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*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

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

**Document Type:** Procedure

**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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## 0.0 Document Control

### 0.1 Document History

Version No.	Date	Reason for Issue	Associated CP/PinICL No.
0.1	22/11/99	First draft for review.	
0.2	03/12/99	Second issue for review following TIP workshop 01/12/99	
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### 0.2 Approval Authorities

Name	Position	Signature	Date
John Pope	Pathway Customer Requirements		
Keith Baines	PO Ltd		

*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

COMMERCIAL IN CONFIDENCE

Version: 2.0  
Date: 30/04/02*0.3 Associated Documents*

Reference	Version	Date	Title	Source
TI/IFS/001	5.7	July 1999	Pathway – TIP Application Interface Specification	Joint Pathway / PO Ltd

*0.4 Abbreviations*

Abbreviation	Explanation
APS	Automated Payment Service
BIMS	Business Incident Management System - (Pathway)
CA	Cash Account
CAP	Cash Account Period
CS/MSU	Customer Service / Management Support Unit – (Pathway)
EPOSS	Electronic Point of Sale Service
HSH	Horizon System Help Desk
MER	Manual Error Report
PO Ltd	Post Office Limited
PO Ltd TIP	Transaction Information Processing
PO Ltd TP	Transaction Processing
SIL	System Incident Log
SSC	System Support Centre
TPS	Transaction Processing Service

*0.5 Definitions*

Term	Explanation
TPS Report Set	The six exception reports and one Non Polled Outlet report described in section 3
Business Incident	Where this term is used within this document it is meant as described in section 4.1.1
System Incident	Where this term is used within this document it is meant as described in section 4.1.2
Data Error	Where this term is used within this document it is meant as described within the 'CA Sch. Go1 para 3.6.1.1

Fujitsu  
Services

*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

Version: 2.0

Date: 30/04/02

COMMERCIAL IN CONFIDENCE

Not Data Error	Where this term is used within this document it is meant as described within CA Sch. G01 para 3.6.1.1
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*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

COMMERCIAL IN CONFIDENCE

Version: 2.0

Date: 30/04/02

Cash Account Period or CAP	Where this term is used within this document it refers to each period (normally of seven days ending at 20.00hrs on a Wednesday), to which PO Ltd shall have allocated, or shall subsequently allocate, a Cash Account Period Number and of which it shall have informed, or shall inform, the Contractor through the Operational Business Change Process.  (Taken from the 'CA Sch. Go1 para 3.6.1.1 & 3.6.1.3)
'CA Sch. Go1 para.....'	Refers to the Codified Agreement, dated 28 <sup>th</sup> July 1999 Schedule Go1, as amended by Schedule 5 of the Third Supplemental Agreement (dated 19 <sup>th</sup> January 2000) and the appropriate paragraph number to which the text within this document refers.
Cash Account or CA	The electronic Cash Account committed at the outlet
Data Error Counting Period	A Data Error Counting Period means:  Each Cash Account Period which is of a duration of seven days or less and  In respect of Cash Account Periods of greater than seven days duration each proportion of any such Cash Account Period derived by dividing such Cash Account Period into two or more Data Error Counting Periods such that the first such Data Error Counting Period is between one and seven days duration and each subsequent Data Error Counting Period during that Cash Account Period is exactly seven days in duration. (CA Sch. Go1 para 3.6.1.1)
BIMS Report	The reports described in section 4.5.1.1
In addition to the words and expressions identified above as being defined in CA Sch. Go1 para 3.6, all other words and expressions defined in CA Sch. Go1 para 3.6 shall bear the same meanings when used in this document.	

*0.6 Changes in this Version*

Version	Changes
2.0	Non other than re-branding to Fujitsu Services and PO Ltd standard

Fujitsu  
Services

*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

COMMERCIAL IN CONFIDENCE

Version: 2.0  
Date: 30/04/02

---

*0.7 Changes Expected*

Changes

## *0.8 Table of Contents*

<b>1</b>	<b>1</b>	<b>INTRODUCTION .....</b>	<b>7</b>
<b>2</b>	<b>2</b>	<b>SCOPE .....</b>	<b>7</b>
<b>3</b>	<b>3</b>	<b>TPS RECONCILIATION REPORTS.....</b>	<b>8</b>
<b>4</b>	<b>4</b>	<b>RECONCILIATION AND INCIDENT HANDLING .....</b>	<b>9</b>
<b>4.1</b>	<b>4.1</b>	<b>Incident Classification.....</b>	<b>9</b>
	4.1.1	Business Incidents .....	9
	4.1.2	System Incidents.....	9
<b>4.2</b>	<b>4.2</b>	<b>Incident Originators.....</b>	<b>10</b>
<b>4.3</b>	<b>4.3</b>	<b>Generation of Business Incidents .....</b>	<b>10</b>
<b>4.4</b>	<b>4.4</b>	<b>Business Incident Categories .....</b>	<b>11</b>
	4.4.1	Data Errors & Not Data Errors.....	11
	4.4.2	Business Incident Matrix .....	13
<b>4.5</b>	<b>4.5</b>	<b>Incident Reporting .....</b>	<b>13</b>
	4.5.1	BIMS Reports / MER.....	13
	4.5.2	System Incident Log.....	15
	4.5.3	Reporting Timescales .....	16
	4.5.4	Widespread Errors.....	17
	4.5.5	Repairing Data.....	18
<b>4.6</b>	<b>4.6</b>	<b>Incident Management Process.....</b>	<b>19</b>
	4.6.1	MSU Raised Business Incident - BIMS / MER Issued – (Records not repaired).....	20
	4.6.2	MSU Raised Business Incident - BIMS / MER Issued (Repaired Records) .....	21
	4.6.3	PO Ltd TIP Raised Business Incident - BIMS / MER Issued.....	22
	4.6.4	System Incident with Business Implications - BIMS / MER Issued – (Repaired / Not repaired records).....	23
<b>4.7</b>	<b>4.7</b>	<b>Links to Problem Management .....</b>	<b>24</b>
<b>4.8</b>	<b>4.8</b>	<b>Appendix 1: ‘System Incident Log’ .....</b>	<b>25</b>
<b>4.9</b>	<b>4.9</b>	<b>Appendix 2: Business Rules for Data Errors &amp; Not Data Errors .....</b>	<b>26</b>
<b>4.9</b>	<b>4.9</b>	<b>Appendix 3: BIMS Report / MER Format.....</b>	<b>30</b>



## 1 Introduction

The TPS Report Set has been designed to enable the transactions carried out in outlets using the Electronic Point of Sale Service (EPOSS), to be reconciled with the transaction data which is transmitted to PO Ltd 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 TPS Report Set identifies errors which occur within counter transactions or during the harvesting process. In addition to errors highlighted by Fujitsu Services, Pathway (Pathway) within the TPS Report Set, errors may also be discovered by PO Ltd when reconciling data within its central systems or which relate to enquiries from PO Ltd clients. To initiate the BIMS procedure, Pathway and PO Ltd generate Business Incidents for one or more errors discovered.

