incident has been raised to resolve a system problem

Problem management expands the scope of the 'System' incident process to include any wider issues, which are necessary to rectify the issue. Whilst the 'System' incident is used within ICL Pathway to ensure the relevant code, fix etc is developed, tested and delivered to the live estate, the Problem will cover the specific requirements of POCL re. Counter updates, briefings etc. and in many cases the authority to proceed with a relevant fix.

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Appendix 1: 'System Incident Log'

System Incident References			Associated Business Incident		Resolution Detail			
Date Raised	HSH Ref	PinICL (1)	PinICL (2)	BIMS / HSH Ref	TIP Ref	Cause / Rectification of Error	Fix Detail	Problem Mgt Ref	Closure Date
03/11/99	E9911030813	32733	N/A	BE9911020258	999	Narrative text	WP1234 29/11	34567	03/12/99
03/11/99	E9911030845	32675	32688	BE9911020259	N/A	Narrative text		34666	

Description of Fields

System Incident Referencese

- Date Raised: The date the 'System' incident was raised by CS / MSU

- HSH Ref: The 'System' incident HSH reference

- PinICL (1): The initial 'System' incident PinICL

- PinICL (2): Any subsequent 'System' incident PinICL's raised for the same 'Business' incident

Associated Business Incident

- BIMS / HSH ref: The HSH and BIMS references which are identical but for the 'B' prefixing the BIMS reference

- TIP Ref: Any TIP reference quoted against a TIP / TP raised 'Business' incident

Resolution Details

- Cause Rectification of Error: A non technical description of the fault and the solution to rectify

- Fix Detail: The Work Package (WP) detail and associated dates of any fix delivered to the estate

- Problem Mgt Ref: The associated Problem Management Database reference

- Closure Date: The date the 'System' incident was closed following successful delivery of fix detail or reference data changes.