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

## 2 Scope

This document sets out the reconciliation and incident management procedures to be adopted by the Pathway Management Support Unit (MSU), for dealing with Business Incidents relating to the TPS Report Set errors and PO Ltd generated Business Incidents. This includes reconciling the data contained in the TPS Report Set and raising Horizon System Help Desk (HSH) Business Incidents, Business Incident Management System (BIMS) Reports and Manual Error Reports (MER) where necessary.

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### 3 TPS Reconciliation Reports

Pathway currently generate six daily TPS exception reports (from the host and counter reconciliation software), and one Non Polled Outlet report from the host, which are described briefly below for information purposes:

1. Host Detected Transaction Control Errors:

Shows detail for any outlet where the control totals for the transactions output by the host to PO Ltd TIP do not match the daily transaction totals calculated by the counters.

2. TPS Harvester Errors:

Lists error conditions detected by the Harvester when failing to process one of the messages in the message store

3. Host Detected Cash Account Control Errors:

Shows detail for any outlet where the control totals for the number of entries on the Cash Account output by the host to PO Ltd TIP do not match the control totals calculated by the counters

4. Counter Detected Reconciliation Errors:

Shows details for any outlets where the accumulated daily transaction control totals for the Cash Account Period do not match the totals on the Cash Account produced by the counters.

5. Counter Transaction Errors:

Lists error conditions detected by the counter when failing to process one of the messages in the message store.

6. Receipts not Equal to Payments:

Identifies where the Cash Account 'Payment' table total does not equal the Cash Account 'Receipts' table total.

7. Non Polled Outlets:

Identifies all outlets, which have not been polled and have therefore not transmitted any transactions to PO Ltd TIP.

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

All seven reports will be routed to 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, in the

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sense that the reporting process in itself has failed, MSU will raise a System Incident via the HSH.

It is not intended that MSU will deliver any of the TPS Report Set to PO Ltd as a matter of course, other than the Non Polled Outlet report. An extract from the TPS Report Set may however be delivered as 'evidence' as an attachment to the BIMS Report / MER if it is considered by Pathway that this would aid the reconciliation or settlement process within PO Ltd

## 4 Reconciliation and Incident Handling

### 4.1 Incident Classification

#### 4.1.1 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 PO 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 PO Ltd TIP or TP. Each error is categorised as a Data Error or a Not Data Error in accordance with section 4.4.1.

Refer to the 'Business Incident Matrix' section 4.4.2 for a list of those Business Incident classes currently known and for which appropriate error reporting processes are set out in this document.

#### 4.1.2 System Incidents

*Relate to the underlying 'Cause'*

System Incidents may be raised by Pathway to cover file rejections, non-delivery of files, or failures in the delivery of the TPS Report Set, where an associated Business Incident has yet to be discovered. In doing so, the appropriate BIMS report will be generated advising PO Ltd to expect a Business Incident as detailed in the BIMS report. In addition, following the creation of a Business Incident, Pathway may raise an associated System Incident. System Incidents will be routed to the appropriate group within Pathway, for investigation and resolution.

Fujitsu  
Services

*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

Version: 2.0

Date: 30/04/02

COMMERCIAL IN CONFIDENCE

---

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

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

## *4.2 Incident Originators*

It is envisaged that Business Incidents will only be generated by the following groups within Pathway and PO Ltd:

- MSU for errors reported via the TPS Report Set
- PO Ltd TIP / TP for any other reconciliation or settlement error discovered by PO Ltd that has not been reported by Pathway
- Pathway SSC for any system fault or data 'surgery' which is considered by Pathway to have a reconciliation or settlement implication within PO Ltd.

Subject to agreement by the parties to the contrary, outlet calls to the HSH will not generate Business Incidents. However calls from outlets will be monitored and if it is considered necessary by Pathway, difficulties reported to the HSH, either directly or via the Network Business Support Centre (NBSC), will be elevated to Business Incident status.

## *4.3 Generation of Business Incidents*

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

It is important that PO Ltd TIP / TP supply sufficient information to the HSH 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 PO Ltd TIP / TP when generating a Business 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'
- The valid incident class (from the 'Business Incident Matrix', section 4.4.2), if one is applicable, should be quoted together with any other relevant detail, e.g. product Id, CA lines etc.

NB: Where PO Ltd TIP / TP raise a Business Incident which may require a large amount of supporting information, summary detail only may be given to the HSH and the additional information sent via e-mail to MSU. (A current contact list will be made available to PO Ltd).

## 4.4 Business Incident Categories

### 4.4.1 Data Errors & Not Data Errors

The action to be taken by Pathway in respect of an error which gives rise to a Business Incident, and whether or not Pathway has to pay a charge to PO Ltd in relation to such an error, depends, amongst other things, on whether the error is a Not Data Error or a Data Error, as defined in CA Sch. Go1 para 3.6.1.1. The following explanations are provided to assist ICL Pathway and PO Ltd when classifying errors and do not modify, in any way, CA Sch. Go1 para 3.6.

Having determined the classification of an error, the appropriate action to be taken by Pathway is summarised in Appendix 2.

If, following discovery of an error, there is insufficient information available to Pathway to determine whether that error is a Data Error or a Not Data Error, then for the purpose only of deciding the action to be taken in accordance with Appendix 2, the error shall be treated as a Data Error.

#### 4.4.1.1 Not Data Errors - categories

- A. The following errors, whether they are related to a transaction or a Cash Account are always **Not Data Errors**:
- (i) an error caused by invalid data input by users in outlets (except where the input of data puts a previously balanced Cash Account into a state of imbalance);
  - (ii) an error caused by the input of erroneous data by a user during migration of PO Ltd data to any outlet (i.e. during data migration), except where data migration tools provided by Pathway are supposed to detect such an error; the migration tool is properly used but the error is not detected;
  - (iii) an error caused by PO Ltd reference data, provided that Pathway has properly applied that reference data; and
  - (iv) an error which falls within a Business Incident classified in the table under section 4.4.2 as "F" or "G".
- B. Inaccurate Cash Account (Not Data Error)



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In addition to the above, an inaccurate Cash Account is a Not Data Error if the Cash Account was committed at the outlet, even though a warning was given to the outlet (in the form of “receipts not equal to payments” or such other warning as the parties may agree) that the inaccuracy existed, and either;

- (i) the inaccuracy was not caused primarily by:
  - (a) inaccurate Pathway reference data;
  - (b) Pathway incorrectly applying PO Ltd reference data; or
  - (c) an Pathway generated software error; or
- (ii) the inaccuracy was caused by one of the causes listed in (i), but it could have been corrected by a user in the outlet, if that user had applied a “work around” previously agreed by Pathway and PO Ltd to deal with such inaccuracies.

#### 4.4.1.2 Data Errors – Categories

##### Inaccurate Cash Account (Data Error)

An inaccurate Cash Account is known as an Inaccurate Cash Account (Data Error) and is treated as a Data Error unless it is a Not Data Error because:

- (i) the inaccuracy is defined as a Not Data Error by reason of section 4.4.1.1 (A); or
- (ii) the Cash Account is an Inaccurate Cash Account (Not Data Error) because of section 4.4.1.1 (B).

##### Cash Account Error

If the electronic Cash Account committed at the outlet is not the same as that which TMS presents at the TIP interface e.g. because the Cash Account has been corrupted in some way, this is known as a Cash Account Error. This is a Data Error unless the error which results in the Cash Account Error falls within section 4.4.1.1.(A) above.

##### Transaction Errors

An error in one or more data fields in the electronic record of a transaction, or a missing, duplicate or spurious additional transaction record is known as a

Fujitsu  
Services

*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

Version: 2.0

Date: 30/04/02

COMMERCIAL IN CONFIDENCE

---

Transaction Error. A Transaction Error is a Data Error, unless it falls within section 4.4.1.1(A) above.



#### *4.4.2 Business Incident Matrix*

The Business Incident Matrix identifies known classes of Business Incidents. This list is based on the list of incidents provisionally agreed between Pathway and PO Ltd at the joint workshop held on 02/11/99 for EPOSS / TPS related Business Incidents. The list also includes those additional Business Incident types documented within the 'CA Sch. Go1 Error Matrix, Annex 1'. As such the list is an initial attempt to identify all currently understood Business Incident classes but it may not be exhaustive. The current Business Incident Matrix is held within the BIMS database and an extract can be provided to PO Ltd at any time for audit and checking.

#### *4.5*

#### *4.5 Incident Reporting*

##### *4.5.1 BIMS Reports / MER*

BIMS has been designed to report the progress to resolution of a Business Incident to allow PO Ltd to complete an accurate reconciliation (within PO Ltd central systems) or settlement with their clients. For ease of identification and association 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.

##### *4.5.1.1 Format and Content of BIMS Report / MER*

A BIMS Report will be issued for each Business Incident generated via the HSH. As part of that BIMS report, Pathway will issue a MER for each error associated with the relevant Business Incident where it is necessary to do so to comply with CA Sch. Go1 para 3.6.

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

1. BIMS Report for a Not Data Error

This will be the standard BIMS report as shown in Appendix 3 without the 'Transaction Details' section completed. It will provide PO Ltd TIP / TP with a brief description of each error to the extent that each error can be identified.

2. BIMS Report for a repaired Data Error

*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/III

COMMERCIAL IN CONFIDENCE

Version: 2.0  
Date: 30/04/02

---

This will be the standard BIMS Report as shown in Appendix 3. However, the 'Transaction Details' section may be completed if considered necessary by Pathway. Full details of the repaired transaction 'File' will be documented providing an explanation of each correction made.

### 3. BIMS Report and MER

This will be the standard BIMS report as shown in Appendix 3. However, the 'Transaction Details' section will be completed as a MER to describe each Data Error associated with the Business Incident, and specifying in a format (suitable for PO Ltd TIP to key into a PO Ltd TIP data input facility):

- in the case of a Data Error resulting in an Inaccurate Cash Account (Data Error) or a Cash Account Error, each of the line items in the relevant Cash Account which need to be replaced in order to correct the Data Error in question; and
- in the case of a Data Error which is a Transaction Error, the relevant transaction record as it would have appeared but for the Data Error.

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

Appendix 2 describes in tabular form the different error criteria for Data Errors and Not Data Errors and the business rules surrounding the transmission of data from Pathway to PO Ltd and the production of MERs where necessary.

BIMS 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 System Incident Log, (SIL). Where a System Incident is generated to eradicate the cause of a particular problem, and there are one or more associated Business Incidents, cross-references will be supplied on the Business Incident BIMS Report / MER to allow tracking of the System Incident.

#### 4.5.1.2 Clearance / Closure Criteria & Charges Applicable to MERs

Pathway anticipates that it will provide information concerning Business Incidents to PO Ltd on a 'drip feed' basis, by issuing updated versions of the initial BIMS Report / MER.

A BIMS Report is 'Cleared' (for the purpose of determining whether the timescales as quoted within section 4.5.3 have been met), when Pathway has provided the information required to be contained in the relevant BIMS Report as set out in section 4.5.1.1. The BIMS Report is then closed following agreement between PO Ltd and Pathway at the monthly Incident Management Review. Such agreement is subject only to fulfilment of the following conditions:

1. If there is no associated System Incident, the BIMS Report is closed subject to the clearance criteria described above being met

*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

COMMERCIAL IN CONFIDENCE

Version: 2.0  
Date: 30/04/02

- 
2. If there is an associated System Incident, the BIMS Report is closed subject to the successful closure of the System Incident by Pathway.

PON will advise Pathway on a monthly basis via spreadsheet, (which cross refers to the appropriate details of the chargeable BIMS / MER reports), of any payments it considers are payable to PO Ltd (as compensation for PO Ltd's costs in dealing with MERs) and / or its charges for dealing with widespread errors. For the avoidance of doubt, if an error, treated as a Data Error due to a lack of information in accordance with section 4.4.1 is subsequently found to be a Not Data Error, then no payment will be made in respect of a MER which may have been issued in respect of that error. If the parties disagree whether the error is a Data Error or Not Data Error, this will be initially discussed at the monthly Incident Management Review and then escalated via a 'Case Law Referral' form, to the Contract Administration Board for a final decision to be made.

Full details of the charges applicable in respect of MERs are set out in Appendix 2.

#### **4.5.1.3 Notification of Anticipated Errors**

There may be certain instances where an error identified in 'Week 1' will have an equal and opposite error generated in 'Week 2'. For example, if there is a difference in the derived transaction total transmitted to PO Ltd TIP when compared to the actual totals populated to the Cash Account line, probably due to a stock unit rolling over more than one CAP, an equal and opposite error will occur the following week. In such cases only one BIMS Report and MER if appropriate, will be issued following the notification of the error within Week 1.

NB: This is not applicable to any error being carried forward into a subsequent CAP as a result of a 'Receipts & Payments' misbalance where a separate BIMS Report and MER will be issued for both the original and subsequent error.

#### **4.5.1.4 Report Distribution**

Pathway will distribute BIMS Reports / MER's and the Non Polled Outlet report within PO Ltd using the PO Ltd mail network accessed via 'Lotus Notes'. In the event that this facility is temporarily unavailable, reports will be distributed via the Pathway corporate mail system. In the event that both 'Lotus Notes' and the Pathway corporate mail system are unavailable, the Pathway Business Support Team leader will discuss with the PO Ltd 'Incident Manager, Transaction Processing' the appropriate means of information transfer.

BIMS Reports / MERs distributed in accordance with this section will be deemed to have been issued to PO Ltd, and / or PO Ltd given notice of any errors described therein, on confirmation of delivery by the 'Lotus Notes' system administrator at the time of transmission by mail.

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An example of a BIMS Report / MER is shown in Appendix 3.

#### *4.5.2 System Incident Log*

The SIL is intended to track the progress to resolution of a System Incident generated 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 / MER associated with a particular system fault, with the detail required to ensure PO Ltd are fully advised as to the nature of this fault and how and when it is to be rectified. This information will be contained in the SIL.

An example of a completed SIL is shown in Appendix 1.

#### *4.5.3 Reporting Timescales*

MSU will use reasonable endeavours to raise an initial BIMS Report (V1.0) relating to a new Business Incident. This will be made available in accordance with section 4.5.1.4, to the PO Ltd 'Incident Manager, Transaction Processing', on the same working day as the Business Incident is generated via the HSH, or in any event on the morning of the next working day. In the event of the TPS Report Set not being available to MSU in time to enable any errors to be notified within this timescale, MSU will contact the PO Ltd 'Incident Manager Transaction Processing' to agree a temporary extension to the timescale. This initial, incomplete, BIMS Report will serve to notify PO Ltd that a Business Incident has occurred and that the completed BIMS Report will be provided to PO Ltd within the agreed timescales.

Pathway will use reasonable endeavours to ensure the final completed BIMS Report / MER, is made available in accordance with section 4.5.1.4 and is cleared within five working days from the date the Business Incident was generated via the HSH.

Where there is a need to correct Data Errors (see appendix 2), Pathway will use reasonable endeavours to deliver the corrected data file to PO Ltd TIP within five working days from the date the Business Incident was generated via the HSH. 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.

If the BIMS Report / MER is not cleared (in accordance with section 4.5.1.2) or Pathway think it is unlikely to be cleared within five working days, Pathway shall immediately notify PO Ltd's Incident Manager Transaction Processing and shall procure that Pathway's Management Support Unit Manager (or in his absence, his deputy) is made available to meet with PO Ltd's Incident Manager Transaction Processing, (or his delegate), to discuss the delay within two working days of such notification.



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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, ICL Pathway will give every System Incident the priority it deserves taking into account PO 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. A System Incident will be closed by Pathway once the relevant fix has been developed and tested and delivered, or a correction to the relevant erroneous reference data has been authorised or approved for release through the appropriate agreed procedures between Pathway and PO Ltd. The SIL, advising the current status of System Incidents will be delivered to PO Ltd TIP / TP at the end of each week. PO Ltd may telephone MSU at any time to receive an update as to the status of any System Incident documented on the SIL.

#### 4.5.4 Widespread Errors

'Widespread Errors' are those Data Errors or Not Data Errors affecting Cash Accounts in a Cash Account Period at more than 100 outlets. *This section, 4.5.4, defines the notification procedures referred to in paragraph 3.6.4.1 (a) of the CA Schedule Go1 and actions to be taken by the Contractor in relation to Widespread Errors referred to in paragraph 3.6.4.1 (b) or CA Schedule Go1.*

Pathway will monitor 'trigger points', for example HSH calls and the TPS Report Set, which can alert of any likely potential or actual 'Widespread Errors'. If Widespread Errors are discovered through this monitoring, the Pathway Business Continuity Manager (or other senior representative of Pathway) will immediately notify the PO Ltd Business Continuity Manager (or, if unavailable, another senior representative of PO Ltd) that Widespread Errors have been discovered and of the action the ICL Pathway has taken or proposes should be taken in accordance with this section 4.5.4. Upon giving such notice the provisions of this document (other than this section 4.5.4) shall cease to apply in respect of those Widespread Errors.

Pathway will deal with Widespread Errors in the following manner:

- In respect of those Outlets which have not irrevocably committed electronic Cash Accounts which may be affected by Widespread Errors Pathway will notify those Outlets directly by telephone that they should not attempt to irrevocably commit Cash Accounts until further notice from Pathway
- If the Widespread Errors have resulted in electronic Cash Accounts irrevocably committed in Outlets not being transmitted to PO Ltd / TIP, Pathway will notify PO Ltd / TP of all such missing electronic Cash Accounts.

*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

COMMERCIAL IN CONFIDENCE

Version: 2.0

Date: 30/04/02

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- Pathway will use all reasonable endeavours to ensure that all electronic Cash Accounts not transmitted to PO Ltd / TIP as a result of Widespread Errors will subsequently be transmitted to PO Ltd / TIP, without correction and still containing any Widespread Errors contained within them in order that they will agree with the signed paper Cash Account produced in the outlet.
  - Where Widespread Errors have resulted in a reconciliation error within the Cash Account Pathway will not correct any electronic Cash Account records if this correction would result in an electronic Cash Account being received by PO Ltd / TIP which differs from the signed paper Cash Account produced in the outlet
  - In addition to the above, Pathway agrees that it will provide all reasonable assistance to PO Ltd and will co-operate with PO Ltd with the aim of resolving or mitigating to both parties satisfaction the effect of Widespread errors discovered. In so doing, the parties may agree reasonable alternative or additional action by Pathway (to that set out above) which is appropriate for the type or Widespread Errors discovered and the number of Outlet Cash Accounts affected by them. Such action might include, for example: the calculation of corrective factors which if applied to the relevant line or lines of each Cash Account in error, would produce the correct outcome or balance for those Cash Accounts or the provision of corrective data for such Cash Accounts (provided that the parties can agree the changes to the CCD (TIP/IFS/001 - V5.7: Pathway - TIP Application Interface Specification) which would be necessary for such transmission)

The charges for widespread errors shall be as set out in CA Sch.G01 para's 3.6.4.3 & 3.6.4.4.

#### *4.5.5 Repairing Data*

Where Pathway corrects Data 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 or if they relate to one Cash Account). A BIMS report containing appropriate information (in accordance with section 4.5.1.1) will be issued relating to that error or group of errors.

Where there is a need to correct Data Errors, Pathway 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, MSU will promptly inform PO Ltd 'Incident Manager Transaction Processing' of the assumption, and anticipates that this will be by fax normally within the working day that the assumption has been made. PO Ltd may wish to review and validate these assumptions on a case by

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case basis and it should be noted that any assumptions made would not necessarily set a precedent.

Where PO Ltd agrees that a Cash Account transmitted to PO Ltd TIP shall be repaired rather than require a MER, then Pathway's obligation to transmit a repaired Cash Account may be satisfied by transmitting such part of the repaired Cash Account as is necessary to correct the Data Error concerned, provided that such transmission complies with the requirements of the CCD entitled: 'Pathway to TIP Application Interface Specification'.

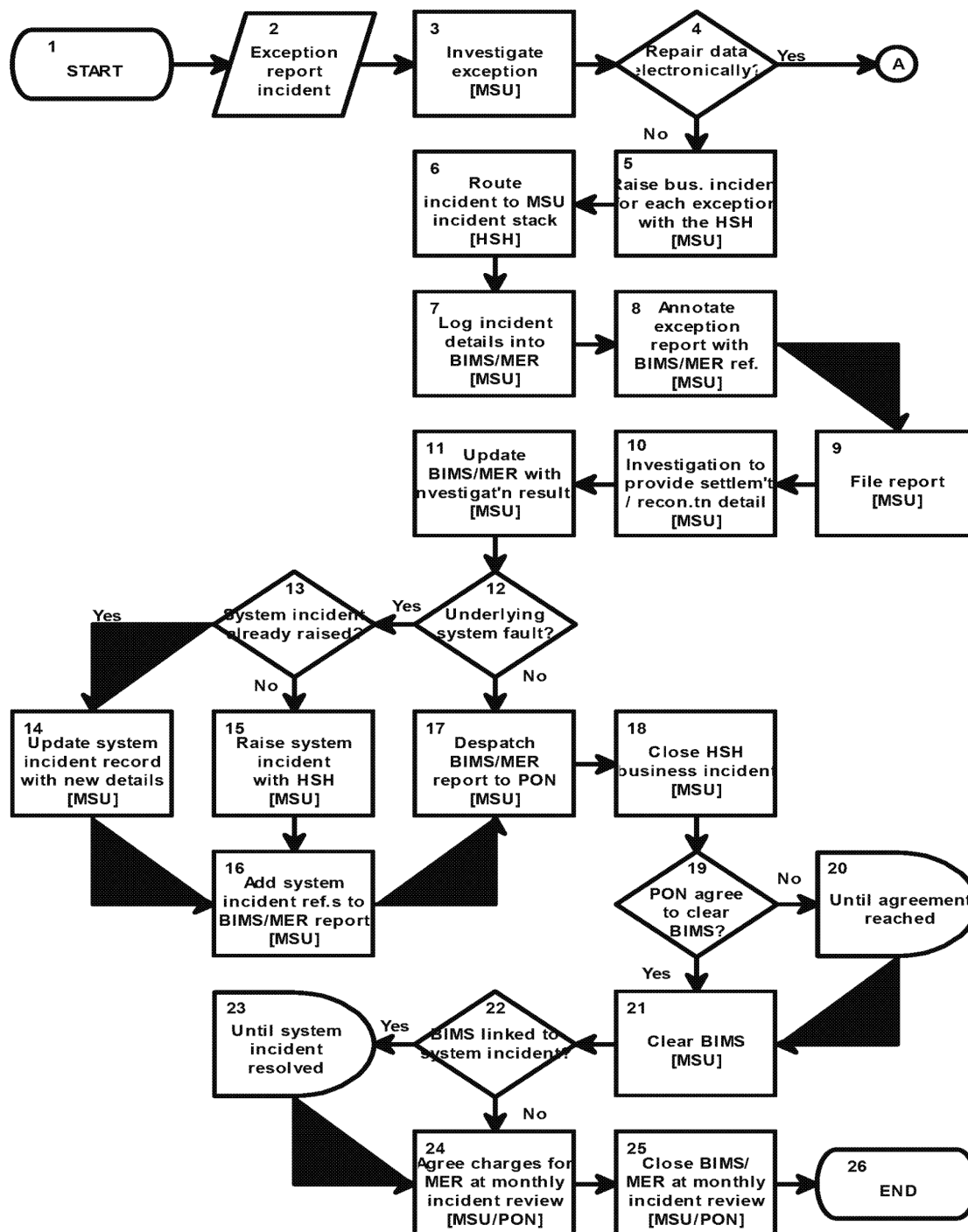
Appendix 2 sets out the rules surrounding the decision to repair data or advise corrections via MER.

#### *4.6 Incident Management Process*

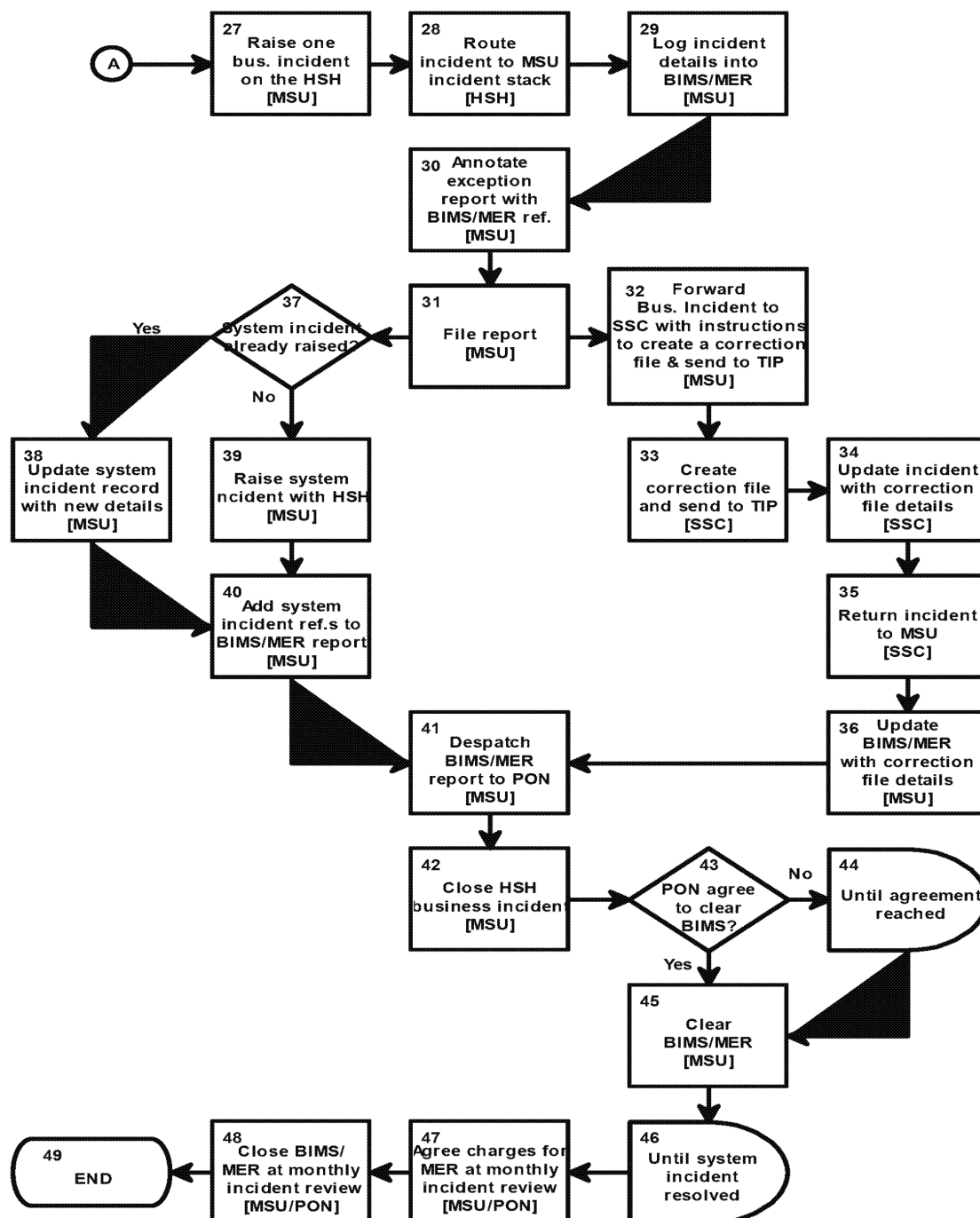
The following flowcharts have been prepared to describe the processes required to bring each Business Incident and System Incident to a successful conclusion within Pathway and PO Ltd and are for information only. They do not attempt to describe any low-level Pathway procedures.

The individual cases where Pathway will elect to repair or not to repair data are not included within these flowcharts.

#### 4.6.1 MSU Raised Business Incident - BIMS / MER Issued - (Records not repaired)





4.6.2 MSU Raised Business Incident - BIMS / MER Issued (Repaired  
Records)

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*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

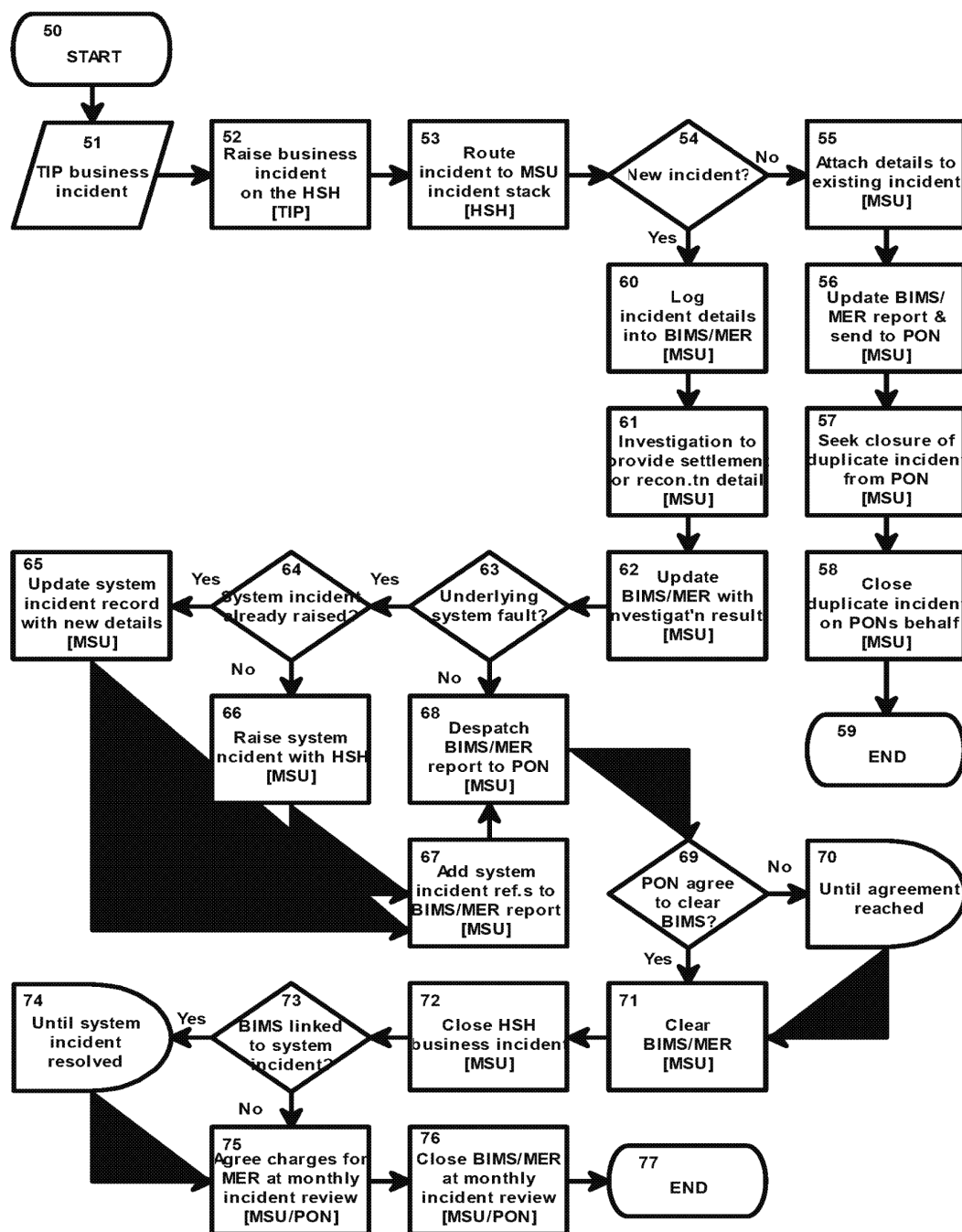
Version: 2.0

Date: 30/04/02

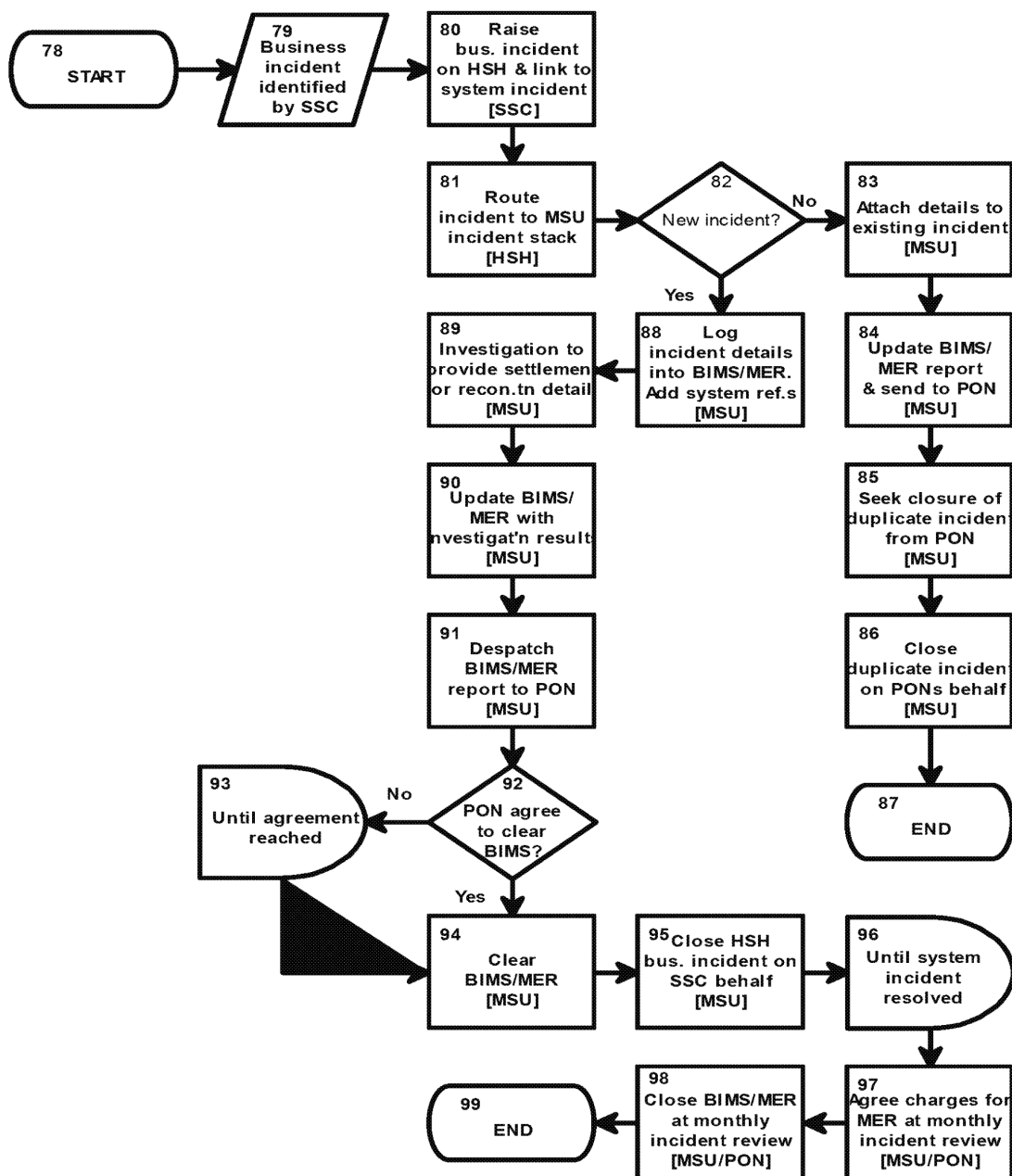
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*PO Ltd TIP Raised Business Incident - BIMS / MER Issued*



*System Incident with Business Implications - BIMS / MER*



*Issued - (Repaired / Not repaired records)*

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## 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.

By way of example, “problems” may be raised by Pathway or PO Ltd in the following scenarios:

- Where there is a trend of similar Business Incidents where there is no identifiable cause. This may include the scenario where the number of Data Errors discovered after transmission to PO Ltd TIP exceeds 20 within the relevant Data Error Counting Period. (CA Sch. Go1 para 3.6.6.2)
- 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 Pathway 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. Counter News updates, briefings etc. and in many cases the authority from PO Ltd to proceed with a relevant fix.

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*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

COMMERCIAL IN CONFIDENCE

Version: 2.0  
Date: 30/04/02

## 4.8 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 References

- Date Raised: The date the System Incident was raised by MSU
- HSH Ref.: The System Incident HSH reference
- PinICL (1): The initial System Incident PinICL
- PinICL (2): Any subsequent System Incident PinICLs 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

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*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

Version: 2.0

Date: 30/04/02

COMMERCIAL IN CONFIDENCE

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- Problem Mgt Ref.: The associated Problem Management Database reference
  - Closure Date: The date the System Incident was closed following successful delivery of fix or reference data changes.

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Management*

Ref: CS/PRO/111

COMMERCIAL IN CONFIDENCE

Version: 2.0  
Date: 30/04/02*4.9 Appendix 2: Business Rules for Data Errors & Not Data Errors***Data Errors Discovered Before Transmission to PO Ltd / TIP**

		Action by Pathway								
Data Error Criteria	Para (in CA Sch. G01)	Retain Original Record	Transmit Original Record	Correct the Data Error	Correct the Data Error if PO Ltd Agree	MER (Subject to 50 Limit) Note 3	MER (No Limit)	Send Corrected Record	Report - Explain Correction	Charge to Pathway (Amt. Per MER)
Transaction Error	3.6.5.1	✓		✓				✓	✓	N/A
Transaction Error – MER option	3.6.5.4	✓ Note 1				✓				✓ £100
Inaccurate Cash Account (Data Error) - Corrected	3.6.5.2 (a)		✓		✓			✓	✓	N/A
Inaccurate Cash Account (Data Error) - Not Corrected	3.6.5.2 (b)		✓				✓			✓ £100
Cash Account Error	3.6.5.3	✓		✓				✓	✓	N/A
Cash Account Error – MER Option	3.6.5.4	✓ Note 1				✓				✓ £100



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*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

Version: 2.0

Date: 30/04/02

COMMERCIAL IN CONFIDENCE

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**Note 1:** ICL Pathway will usually retain the original record but is not obliged to do so if a MER is issued.

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*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

COMMERCIAL IN CONFIDENCE

Version: 2.0  
Date: 30/04/02

**Data Errors Discovered After Transmission to PO Ltd TIP**

		Action by Pathway								
Data Error Criteria	Para (in CA Sch. G01)	Retain Original Record	Transmit Original Record	Correct the Data Error	Correct the Data Error if PO Ltd Agree	MER (Subject to 50 Limit) Note 3	MER (No Limit)	Send Corrected Record	Report - Explain Correction	Charge to Pathway (Amt. Per MER)
Transaction Error - Corrected	3.6.6.1 (a)	N/A	N/A		✓			✓	✓	N/A
Transaction Error - Not Corrected	3.6.6.1 (b)	N/A	N/A			✓ Note 2				✓ £150
Inaccurate Cash Account (Data Error) - Corrected	3.6.5.2 (a)	N/A	N/A		✓			✓	✓	N/A
Inaccurate Cash Account (Data Error) - Not Corrected	3.6.5.2 (b)	N/A	N/A				✓			✓ £100
Cash Account Error - Corrected	3.6.6.1 (a)	N/A	N/A		✓			✓	✓	N/A
Cash Account Error - Not Corrected	3.6.6.1 (b)	N/A	N/A			✓ Note 2				✓ £100

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*TPS Reconciliation & Incident  
Management*

Ref: CS/PRO/111

COMMERCIAL IN CONFIDENCE

Version: 2.0  
Date: 30/04/02

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**Note 2:** the '50 limit' only applies if the Data Error is discovered after transmission to TIP, but before the conclusion of the Data Error Counting Period. If discovered after the end of the Data Error Counting Period, the '50 limit' does not apply in respect of MERs required to be issued, (see CA Sch. G01 para 3.6.6.3)

**Note 3:** Instead of retaining and repairing Data Errors, Pathway is entitled to issue MERs for up to a total of 50 Data Errors (or such higher limit as the parties may agree) relating to any Data Error Counting Period.

For the purposes of this '50 limit', a Data Error relates to a Data Error Counting Period if;

- a) it is a Transaction Error in a transaction carried out during that Data Error Counting Period; or
- b) it is a Cash Account Error or an Inaccurate Cash Account (Data Error) for the Cash Account Period (if any) which is co-terminus with that Data Error Counting Period.

For the purposes of the definitions Data Error Counting Period, a day shall mean a period of 24 hours ending at 20.00hrs. (CA Sch. G01 paras 3.6.1.2 & 3.6.1.3). Pathway and PO Ltd may agree that the '50 limit' may be increased if felt operationally viable.

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Management*

Ref: CS/PRO/111

COMMERCIAL IN CONFIDENCE

Version: 2.0  
Date: 30/04/02

**Not Data Errors Discovered Before or After Transmission to PON TIP**

		Action by Pathway						
Data Error Criteria	Para (in CA Sch. G01)	Retain Original Record	Transmit Original Record	Correct the Data Error	Correct the Data Error if PO Ltd Agree	BIMS Report (No MER)	To the extent that is reasonable, ICL Pathway to Assist PO Ltd	Charge to Pathway (Amt. Per MER)
Not Data Error	3.6.7		✓			✓	a) investigate and seek to prevent the recurrence of such Not Data Error and; b) prevent the production of Cash Accounts which are incorrect as a result of such Not Data Error	N/A

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Management*

Ref: CS/PRO/III

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Version: 2.0  
Date: 30/04/02

## Appendix 3: BIMS Report / MER Format

<b>BIMS Reference:</b> BE/9912240077		
<b>Incident Type:</b>	<b>Version:</b>	<b>Last Updated:</b>
<b>Incident Class</b>	<b>Originator:</b>	
<b>Transaction Date:</b>	<b>CAP:</b>	<b>FAD:</b>
<b>Status:</b>	<b>Error Value: £</b>	
<b>OTHER REFERENCES</b>	<b>TRANSACTION LIABILITY</b>	
<b>PinICL reference:</b>	<b>Provisional:</b>	
<b>Incident 'xref' :</b>	<b>Final:</b>	
<b>TIP / TP ref:</b>	<b>Settlement Details</b>	
<b>System Incident References</b>	<b>Transaction Settlement</b>	
<b>HSH:</b>	<b>Settled Amount:</b>	
<b>PinICL:</b>	<b>Invoice Number:</b>	
	<b>Invoice Date:</b>	
	<b>MER Charge</b>	
	<b>No of Chargeable MER</b>	
	<b>MER Settlement Amount:</b>	
	<b>MER Invoice Number</b>	
	<b>MER Invoice Date</b>	
<b>INCIDENT HISTORY</b>		
<b>Date Received</b>		
<b>Date Cleared</b>		
<b>Date Closed</b>		
<b>ACTIONS</b>		
<b>Action Date / Time:</b>	<b>Action Type:</b>	<b>Analyst:</b>
[Text description]		
<b>TRANSACTION / CASH ACCOUNT DETAIL      MANUAL ERROR REPORT: Y/N</b>		
20 Fields available for insertion of Transaction or Cash Account detail in content and format agreed with PO Ltd TIP.		